



PROGRESSION

- CONFIRMATION OF CANDIDATURE
- PROGRESS REPORTS
- VARIATIONS OF RECORDS
- CHANGE OF SUPERVISORS
- ETHICS
- RESOLUTION OF PROBLEMS

PROGRESSION THROUGH THE DEGREE

Vulnerable Children's Act (2014)

The Vulnerable Children's Act (2014) was amended in July 2015. The legislation requires a safety audit for everyone working with children, including students on practicum. Students who have sustained contact with a child or children e.g. overnight, will need to meet the requirements of the Vulnerable Children's Act.

A student requiring sustained contact with a child or children will need to contact their primary supervisor and Faculty Associate Dean (Postgraduate) for advice on undertaking the appropriate checks.

Research Timeframes

Normal timeframes for a qualification should be read in conjunction with the individual programme regulations. The timeframes for undertaking the research component of a degree are:

Timeframes	Minimum	Normal	Maximum
360 Point Thesis			
	3 Years	4 Years	6 Years
240 Point Thesis			
	2 Years	3 Years	4 Years
120 Point Thesis			
Full-time	1 Year	1 Year	1 Year
Part-time	2 Years	2 Years	3 Years
90 Point Research Paper			
Full-time		1 Year	*
Part-time		2 Years	*
60 Point Research Paper			
Full-time		6 Months	*
Part-time		1 Year	*
30/40/45 Point Research Paper			
Full-time		6 Months	*
Part-time		1 Year	*

* For maximum timeframes please refer to the programme regulations in the Academic Calendar.

Note:

- *Students who require longer than the normal timeframes must apply for an extension (see page 75).*
- *Students who exceed the maximum timeframe may not have their qualification conferred. It is strongly recommended to complete within the normal timeframe. Extensions to the normal timeframe may be considered in exceptional circumstances and on application to the Faculty Postgraduate Committee (University Postgraduate Board for Master of Philosophy and Doctoral Programmes).*

Doctoral Timeframes

Normally, PhD students are expected to complete within four years and professional doctorate students are expected to complete the thesis component within three years. The minimum timeframe for completion is three years, and the maximum timeframe for completion is normally six years. Extensions would need to be applied for after the end of the fourth year for PhD students and at the end of the third year in the thesis for professional doctorates (see page 75).

Master's and Bachelor with Honours Timeframes

Normally, Masters 120 point theses are expected to complete within one year full-time and two years part-time. 45/60/90 point theses/dissertations/exegeses are expected to complete in 6 months full-time, or one year part-time. Extensions would need to be applied for if a student cannot complete the thesis/dissertation/exegesis within the normal timeframe (see page 76).

Confirmation of Candidature (Doctoral students only)**Form PGR9 – Confirmation of Candidature****Note:**

- *Faculties may submit students work through turn-it-in as part of the approval process.*
- *In certain circumstances, reviews of a Confirmation of Candidature document may be requested as confidential, however, this provision will involve prior approval from the Associate Dean (Postgraduate). The PGR9 reviewers will need to sign a confidentiality agreement prior to undertaking the review.*

In order to transition from provisional to full candidature, doctoral students prepare and have approved a detailed research proposal (PGR9).

The transition from provisional admission to full registration (confirmation of candidature) normally occurs no later than 12 months after commencement in the doctoral programme. The student should aim to commence the PGR9 – confirmation of candidature review process after 9 months of provisional admission to the doctoral programme with a view to submit the completed PGR9 to the University Postgraduate

Board within 12 months of provisional admission.

Students for a professional doctorate will normally submit a full research proposal (PGR9) within 1–2 months of completing the coursework component.

Unsatisfactory Progress and Withdrawal

Students who have not submitted their PGR9 within the timeframes, noted above, will be sent a letter by the faculty reiterating the timeframes and stating an expectation that it be completed within six months.

If the PGR9 is not submitted within this period then the unsatisfactory progress process will be initiated (see page 79), giving students a further six months. Should the PGR9 not be submitted at this stage the student will be withdrawn from the programme.

PGR9 Content

Your research proposal includes the following content:

- A summary of the research proposal;
- Proposed thesis title;
- Clearly stated thesis question(s);
- Rationale and significance of the study;
- Research aim and objectives;
- Literature and/or past research review;
- An outline of the research design;
- Ethical approval (if required). If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the proposed research with the AUTECH Secretariat. See page 88 for ethical requirements, including when collecting data overseas;
- A planned budget for your research and how this will be funded;
- An indication of where the research will be conducted;
- Progress and activity to date;
- A timetable for completion;
- Publications and Presentations;
- References.

Note: *for further details on ethics requirements, and the consequences of not obtaining appropriate ethical approval can be found on page 87.*

Guidelines on the expected content and format can be found on the PGR9 form.

Students who have a creative component to their doctoral examination should ensure that they consider appropriate budget expenses for their exhibition.

If you are completing your thesis in Te Reo then a summary (in English) of the PGR9 must also be supplied.

The summary is a brief outline (250–500 words) of the entire proposal. It must accurately reflect the content of the proposal. It is normally one paragraph (maybe two), is concise and summarises the entire proposal, therefore it must include the:

- Research question/problem;
- Theoretical framework;
- Research design;
- Sampling method;
- Data collection methods;
- Data analysis;
- Potential significance and/or benefits.

