

Guidelines for the Administration of Research in Masters Degrees

These Guidelines apply to enrolments in masters degrees that commenced in or after 2016.

The University has a goal of ensuring that its academic aims and activities are enabled and supported by high quality management and administrative processes, practices and policies. The following Guidelines apply to dissertations, research projects, research portfolios and theses that carry a value of at least 30 points. Note there are different examination processes for research components of 90 or more points (usually theses or research portfolios) and those of between 30 and 80 points (usually dissertations or research projects).

The Head or Director of a Department or School shall be referred to as the Academic Head in this document except where regulations are quoted which refer to the Head of Department. In this document 'department' includes departments, schools and other autonomous academic units.

The University documents which currently govern these procedures are:

- [Enrolment and Programme Regulations](#), the University of Auckland Calendar
- [General Regulations – Masters Degrees](#), the University of Auckland Calendar
- [Instructions to Examiners and Assessors](#) (found on the staff intranet)

The Guidelines are not intended to supersede these documents, but to collate information on existing procedures and to establish procedures, where necessary. Refer also to the *Guidelines for the Administration of General Regulations in Postgraduate Programmes* found on the staff intranet under Teaching and students » Postgraduate students » Advise postgraduates » Policies, guidelines and forms.

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1 General Requirements

A student enrolled for a masters degree at this University must pass the full points value specified in the programme regulations. The total enrolment may not exceed the minimum points requirement for the degree by more than 40 points.

2 Duration of Enrolment

Please refer to Regulation 2 of the relevant [General Regulations - Masters Degrees](#)

- a The requirements for a research masters degree must be completed in accordance with the following time limits and the thesis or research portfolio due dates in 2b(iv) below.

		Degree Total Points				
		120	180	240	300	360
Maximum number of semesters for a Research Masters Degree	full-time	2	3	4	5	6
	part-time	4	6	8	10	12

(i) Date of initial enrolment

The date of initial enrolment is the start date of the thesis or research portfolio (where the programme commences with a thesis or research portfolio enrolment) or the first semester or summer school in which a student enrolled for a course which is assigned or reassigned to the programme.

(ii) Full and part-time enrolment

- Full-time enrolment is 50 points or more in one semester, otherwise the enrolment is part-time.
- Where a student's enrolment is partially full-time and partially part-time, the part-time time limit applies, provided that one semester of full-time enrolment counts as two semesters of part-time enrolment.
- Students who commence the thesis or research portfolio on 1 December may alter their thesis or research portfolio points enrolment for semester 1 no later than the fourth Friday after commencement of enrolment (or next University working day). Otherwise, subject to the overall programme time limit, students may alter their thesis or research portfolio points enrolment for an individual semester within the add/drop deadline for that semester.

(iii) Summer School

- Summer School only counts towards the time limit when a student enrolls in a Summer School course.
- Course enrolment during summer school counts towards the time limit as one semester of part-time enrolment regardless of whether the student is enrolled in 15 or 30 points during Summer School.

However

- Course enrolment during Summer School does not count towards the time limit if a thesis or research portfolio enrolment has already commenced.

(iv) **Non-continuous study**

- Where a student's enrolment will be entirely full-time, it must be in consecutive semesters.

Note: As the requirement is for enrolment in consecutive semesters, this means that a student can commence a thesis or research portfolio on 1 March instead of on 1 December without the need for a suspension.

- Where a student's enrolment will be at least partially part-time, up to a maximum of four semesters of non-enrolment may occur provided that:
 - one semester of non-enrolment counts towards the time limit as one semester of part-time enrolment,
and
 - any semesters of non-enrolment occur prior to commencement of a thesis or research portfolio enrolment.

Note: In practice, this means that opportunities for non-continuous study are limited in 120 point research programmes to enrolments that are entirely part-time and which include the 90 point thesis/research portfolio.

Opportunities for non-continuous study are limited in the 180 and 240 point research programmes. Faculty Student Centres are still expected to contact non-enrolling students, and students should be strongly advised to review an enrolment plan with the Faculty Student Centre in order to confirm whether or not their enrolment allows for non-continuous study. See Appendix V for worked examples.

b Due date for Thesis or Research portfolio

- (i) Enrolment in a Research Masters degree must conclude with the submission of the thesis or research portfolio.
- Coursework cannot be due for completion beyond the deadline for submission of the thesis or research portfolio.
- (ii) Enrolment in the thesis or research portfolio must commence on either 1 December, 1 March or 15 July and continue until the submission of the thesis or research portfolio.
- Students are enrolled continuously in the thesis or research portfolio from start date to submission date, but the enrolment in thesis or research portfolio points is semester-based.
- (iii) A student must enrol in thesis or research portfolio points in no fewer than two and no more than four consecutive semesters until the thesis or research portfolio points requirement is satisfied **BUT the semesters used for the total programme enrolment must not exceed the time limit at 2a above (where 1 full-time semester counts as 2 part-time semesters, and 1 semester of non-enrolment prior to the commencement of the thesis/research portfolio counts as 1 part-time semester).**
- Enrolment in the points for the 120 point thesis/research portfolio is always available at 60 points x 2 semesters and usually available at 30 points x 4 semesters or at (60 pts x 1 semester) + (30 pts x 2 semesters).

- Enrolment in the points for the 90 point thesis/research portfolio is usually available at 45 points x 2 semesters. In some programmes it is also available at 22.5 points x 4 semesters or at (45 pts x 1 semester) + (22.5 pts x 2 semesters), and occasionally at (30 points x 1 semester) + (60 points x 1 semester), or at 30 points x 3 semesters.
 - When the thesis/research portfolio enrolment starts on 1 December, the first semester of enrolment in thesis/research portfolio points is always semester 1 of the following year.
 - When the thesis/research portfolio enrolment starts on 1 March, the first semester of enrolment in thesis/research portfolio points is always semester 1 of the same year.
 - When the thesis/research portfolio enrolment starts on 15 July, the first semester of enrolment in thesis/portfolio points is always semester 2 of the same year.
- (iv) The thesis/research portfolio must be submitted in accordance with the table below.
- There are six fixed submission dates per year: the thesis/research portfolio will be due within 12, 18 or 24 months of continuous enrolment from its start date. The due date depends on the start date of the thesis/research portfolio enrolment, and on the final semester of enrolment in thesis or research portfolio points.

<u>Start date of thesis or research portfolio enrolment</u>	<u>First semester of enrolment in thesis/rp points must be</u>	<u>Final semester of enrolment</u>	<u>Due date for thesis or research portfolio</u>
1 December	Semester 1 (of year following start date)	Semester 2 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	30 Nov (of the same year as the final semester of enrolment)
		Semester 1 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	31 May (falls within the final semester of enrolment)
1 March	Semester 1 (of year of start date)	Semester 2 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	28 Feb (of the year following the final semester of enrolment)
		Semester 1 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	31 Aug (of the same year as the final semester of enrolment)
15 July	Semester 2 (of year of start date)	Semester 1 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	14 July (of the same year as the final semester of enrolment)
		Semester 2 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	14 Jan (of the year following the final semester of enrolment)

Note: Where the due date falls on a weekend or public holiday, the thesis or research portfolio must be submitted by close of business on the next working day.

For worked examples of enrolment patterns and due dates, see [Appendix V](#).

3 Completion of Requirements

a Masters Thesis or Research Portfolio

- (i) A student whose programme includes a thesis or research portfolio must complete the requirements in accordance with the schedule in Regulation 2.
- (ii) If, in exceptional circumstances beyond the student's control, the thesis or research portfolio has not been able to be completed by the specified deadline, Senate or its representative, acting upon the recommendation of the Head of Department, may approve a limited extension of time, not normally exceeding four months, for the work to be completed.
- The representative of Senate is the Dean¹ or nominee, usually the Associate Dean (Postgraduate) of the Faculty.
 - Where an extension of time of more than four months is requested, special approval is required from the Dean of Graduate Studies as delegate of the DVC(A).
 - Exceptional circumstances beyond the student's control resulting in an extension of up to four months may include:
 - Access to vital research-related material (e.g. data, documents, interviewees etc.)
 - Illness/accident
 - Pregnancy complications
 - Domestic circumstances (e.g. illness of dependent relations, neonatal child care responsibilities, domestic violence)
 - Bereavement
 - Delays in obtaining ethics approval following a timely and complete application
 - Unforeseen change of work or family circumstances: must be clearly defined (especially in the case of part-time students)
 - Sport, arts or cultural commitments, as defined by the University's high performance student support programme
 - Extraordinary and unforeseeable work commitments

Circumstances, such as the following, cannot be regarded as exceptional:

- Holiday
 - General work commitments (ongoing; known at time of admission, or known in advance)
 - Ignoring advice from the University regarding the programme of study
 - Standard, ongoing debt/financial situation (known at time of enrolment)
 - Supervisor away on Research and Study Leave (foreseeable: supervision arrangements to be made in advance)
 - English as an additional language
 - A straight request for more time
- An extension of time is applied for using the [AS-503](#).

All requests for extensions of time must include details of work completed to date and a timetable to completion. This should be signed off by the student and supervisor.

- An extension of time beyond four months must meet the exceptional test. The reasons for such an extension might include:

¹ In all cases Dean refers to the Faculty Dean, unless Dean of Graduate Studies is stated.

- Research-related issues that extend beyond four months which could not have been foreseen at the time the research proposal was accepted
- Chronic illness
- Should a student wish to appeal a decision, they may make a case to the Dean of Graduate Studies via Student Records. Where the Dean of Graduate Studies has made the original decision, Student Records will refer the appeal to a party acting under delegation from the DVC(A).

b Dissertation or Research Project (with a value of 30 to 80 points)

- (i) A student whose programme includes a dissertation or research project must complete the requirements by the last day of the final semester or term of points enrolment in the dissertation or research project.
- Note that this deadline does not correspond to the thesis or portfolio deadline. The date for the last day of semester or term can be found in the University Calendar.
- (ii) If, in exceptional circumstances beyond the student's control, the dissertation or research project has not been able to be completed by the above deadline, Senate or its representative, acting upon the recommendation of the Head of Department, may approve a limited extension of time, not exceeding two months.
- The representative of Senate is the Dean or nominee, usually the Associate Dean (Postgraduate) of the Faculty.
 - Exceptional circumstances might be as noted under Regulation 3a(ii) above.
 - An extension of time is applied for using the [AS-503](#).
 - Extensions beyond two months are entirely at the discretion of the Dean of Graduate Studies as delegate of the DVC(A), and not Faculty Deans.
 - Should a student wish to appeal a decision, they may make a case to the Dean of Graduate Studies via Student Records. Where the Dean of Graduate Studies has made the original decision, Student Records will refer the appeal to a party acting under delegation from the DVC(A).

c Performance or Exhibition

- (i) A student enrolled in a degree which requires a live examination through performance or exhibition must complete each component of their individual programme by the date approved by the Academic Head. This date will be no later than the deadline for completion specified in the schedule in Regulation 2.

4 Tuition Fees for Extensions of Time

All extensions require enrolment and payment of fees. Students will be required to be enrolled and pay fees at the rate of 10 points for each two-month period or part thereof.

- The option for a fees waiver to the student does exist, but in this case the cost is met by the Department.

5 Honours

Where the regulations allow for the award of honours, a masters degree may be awarded with honours where a student's overall grade is sufficiently high, and where the student has passed a research component of at least 30 points.

- Criteria for honours are listed in full in *Instructions to Examiners and Assessors* (staff intranet).
- Honours for graduating students must be on the record before applications to graduate close, as they affect a student's degree title.

6 Masters: Eligibility for Honours

Where the requirements for a masters degree including a research component of at least 30 point have been completed with an extension granted in accordance with Regulation 3, a student's eligibility for honours will lapse. However, on the recommendation of the Head of Department, Senate or its representative may approve the retention of eligibility for honours. In such cases the Head of Department needs to explain why eligibility for honours should be retained.

- The representative of Senate is the authority who approved the extension request.
- This provision exists only for masters degrees.

7 Suspension²

- A suspension of time is noted on the record as a student exception, and applied for using the [AS-502](#).
- After a period of suspension, the student must re-enrol and pay fees.
- Exceptional circumstances are as stated in 3a(ii).
- Should a student wish to appeal a decision on a suspension request, they may make a case to the Dean of Graduate Studies via Student Records. Where the Dean of Graduate Studies has made the original decision, Student Records will refer the appeal to a party acting under delegation from the DVC(A).

a Taught Masters

In exceptional circumstances Senate or its representative, on the recommendation of the Head of Department, may grant a period of suspension from enrolment not normally exceeding two consecutive semesters. In such cases the period of suspension will not count towards the time limits for the degree.

- (i) The representative of Senate is the Dean or nominee, usually the Associate Dean (Postgraduate).
- (ii) Where a suspension of time of more than two semesters is requested, special approval is required from the Dean of Graduate Studies as delegate of the DVC(A). There should be exceptional reasons for this and it shall not be assumed that approval is automatic. Written evidence in support of the exceptional circumstances claim must be provided.
- (iii) No suspension will be granted following an extension, except in rare (beyond exceptional) circumstances: for example, an extension is granted due to a delay in

² See Appendices II and III for process flowchart for approval of suspensions

obtaining research data, following which a suspension is granted due to significant illness.

- (iv) No suspension will be granted retrospective to the current semester, except in rare (beyond exceptional) circumstances, such as to ensure fairness or because the University is at fault, or because of incapacitating injury or illness. Such cases must be taken to the Dean of Graduate Studies.
- (v) Suspensions will not be granted for the first semester of a taught programme.

b Research Masters by 120 pt thesis or research portfolio

In exceptional circumstances Senate or its representative, on the recommendation of the Head of Department, may grant a period of suspension from enrolment not normally exceeding one year. In such cases the period of suspension will not count towards the time limits for the degree.

