



THE UNIVERSITY
OF AUCKLAND

SCHOOL OF
GRADUATE STUDIES

Guide to Theses and Dissertations



Guide to Theses and Dissertations

This document is a general guide to the presentation and submission of theses and dissertations and contains additional information about related policies and procedures. It should be read alongside the relevant regulations the thesis or dissertation candidate is registered under and the *University of Auckland Calendar*. The online version of the *Calendar* (www.calendar.auckland.ac.nz) remains the definitive source of information. In the event of any conflict between the relevant regulations and this guide, the regulations outlined in the online version of the *Calendar* will prevail.

Enquiries:
School of Graduate Studies
ClockTower – East Wing
22 Princes Street, Auckland
Phone: +64 9 373 7599 ext 81321
Fax: +64 9 373 7610 / ext 84310 (internal)
Email: postgraduate@auckland.ac.nz
Website: www.postgrad.auckland.ac.nz

Contents

1	Introduction	1
2	Where can I get help?	2
2.1	Your Supervisor	2
2.2	Departmental Graduate Adviser	2
2.3	Faculty Student Centre	2
2.4	School of Graduate Studies	2
2.5	Libraries and Learning Services	3
2.6	Computing Services.....	3
3	Integrity in Research	4
3.1	Applying for Ethics Approval.....	4
3.2	Avoiding Plagiarism.....	4
3.3	Turnitin.....	4
3.4	Using copyright material other than your own.....	5
	a Copyright has expired.....	6
	b Copyright under licence	7
	c Fair dealing for criticism and review	7
	d No copyright.....	8
	e Copying permitted	8
3.5	Collaboration.....	8
3.6	Commissioning.....	9
3.7	Joint ownership	10
3.8	Obtaining permission.....	10
3.9	Third party editing.....	12
4	Style and Format	13
4.1	Backing up your work.....	13
4.2	Proofreading.....	13
4.3	Language	13
4.4	Word length.....	13
4.5	Page size.....	14
4.6	Margins	14
4.7	Typeface	14
4.8	Paragraphing and line spacing	14
4.9	Quotations	15
4.10	Footnotes.....	15
4.11	Page order and pagination	15
4.12	Elements of a thesis or dissertation.....	16
	a Library Thesis Consent Form	19
	b Title page	19
	c Abstract.....	19
	d Dedication	19
	e Preface and/or acknowledgments	19
	f Table of contents	19
	g Lists of tables, figures etc.....	20
	h Glossary	20

i	Co-Authorship/Co-Production Forms	20
j	Main text of thesis or dissertation	20
k	Appendices.....	21
l	Bibliography/list of references.....	21
5	Binding.....	22
5.1	Paper.....	22
5.2	Images.....	22
5.3	Folded Maps or Charts.....	22
5.4	Additional Material.....	22
5.5	General Binding Requirements.....	22
5.6	Binding a Masters Thesis	23
a	Initial submission	23
b	Final submission.....	23
5.7	Binding a Doctoral Thesis	24
a	Initial submission	24
b	Final submission.....	24
5.8	Binding Dissertations, Research Portfolios, etc.....	24
6	Digital copies and ResearchSpace	25
7	Submission	26
7.1	Masters Thesis, Research Portfolio or Dissertation.....	26
a	Deadlines for submission of a masters thesis, research portfolio or dissertation	26
b	Submitting a masters thesis or research portfolio	26
c	Deposit of digital copy.....	26
d	Submitting a dissertation	27
7.2	Doctor of Philosophy, Doctor of Medicine and Doctor of Education.....	27
a	Make an appointment.....	27
b	Copies for examination.....	27
c	Statutory declaration as to originality.....	27
d	Hardbound copies	28
e	Deposit of digital copy	28
7.3	Doctor of Clinical Psychology	29
7.4	Doctor of Fine Arts, Doctor of Music and Doctor of Musical Arts	29
7.5	Higher Doctorates.....	29
8	Library Matters.....	30
8.1	Deposit of Theses in the Library.....	30
8.2	Author's Rights.....	30
a	Reproduction.....	30
b	Copyright.....	30
c	Restrictions on access (embargoes).....	30
8.3	Failed Works.....	30
9	Selected Bibliography.....	31
10	Useful Websites	32
	Thesis Submission Checklist for Students	33
	Checklist for Supervisors/Heads of Department.....	34

1 Introduction

A thesis or dissertation is the written report of a research study undertaken in fulfilment or partial fulfilment of a graduate degree such as a doctorate, masters degree, bachelors (honours) degree, or a postgraduate diploma. It is an undertaking that allows you to explore areas or problems in detail, and develop and utilise your thinking and analytical skills. Your thesis or dissertation should demonstrate a capacity for independent thinking, contribute to existing scholarship and must meet international standards for such scholarly research.

Before embarking on your research, you should consult the current University of Auckland Calendar regulations applicable for your degree, the Academic and General Statutes and Regulations (which include the General Regulations – Masters Degrees, the General Regulations for Named Doctorates, and the Examination Regulations, as well as the Doctor of Philosophy and Higher Doctorates regulations). These are available on the University of Auckland website: www.calendar.auckland.ac.nz.