PGR9 Review and Presentation

The PGR9 will be subject to a Faculty academic review process and the student will be required to present their PGR9 at a Faculty forum and will be provided with feedback from a minimum of 2 reviewers, one of which will be a content expert. The presentation should be between 40–60 minutes. The student will have the opportunity to receive and comment on the feedback, and where appropriate, incorporate it into a revised PGR9.

The Faculty PGR9 review has a set of assessment criteria that are required to be met in order for the PGR9 to be approved. These criteria can be assessed as being met, not met or subject to amendments. Normally, a student will not be able to submit their PGR9 for approval more than twice to the relevant Faculty Postgraduate Board/Committee.

Where the reviewer deems that none of the criteria have been addressed satisfactorily then the faculty may state that no further submission are required and the PGR9 will not be approved and the student withdrawn from the doctoral programme.

PGR9 approval

PGR9s approved by the reviewers should then be signed by the supervisors and forwarded to the Faculty Postgraduate Committee (not a school committee) who approves it under delegated authority. Once approved, the PGR9 is forwarded to the University Postgraduate Board for formal confirmation. Students are notified by the Graduate Research School (GRS) of the outcome.

The Faculty Postgraduate Committee sends recommendations to the University Postgraduate Board which can:

1. Confirm candidature or;
2. Approve continued provisional admission for an agreed period of time or;
3. Discontinues candidature and is transferred to another programme if available or;
4. Terminates candidature.

Where a recommendation is made under the termination/discontinuation (clause 3/4 above) the recommendation to the University Postgraduate Board will include any conditions that were not met. Candidature registration will be terminated if the conditions have not been fulfilled to the satisfaction of the University Postgraduate Board.

Ethical Approval

Students may begin their ethics application at any time but normally may not collect data until their PGR9 and ethics application have both been approved. Students are recommended to develop both their ethics application and PGR9 at the same time. It is incumbent on the student and supervisors to ensure that any requirements for ethical approval are met prior to the commencement of the data gathering, if applicable. A copy of the ethics approval letter should be appended to the PGR9 application if data gathering has already commenced. For more information on ethical requirements see page 87.

Business Cards

Doctoral students who have had their candidature confirmed may normally be eligible to hold an AUT business card. This will be facilitated by the GRS.

Data Collection

Normally, the main data collection should not commence prior to confirmation of candidature unless a pilot study is required for PGR9 completion. If participants are required for the pilot study then ethical approval must be obtained and included in the PGR9 documentation.

If collection of data prior to confirmation is required, for the purposes of completing a pilot study that pertains to the student's research topic, this needs to be outlined in the students' PGR2 Research proposal and approved during the admission to the doctoral programme process.

Student Progress Reports

Form PGR8 - Progress Report

Progress reports are vital to the University's overall monitoring of both individual progress and programme issues. All research students, in consultation with their supervisors, are required to supply six monthly reports which reflect the progress of their work. These should also identify any issues that have arisen and how they are going to be resolved.

Progress Report Timeframes

The table, below, indicates when progress reports for doctoral and MPhil students are to be submitted to Faculty Postgraduate Offices. Progress reports are required to be submitted to the University Postgraduate Board the following month for students in the MPhil and doctoral programmes.

Faculty	First progress report due	Second progress report due
Culture & Society	February	August
Design & Creative Technologies	March	September
Health & Environmental Sciences	April	October
Te Ara Poutama	May	November

All other students, and doctoral students within the Faculty of Business, Economics and Law, including all Master's and Bachelor with Honours research students submit their reports six-monthly from the anniversary of their enrolment start date, or, as requested by their faculty.

Doctoral students please note:

The PGR9, submitted before the end of the first year for doctoral students, replaces the need for a progress report at that time. If the PGR9 is delayed, then a report will be required the following month.

Completing the Progress Reports

Note for students following Format 2 (manuscript format):

As the core requirement for a Format 2 thesis is that the student submits a minimum of two manuscripts to peer-reviewed journals (see page 101). Format 2 students are advised to include in their PGR8 a timeline for the planned submission of manuscripts (including proposed titles, publication outlets, and timing of submission), and a report on progress against this timeline. This will assist the Faculty Postgraduate Committee in monitoring the progress of Format 2 students to completion.

Once a student has completed their section of the report, the supervisor(s) will complete their section on the form and make full comment on progress. If there are issues around progress, the supervisor should be explicit in any misgivings they have regarding a student's progress. Comments must be discussed with the student and a copy made available for them. Supervisor(s) are also required to indicate any remedial action to be taken if required.

The primary supervisor (and mentor for the primary supervisor where applicable) and student will sign the relevant section of the form. The primary supervisor will sign the PGR8 form on behalf of the supervisory team subsequent to consultation with the full supervisory team. The primary supervisor will also ensure, if there are any problems, that the student's progress has been appropriately discussed with the Associate Dean (Postgraduate) or their equivalent, prior to submitting reports to the Faculty Postgraduate Committee. Doctoral and Master of Philosophy progress reports are received by the faculty postgraduate committee and are then forwarded to the Graduate Research School who monitor and report any problems identified to the University Postgraduate Board.

Note:

- *Doctoral students who commence within three months of a PGR8 date are not expected to submit until the next round.*
- *Students are required to include a timetable for provision of these reports as part of the student/supervision agreement.*

It is important to note that progress reports should not be the first point at which a supervisor and student identify there is a problem. Issues are expected to be discussed regularly as part of the supervision relationship. If problems do arise, both parties are expected to take active steps to rectify them within the faculty in the first instance. The reports provide the means by which the University is apprised of any problems and the steps taken to rectify them. Failure to do so could be disadvantageous to both students and staff.