- (i) The representative of Senate is the Dean or nominee, usually the Associate Dean (Postgraduate).
- (ii) Where a suspension of time of more than one year is requested, special approval is required from the Dean of Graduate Studies as delegate of the DVC(A). There should be exceptional reasons for this and it shall not be assumed that approval is automatic. Written evidence in support of the exceptional circumstances claim must be provided.
- (iii) No suspension will be granted following an extension, except in rare (beyond exceptional) circumstances: for example, an extension is granted due to a delay in obtaining research data, following which a suspension is granted due to significant illness.
- (iv) Suspensions will not be normally be granted within the first four months of enrolment in a thesis or research portfolio.

c Research Masters by 90 pt thesis or research portfolio and 30 pts of coursework

In exceptional circumstances Senate or its representative, on the recommendation of the Head of Department, may grant a period of suspension from enrolment not normally exceeding one year. In such cases the period of suspension will not count towards the time limits for the degree.

- (i) The representative of Senate is the Dean or nominee, usually the Associate Dean (Postgraduate).
- (ii) Where a suspension of time of more than one year is requested, special approval is required from the Dean of Graduate Studies as delegate of the DVC(A). There should be exceptional reasons for this and it shall not be assumed that approval is automatic. Written evidence in support of the exceptional circumstances claim must be provided.
- (iii) Where the period of suspension includes the semester(s) in which the coursework was to be undertaken, the period of suspension must date from no later than the start of the relevant semester and conclude no earlier than the final day of the semester in which the coursework was due.
- (iv) No suspension will be granted following an extension, except in rare (beyond exceptional) circumstances: for example, an extension is granted due to a delay in obtaining research data, following which a suspension is granted due to significant illness.
- (v) No retrospective suspension will be granted covering the period in which coursework was undertaken, except in rare (beyond exceptional) circumstances, such as to ensure

fairness or because the University is at fault, or because of incapacitating injury or illness. Such cases must be taken to the Dean of Graduate Studies as delegate of the DVC(A).

- (vi) Suspensions will not normally be granted within the first four months of enrolment.

8 Variations

In exceptional circumstances Senate or its representative may approve a personal programme which does not conform to the regulations for a programme.

For individual programme regulations, the representative of Senate is the Dean or nominee, usually the Associate Dean (Postgraduate); for general programme regulations, Senate's representative is the Dean of Graduate Studies as delegate of the DVC(A).

The variations clause in individual programme regulations:

- will usually be exercised in relation to the structure and content of the programme;
- cannot be exercised in relation to requirements set by the general regulations or to counter CUAP requirements (such as the requirement for a research masters degree to contain a substantial research course of at least 90 points);
- cannot be exercised in relation to programme admission; however, Senate's representative can exercise the equivalency clauses in individual admission regulations as per 9 below.

9 Equivalency

The equivalency clauses of individual programme admission regulations cannot be used to create a new pathway into a programme. New pathways require CUAP approval.

- The application of programme and qualification equivalency clauses is limited to equivalence between programmes and equivalence between qualifications.
- Research or professional experience cannot be cited as equivalent to a programme/qualification unless provision is made for such equivalence in the programme regulations.

The central Admissions team will provide an assessment of programme/qualification equivalency. If Senate's representative disagrees with that assessment after consideration of the academic transcript and evidence provided by a department, Senate's representative may deem the programme/qualification equivalent. There must be a rationale for such determinations, and Senate's representative must record the justification for audit purposes.

- Senate's representative will be the Faculty Dean or nominee, usually the Associate Dean (Postgraduate).
- A programme without a research component cannot be deemed equivalent to a UoA programme that contains a research component.
- In considering qualification equivalency, Senate's representative will usually consider the entry standards of the awarding institution, the standing of the awarding institution in the relevant subject, the concentration of study at the various stages of the programme, as well as programme content.

Senate's representative may exercise discretion in relation to grade point equivalence (GPE) for the purposes of entry to sub-doctoral postgraduate programmes. There must be an evidence-based rationale for the exercise of this discretion, and this must be recorded for audit purposes.

Discretion in relation to GPE would usually be exercised only in situations where the GPE is calculated over a duration of study longer than that required by the programme regulations and where an applicant has strong grades in advanced courses in their discipline, or where the GPE is impacted by the prior study being completed at an institution which is not considered equivalent to the University of Auckland but where the specific discipline or school is well-ranked.

While the faculty may use its discretion in admitting students who do not meet the standard GPE requirement for the programme, the central GPE recorded will not be changed and the applicant must still meet the minimum university entrance requirements.

10 Postgraduate Committees in Academic Units

Each Academic Unit should establish a Postgraduate Committee with the responsibility for:

- considering and recommending all masters research topics for approval by the Academic Head or nominee;
- considering and recommending the appointment of supervisors, and
- considering and approving reports on progress.

In the case of dissertations and research projects of 30 to 80 points, the graduate adviser will make recommendations to the Academic Head as to examiners and assessors, and final results. Where an Academic Unit is too small for such a committee or the number of postgraduate students is insufficient to warrant it, the Academic Unit may appoint a postgraduate co-ordinator who may carry out the work of the Committee or it may choose to join with an allied Academic Unit for these purposes. The Academic Head must not chair the Postgraduate Committee.

11 Faculty Postgraduate Committee

Each Faculty should maintain a Faculty Postgraduate Committee which has the responsibility for advising on and monitoring Faculty responsibilities in relation to masters degrees, masters students and the administrative functions associated with such degrees and students.

12 Approval of Research Topics, Appointment of Supervisors, Monitoring of Research, and Extensions

a Responsibilities of the Academic Unit

- (i) All proposals for masters research topics must be formally considered and approved by the appropriate Academic Unit Postgraduate Committee or graduate adviser.
- (ii) All proposals for research topics must be in writing and must be kept on file in the Academic Unit.
- (iii) The Academic Head or nominee must approve the appointment of a supervisor for each research student. Guidelines for the appointment of supervisors are set out below.
- (iv) Academic Units should consider the constraints and limits on masters research. In some cases these will be word limits; in other cases these will be the ability to

conduct and write up the research within the time period of the programme. Students must be informed of such constraints and, once set, they should be observed.

- (v) Academic Units must take reasonable steps to provide research students with access to resources required to complete their research, and to inform them about these resources.
- (vi) Academic Units must require at least one formal written report on progress from each student undertaking a masters thesis by research of 90 points or more. It is suggested that this report be due at the end of the first six months of full-time, or 12 months of part-time, enrolment. Academic Units may wish to extend this to two reports. Such reports must be approved by the supervisor and be reviewed by the Academic Unit's Postgraduate Committee or graduate adviser. Academic Units should consider providing templates for consistency of reporting. It is recognised that Academic Units will require different information and should be free to devise their own templates. However, as a minimum, it is suggested that there should be reporting on the working title of the study, the work completed to date, the timetable for further work, and any problems that have arisen or can be foreseen. Such reports must be kept on file in the Academic Unit.
- (vii) The Academic Head is empowered under the [*General Regulations - Masters Degrees*](#) to recommend extensions to the Dean or the Dean's nominee, usually the Associate Dean (Postgraduate).
- (viii) The Academic Head may recommend to the Dean or the Dean's nominee, usually the Associate Dean (Postgraduate), that a student who has not submitted in accordance with the deadlines for completion be eligible for honours. In such cases the Head of Department needs to explain why eligibility for honours should be retained.

b Guidelines for Appointment of Supervisors

- (i) Each student must have a main supervisor who will normally be in the Academic Unit in which they are enrolled.
- (ii) There may be a co-supervisor and/or an advisory committee. The co-supervisor may come from another Academic Unit. In the case of supervisors from another Academic Unit an apportionment of EFTS is appropriate.
- (iii) The supervisor must have a scholarly understanding of the field in which the student is working.
- (iv) The appointment of the supervisor must be approved by the Academic Head and be recorded in the Academic Unit's files and on Student Services Online (SSO).
- (v) The thesis supervisor should inform the student in advance of any proposed periods of absence either on research and study leave or any extended leave of more than 4 weeks, and in the event of an absence of 4 weeks or more, either make alternative arrangements for another staff member to take up temporary supervisory duties or provide contact details so that supervisory contact may be maintained with the student.
- (vi) It is incumbent upon Academic Units to consider from the outset whether satisfactory supervisory arrangements can be sustained throughout the period of study. In a supervisor's temporary absence, and if a replacement supervisor is not appointed, a schedule of contacts must be agreed between the student and supervisor and be approved by the Academic Head or nominee.

13 Appointment of examiners and the examination process:³ theses and research portfolios with a value of 90 or more points

Examiners and the Graduate Advisor (or nominee) for theses and research portfolios are appointed by the Academic Head.

The examination process is a confidential one.

a Responsibilities of the Academic Unit

- (i) Five months before each submission date, Academic Heads will receive from the Faculty a list of candidates who are in their final six months of enrolment in their masters thesis/research portfolio. The Academic Head or nominee will approach examiners and determine their availability and their ability to examine the work within a reasonable timeframe. It is expected that examination reports should be completed within 6 weeks of receipt of the work. If an examiner indicates that he or she is unable to complete the work within this period, alternatives should be approached. If, for some reason, alternatives are unavailable or are not appropriate, and the original choices have to be given a longer period for examination, the student should be informed that the process will take longer than usual.
- (ii) Examiners and the Graduate Advisor (or nominee) must be approved by the Academic Head on form [AS-512R](#) as follows:

Thesis/Research Portfolio Submission date	AS-512R due date
30 November	30 October
28 February	28 January
14 July	14 June

The completed forms should be forwarded to the Faculty Student Centre.

Recommendation for an examination of creative practice should be indicated on the form to ensure the relevant examination template is forwarded to examiners. If the creative practice requires a live examination through performance or exhibition, the proposed date of this examination should be nominated to the Faculty at least 4 weeks in advance of the performance or exhibition.

- (iii) Examiners and the Graduate Advisor (or nominee) are nominated as per the [Instructions to Examiners and Assessors](#). Examiners must be appointed according to the [Guidelines for the Appointment of Examiners of Doctoral Theses and Masters Research Theses/Portfolios \(of 90 points or more\)](#). Examination Committees, where convened by the Graduate Advisor (or nominee), may be constituted at faculty rather than department level.
- (iv) Academic Heads should note that an examiner is required to make an independent examination of the work and to provide a written report substantiating the recommended grade and/or mark. Examiners must each provide an independent report on a piece of work and must not confer as to their recommendations.
- (v) If the Academic Head accepts a recommendation from the Graduate Advisor (or nominee) that an examiner should be disqualified from the examination, the Academic Head will appoint a replacement examiner.
- (vi) Academic Heads are responsible for the coordination and audio/visual documentation of any live examination of creative practice through performance or exhibition. This includes ensuring all live examination processes are consistent in their approach, format, and in the explanatory documents shared with examiners, and that they are

³ See Appendix IV for examination timeline

in compliance with the regulations outlined above. In such instances, examiners are not to confer on the quality of the work, with each other or with students under examination. In structured discussion forums, examiners may pose questions of the work under examination but not as examiners. Structured discussion forums are not part of the integrated theses under examination.

When the research programme includes a live examination through performance/exhibition as well as a research document or written thesis, then the submission of the thesis/research document and the process for the administration of examiners' reports shall be in accordance with the guidelines for thesis submissions. In such cases, it is expected that the examiners will present their grading of the research programme as an integrated whole, directly to the Faculty and in relation to the grade descriptors on the Examiner's report form.

b Responsibilities of the Faculty

- (i) Five months before each submission date, the Faculty will provide each Academic Unit with a list of candidates who are in their final six months of enrolment in their masters thesis/research portfolio.
- (ii) When the examiners have been approved, the Faculty Student Centre will confirm their appointment with the examiners and ask if, in addition to a digital copy, the examiners want to be sent a printed copy of the thesis/research portfolio. The Faculty Student Centre will record the details of the examiners and Graduate Advisor (or nominee) on SSO.
- (iii) The identity of examiners is to be kept confidential to those involved in the examination; students are not advised of the identity of their examiners at any stage.
- (iv) A student will submit one soft-bound copy and a digital copy of their thesis/research portfolio directly to the Faculty Student Centre. The digital copy will normally be submitted on a CD/flash drive or by email. It is important to note that the work must **NOT** be submitted through ResearchSpace at this time.
- (v) On receipt of the completed thesis/research portfolio, the Faculty Student Centre will record the details of the work and send it digitally (and physically, if requested) to the examiners. A digital copy will also be sent to the Graduate Advisor (or nominee). A standard letter (email) will be sent with the work together with a [form for the examiners](#) to complete with their evaluation.
- (vi) Examiners are expected to report in a maximum of 6 weeks. Examiners are not expected to return any printed copy of the thesis/research portfolio. On receiving both of the examiners' reports, the Faculty Student Centre will scan the reports and send them to the Graduate Advisor (or nominee) and to the supervisor. A copy of all examination material will be stored in the Faculty Student Centre.
- (vii) If an examiner's report has not been received within two months, the Faculty Student Centre will send a reminder to the examiner and advise the examiner that unless a report is received within a further one month the appointment of the examiner may be terminated. If a report has not been received within a month of the reminder, the Academic Head may appoint a replacement examiner.
- (viii) Upon receipt of the report from the examiner, payment should be made by the standard financial processes. The fee for a masters thesis examination is NZ\$125 gst excl. Examiners who are employed by a university in New Zealand are not paid.

c Responsibilities of the Graduate Advisor (or nominee), Supervisor and Academic Head

- (i) The Graduate Advisor (or nominee) considers the examination reports and any comment provided by the supervisor, and makes a recommendation regarding the final result to the Academic Head.
- (ii) The supervisor may comment on the examiners' reports to the Graduate Advisor (or nominee), copied to the Faculty Student Centre. This commentary must be provided within one week of receiving the reports. Where provided, the commentary must be restricted to:
 - address of factual errors or factual inaccuracies in examination reports.
 - clarification of resource issues raised in examination reports (e.g. why access to a particular resource identified by an examiner is not a reasonable expectation for conduct of the research).