PhD students should also refer to the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)*.

Policy and Guideline documents for thesis and dissertation candidates can be found at: www.auckland.ac.nz/uoa/home/for/current-students/cs-current-pg/cs-current-pg-policies.

If you are undertaking a named doctorate, please refer to the *University of Auckland Calendar* (www.calendar.auckland.ac.nz).

All research students should consult the Student Charter: www.auckland.ac.nz/uoa/pid/lang/en/cs-student-charter. The Student Charter represents a philosophical understanding between the University and its students, and is aimed at preventing problems before they occur. It provides information about student rights and responsibilities, and clarifies the responsibilities of the University.

2 Where can I get help?

If you require assistance with the presentation and submission of your thesis or dissertation, your supervisors and department/faculty are your principal sources of support. However, several other service divisions at the University are also able to assist you. Sources of support are outlined below.

2.1 Your Supervisor

The responsibility for the submission of your thesis is yours (Senate Guidelines on Thesis Supervision – www.auckland.ac.nz/uoa/cs-pg-doc-theses-dissertations); however, the decision as to when it is ready is crucial, and you should seek and heed guidance from your supervisor. The final stage of the thesis is demanding and you are likely to need supervisory support and expertise as you prepare to submit.

2.2 Departmental Graduate Adviser

The Departmental Graduate Adviser is another expert who may be able to give you advice about departmental or disciplinary requirements for the presentation of your thesis or dissertation. Should any difficulties arise at the completion phase that you cannot resolve with your supervisor, the Departmental Graduate Adviser is able to give advice and direction.

2.3 Faculty Student Centre

Staff at Faculty Student Centres can help you plan your programme and clarify the requirements of your degree. See www.auckland.ac.nz/uoa/faculty-student-centres for information about your Faculty Student Centre.

2.4 School of Graduate Studies

The School of Graduate Studies and postgraduate student advisers are located at the Graduate Centre. Staff can advise you on regulations, doctoral/masters administration, examination processes, thesis submission, dispute and appeals procedures, and the role of the Board of Graduate Studies.

The Graduate Centre is located in the East Wing of the ClockTower, 22 Princes St, City Campus and is open from 8.30am to 5pm each weekday. Telephone 373 7599 ext 81321, email postgraduate@auckland.ac.nz, or alternatively visit the website (www.postgrad.auckland.ac.nz).

2.5 Libraries and Learning Services

Libraries and Learning Services staff can assist with literature searching, writing theses and dissertations and many other areas of postgraduate study.

Contact a Subject Librarian or visit the website www.library.auckland.ac.nz to get help with literature searching. The Theses and Dissertations page, www.library.auckland.ac.nz/thesis/ provides advice on how to search for local and international theses.

The Student Learning Services team provides workshops, online resources and advice on most aspects of the thesis and dissertation writing process, including research and data analysis, critical analysis in the literature review, self-management, computing and presenting at conferences. Details of the postgraduate courses and resources provided by Student Learning Services can be found at www.library.auckland.ac.nz/student-learning/.

Within Student Learning Services the English Language Enrichment (ELE) team can provide online and face-to-face advice for students who want assistance with academic English. Visit www.library.auckland.ac.nz/ele/ for more information.

Information about Libraries and Learning Services courses specifically for doctoral students can be found on the Doctoral Skills webpage at www.auckland.ac.nz/uoq/cs-dsp.

2.6 Computing Services

IT literacy is an essential aspect of writing a thesis. The University of Auckland provides a range of IT services to assist you with your course of study. Consult Student IT Essentials on the University website for further information:

www.auckland.ac.nz/uoq/home/for/current-students/cs-student-it-essentials

Otherwise, you may obtain assistance from the computer support person for your department or telephone the Information Commons Helpdesk on 373 7599 ext 82333, email ichelpdesk@auckland.ac.nz.

3 Integrity in Research

3.1 Applying for Ethics Approvals

If your thesis research involves human participants or animals in any way, you must obtain ethics approval from the University of Auckland Human Participants Ethics Committee, the relevant New Zealand Health and Disability Ethics Committee, or the Animal Ethics Committees. Discuss with your supervisor the appropriate way to document your ethics approval within your thesis. Guidelines can be downloaded from the University website: www.auckland.ac.nz/uoa/re-ethics.

3.2 Avoiding Plagiarism

In any thesis, dissertation, report or project, unacknowledged copying or plagiarism is not acceptable. Plagiarism is defined as follows:

Plagiarism means using the work of others in preparing an assignment and presenting it as your own without explicitly acknowledging – or referencing – where it came from. Plagiarism can also mean not acknowledging the full extent of indebtedness to a source. Work can be plagiarised from many sources including books, articles, the internet, and other students' assignments. Plagiarism can also occur unconsciously or inadvertently. Direct copying is definitely plagiarism. Paraphrasing of another work without attribution is also plagiarism. Submitting someone else's work or ideas without acknowledgement or attribution is not evidence of your own grasp of the material and cannot earn you marks.