Students may seek advice in confidence from the Associate Dean (Postgraduate) on any aspect of their candidature, including problems. Advice can also be sought from the Dean of Graduate Research School. The Dean provides an independent and confidential point of contact for students and/or supervisors.

Variations to Candidature

Note: *Applies to research enrolments*

Students are able to apply for the following variations to the record of candidature by completing a:

- Deferment of Enrolment;
- Mode of Study (full-time/part-time) (Not applicable to doctoral students);
- Extension;
- Leave of Absence;
- Withdrawal;
- Change of Faculty.

Deferment of Enrolment

Form: PGR6- Variation of Record

Doctoral applicants may, with the approval of their supervisors, apply for a deferment of commencement of their research. A deferment is not required if the applicant can commence their studies within 6 months of their admission to the programme. Applicants may apply for a deferral of up to 6 months (12 months in total from the admission date). The applicant should submit the PGR6 form to the appropriate faculty or school to notify of their intention to defer.

Master's and Bachelor with Honours students should indicate on their PGR1 their intended start date and should discuss deferrals with their Faculty Postgraduate Research Office or school administrator.

If the candidature is not reactivated within the approved timeframe, then the applicant must re-apply for admission.

Mode of Study (Not Applicable to Doctoral Students)

Form: PGR6- Variation of Record

Master's and Bachelor with Honours students may study full-time or part-time. Note: the Bachelor of Art & Design Honours is only offered as a full-time programme. Change to mode of study will require approval from the faculty postgraduate committee. Students should contact their respective school postgraduate administrator in the first instance.

Changes to mode of study will normally only be permitted at the end of the current period of enrolment unless the current enrolment would normally be considered the completion of the course.

International students are not permitted under the terms of their visas to study part-time.

Extensions

Form: PGR6- Variation of Record

Note: *Extensions will only be considered retrospectively under exceptional circumstances.*

Once an extension is granted, the student is enrolled in to an extension paper and will be expected to pay the normal tuition fees pro rata.

Doctoral Student Extensions

Normally, PhD students are expected to complete within four years and professional doctorate students are expected to complete the thesis component within three years. The minimum timeframe for completion is normally three years, and the maximum timeframe for completion is normally six years.

Students must apply to the University Postgraduate Board for an extension, gaining prior approval by the faculty postgraduate committee. Students should apply in advance through their supervisor and faculty postgraduate committee on Form PGR6 to the Graduate Research School (GRS). If not recently received, students are expected to submit a progress report with their request for an extension, along with a proposed timeframe for completion. The University Postgraduate Board may require the submission of more frequent progress reports as a means of monitoring progression.

Students will still be re-enrolled and be required to pay the normal tuition fees for all extensions.

Doctoral Unsatisfactory Progress

If a student exceeds the 6-year timeframe and still required further time to complete the thesis the students' progress will be deemed unsatisfactory and the Unsatisfactory Progress process will be initiated by the faculty. The student will be required to submit evidence of progress to date and a project timeline with a clearly stated date for submission of the thesis. The progress evidence needs to be a detailed outline of what has been completed to date, along with a detailed timeline to completion. Progress

reports may be requested by the faculty on a monthly or two monthly basis.

Doctor of Philosophy

All students in the PhD programme will be required to request an extension before the end of their fourth year if they cannot complete the thesis within the normal timeframe. If a PhD student has not completed by the end of the fifth year, faculties will need to provide justification/evidence and timelines to justify continuation. Continued enrolment in the PhD programme past this period will only be considered on receipt of an extension request on a six-monthly basis. A letter of support/justification from the supervisor will be required for every extension after a student's fourth year of enrolment.

Professional Doctorates

All students in professional doctorates will be required to request an extension at the end of their third year (of the thesis component). Continued enrolment in the programme past this period will only be considered on receipt of an extension request on a six-monthly basis. A letter of support/justification from the supervisor will be required.

Master's and Bachelor with Honours Student Extensions

If a student cannot complete the thesis/dissertation/exegesis within the normal timeframe, they may apply to the faculty postgraduate committee for an extension.¹ Such applications are considered on their merits, but in general an extension is normally granted only when the writing of the research is near completion and where there is certainty that the thesis can be completed if more time is allocated. Normally only one extension, regardless of its duration is permitted. The normal timeframe for an extension is two months, but may be extended to a maximum time of six months, for exceptional circumstances. Students should apply in advance through their supervisor on a PGR6 form.

Where an extension is required for a duration of up to six months for full-time students or three to twelve months for part-time students, then the faculty will approve the extension. The student will be enrolled in a funded extension and be expected to pay the normal fees. Where further extensions are required, approval will need to be obtained from the University Postgraduate Board.

Leave of Absence from Candidature

Form: PGR6- Variation of Record

Note:

- *Leave of absence requests will only be considered retrospectively under exceptional circumstances.*
- *International students should consult with International Student Support regarding visa conditions when applying for a Leave of Absence*
- *Scholarship students should consult with the Scholarships Office prior to*

¹ Applications for extension by students in the MPhil programme will be approved by the UPB.

applying for a Leave of Absence

A student who has been granted a leave of absence will not normally have access to AUT resources during that period and should not continue to work on their thesis.