Supervisors may not make recourse to other matters, including but not limited to research delays beyond the student's control, supervisory input, the student's academic profile, personal life or performance under supervision. The supervisor may not include an opinion on an appropriate grade. For the rationale for these restrictions, please see Appendix VII: Supervisor commentary on masters thesis and research portfolio examination reports.

- (iii) Upon receipt of the examination reports and supervisor's comment (if any), the Graduate Advisor (or nominee) will follow the steps profiled in the "Departmental Graduate Advisor (or nominee) (theses and research portfolios except 90 and 120 point research components of Bachelors Honours degrees, postgraduate diplomas and year 1 (FTE) of 240 point masters degrees)" section of the *Instructions to Examiners and Assessors*.
 - The Graduate Advisor (or nominee) must not take into account the student's previous performance or extenuating circumstances (save a compelling account from the supervisor regarding why access to a particular examiner-queried resource is not a reasonable expectation for conduct of the research).
 - **The Graduate Advisor (or nominee) must not re-examine or assess the thesis or research portfolio;** where the Graduate Advisor (or nominee) recommends a final grade, it must be based on the examination reports (in relation to the grade descriptors provided to examiners) and not on an assessment of the work.
 - Where the examiners' recommended grades cross a class or division of honours or a pass/fail border, the expectation is that the Graduate Advisor (or nominee) will invite the examiners to review the examination reports and to consult as per the "Consultation Between Examiners" section of the *Instructions to Examiners and Assessors*, unless there is a strong rationale for why such consultation is unnecessary or inappropriate.
 - For the avoidance of doubt: there are no circumstances under which it is appropriate for the Graduate Advisor (or nominee) to recommend a final grade that lies outside the margin of the grades recommended by the examiners.
- (iv) The Graduate Advisor (or nominee) may, at their discretion, choose to convene and chair an Examination Committee in order to consider the examiners' reports and/or consultation material. The Graduate Advisor is neither required nor expected to exercise this discretion. It exists purely for use where the Graduate Advisor would welcome discussion/further opinion while acting in accordance with the examination procedures.

- A Graduate Advisor (or nominee) may choose to convene a committee upon initial consideration of reports (for example, if the Graduate Advisor is concerned either that an examiner should be replaced, or that examiner consultation may not be appropriate and where the Graduate Advisor would welcome discussion/further opinion), or post examiner consultation (for example, if the Graduate Advisor (or nominee) has concerns about the integrity of that consultation and would welcome discussion/further opinion). There is no circumstance in which a Graduate Advisor (or nominee) is required or expected to convene an Examination Committee.
 - **Where an Examination Committee is convened, the committee is subject to the procedural requirements and restrictions prescribed for the Graduate Advisor (or nominee) at each stage of the process: i.e. a committee has no powers or procedural avenues available to them other than those specified for the Graduate Advisor (or nominee) in the *Instructions to Examiners and Assessors*. The committee is bound by the same restrictions as the Graduate Advisor (or nominee).**
 - Examination Committees, where convened, will usually comprise two members, including the Graduate Advisor (or nominee).
 - The Academic Head (or acting Head) may not be a member of an Examination Committee.
 - No member of an Examination Committee may have been involved in the supervision or supervisory team of the student or been an examiner of the thesis.
- (v) The Graduate Advisor (or nominee) will forward the recommendation and any required supporting material to the Academic Head or Acting Head, along with copies of the examiners' reports and supervisor's comment (if any).
- (v) The Academic Head or Acting Head will consider the recommendation of the Graduate Advisor (or nominee) and follow the "determination of result" procedure detailed in the *Instructions to Examiners and Assessors* before recommending a final result to the Associate Dean (Postgraduate) or referring a case to the Dean of Graduate Studies for review as a disputed result.
- Where a Graduate Advisor (or nominee) recommends to the Academic Head that the disputed results procedure should be followed, but the Academic Head considers that a safe result is determinable, the justification for that result must be based on the examination reports and the report on any consultation between the examiners. The Academic Head must not re-examine or assess the work, or arrange for further examination of the work other than through referral of the case to the Dean of Graduate Studies for review as a disputed result.
- (vi) Where an external referee is appointed by the Dean of Graduate Studies, the School of Graduate Studies will notify the original examiners, the Graduate Advisor (or nominee), the Academic Head and the Associate Dean (Postgraduate) of the final result for the work at the end of the examination process.
- (vii) If suspicions of plagiarism are identified in one or more examination reports during the course of the examination of the thesis or research portfolio, the procedures as set out in the [Student Academic Conduct Statute](#) must be followed.
- (viii) The Academic Head or Acting Head is responsible for ensuring that the results are entered on the [AS-512R](#) and that the completed form is returned to the Faculty Student Centre, where receipt will be recorded on SSO.

- (ix) In cases where an examiner has not been able to sign their report, an email from the examiner confirming the recommended grade must be attached to the form when it is returned to the Faculty Student Centre.
- (x) The supervisor is to check that any corrections required are made satisfactorily before the student submits the final digital copy of the thesis to ResearchSpace and the hard copy to the Faculty Student Centre.

14 Determination and advice of result and final submission

a Responsibilities of the Faculty

- (i) The Associate Dean (Postgraduate) affirms the integrity of the examination process and approves the final result, if appropriate. The Associate Dean (Postgraduate) may request additional information from the Graduate Advisor (or nominee) or the Academic Head (or Acting Head) or request that the Chair of the Committee invites the examiners to consult where such consultation has not already occurred. The Associate Dean (Postgraduate) may also forward a case to the Dean of Graduate Studies for review as a disputed result (see the “Role of the Associate Dean (Postgraduate) in Sub-doctoral Research Examinations”, staff intranet).
- (ii) The Faculty Student Centre scans and stores the recommendation from the Graduate Advisor (or nominee), supervisor comments (if any) and all other examination papers.
- (iii) The Faculty Student Centre advises the student by email of the conditional result. The student is also notified of any editorial/minor corrections required to the thesis (does not apply to research portfolio) and they are provided with feedback from the examiners’ reports. The same email is copied separately to the supervisor, examiners, Graduate Advisor (or nominee) and Academic Head. Research portfolio students are recorded as having completed their research portfolio.
- (iv) On notification from the supervisor that any corrections required have been made satisfactorily, the student submits a digital copy of the final thesis as described in the following link: <https://researchspace.auckland.ac.nz/docs/uoa-docs/depositmasters.pdf> and the Faculty Student Centre confirms that the student’s thesis has been submitted into ResearchSpace and then accepts submission of the final hard-bound thesis and conveys the thesis to the University Library. If the student does not bring a confirmation email from the Library, the Faculty Student Centre can check on ResearchSpace (<https://researchspace.auckland.ac.nz>) to see if the thesis has been deposited and can browse by author or title. An email to researchspace@auckland.ac.nz or a phone call (extension 88057) can also confirm deposit of the thesis in ResearchSpace.
- (v) The Faculty Student Centre sends the examination material and final result to Examinations Office. Once the result is confirmed, Examinations Office enters the result on SSO.

The student is then recorded as having completed the thesis on SSO. For situations where a student does not submit the hard copy of the thesis and/or does not submit to researchspace as required, see Appendix VI.

In some circumstances it may be appropriate to embargo access to a thesis for a limited period of time. Further information can be found at:

<https://www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration/teaching-and-learning/postgraduate-research/award-and-publication/embargoing-of-theses.html>

b Submissions and corrections

The submission of theses is a two-stage process, only the first stage applies to research portfolios.

- (i) The student submits one temporary-bound copy and a digital copy of their thesis/research portfolio to the Faculty Student Centre. These copies are for examination only and will not be provided to the Library at any stage. Faculties are not required to return the bound copy to the student at the completion of the examination but may offer the student the option of collecting any remaining bound copy of the thesis within a limited time, of 1-2 weeks, if they wish. After the examination and any subsequent period allowed for collection of thesis copies by students, remaining copies of theses will be destroyed.
- (ii) At the end of the examination, the student completes any required minor corrections to the thesis (not applicable to research portfolios) to the satisfaction of the supervisor. Substantive revision of the thesis is not permitted. Completion of corrections (and submission of digital and hard-bound thesis to the library) is required in order to be eligible to graduate. The student deposits a digital copy of the final thesis to ResearchSpace as described in the following link: <https://researchspace.auckland.ac.nz/docs/ua-docs/depositmasters.pdf> and submits a hard-bound copy of that thesis to the Faculty Student Centre. When submitting the hard-bound copy, the student provides the Faculty Student Centre with a copy of the email from ResearchSpace confirming that the digital copy has been deposited.

The Faculty Student Centre is responsible for depositing the hard-bound copy with the University Library.

15 Appointment of examiners and the examination process: dissertations and research projects with a value of between 30 and 80 points

Examiners and assessors for dissertations and research projects are appointed by the Academic Head. The examination process is a confidential one.

a Responsibilities of the Academic Unit

- (i) In week four of the semester, Academic Heads will receive from the faculty a list of candidates completing a dissertation or research project in that semester. The Academic Head or nominee approaches examiners and assessors and determines their availability and their ability to examine or assess the work within a reasonable time frame. It is expected that examination and assessment reports should be completed within four weeks of the examiner receiving the work and within two weeks of the assessor receiving the work. If an examiner or assessor indicates that he or she is unable to complete the work within this period, alternatives should be approached. If, for some reason, alternatives are unavailable or are not appropriate, and the original choices have to be given a longer period for examination and assessment, the student should be informed that the process will take longer than usual.
- (ii) Examiners and assessors must be appointed by the Academic Head on form [AS-512T](#) at least two weeks prior to the expected submission date of the dissertation or research project.
- (iii) Examiners and assessors for dissertations or research projects with a value of between 30 and 80 points are nominated as follows:
 - One examiner (who may be the Supervisor or Co-supervisor)
 - One assessor (who may not be the Supervisor or Co-supervisor)

Where the dissertation or research project is worth 60 points or more, either the examiner or assessor must be appointed from outside the University of Auckland and must not hold an honorary position at the University of Auckland.

- (iv) Academic Heads should note that an examiner is required to make an independent examination of the piece of work and to provide a written report substantiating the recommended grade and/or mark. An assessor is required to assess the piece of work in light of the examiner's report and to provide a written commentary on the validity of the recommended result.
- (v) Academic Heads are responsible for the coordination and audio/visual documentation of any live examination of creative practice through performance or exhibition. This includes ensuring all live examination processes are consistent in their approach, format, and in the explanatory documents shared with examiners, and that they are in compliance with the regulations outlined above. In such instances, examiners are not to confer on the quality of the work, with supervisors, assessors or students under examination.

When the research programme includes a live examination through performance/exhibition as well as a written research component, then the submission of the written research component and the process for the administration of examiners' and assessors' reports shall be in accordance with the guidelines for dissertation and research project submissions. In such cases, it is expected that the examiners and assessors will present their examination and assessment of the research programme as an integrated whole, directly to the Faculty.

- (vi) The examiner's and assessor's reports are forwarded by the faculty to the Departmental Graduate Adviser (or nominee), who must not have been involved in the supervision of the student or been the examiner or assessor of the work.
- (vii) Upon receipt of the examiner's and assessor's reports, the Graduate Adviser (or nominee) follows the steps profiled in the "Departmental Graduate Adviser (dissertations and research projects (with a value of 30 to 80 points) and 90 and 120 point research components of Bachelor Honours degrees, postgraduate diplomas and year 1 (FTE) of 240 point masters degrees)" section of the *Instructions to Examiners and Assessors*, and makes a recommendation to the Academic Head or Acting Head.
 - The Graduate Adviser (or nominee) must not take into account the student's previous performance or extenuating circumstances.
 - **The Graduate Adviser (or nominee) must not re-examine or assess the work**; where the Graduate Adviser (or nominee) recommends a final grade, it must be based on the examiner's and assessor's reports and not on an assessment of the work by the Graduate Adviser (or nominee).
 - Where the examiner's and assessor's recommended grades cross a class or division of honours or a pass/fail border, the expectation is that the Graduate Adviser (or nominee) will invite the examiner and assessor to review their reports and to consult as per the "Consultation Between Examiner and Assessor" section of the *Instructions to Examiners and Assessors*, unless there is a strong rationale for why such consultation is unnecessary or inappropriate.
 - For the avoidance of doubt: there are no circumstances under which it is appropriate for the Graduate Adviser (or nominee) to recommend a final grade that lies outside the margin of the grades recommended by the examiner and assessor.
- (viii) The Graduate Adviser (or nominee) may, at their discretion, choose to convene and chair a subcommittee of the Departmental Postgraduate Committee in order to

consider the reports and/or consultation material. The Graduate Advisor (or nominee) is neither required nor expected to exercise this discretion. It exists purely for use where the Graduate Advisor would welcome discussion/further opinion while acting in accordance with the examination procedures.