A leave of absence is normally only granted in extenuating circumstances where a student is prevented from undertaking work on their research for an extended period due to unforeseen domestic/personal circumstances (which could include illness or financial hardship resulting in a requirement to work. International students need to be aware that due to visa requirements you may not be granted a leave of absence to gain work for financial reasons). The minimum timeframe for a leave of absence for a masters or bachelor's with honours student is two weeks, and for a doctoral student is two months, and would normally be for a period of no more than twelve months. The effect of such a leave of absence is to 'stop the clock' for the student so that they are not penalised in terms of the completion date.

A request for a leave of absence should be made in writing to the faculty postgraduate committee either by the supervisor or the student and should include a full explanation of the circumstances and evidence that during the period of absence the student would be unable to study, research or progress in any manner in the thesis/dissertation.

Students should be encouraged to discuss potential leave requests with their Faculty Associate Dean (Postgraduate).

Wherever possible students should request a leave of absence at the end of an enrolment period. However, it is recognised that this may not always be possible.

Normally, a leave of absence application will not be considered retrospectively. However, exceptional circumstances may be considered (but may not be approved). Retrospective LOA's would not normally include time taken in employment.

If circumstances are such that it cannot be anticipated when the candidature will be resumed, students should seek to withdraw from the programme after consultation with all their supervisors and re-apply when they are able to continue.

Doctoral Students Please Note:

Apart from statutory holidays (including the three week period over Christmas that the University is closed) students would normally be expected to take a maximum of three weeks leave from their study per year. This period will not 'stop the clock' on the length of candidature and students will be expected to complete within the normal timeframe. Additional time must be applied for as part of a leave of absence request using the Variation of Record form.

Withdrawal

Form: PGR6- Variation of Record

Notification of withdrawal can be done at any time and should be made in writing to the faculty postgraduate committee after consultation with all their supervisors. The

faculty postgraduate committee will forward the notification, for doctoral and MPhil students, to the GRS who will advise the University Postgraduate Board.

Students wanting to resume at a later date will be required to re-apply for admission. Some recognition may be given for work done prior to withdrawal, but a new candidature would be commenced.

If students fail to re-enrol in any year by the required dates and do not contact the University, they will be deemed to have withdrawn from the programme and the candidature will be terminated. A new application is required with the appropriate forms and research proposals completed in conjunction with the supervisor (where appropriate) to resume under such circumstances.

A student will not normally be permitted to transfer to another university if they are close to examination. It would be expected that the examination would occur at the university of origin.

Doctoral students please note:

It is important to note that should a student withdraw after 3 complete years of study, they will receive a DNC (Did Not Complete) grade. A 'W' (Withdrawn) grade will be recorded against the academic record if they withdraw prior to this.

Master's and Bachelor with Honours please note:

It is important to note that should a student withdraw after 75% of the normal enrolment period for their research has been completed, they will receive a DNC (Did Not Complete) grade. A 'W' (Withdrawn) grade will be recorded against the academic record if they withdraw prior to this.

Change of Faculty (doctoral students only)

Form PGR19 - Change of Faculty

A change of faculty is normally only granted for doctoral students who require to change the faculty in which their thesis is based. The request would normally correspond with a change in primary supervisor or change in topic that will fall in the research area of a different faculty.

A request for change of faculty (PGR19) form should be submitted to the Faculty Postgraduate Committee. This should be submitted through their supervisor to the new Faculty Postgraduate Committee.

Students are expected to have contacted the original Faculty's Associate Dean (Postgraduate) to advise them of their intent to transfer.

Doctoral students who have not yet been confirmed will need to submit a new Admission to a Doctoral Programme form (PGR2) or Confirmation of Candidature form (PGR9) with an updated topic and supervisory team and will undertake their PGR9 – Confirmation of Candidature within the new Faculty.

Doctoral students who are already confirmed and are changing their topic will need to provide the new faculty with a detailed Change in Topic form – PGR10.

Appointment/Change of Supervisors

Form PGR7: Change of Supervisors

Supervisors are normally appointed prior to the submission of the PGR1/PGR2. All subsequent appointments or changes to supervisors must be approved by the faculty postgraduate committee, and the University Postgraduate Board for doctoral and Master of Philosophy students.

The Associate Dean (Postgraduate) will appoint a supervisory mentor if changes to the supervisory team result in neither supervisor having the required supervisory experience for the programme being supervised.

All supervisors are expected to complete a 'Research Supervision Agreement' with the student. Please refer to the 'Principles of Supervision' on page 52.

Major Change to Thesis/Dissertation Topic

Form PGR10: Change in Topic

Changes to the title are permitted during the course of the research.

Changes to a thesis topic must be approved by the relevant faculty committee and University Postgraduate Board. Substantive changes to the thesis topic may result in the requirement of an additional or new research proposal (PGR2 or PGR9) for Doctoral students.

Unsatisfactory Progress/Termination of Enrolment

If progress is unsatisfactory, the primary supervisor will alert the Associate Dean (Postgraduate) in writing. The Associate Dean (Postgraduate) will advise the faculty postgraduate committee and the University Postgraduate Board.

The following are criteria against which a student may be deemed to be performing unsatisfactory progress:

Milestones:

Not keeping to the milestones within the timeline in relation to:

- Multiple leave of absence requests;
- Multiple extensions;
- Unsatisfactory progress reports;
- Outside of the agreed timeframe for PGR9 and/or completion (Doctoral Only);
- Progress reports submitted where supervisors record 'unsatisfactory progress' and identify the issues clearly in the comments section.

Conditions:

Failure to meet admission conditions, e.g. language, research methods etc.

Thesis Progress:

The conceptual development and writing up of the thesis is at an unsatisfactory stage.

Exceptional Circumstances:

- No exceptional circumstances evident.

When any one of the above is evident then, after discussion at the faculty postgraduate committee, formal warnings of unsatisfactory progress may be initiated by the faculty postgraduate committee, which will notify the student in writing that their progress in the programme has been unsatisfactory. The correspondence must specify the reason why the progress is deemed to be unsatisfactory, provide a list of conditions that must be met and offer the student an opportunity to discuss the matter with the Associate Dean (Postgraduate). The student should be given an appropriate timeframe to reply to the correspondence. A copy of the correspondence should be sent to the GRS.

If the student fails to contact the faculty, or fails to meet the specified conditions, within the specified timeframe, the Associate Dean (Postgraduate) will advise the Faculty Postgraduate Committee (University Postgraduate Board for Doctoral and MPhil students) and Faculty Dean to recommend that the enrolment be terminated and the student be deemed to have withdrawn from the programme.

The Faculty Postgraduate Office (GRS for Doctoral and MPhil students) will then notify the student, in writing, of the final outcome.

A student may appeal against the decision of the Board. Refer to the AUT Academic Calendar Part 6, Section 1.

Confidential Material**Form PGR16 – Application for Embargo**

It is the University's intention that a postgraduate student should not normally be permitted to undertake research which is likely to result in a thesis/dissertation which cannot be available for public use or access immediately. In circumstances where research undertaken for a thesis/ dissertation may have commercial sensitivity, or where the student believes their interests, or those of the research subjects, would be at risk if the thesis/dissertation were publicly available, the student may apply for an embargo of public availability. In these circumstances the thesis/dissertation is treated as confidential and restricted to the supervisor(s), examiner(s), and GRS staff. Examiners are asked to sign a confidentiality agreement prior to being sent the material to be examined.

Recommendations for embargo of public availability are made by the student and supervisor to the appropriate faculty postgraduate committee or University Postgraduate Board. The embargo period will not normally exceed three years.

Students are strongly advised to consider issues of accessibility or availability of research data/materials, particularly those which may be restricted or confidential. This is to avoid any problems that may arise in the eventual publication of and public access to the thesis/dissertation. AUT Commercialisation can advise students and staff on issues of confidentiality and mediate with commercial partners as necessary to ensure that commercial needs for confidentiality are balanced with the academic imperatives of the research.

Strict confidentiality will only be granted where the primary supervisor can justify that there are strong reasons for this restriction, as this does limit a student's ability to publish.

Applications for total confidentiality would normally be made prior to the commencement of the research on the initial Postgraduate Research Proposal/ Admission to a Doctoral Programme form (PGR1 or PGR2) in consultation with the primary supervisor.

Where issues of confidentiality arise after approval of the research by the faculty postgraduate committee, an Application for Embargo Form (PGR16) must be submitted for approval.

The faculty postgraduate committee will set the time limits on the embargo of the thesis/dissertation.

Where approval for confidentiality has been given, the confidential material will normally be required to be provided in a separate annex to the thesis/dissertation. When completed the thesis/dissertation will be held securely by the Library. The thesis/dissertation will be released either at the end of an agreed time limit, or an earlier time, if the reasons for the confidentiality have terminated, as attested by the primary supervisor or other body to whom the guarantee of confidentiality was given.

Data Gathering, Storage and Retention

Research data must be recorded in a durable and appropriately referenced form. Sound research procedures entail the discussion of data and research methods with colleagues. Discussion may also occur well after the research is complete, often because of interest following publication. Researchers are required to ensure that participant consent forms and research data are safely and separately held on AUT premises for a period of at least six years. Health information must be stored for ten years. Consent forms must be stored separately from research data.

Raw data should be retained in an appropriate secure facility. In some cases, such as when data is obtained from limited-access databases, or in a contracted project, it may not be possible to hold them in this way. In such cases, a written indication of the location of the original data, or key information regarding the limited-access database from which it was extracted, must be kept in the faculty. Individual researchers should hold copies of data for their own use. Retention solely by individual students however,

provides little protection for the student or the University in the event of any allegation of falsification of data.

Conflict of Interest

Note: Refer to the *Conflict of Interest Protocol* on the AUT website.

A conflict of interest exists in any situation when a person has a financial interest, a private or personal interest, or a business interest sufficient to influence, or appear to influence, the impartial exercise of their official duties or professional judgements.

In other words, a conflict of interest exists where a staff member's duties or responsibilities to the University could be affected by some other separate interest or duty. A conflict can also relate to the potential for public resources or time to be used by a staff member to advance his or her private interests and this raises ethical considerations of integrity, honesty, openness and good faith.

It is likely that a conflict is present if you answer 'yes' to any of the questions listed below:

- Do you have any familial, close personal or financial relationship with the student?
- Do you have any familial, close personal or financial relationship with the sponsor of the project?
- Are you employed by the commercial entity that will sponsor the proposed study?
- Do you have any ownership interest in the commercial entity that will have an interest in the proposed study?
- Is the student receiving any financial support from a commercial source in the form of a scholarship or grant to carry out the work or to report the work at a conference?