- A Graduate Advisor (or nominee) may choose to convene a committee upon initial consideration of reports (for example, if the Graduate Advisor is concerned either that an examiner or assessor should be replaced, or that examiner and assessor consultation may not be appropriate and where the Graduate Advisor would welcome discussion/further opinion), or post examiner and assessor consultation (for example, if the Graduate Advisor (or nominee) has concerns about the integrity of that consultation and would welcome discussion/further opinion). There is no circumstance in which a Graduate Advisor (or nominee) is required or expected to convene a subcommittee.
 - **Where a subcommittee is convened, the subcommittee is subject to the procedural requirements and restrictions prescribed for the Graduate Advisor (or nominee) at each stage of the process. i.e. A subcommittee has no powers or procedural avenues available to them other than those specified for the Graduate Advisor (or nominee) in the *Instructions to Examiners and Assessors*. The Committee is bound by the same restrictions as the Graduate Advisor (or nominee).**
 - Subcommittees, where convened, will usually comprise two members, including the Graduate Advisor (or nominee).
 - The Academic Head (or acting Head) may not be a member of a subcommittee.
 - No member of a subcommittee may have supervised, examined or assessed the work.
- (ix) The Academic Head must not have been involved in the supervision of the student or been the examiner or assessor of the work. The Academic Head or Acting Head will consider the graduate adviser's recommendation and follow the "determination of result" procedure detailed in the *Instructions to Examiners and Assessors* before recommending a final result to the Associate Dean (Postgraduate) or referring a case to the Dean of Graduate Studies for review as a disputed result.
- Where a Graduate Advisor (or nominee) recommends to the Academic Head that the disputed results procedure should be followed, but the Academic Head considers that a safe result is determinable, the justification for that result must be based on the examiner's and assessor's reports and the report on any consultation between the examiner and assessor. The Academic Head must not re-examine or assess the work, or arrange for further examination of the work other than through referral of the case to the Dean of Graduate Studies for review as a disputed result.
- (x) Where an external referee is appointed by the Dean of Graduate Studies, the School of Graduate Studies will notify the original examiner and assessor, the Graduate Advisor (or nominee), the Academic Head and the Associate Dean (Postgraduate) of the final result for the work at the end of the examination process.
- (xi) The Academic Head or nominee is responsible for ensuring that the results are entered on the [AS-512T](#) form and that the completed form is sent to the Faculty Student Centre.

- (xii) In cases where an examiner or assessor has not been able to sign their report, an email from the examiner/assessor confirming the recommended result must be attached to the form when it is returned to the Faculty Student Centre.

b Responsibilities of the Faculty

- (i) In week four of each semester, the Faculty will provide each Academic Unit with a list of candidates who are completing a dissertation or research project that semester.
- (ii) When the examiner/assessor has been approved, the Faculty Student Centre or nominee will confirm their appointment and ask if, in addition to a digital copy, the examiner/assessor wants to be sent a printed copy of the dissertation/research project. The Faculty Student Centre or nominee will record the details of the examiner/assessor Graduate Advisor (or nominee) on SSO.
- (iii) The identity of examiner/assessor is to be kept confidential to those involved in the examination; students are not advised of the identity of their examiner/assessor at any stage.
- (iv) A student will submit two hard copies and one soft copy of their research work directly to the Faculty Student Centre or nominee.
- (v) On receipt of the completed research work, the Faculty Student Centre or nominee will record the details of the work and send it to the examiner/assessor. A standard letter (email) will be sent with the work.
- (vi) The examiner is expected to report in a maximum of 4 weeks. The examiner is not expected to return any printed copy of the research work. On receiving the examiner's report, the Faculty Student Centre or nominee will send it to the assessor along with the research work. A scanned copy of all examination material will be stored in the Faculty Student Centre.
- (vii) If an examiner's report has not been received within 4 weeks, the Faculty Student Centre or nominee will send a reminder to the examiner and advise the examiner that unless a report is received within a further week the appointment of the examiner may be terminated. If a report has not been received within a week of the reminder, the Academic Head may appoint a replacement examiner.
- (viii) The assessor is expected to report in a maximum of two weeks. On receiving the assessor's report, the Faculty Student Centre or nominee will send it and a copy of the examiner's report to the graduate adviser, along with a copy of the research work. A scanned copy of all examination material will be stored in the Faculty Student Centre.
- (ix) The Associate Dean (Postgraduate) affirms the integrity of the examination process and approves the final result, if appropriate. The Associate Dean (Postgraduate) may request additional information from the Graduate Advisor (or nominee) or the Academic Head (or Acting Head) or request that the Graduate Advisor (or nominee) invites the examiner and assessor to consult where such consultation has not already occurred. The Associate Dean (Postgraduate) may also forward a case to the Dean of Graduate Studies for review (see the "Role of the Associate Dean (Postgraduate) in Sub-doctoral Research Examinations", staff intranet).
- (x) The Faculty Student Centre scans and stores the recommendation from the graduate adviser and all other examination papers and forwards the completed [AS-512I](#) to the Examinations Office.

c Submission

Dissertations and research projects are submitted to the Faculty Student Centre or nominated submission point.

16 Delegations

Decision	Delegated to
Extensions for Theses and Research Portfolios (not normally exceeding four months) [General Regulations - Masters Degrees 3a]	Senate or its Representative (usually the Associate Dean (Postgraduate) of the Faculty)
Extensions for Theses and Research Portfolios of more than four months	Dean of Graduate Studies
Extension for Dissertation or Research Project not exceeding two months [General Regulations - Masters Degrees 3b]	Senate or its Representative (usually the Associate Dean (Postgraduate) of the Faculty)
Extension for Dissertation or Research Project of more than two months	Dean of Graduate Studies
Decision	Delegated to
Suspension of enrolment for Theses and Research Portfolios (not normally more than one year) [General Regulations - Masters Degrees 13]	Senate or its Representative: the Associate Dean (Postgraduate) of the Faculty (or nominee).
Suspension of enrolment including a thesis or research portfolio of more than one year	Dean of Graduate Studies
Retrospective suspension within 120 pt Thesis or Research Portfolio enrolment	Senate or its Representative (usually the Associate Dean (Postgraduate) of the Faculty)
Retrospective suspension of enrolment including 90 pt Thesis or Research Portfolio, where suspension involves deletion of taught components after late deletion deadline	Director of Academic Services approval for late deletion of courses (administrative approval under Reg 36), with delegated authority to approve a suspension if within applicable regulations. Dean of Graduate Studies (academic approval) if exceeds applicable regulations
Suspension of taught masters with deletion of courses prior to the add/drop deadline as outlined in the University Calendar [Enrolment and Programme Regulations 33 and 36]	Senate or its Representative (usually the Associate Dean (Postgraduate) of the Faculty)
Suspension of enrolment from taught courses after the add/drop deadline as outlined in the University Calendar [Enrolment and Programme Regulations 36]	Director of Academic Services approval for late deletion of courses (administrative approval under Reg 36) with suspension of time, approved via delegated authority, if within applicable regulations Dean of Graduate Studies (academic approval) if exceeds applicable regulations
Other circumstances not outlined in the regulations	Dean of Graduate Studies
Eligibility for honours where time limits have been exceeded	Party with authority for approving the extension

17 Restrictions

a A student may not be admitted to a programme for a qualification at the same level, in the same discipline, as a qualification that has already been awarded or conferred, or for which the requirements have been completed, unless specific provision is made in the regulations for the relevant programme or special approval is given by Senate or its representative.

- For second masters enrolments, Senate's representative is Admissions, as delegate of the DVC(A).
- Special approval is required prior to the student being admitted into the programme.
- A request for readmission to a postgraduate programme is applied for using the [AS-501](#).

The restriction applies only where the proposed UoA enrolment is at the same level in the same discipline as a completed programme enrolment.

The following principles apply:

- Where the qualifications are at the same level, but not in the same discipline, special approval is not required.
- "Discipline" refers to the subject of study (e.g. chemistry), not to the programme (e.g. Science).
- Discipline is determined by course content, not by the name of the specialisation.

Examples of application of principles:

1. A student applies to the University with an existing Master of Science, with a specialisation in Accounting. The composition of this programme bears no relation to the MSc at the University but is at the same level and in the same discipline as the Master of Commerce at the University.
 - Admission to the MSc at this University does not require special approval (standard programme approval applies).
 - Admission to the MCom for this student requires special approval.
2. Special approval for masters admission is not required where an overseas masters is not equivalent to a New Zealand masters: the qualifications are not at the same level.
3. A student with an MA in English does not require special permission to enrol in an MA in Anthropology: the qualifications are at the same level but not in the same discipline.
4. A student with an MSc with a specialisation in geography (or equivalent courses) requires special approval to enrol in an MSc with a specialisation in geography: the qualifications are at the same level and in the same discipline.
 - This includes where the existing qualification was a taught masters and the proposed enrolment is in a research masters degree.

b Unless special approval is given by Senate's representative, a student may not be admitted to a programme

- (i) which the student has previously been unable to complete within the total allowable enrolment limit; or

- (ii) the content of which is the same as, or substantially similar to, any qualification for which the student has previously failed to meet the requirements.
- Dean of Graduate Studies approval for re-admission is required where the student has previously failed more points than the programme regulations allow.
 - Dean of Graduate Studies approval for re-admission is required where the student fails to submit a thesis or discontinues the research programme without a successful late deletion application.
 - Re-admission to a taught masters where the student previously failed to complete the programme, but did not fail more points than the programme regulations allow, is at the discretion of the faculty Dean or nominee (usually the Associate Dean (Postgraduate)).
 - The principles above apply to the treatment of students who are applying for entry to postgraduate programmes, the content of which is the same as, or substantially similar to, any qualification offered by another institution for which the student has previously tried and failed to meet the requirements.

18 Public Records

Records need to be retained for at least the minimum retention period laid out in the General Disposal Authority for New Zealand Universities, which has been agreed to under the Public Records Act by the Chief Archivist. Faculties are responsible for maintaining and retaining the records of their students.

Examples of relevant sections are:

- 10.1.3 Grading / Marking
Examiners reports must be kept for at least 7 years from the date of the last action on that file
- 14.3.2 Enrolling and Registering
Enrolment forms must be kept for at least 6 years after completion or discontinuation of course or programme of study by student, then destroy
- 14.10.1 Maintenance of Student Record
Applications for credit, concessions, reassignment, signed student advice etc must be kept for at least 7 years after the date of last action on that student's record
If the digital copy is to be the only record, storage of digital records must be enduring and secure (such that all occasions the document is accessed are recorded).

In scanning documents for storage, the Digitisation Standard must be followed:

http://archives.govt.nz/sites/default/files/S6 - Digitisation Standard - PDF - Final - 23_06_08.pdf

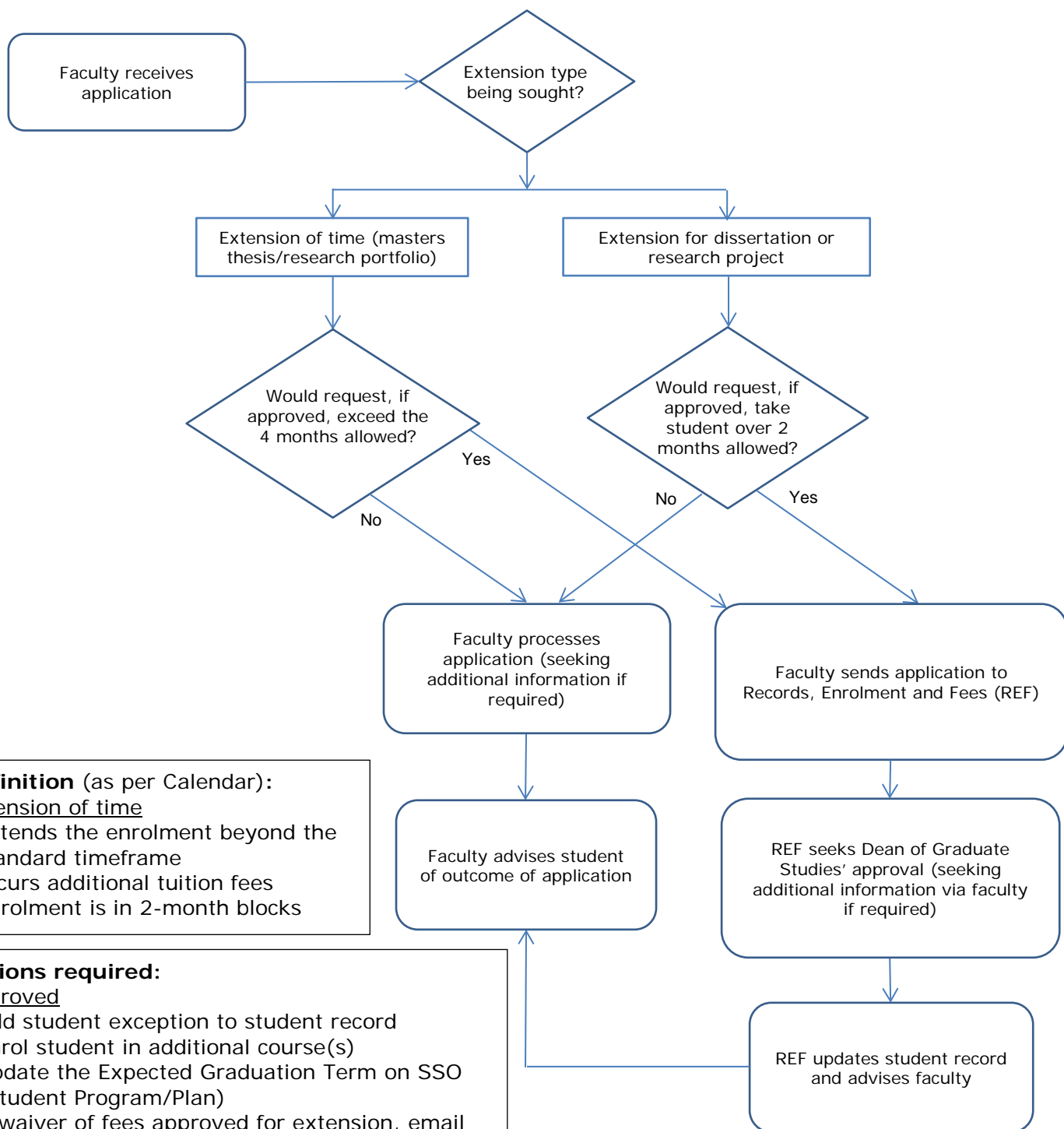
See also the University's Digitisation Guidelines which can be found on the staff intranet as follows:

University home » Staff Intranet » How the University works » Records management » Tools and Resources

When any records are destroyed a Disposal Authority form must be completed.

Applications for Senate Approval of Extension of Time ([AS-503](#))
for Masters degrees

Process Flowchart



Definition (as per Calendar):
Extension of time
- Extends the enrolment beyond the standard timeframe
- Incurs additional tuition fees
- Enrolment is in 2-month blocks

Actions required:
Approved
- Add student exception to student record
- Enrol student in additional course(s)
- Update the Expected Graduation Term on SSO (Student Program/Plan)
- If waiver of fees approved for extension, email fees@auckland.ac.nz with information
Declined
- Add comment to student's record
Pending
- Seek additional information from either student, faculty and/or department

See next page for information to be submitted with application

Information required with application for extension ([AS-503](#)):

1. An explanation from the student as to why an extension is required

- Including confirmation that the situation that resulted in the need for an extension has changed sufficiently so that it will no longer hinder successful completion of the course(s)

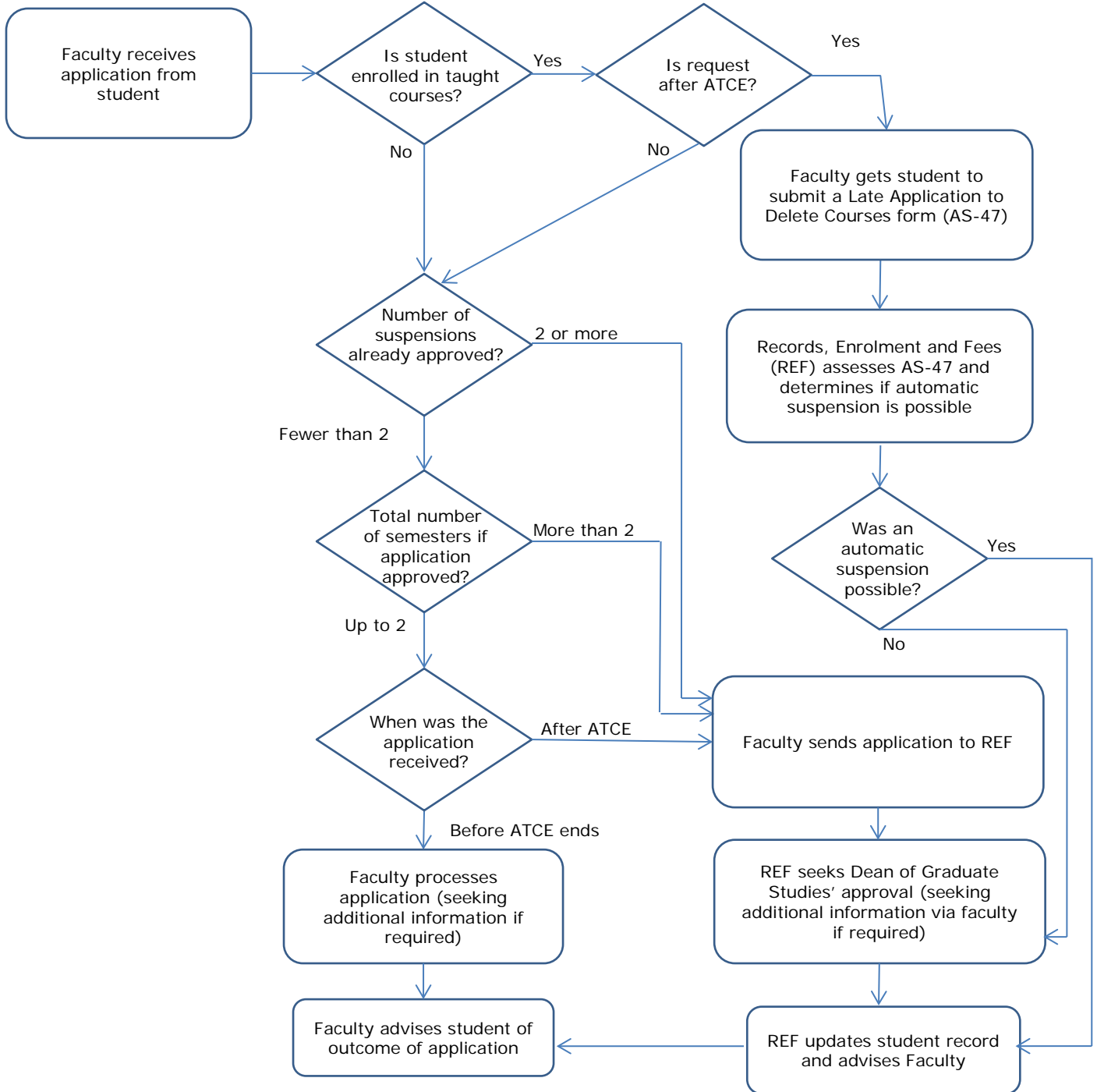
2. Independent evidence to support the above explanation covering the period(s) in question (appropriate for the specific situation), such as:

- Statement from supervisor/department confirming the situation (such as equipment failure, lack of supervisor, etc) and an indication of who is to pay for the fees associated with the extension
- Medical certificate, or statement from medical provider, confirming the situation and the timeframes involved
- Statement from other person/organisation confirming the situation and the timeframes involved

APPENDIX II

Applications for Senate Approval of Suspension from Enrolment (AS-502) for taught Masters degrees

Process Flowchart



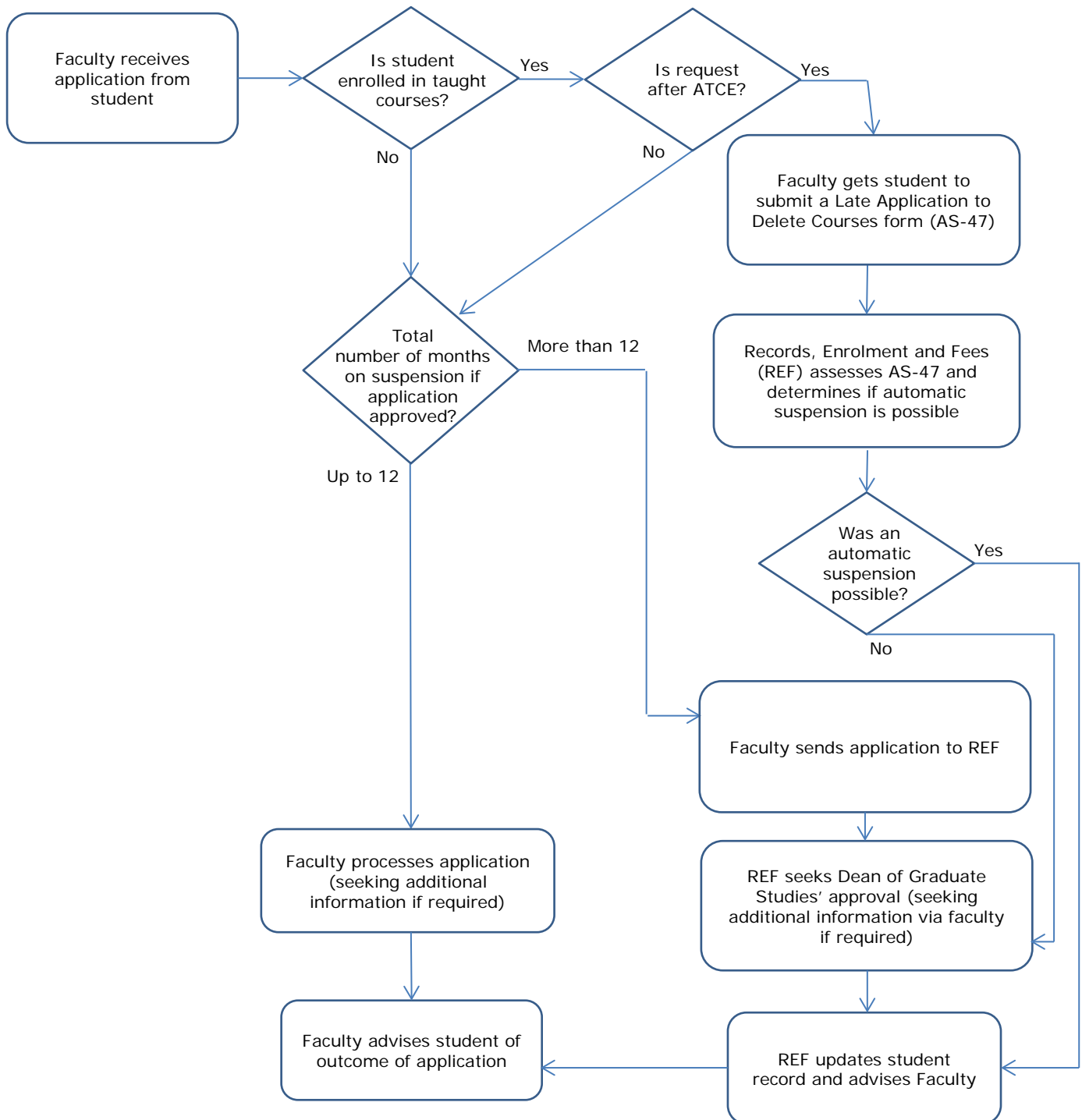
- Actions required:**
- Approved
- Add student exception to student record
 - Enrolment (if any) updated
 - Update the Expected Graduation Term on SSO (Student Program/Plan)
- Declined
- Add comment to student's record
- Pending
- Seek additional information from either student, faculty and/or department

APPENDIX III

Applications for Senate Approval of Suspension from Masters Enrolment ([AS-502](#)) including a Thesis or Research Portfolio

Note: Where the 120 pt research masters or second year of the 240 pt research masters includes 30 pts of coursework and the period of suspension includes the semester(s) in which the coursework was to be undertaken, the period of suspension must date from no later than the start of the relevant semester and conclude no earlier than the final day of the semester in which coursework was due.

Process Flowchart



APPENDIX IV

Examination Timeline

Process		Responsibility	Timing
Nomination of examiners	<p>List of masters students in final five months of enrolment provided to department</p> <p>Two examiners and the Graduate Advisor (or nominee) nominated</p> <p>Creative Practice live exam identified and dates nominated</p>	<p>List provided by faculty</p> <p>Examiners appointed by Academic Head</p> <p>Faculty Student Centre staff contact approved examiners to confirm appointment and enquire if printed copy needed. Details entered in system</p>	<p>Five months before each thesis due date. Appointments received by deadline for relevant submission date</p>
Submission	<p>Creative Practice live exam conducted</p> <p>3 soft-bound printed copies and a digital copy of thesis or RP</p> <p>Submission details recorded</p>	<p>Academic Head</p> <p>Student submits thesis/RP to Faculty Student Centre</p> <p>Faculty Student Centre staff</p>	<p>Due date</p>
Examination	<p>Theses/RP sent to examiners with standard letter and form for completion. Sent electronically only unless printed copy requested. Digital and printed copies of thesis sent to EC Chair</p> <p>Examiners expected to report in maximum of 6 weeks.</p> <p>Examiners' reports scanned, saved and sent to supervisor and Graduate Advisor (or nominee)</p>	<p>Faculty Student Centre staff</p> <p>Reports sent to Faculty Student Centre; Faculty Student Centre staff follow up tardy examiners</p> <p>Faculty Student Centre staff</p>	<p>On submission</p> <p>6-8 weeks</p> <p>As soon as both reports received</p>
Supervisor comment	<p>Supervisor may comment on examiners' reports</p>	<p>Supervisor sends comments to Chair of Graduate Advisor (or nominee) and Faculty Student Centre</p>	<p>≤1 week</p>
Graduate Advisor (or nominee)	<p>Considers examiners' reports and supervisor's comments (if any) and makes recommendation. Graduate Advisor (or nominee) forwards recommendation and supporting material to Academic Head with copies of examiners' reports and supervisor's comment</p>	<p>Graduate Advisor (or nominee)</p>	<p>≤1 week</p>
Academic Head endorsement	<p>Academic Head considers Graduate Advisor (or nominee) recommendation and endorses, if appropriate</p>	<p>Academic Head</p>	
Associate Dean (Postgraduate) integrity checks and approval of result	<p>All examination documents scanned and stored on student's file</p>	<p>Associate Dean (PG) checks integrity of process and approves result if appropriate.</p> <p>Faculty Student Centre staff</p>	<p>≤5 days</p>

Process		Faculty Student Centre	Timing
Advice of result	Student advised by email of conditional result, any editorial/minor corrections required to thesis and provided with feedback from the examiners' reports. Under separate cover, email copied to supervisor, examiners, Graduate Advisor (or nominee) members and Academic Head	Faculty Student Centre staff	≤3 days
Corrections	Student completes any required minor corrections to the thesis to the satisfaction of the supervisor	Student and supervisor	Within 1 month of 'advice of result' email
Deposit of thesis	One hard-bound thesis and final digital copy deposited Hard-bound thesis deposited with Library	Student submits digital thesis to ResearchSpace and hard copy to Faculty Student Centre Faculty Student Centre staff	
Completion logged	Result and completion of degree recorded	Faculty Student Centre staff	
Completion data	Integrity checked	Examinations Office staff	

APPENDIX V

Worked Examples of Research Masters Enrolment Patterns

Reminders:

- Each programme has an overall semesterised time limit. The student must enrol in all required points within that semesterised time limit.
 - One full-time semester counts towards the time limit as 2 part-time semesters.
 - One semester of non-enrolment counts towards the time limit as 1 part-time semester (enrolment must be continuous once the thesis/research portfolio enrolment has commenced).
- The programme enrolment has to conclude with submission of the thesis/research portfolio (a student cannot be enrolled in coursework beyond the thesis/research portfolio submission date).
- The due date for the thesis or research portfolio depends on the start date of the thesis/research portfolio enrolment (1 March, 15 July or 1 December) and on the final semester in which the student enrolled in thesis or research portfolio points.