In determining whether a conflict exists when appointing examiners for a thesis/dissertation, there are two questions to ask:

- Would a fair-minded reasonably informed observer have a reasonable apprehension that the examiners professional judgement would be compromised in examining the student's thesis?
- Does the interest create an incentive for the examiner to act in a way that would be contrary to the objectives of a fair, impartial and effective examination process?

If the answer to either of these questions is 'yes', then a conflict exists.

If you are uncertain about whether any relationship constitutes a conflict of interest, please contact your head of school/department or Associate Dean (Postgraduate) who will manage this on a case-by-case basis.

It is the responsibility of staff to:

- Take care that their financial, familial, personal or business relationships or interests do not unfairly disadvantage or advantage other members of staff, students, or other individuals and organisations;
- Inform their manager, as soon as reasonably possible if an actual, perceived or

potential conflict of interest arises.

It is the responsibility of the manager to:

- Take appropriate steps to resolve the situation which could include referring the case to the University Postgraduate Board.

It is the responsibility of students to:

- Report any potential or real conflict of interest to their supervisors or, when this involves their supervisor, the head of school or Associate Dean (Postgraduate).

For more information, including examples of conflict of interest:

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

Publication and Authorship

Postgraduate students are encouraged to publish and disseminate research findings. Consensus should be reached between the student and research supervisor(s) concerning authorship of publications and acknowledgement of contributions during and after candidature. It is worthwhile noting such decisions in the Research Supervision Agreement. There should be open and mutual recognition of the student's and supervisors' work arising from the research.

Supervisors also gain/benefit from postgraduate students' work. Where a supervisor draws on and wishes to build on a student-initiated subject, the supervisor must advise the student (and co-supervisors) and through consultation negotiate a fair and equitable arrangement with the student and co-supervisor. The supervisor in relevant publications must acknowledge the student and provide them with the opportunity of joint publications or research outputs.

AUT has adopted two documents as the preferred reference for staff and students seeking general assistance and guidance on authorship matters. These are the Vancouver Protocol, compiled by what evolved as the International Committee of Medical Journal Editors (ICMJE) and the Australian Code for the Responsible Conduct of Research, which was developed collaboratively by the National Health and Medical Research Council, the Australian Research Council and Universities Australia.

The Australian Code for the Responsible Conduct of Research at: <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018> and the Vancouver Protocol can be located at: <http://www.icmje.org/recommendations>

Based on these documents, AUT recommends the following principles as key in determining authorship attribution:

- Early discussion and agreement on authorship responsibilities and order;
- Signed documentation of authorship protocols and agreements;

- Subsequent review of such agreements;
- Inclusion of all authors;
- Exclusion of unacceptable claims to authorship;
- Adequate acknowledgement of other contributions;
- Inclusion of web-based publications.

Intellectual Property

The University has an Intellectual Property (IP) Policy which applies to all staff and students. The policy includes sections on ownership and development of IP and the sharing of benefits from successful development. Programme leaders and supervisors should be familiar with the policy and its implementation. AUT Ventures Ltd is responsible for the identification and commercialisation of IP owned by the University. Where research staff and students are working with external parties on research projects AUT Ventures Ltd will work with the Research and Innovation Office to provide advice and services related on Intellectual Property issues.

Where supervisors have reason to believe that IP will arise in the course of independent research, they are responsible for discussing this with their student and liaising with AUT Ventures Ltd.

As an employer the University has rights relating to the contract of employment and claims ownership of IP created by staff in the course of duties, or created using the University's resources.

84

However, the University recognises the contribution of the creators of this IP by sharing the benefits from commercialisation. By default, the University will distribute one third of any net revenues received with the creators of the IP. Excluded from this are any course materials, or any materials specifically commissioned by the University.

The University waives its entitlement to several types of IP, such as the copyright in books, published papers, articles, films, sound recordings, artistic works, as well as in any personal material and/or notes created outside the course of duties.

Students own the copyright in their theses as well as IP which they have created by themselves using their own resources and any University resources which are attributable to their course fees, unless they have agreed otherwise. Where students are undertaking an exegesis with the creation of an artefact, the artefact remains the property of the student. Should the student wish, they may gift the artefact to the Faculty or to someone of their choosing.

In the course of a research project, where others contribute to the creation of IP (for example; fellow students, supervisors, other project participants/funding sources, additional university resources, external parties) these other parties may also have some rights to the IP. The University's IP Policy recognises this by bringing together all interested parties to reach a fair and equitable agreement on how ownership, benefits and other IP rights are to be distributed between the parties:

Where a student participates in a University Project, the University and the student will:

- a) At the student's or University's option, enter into a separate agreement that will set out their rights and entitlements;
- b) Each take steps as are reasonable in the circumstances to ensure that:
 - The academic progress of a student is not hindered by the provisions of this policy; and
 - The examination of any thesis is not affected by this policy.

Students can expect to have similar rights and responsibilities as staff under these circumstances.

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/intellectual-property>

Contractual Arrangements

Where a student undertakes research with an institution or organisation outside the University, an appropriate contractual agreement is arranged between the University, outside organisation and the student. This ensures that the student's rights and responsibilities are clearly understood, that the supervisor will have access to the student and that the facilities and resources will be appropriate for the research. Any such contracts must be submitted to the Research and Innovation Office for approval before signing.