Start date of thesis or research portfolio enrolment	First semester of enrolment in thesis/rp points must be	Final semester of enrolment	Due date for thesis or research portfolio
1 December	Semester 1 (of year following start date)	Semester 2 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	30 Nov (of the same year as the final semester of enrolment)
		Semester 1 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	31 May (falls within the final semester of enrolment)
1 March	Semester 1 (of year of start date)	Semester 2 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	28 Feb (of the year following the final semester of enrolment)
		Semester 1 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	31 Aug (of the same year as the final semester of enrolment)
15 July	Semester 2 (of year of start date)	Semester 1 (= student has enrolled in thesis/rp points in 2 or 4 consecutive semesters)	14 July (of the same year as the final semester of enrolment)
		Semester 2 (= student has enrolled in thesis/rp points in 3 consecutive semesters)	14 Jan (of the year following the final semester of enrolment)

Notes:

- Students are enrolled continuously in the thesis or research portfolio from start date to submission date, but the enrolment in thesis or research portfolio points is semester-based.
- Enrolment in the points for the 120 point thesis/research portfolio is always available at 60 points x 2 semesters and is usually available at 30 points x 4 semesters or at (60 points x 1 semester) + (30 points x 2 semesters).
- Enrolment in the points for the 90 point thesis/research portfolio is usually available at 45 points x 2 semesters. In some programmes it is also available at 22.5 points x 4 semesters or at (45 points x 1 semester) + (22.5 points x 2 semesters), and occasionally at (30 points x 1 semester) + (60 points x 1 semester) or at 30 points x 3 semesters.

Worked examples:

The purpose of this Appendix is to provide examples of the application of Regulation 2 of the General Regulations for Masters Degrees.

Individual programme regulations regarding the completion of taught courses prior to the commencement of the thesis or research portfolio take precedence over any examples contained in this document.

The following examples are indicative only; they do not comprise a comprehensive list of possible enrolment patterns. Additional patterns of full-time enrolment, mixed full and part-time enrolment, and part-time enrolment are possible, provided that they satisfy the General Regulations for Masters Degrees and any individual programme requirements.

Abbreviations:	Colour coding
cw = coursework ths = thesis rp = research portfolio pts = points	Thesis/research portfolio only enrolment
	Coursework only enrolment
	Mixed coursework and thesis/research portfolio enrolment
	Non-enrolment

Note: throughout, the specific years used in examples are for illustrative purposes only.

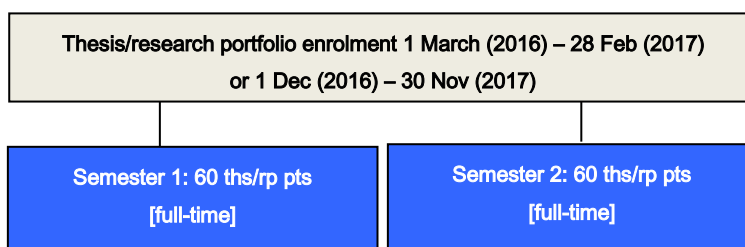
1. 120 point programmes

(examples also apply to thesis/research portfolio year of 240 point programmes)

a 120 point programme (120 point thesis/research portfolio)

(i) 120 point programme (120 point thesis/rp):

Sample full-time enrolment



- **Thesis/rp start date: 1 March 2016**
- First semester of thesis/rp pts enrolment: Semester 1 2016
(Number of semesters of thesis/rp pts enrolment: 2)
- **Final semester** of thesis/rp pts enrolment: **Semester 2 2016**
- **Due Date: 28 Feb 2017**

- **Thesis/rp start date: 1 December 2016**
- First semester of thesis/rp pts enrolment: Semester 1 2017
(Number of semesters of thesis/rp pts enrolment: 2)
- **Final semester** of thesis/rp pts enrolment: **Semester 2 2017**
- **Due date: 30 Nov 2017**

(ii) **120 point programme (120 point thesis/rp):**
Sample mixed part-time and full-time enrolment

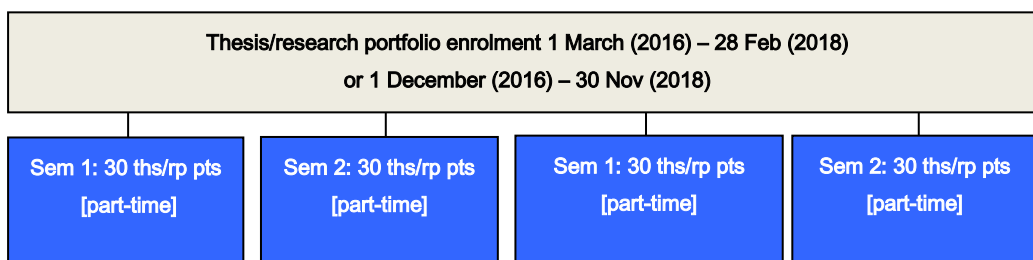


- **Thesis/rp start date: 15 July 2016**
- First semester of thesis/rp pts enrolment: semester 2 2016
(Number of semesters of thesis/rp pts enrolment: 3)
- **Final semester** of thesis/rp pts enrolment: **Semester 2 2017**
- **Due date: 14 January 2018**

Time limit check:

- Number of semesters available for programme: 4 part-time semesters
- Number of semesters used for programme: 2 part-time semester + 1 full-time semester = 4 part-time semesters

(iii) **120 point programme (120 point thesis/rp):**
Sample part-time enrolment



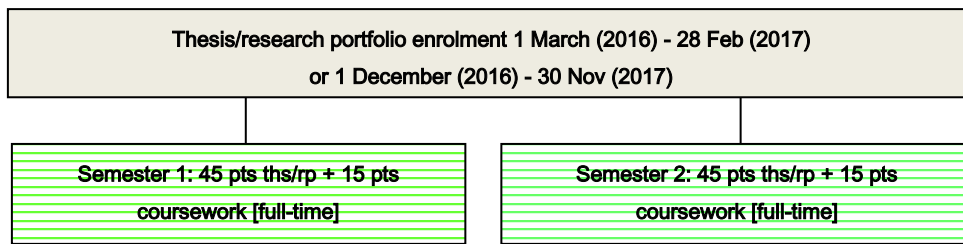
- | | |
|---|--|
| <ul style="list-style-type: none"> ▪ Thesis/rp start date: 1 March 2016 ▪ First semester of thesis/rp pts enrolment: Semester 1 2016
 <i>(Number of semesters of thesis/rp pts enrolment: 4)</i> ▪ Final semester of thesis/rp pts enrolment: Semester 2 2017 ▪ Due Date: 28 Feb 2018 | <ul style="list-style-type: none"> ▪ Thesis/rp start date: 1 December 2016 ▪ First semester of thesis/rp pts enrolment: Semester 1 2017
 <i>(Number of semesters of thesis/rp pts enrolment: 4)</i> ▪ Final semester of thesis/rp pts enrolment: Semester 2 2018 ▪ Due date: 30 Nov 2018 |
|---|--|

Time limit check:

- Number of semesters available for programme: 4 part-time semesters
- Number of semesters used for programme: 4 part-time semesters

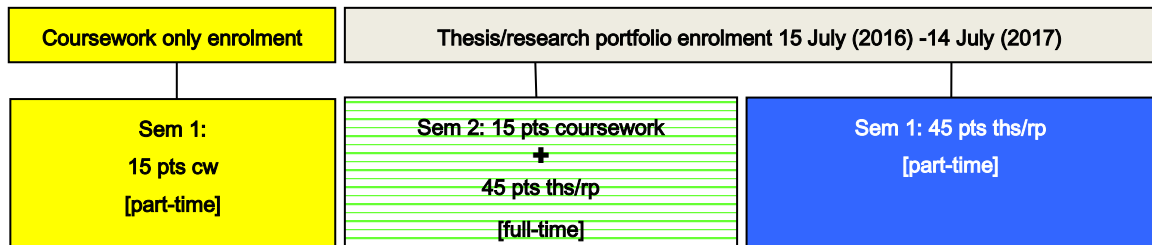
b 120 point programme: 90 point thesis/research portfolio + 30 points of coursework

(i) 120 point programme (90 point thesis/rp):
Sample full-time enrolment



- | | |
|---|--|
| <ul style="list-style-type: none"> ▪ Thesis start date: 1 March 2016 ▪ First semester of thesis/rp pts enrolment: Semester 1 2016
<i>(Number of semesters of thesis/rp pts enrolment: 2)</i> ▪ Final semester of thesis/rp pts enrolment: Semester 2 2016 ▪ Due date: 28 Feb 2017 | <ul style="list-style-type: none"> ▪ Thesis start date: 1 December 2016 ▪ First semester of thesis/rp pts enrolment: Semester 1 2017
<i>(Number of semesters of thesis/rp pts enrolment: 2)</i> ▪ Final semester of thesis/rp pts enrolment: Semester 2 2017 ▪ Due date: 30 Nov 2017 |
|---|--|

(ii) 120 point programme (90 point thesis/rp):
Sample mixed full and part-time enrolment



- Programme start date: Semester 1 2016 (coursework-only enrolment)
- **Thesis start date: 15 July 2016**
- First semester of thesis/rp pts enrolment: Semester 2 2016
(Number of semesters of thesis/rp pts enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Due date: 14 July 2017**

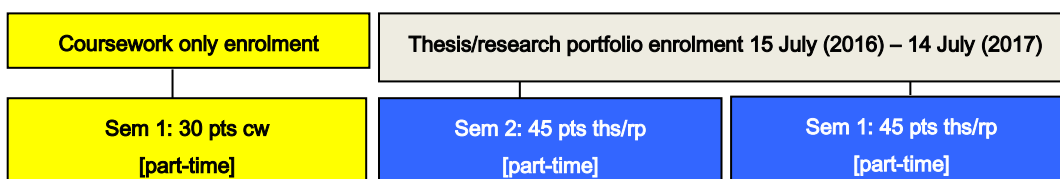
Time limit check:

- Number of semesters available for programme: 4 part-time semesters
 - Number of semesters used for programme: 2 part-time semesters + 1 full-time semester = 4 part-time semesters
- This student is required to study continuously and could not have enrolled in fewer than 45 thesis/rp points in Semester 1 2017

(iii) **120 point programme (90 point thesis/rp):**

Sample part-time enrolment

Example (a)



- Programme start date: Semester 1 2016 (coursework-only enrolment)
- **Thesis start date: 15 July 2016**
- First semester of thesis/rp points enrolment: Semester 2 2016
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Due date: 14 July 2017**

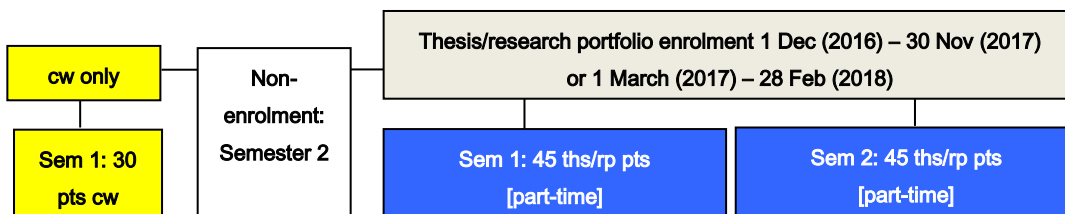
Time limit check:

- Number of semesters available for programme: 4 part-time semesters
- Number of semesters used for programme: 3 part-time semesters

= Opportunity for non-continuous study

- This student could have taken a semester of non-enrolment between the coursework and commencement of the thesis (this would count towards the time limit as 1 part-time semester) and completed the programme as follows:

Example (b)



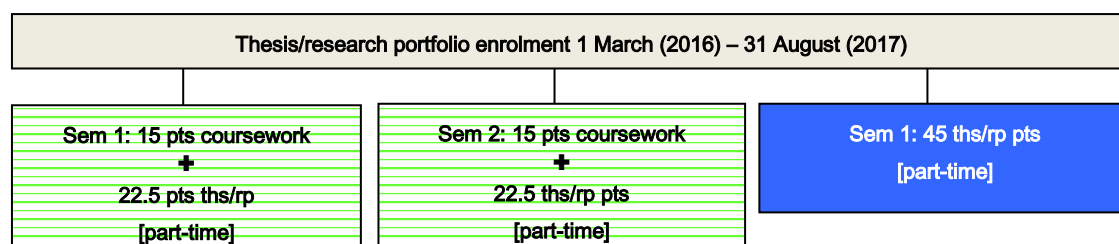
- Programme start date: Semester 1 2016 (coursework-only enrolment)
- Non-enrolment: Semester 2 2016
- **Thesis start date: 1 December 2016 or 1 March 2017**
- First semester of thesis/rp points enrolment: Semester 1 2017
(Number of semesters of enrolment in thesis/rp points: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2017**
- **Due date: 30 Nov 2017 (for 1 Dec 2016 start) or 28 Feb 2018 (for 1 March 2017 start)**

Time limit check:

- Number of semesters available for programme: 4 part-time semesters
- Number of semesters used for programme: 3 x part-time semesters + 1 non-enrolment (counts as 1 x part-time semester) = 4 part-time semesters

Example (c)

Part-time enrolment where the thesis/rp is available at (22.5 points x 2 semesters) + (45 points x 1 semester):



- Programme start date/**Thesis start date: 1 March 2016**
- First semester of thesis/rp points enrolment: Semester 1 2016
(Number of semesters of thesis/rp points enrolment: 3)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Due date: 31 August 2017**

Time limit check:

- Number of semesters available for programme: 4 part-time semesters
- Number of semesters used for programme: 3 part-time semesters
- Non-continuous study is not possible (only permissible prior to a thesis/rp enrolment)
- The student could have enrolled in 22.5 thesis/rp points in Semester 1 2017, and the final 22.5 thesis/rp points in Semester 2, 2017 (total of 4 part-time semesters for programme) with a submission date of 28 February 2018.

2. 180 point programmes

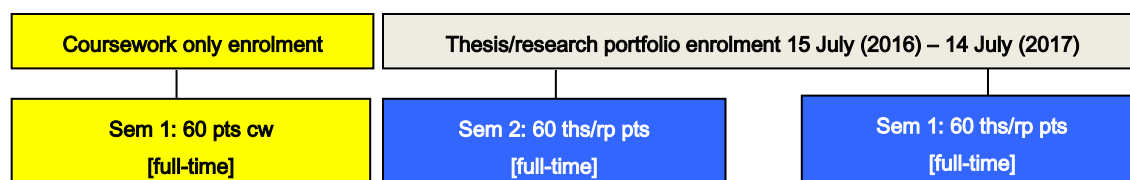
Note: 180 point research masters programmes differ in the number of coursework points required prior to commencement of a thesis/research portfolio enrolment. Individual regulatory requirements regarding progression through taught points take precedence over any examples in this document.

a 180 point programmes (120 point thesis/research portfolio + 60 points of coursework)

(i) 180 point programmes (120 pt thesis/rp):

Sample full-time enrolment

Example (a)



- Programme start date: Semester 1 2016 (coursework-only enrolment)
- **Thesis start date: 15 July 2016**
- First semester of thesis/rp points enrolment: Semester 2 2016
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Thesis due date: 14 July 2017**

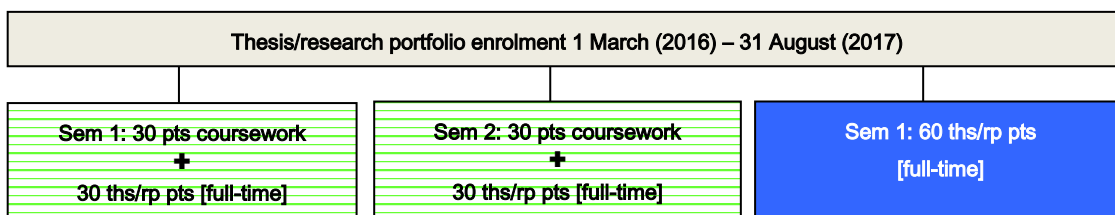
Time limit check:

- Number of semesters available for programme: 3 full-time semesters
- Number of semesters used for programme: 3 full-time semesters

Example (b)

180 point programme (120 point thesis/rp):

Sample full-time enrolment where thesis and coursework are entirely concurrent



- Programme start date/**Thesis start date: 1 March 2016**
- First semester of thesis/rp points enrolment: Semester 1 2016
(Number of semesters of thesis/rp points enrolment: 3)
- **Final semester** of enrolment: **Semester 1 2017**
- **Thesis due date: 31 August 2017**

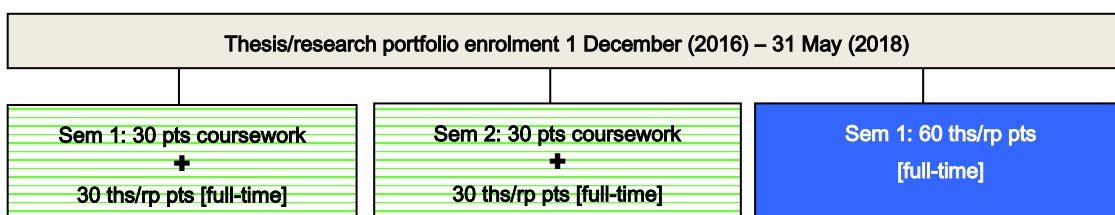
Time limit check:

- Number of semesters available for programme: 3 full-time semesters
- Number of semesters used for programme: 3 full-time semesters

Example (c)

180 point programme (120 point thesis/rp):

Sample full-time enrolment where thesis and coursework are entirely concurrent
(1 December start)



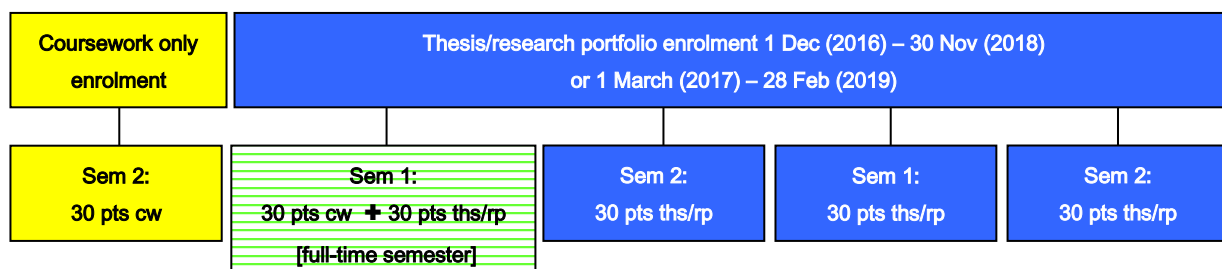
- Programme start date/**Thesis start date: 1 December 2016**
- First semester of thesis points enrolment: Semester 1 2017
(Number of semesters of thesis/rp points enrolment: 3)
- **Final semester** of enrolment: **Semester 1 2018**
- **Thesis due date: 31 May 2018**

Time limit check:

- Number of semesters available for programme: 3 full-time semesters
- Number of semesters used for programme: 3 full-time semesters

(ii) **180 point programme (120 point thesis/rp):**

Sample mixed full-time and part-time enrolment



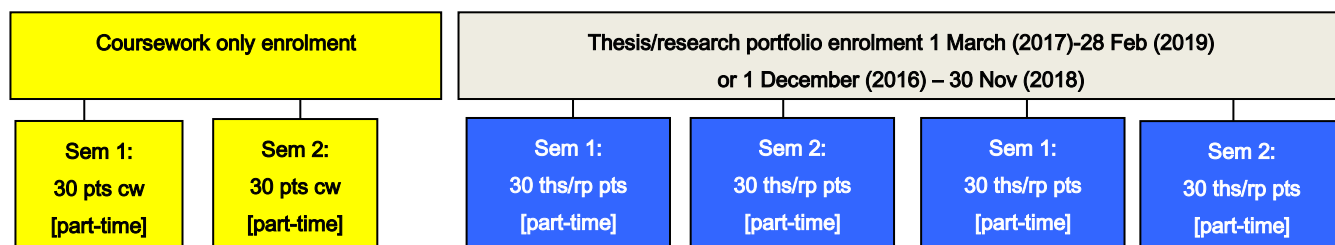
- Programme start date: Semester 2 2016 (coursework-only enrolment)
- **Thesis start date: 1 December 2016 or 1 March 2017** (both = continuous study)
- First semester of thesis/rp points enrolment: Semester 1 2017
(Number of semesters of thesis/rp points enrolment: 4)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2018**
- **Thesis due date: 30 Nov 2018 (for 1 Dec 2016 start) or 28 Feb 2019 (for 1 March 2017 start)**

Time limit check:

- Number of semesters available for programme: 6 part-time semesters
 - Number of semesters used for programme: 1 full-time semester + 4 part-time semesters = 6 part-time semesters
- No opportunity for non-continuous study between coursework and commencement of thesis/rp

(iii) **180 point programme (120 point thesis/rp):**

Sample part-time enrolment



- Programme start date: Semester 1 2016
(2 semesters coursework-only enrolment)
- **Thesis start date: 1 December 2016 or 1 March 2017** (both = continuous study)
- First semester of thesis/rp points enrolment: Semester 1 2017
(Number of semesters of thesis/rp points enrolment: 4)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2018**
- **Thesis due date: 30 Nov 2018 (for 1 Dec 2016 start) or 28 Feb 2019 (for 1 March 2017 start)**

Time limit check:

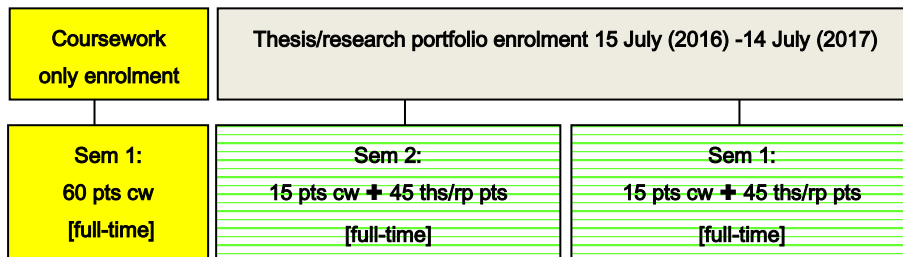
- Number of semesters available for programme: 6 part-time semesters
- Number of semesters used for programme: 6 part-time semesters

- No opportunity for non-continuous study between coursework and commencement of thesis/rp

b 180 point programme (90 point thesis/research portfolio + 90 points of coursework)

(i) 180 point programme (90 point thesis/rp):

Sample full-time enrolment where thesis/rp available at 45 points x 2 semesters



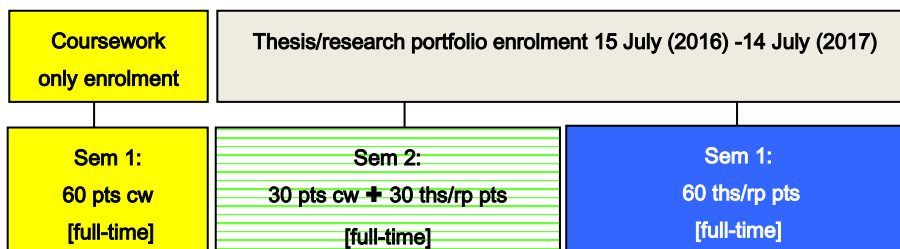
- Programme start date: Semester 1 2016
- **Thesis start date: 15 July 2016**
- First semester of thesis/rp points enrolment: Semester 2 2016
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Thesis due date: 14 July 2017**

Time limit check:

- Number of semesters available for programme: 3 full-time semesters
- Number of semesters used for programme: 3 full-time semesters

(ii) 180 point programme (90 point thesis/rp):

Sample full-time enrolment where thesis/rp available as (30 points x 1 semester) + (60 points x 1 semester)

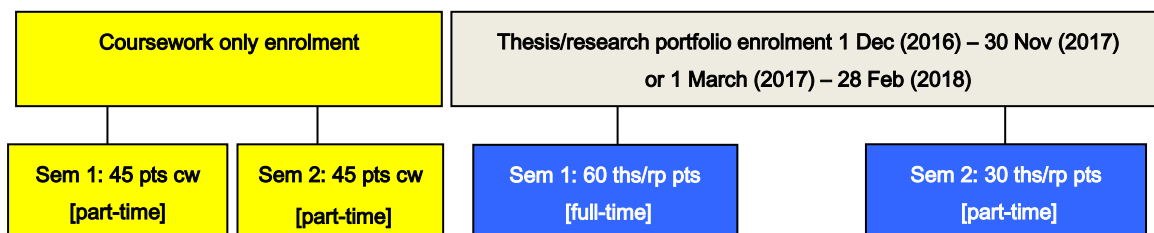


- Programme start date: Semester 1 2016
- **Thesis start date: 15 July 2016**
- First semester of thesis/rp points enrolment: Semester 2 2016
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2017**
- **Thesis due date: 14 July 2017**

Time limit check:

- Number of semesters available for programme: 3 full-time semesters
- Number of semesters used for programme: 3 full-time semesters

- (iii) **180 point programme (90 point thesis/rp):**
Sample mixed full and part-time enrolment where thesis/rp available at (30 points x 1 semester) + (60 points x 1 semester)



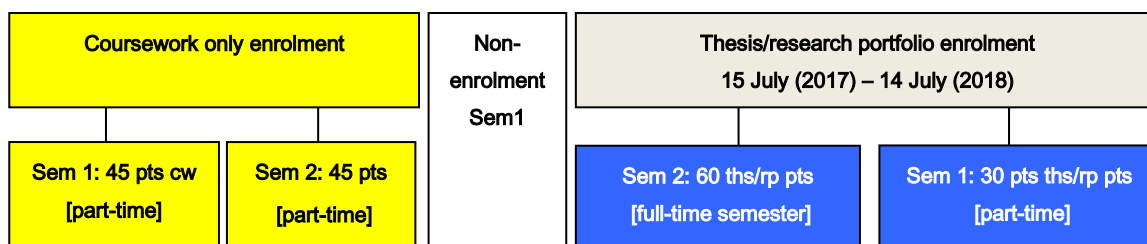
- Programme start date: Semester 1 2016
(2 semesters coursework-only enrolment)
- **Thesis start date: 1 Dec 2016 or 1 March 2017** (both = continuous study)
- First semester of thesis/rp points enrolment: Semester 1 2017
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2017**
- **Thesis due date: 30 Nov 2017 (for 1 Dec 2016 start) or 28 Feb 2018 (for 1 March 2017 start)**

Time limit check:

- Number of semesters available for programme: 6 part-time semesters
- Number of semesters used for programme: 3 part-time semesters + 1 full-time semester = 5 part-time semesters