Academic Integrity

The value of University's qualifications depends in part on the honesty, trustworthiness, fairness, respect, and responsibility of its students and staff. Academic integrity is a cornerstone of each student's and staff member's standing in the academic and employment community. The University is committed to maintaining its academic reputation in support of the opportunities this brings to its students, graduates and staff.

It is AUT's expectation that postgraduate students, because of their maturity and experience, will be particularly capable of behaving with academic integrity in their studies, research and their engagement with our communities.

At the heart of behaving with academic integrity is a commitment to absolute honesty in submitting one's own work for assessment. This includes acknowledging all material sources and people who have contributed to the work through their ideas, interpretations and expressions and through rigorous and ethical approaches to data collection and reporting. This is expected in all work submitted for assessment and has a very particular relevance to dissertations and theses which are a student's major work for their qualification.

The University provides learning materials through the Library website to support students in their understanding of academic integrity. Advice and guidance is available through your academic supervisor or Associate Dean (Postgraduate).

<http://aut.ac.nz.libguides.com/integrity>

The University acts promptly when breaches of these expectations occur and has policies and procedures in place to enable a fair and thorough process to occur in all instances where there has been a failure of integrity.

Part 7 of the General Academic Regulations provides definitions, processes, sanctions and appeals with regard to Academic Discipline (Dishonesty during Assessment or Course of Study).

<http://www.aut.ac.nz/about-aut/university-publications/academic-calendar>

Plagiarism

Students are expected to exercise discretion in their use of research or secondary material. Where such material is used as a major element of, or contribution to a finished project (whether written or visual), there is a requirement to fully acknowledge the source of reference. Failure to acknowledge sources is plagiarism, which the AUT Academic Calendar defines as “using another person’s words, constructs or ideas as one’s own without acknowledgment”. In the case of blatant plagiarism and the complete transposition of the whole or part of another writer or artist’s work – which is subsequently claimed as an original piece of student work – the submission will be seen as being in breach of the General Academic Regulations, and appropriate disciplinary action will be taken (See the AUT Academic Calendar).

86

Turnitin

The University may use Turnitin, or equivalent, to assess work submitted, such as PGR1s, PGR2s and PGR9s. It is compulsory that theses and dissertations, except those presented in Te Reo Māori, be submitted to Turnitin, prior to submission for examination. See page 119 for further details.

RESEARCH ETHICS

Research and teaching are integral to the mission of the University. In pursuit of these aims, the Auckland University of Technology Ethics Committee (AUTEC) recognises the need to promote integrity in research and teaching, while upholding the University's responsibility to ensure that the privacy, safety, health, social sensitivities and welfare of human participants are adequately protected. Comprehensive and up to date information about ethics approval processes is available online at <http://www.aut.ac.nz/researchethics>. All researchers are referred to this website as the source for forms and information.

Ethics Approval for Research

Note: *Retrospective ethics approval will not be given.*

AUTEC recognises that individual researchers and lecturers, working in and familiar with their own disciplines, are generally in the best position to assess proposed research activities. Nevertheless, to ensure consistency and impartiality in considering the interests of potential participants, as well as to provide a degree of protection for the researchers, certain categories of research and teaching activities must be approved in accordance with the ethical principles governing research at AUT, before the research or teaching is undertaken. Approval by an Ethics Committee is also a requirement for many funding agencies and for publication. In certain circumstances, ethics applications will need to be submitted to a Health and Disabilities Ethics Committee. Information on these requirements is located on the Research Ethics website.

It is a requirement that research involving human or animal participants receive review by the appropriate ethics committee before data collection commences. Failure to obtain the necessary ethics approvals, or any breach of any conditions of approval applied to the research by the relevant ethics committee will be regarded as research misconduct, and may result in disciplinary proceedings.

At AUT the applicant is the supervisor and if student research is involved, the student is the researcher. The Faculty Postgraduate Board publicises and promotes the appropriate ethics advice. It is the responsibility of the supervisor to ensure ethics approval is obtained for all research involving human or animal participants and for Heads of School to sign on applications to the appropriate ethics committee such as AUTEC. Should the supervisor have any doubt they should contact the ethics committee Faculty representatives.

When approval is not gained and data is then collected without ethics approval (including collecting data overseas without local ethical approval) the work would not be publishable, for example either in a thesis, or in a scholarly piece of work. Therefore any data gained from an unapproved data gathering process including consequent analysis and conclusions may need to be removed prior to submission for examination

(note this is likely to impact upon the readiness of the thesis).

If the thesis has already been submitted to examiners it may be withdrawn from the examination process.

It is the policy of the University that all staff or student research and teaching sessions involving human participants (with the exception of special cases mentioned under Section 6 of AUTEC's Applying for Ethics: Guidelines and Procedures) must receive approval from AUTEC before recruitment and data collection begin.

If researchers or lecturers are in any doubt about the need for ethics approval they should discuss the proposed research with the AUTEC Secretariat.

Animal Ethics

It is the policy of the University that teaching involving animals and staff or student research involving animals must receive ethical approval from an approved Animal Ethics Committee prior to the commencement of the research. The University of Auckland Animal Ethics Committee has a Memorandum of Understanding with AUT to undertake this review. There will be a charge levied for this service, payable by the department or school. Please consult with the academic supervisor and with the Research Ethics Advisor.

88

Overseas Data Collection

Where data collection is to be undertaken overseas, the student should investigate if there are any local ethical requirements and report back to the supervisor(s) and work together to satisfy the local requirements. Failure to obtain or comply with local ethical requirements may result in disciplinary action for both the supervisors and student.

Ethics Responsibilities of Supervisors and Students

Academic Responsibilities of Supervisors:

- Ensure students apply for appropriate ethics approval where human participants are involved. Requirements for ethics approval need to be addressed with students within an appropriate time-frame that does not compromise their research (at least two months prior to commencement of participant research);
- Read, edit and provide feedback on the ethics application;
- Sign off the ethics application form for ethics approval as appropriate;
- Ensure head of school or delegated authority signature has been obtained for all ethics applications;
- Assist students in corrections and responses to unsuccessful applications or conditional approvals;
- Supervise the ethical conduct as outlined in the approved ethics application;
- Ensure any amendments to approved research projects are put forward to the Secretariat for approval prior to implementation of the change;
- Where applicable, ensure that any local ethical requirements are met;

- Ensure AUTECH is provided with the required progress and completion reports.

Students' Responsibilities:

- Fully discuss any research involving human participants with their supervisor;
- Become cognisant of AUTECH guidelines and application procedures (for example, by attending a postgraduate seminar on the topic);
- Prepare application in consultation with their supervisor and, where appropriate, an AUTECH faculty representative;
- Ensure their supervisor reads, edits and comments on the ethics application;
- If undertaking data collection overseas, the student is to investigate if there are any local ethical requirements and discuss these with the supervisor(s) to satisfy any local requirements;
- Ensure application is signed off by supervisor and head of school;
- Respond to AUTECH feedback as appropriate in consultation with their supervisor;
- Undertake research in an ethical manner and according to the frameworks outlined in the approved ethics application;
- Work with their supervisors to ensure any amendments to approved research projects are put forward to AUTECH for approval prior to implementation of the change;
- Prepare the required progress and completion reports.

RESOLUTION OF PROBLEMS

A productive supervisor/student relationship does not happen automatically; it develops over time and requires a commitment from both parties from the outset.

As an initial starting point to initiate the supervision process, a Research Supervision Agreement is a tool to negotiate the way supervision is undertaken. A template can be found at the following AUT webpage.

<http://www.aut.ac.nz/being-a-student/current-postgraduates/academic-information/academic-study-support-and-resources/supervision-support/supervision-agreement>

Additionally, the University offers seminars on working with your supervisor as part of the seminar series. Workshops are also offered to supervisors on working with students.

As students progress through the research journey there are sometimes issues. The following process has been put in place to facilitate the resolution of problems. It is hoped that most of the problems which arise between a student and a supervisor are able to be resolved through discussion, with or without the assistance of a third party.

90

Step one

A student who has an issue or complaint should discuss this with their supervisor(s) in the first instance.

Step two

Where the issue or problem has not been resolved the sequence of escalation should be to the programme leader/head of postgraduate (or equivalent).

Step three

The programme leader should alert the Faculty Postgraduate Office to any issues unable to be resolved and escalate to the Associate Dean (Postgraduate).

Should the issue or complaint still not be resolved then the Associate Dean (Postgraduate) can then escalate the issue to the Dean of the Graduate Research School.

Note: *If a student contacts the Graduate Research School directly to discuss an issue or grievance prior to discussing with the Faculty, they will be referred to the Associate Dean (Postgraduate).*

The student supervisor relationship is critical and occasionally it may be preferable to change supervisors. This is not a desired outcome but may sometimes be necessary. It is important to note that due to the specific nature of some research projects it may be possible there is not an alternative supervisor available. In such cases arrangements may be negotiated with the faculty in order to continue with the existing supervisor.

Students and their supervisors should be aware of the specific support available through:

- The Postgraduate Student Advisor (available through the GRS)
- AUTSAs advocacy service
- The Health, Counselling and Wellbeing Centres.

Students and/or supervisors are also able to contact the Dean of Graduate Research School or the Associate Dean (Postgraduate) of the Faculty, or equivalent, for advice and/or assistance in the resolution of issues.

University Complaints Procedures

Any complaints should be made in accordance with the Complaints Procedures as outlined in the AUT Academic Calendar.

SPECIFIC LEARNING DIFFICULTIES

Specific Learning Difficulties is a general term that is used to describe people who may have challenges with listening, speaking, reading, writing, remembering things, reasoning or mathematics. These specific learning difficulties may include, but not be limited to:

Attention Deficit (Hyperactivity) Disorder (AD(H)D);

Asperger's syndrome;

Autism;

Dysgraphia (inability to write coherently);

Dyslexia (A general term for disorders that involve difficulty in learning to read or interpret words, letters, and other symbols, but that do not affect general intelligence.);

Dyspraxia (movement and coordination difficulties);

Dyscalculia (Severe difficulties in making arithmetical calculations).

92

Students who have a specific learning difficulty that prevents that student from undertaking the examination of their dissertation/thesis within the usual timeframe and process, the student may be offered support to assist them through the examination. The student should have an assessment of the learning difficulties undertaken prior to submission for examination and have initial discussions with their supervisors and the Associate Dean (Postgraduate) prior to the appointment of examiners. The University Postgraduate Board, in consultation with the faculty and supervisors, will create a plan for the student's examination, as per the 'Specific Learning Difficulties Protocol'.