= Opportunity for non-continuous study

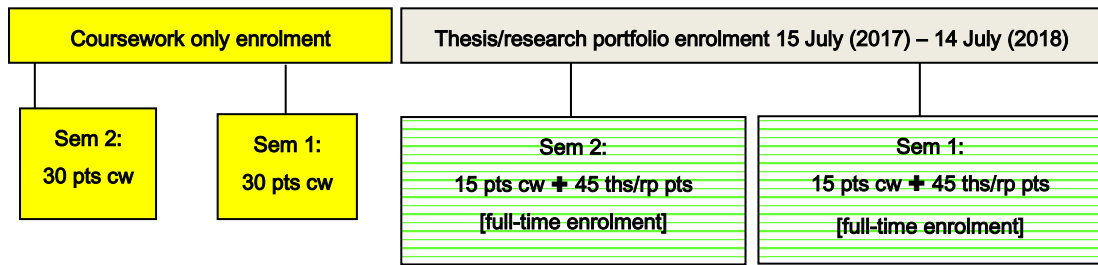
- This student could have taken a semester of non-enrolment for any semester prior to commencement of the thesis (this would count towards the time limit as 1 part-time semester). Example:



- Programme start date: Semester 1 2016
(2 semesters coursework-only enrolment + 1 semester of non-enrolment)
- **Thesis start date: 15 July 2017**
- First semester of thesis/rp points enrolment: Semester 2 2017
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2018**
- **Thesis due date: 14 July 2018**

Number of semesters used for programme: equivalent to 6 part-time semesters

- (iv) **180 point programme (90 point thesis/rp):**
Sample mixed full and part-time enrolment where thesis/rp available at 45 points x 2 semesters

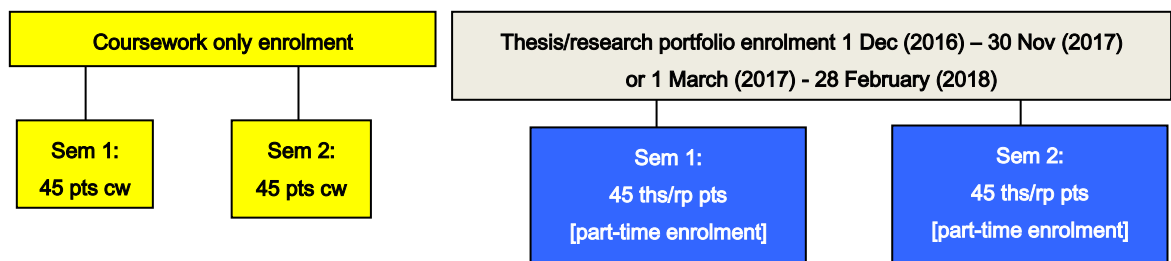


- Programme start date: Semester 2 2016
(two semesters of coursework-only enrolment)
- **Thesis start date: 15 July 2017**
- First semester of thesis/rp points enrolment: Semester 2 2017
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 1 2018**
- **Thesis due date: 14 July 2018**

Time limit check:

- Number of semesters available for programme: 6 part-time semesters
 - Number of semesters used for programme: 2 part-time semesters + 2 full-time semesters = 6 part-time semesters
- No opportunity for non-continuous study between coursework and commencement of thesis/rp

- (v) **180 point programme (90 point thesis/rp):**
Sample part-time enrolment where thesis/rp available at 45 points x 2 semesters

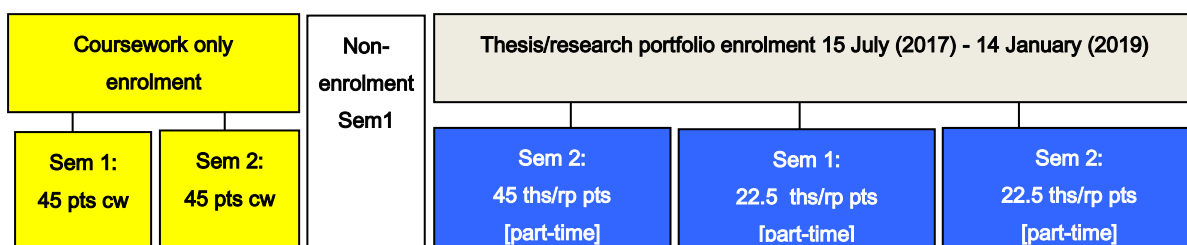


- Programme start date: Semester 1 2016
(two semesters coursework-only enrolment)
- **Thesis start date: 1 Dec 2016 or 1 March 2017**
- First semester of thesis/rp points enrolment: Semester 1 2017
(Number of semesters of thesis/rp points enrolment: 2)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2017**
- **Thesis due date: 30 Nov 2017 (for 1 Dec 2016 start date) or 28 Feb 2018 (for 1 March 2017 start date)**

Time limit check:

- Number of semesters available for programme: 6 part-time semesters
 - Number of semesters used for programme: 4 part-time semesters
 = Opportunity for non-continuous study
- This student could have taken two semesters of non-enrolment prior to the commencement of the thesis (each semester of non-enrolment counts towards the time limit as 1 part-time semester) and started and completed the thesis as above but one year later [one semester of non-enrolment only would have resulted in a 15 July 2017 start and a 14 July 2018 submission date].

- Alternatively, if the thesis/rp had been available at 22.5 points x 4 semesters, the student might have studied continuously for the entirety of the programme, commencing the thesis/rp on 1 Dec 2016 or 1 March 2017 but enrolling in thesis/research portfolio points at 22.5 points x 4 semesters (using 6 part-time semesters for the total programme), and been due to submit the thesis/rp 30 Nov 2018 (for a 1 December 2016 thesis/rp start date) or 28 Feb 2019 (for a 1 March 2017 start date).
- A thesis/rp points enrolment of (45 points x 1 semester) + (22.5 points x 2 semesters) [i.e. 5 part-time semesters used for the programme (2 coursework plus 3 thesis/rp)] would allow for a semester of non-enrolment prior to the commencement of the thesis/rp enrolment. Example:

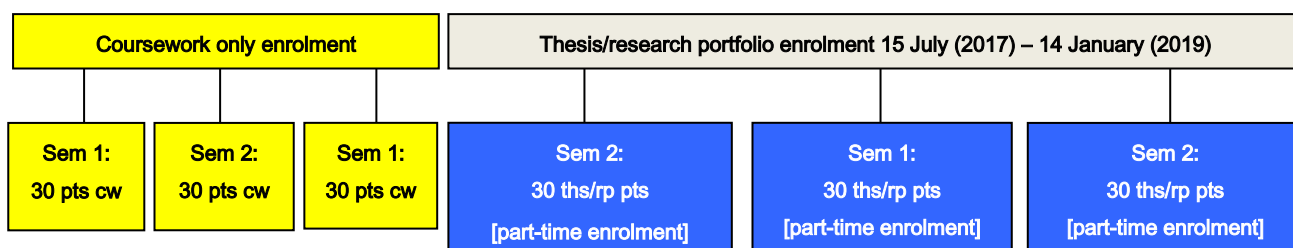


- Programme start date: Semester 1 2016
(2 semesters coursework-only enrolment + 1 semester non-enrolment)
- **Thesis start date: 15 July 2017**
- First semester of thesis/rp points enrolment: Semester 2 2017
(Number of semesters of thesis/rp points enrolment: 3)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2018**
- **Thesis due date: 14 January 2019**

Number of semesters used for programme: equivalent to 6 part-time semesters

(vi) **180 point programme (90 point thesis/rp):**

Sample part-time enrolment where thesis/rp available at 30 points x 3 semesters



- Programme start date: Semester 1 2016
(3 semesters of coursework-only enrolment)
- **Thesis start date: 15 July 2017**
- First semester of thesis points enrolment: Semester 2 2017
(Number of semesters of thesis/rp points enrolment: 3)
- **Final semester** of thesis/rp points enrolment: **Semester 2 2018**
- **Thesis due date: 14 January 2019**

Time limit check

- Number of semesters available for programme: 6 part-time semesters
- Number of semesters used for programme: 6 part-time semesters

APPENDIX VI

Late submission of masters theses and research portfolios and entry of DNC

1. Where a student has not submitted a thesis or research portfolio by its due date, the Associate Dean (Postgraduate) or faculty delegate may, where the supervisor and HoD present grounds, allow up to a two week grace period (see note 3 below). This is represented to the student as an extension; no fees are payable, eligibility for honours is retained.
2. Where a student submits between 2 and 4 weeks from the submission date, the following steps should be taken:
 - (a) The thesis should enter examination, but the student should be advised at the point of submission that an extension is necessary and fees payable (student should be directed to the AS 503); this advice must then be issued/confirmed by email.
 - (b) As the thesis has been accepted, the Faculty Student Centre must immediately request, by email (on behalf of the AD(PG) or delegate), emailed statements from the student and the supervisor, and a comment from the HoD, regarding the late submission, in order that an extension can be considered.
 - (c) The case should then be referred to the AD(PG) or delegate.
 - (d) The AD(PG) or delegate will then determine, based on those statements, either that the thesis should be allowed to retain honours or that it should lose honours.
 - (e) In the highly unlikely event that student, supervisor and HoD are all unresponsive to the email issued at point (b), and to weekly follow-ups, by the time the examination reports have been received, the AD(PG) has the authority (upon review of all communications to student and department since due date) to approve the enrolment of the student in an extension until the date the thesis was submitted and to make a determination regarding the loss of honours. As per Regulation 4 of the General Regulations for Masters Degrees, fees are payable "at the rate of 10 points for each two-month period or part thereof". The student and department must be notified by email of the outcome and the fees liability.
3. Where a thesis or research portfolio has not been received within 1 month of its due date, the Faculty Student Centre must write to the student, copied to the supervisor, notifying them that submission of the thesis is dependent upon an extension being approved, and that if the student wishes to apply for an extension they must do so as a matter of urgency. This communication should note that fees are payable for the extension and provide details.
 - Where an extension application is made, the AD(PG) or delegate shall assess it in the usual way for an extension of either 2 or 4 months from the due date, with the usual consideration of retention of honours.

4. Where no response is received at point 3, the Faculty Student Centre must write to the student (copied to the supervisor) at the 3 month anniversary of the due date, advising the student that submission of the thesis is dependent upon an extension being approved by the Dean of Graduate Studies, and that if the student wishes to apply for an extension they must do so by the four month anniversary of the due date of the thesis. This communication should note that fees would be payable (and provide details) and advise that if no response is received from the student by that date, a DNC will be entered on the student's transcript.
5. Extension applications should be received and referred to the Dean of Graduate Studies up to 6 months after the due date.
6. A DNC should be entered on a student's transcript only in the following circumstances:
 - Where 6 months has elapsed and still no extension application has been received.
 - Where an extension application is declined by the faculty within 4 months of the thesis/research portfolio due date, or declined by the Dean of Graduate Studies after that date.

Notes for Faculty Student Centre staff:

1. Supervisors should be copied in on all communications with students.
2. Email communications with students should not include wording such as "Failure to submit by the due date will result in....". The key message for students is "If, due to circumstances beyond your control, you are unable to submit by the due date you must apply for an extension".
3. The two week grace period is calculated on a principle of 10 working days, including the original due date for the thesis or research portfolio and the actual day of submission. Where the due date for the thesis or research portfolio falls on a weekend or public holiday, the original due date for the thesis/research portfolio is the next working day after the calendar due date.
 - E.g. thesis due 14 July 2018: as this is a Saturday, the thesis is due by close of business on Monday 16 July 2018; the two week grace period would end close of business Friday 27 July 2018.
 - E.g. thesis due Wednesday 28 February 2018: the two week grace period would end close of business on Tuesday 13 March 2018.

Non-submission of hard copy of masters thesis by due date

Where a student has received a provisional grade for the thesis but has not submitted the hard copy of the corrected thesis within 2 months of the due date, the completed 512R should be forwarded to the Examinations Office accompanied by a bolded email statement that the student is not eligible to graduate.

The Examinations Office will then add a “Not Completed” row to the record, ensuring that the student will not be made eligible to graduate by the system, and that the student cannot apply to graduate, until the row is manually removed by a staff member.

APPENDIX VII

Supervisor commentary on masters thesis/research portfolio examination reports

Supervision commentary on examination reports is restricted to the following two matters:

- address of factual errors or factual inaccuracies in examination reports.
- clarification of resource issues raised in examination reports (e.g. why access to a particular resource identified by an examiner is not a reasonable expectation for conduct of the research).

Information regarding these items might be drawn on constructively by the Graduate Advisor (or nominee) in the course of facilitating consultation between examiners on points of contention.

Information regarding these items might provide assistance to Academic Heads in considering whether or not a grade can be safely determined, or to the Dean of Graduate Studies in considering whether or not a disputed results process should be instituted.

Supervisors must not address the following issues for the reasons outlined in each note below:

1. Student's personal life

Extenuating circumstances impacting on a student's performance are relevant to examination and suspension requests, not to examinations.

2. Research-related delays that are beyond a student's control

This issue is relevant to consideration of extension requests, not examination.

3. The level of help/hindrane provided by the supervisor

This is a matter of appropriate supervision practice and, where necessary, the *Resolution of Student Academic Complaints and Disputes Statute*; it is not a matter for the examination process.

4. The student's performance in the lab or during supervision

University examination criteria are clear that the thesis/research portfolio output (as opposed to the candidate's performance in preparation of that output) is under examination. Supervisor comment on lab or supervisor performance has the capacity to undermine the integrity of an examination.

5. The independence of the work undertaken, and whether the project was initially conceived by student or supervisor

In keeping with NZQA and CUAP requirements for supervised masters research, the student is expected "to demonstrate a high order of skill in the planning, execution and completion of an original piece of research". In keeping with academic practice and the requirements of the *Student Academic Conduct Statute*, the thesis is also expected to acknowledge any contributions to the research.

Supervisors are expected to ensure that the level of supervisory assistance provided to a student is appropriate and consistent with the above NZQA/CUAP requirements.

Identification of topic is not an examination criterion. The examination process is not the forum in which to address any issues with the over-determination of masters research projects within larger/funded projects.

6. The disciplinary contexts of examiners in relation to the work under examination

Part A of the 512R form already requires the supervisor to address the relationship between examiner profile and the work under examination.

The supervisor may not include an opinion on an appropriate grade.