Thesis and dissertation candidates are governed by the University's Student Academic Conduct Statute, which defines 'academic misconduct', explains the procedures for investigating claims of academic misconduct, and outlines the penalties for students found guilty of academic misconduct.

The Academic Integrity Course provides information about academic integrity at university, avoiding academic dishonesty, acknowledging the work of others, using copyrighted material correctly and the consequences of academic dishonesty at the University of Auckland. Further information can be found at www.auckland.ac.nz/uoa/home/about/teaching-learning/academic-integrity including a link to the University of Auckland Academic Integrity Course.

In addition, the Doctoral Skills Programme offers a session on Citing and Avoiding Plagiarism (www.auckland.ac.nz/uoa/cs-dsp). Students may also wish to submit a final draft of their thesis or dissertation through Turnitin (see next section for further information).

3.3 Turnitin

Turnitin is a web-based originality checking service that is used by many universities worldwide. When a student's work is submitted to Turnitin it is matched against millions of internet pages, electronic journals, books, and a database of all previously and concurrently submitted assignments. Turnitin then generates an originality report providing a summary of matching or similar text found in the submitted work. Turnitin can be used to check sources have been correctly acknowledged and cited. The student should ensure that, irrespective of the results of the Turnitin originality report, all copyright requirements as well as the University's standard on avoiding plagiarism are met.

Masters and doctoral students who wish to submit a draft of their theses through Turnitin can either arrange this through their supervisor, or contact the Graduate Centre (postgraduate@auckland.ac.nz). Students who use Turnitin through the Graduate Centre will be sent the required course code and password and will have full access to the originality report for their work. The originality report will not be made available to anyone else and will not be used for any other purpose. Students may wish to discuss the originality report with their supervisor, or refer to the Turnitin website for information on understanding their originality report.

Additional information on Turnitin is available from:

www.auckland.ac.nz/uoa/home/about/teaching-learning/academic-integrity/tl-turnitin-for-students
www.turnitin.com

3.4 Using copyright material other than your own

While you are permitted under the Copyright Act 1994 to copy another person's copyright work (third party copyright) and include this copy in a live, printed or digital format with your thesis for the purposes of examination, this exception does not apply if you "publish" or "communicate" your thesis to the public by way of the internet or live exhibition/performance.

If your thesis is to be deposited as a digital copy into ResearchSpace it becomes a "commercial publication"¹ under section 11 of the Copyright Act because it has been posted on the internet and made "available to the public".

Prior written permission to allow your thesis to be made publicly available must be obtained from the copyright owners (this will include the publisher of your own work if you have assigned copyright to them or granted them an exclusive licence to publish) where:

- a "whole work" is copied – a poem, diagram, chart, graphic or image is considered to be a "whole work" and is not just a part of the publication from which it has been taken; or
- a substantial part of a work has been copied – a copy of a part of a work is considered substantial if it represents the essence or an important or significant part of that work;² or
- you have collaborated with another person to create a copyright work which is jointly owned; or
- where you have permission to use a work for one purpose (for example, a performance) and you now wish to include a recording of that work in your thesis i.e. the permission does not cover the use of the work for another purpose.

Note that works on the internet are likewise protected by copyright.

You do **not** need the permission of the third party copyright owner if:

1. copyright has expired – 50 years from the death of the author (section 22);
2. the third party work copied or used is not protected by copyright – see the paragraph headed "No Copyright" below for further details;

1 "Commercial publication" in relation to a literary, dramatic, musical or artistic work, means the publication of the work consisting of...(b) Making the work available to the public by means of an electronic retrieval system;...(section 11)

2 A substantial part does not necessarily relate to the amount copied but rather the quality: Vanilla Ice sampled less than 3 seconds of the most identifiable riffs from David Bowie and Queen's song Under Pressure without consent or licence which apparently resulted in an out of court financial settlement, see: <http://www.benedict.com/Audio/Vanilla/Vanilla.aspx>.

3. copying is permitted under the Act – e.g. abstracts of scientific and technical articles (section 71); buildings and sculptures on public display (section 73); literary or artistic works relating to medicines imported by the Crown (section 76);
4. use clearly falls under one of the fair dealing exceptions in the Act such as fair dealing for the purpose of criticism and review (section 42);
5. the author has made the work available under a licence which permits the use you intend to make of the work.

Before you rely on any of these exceptions to copy a work without permission of the copyright owner, you must read a fuller explanation of permitted uses of the above which is set out below.

Note that where you are copying or using another person's work you must fully attribute those copyright works or you will be in breach of the original author's "moral rights" which are protected under the Copyright Act and the University's policies on plagiarism.

a Copyright has expired

Material in which copyright has expired may be copied in full and dealt with freely by the public. Under current New Zealand law, the duration of copyright varies depending on the type of work protected. Note that if you intend publishing articles or a book overseas based on your thesis you may need to get permission to use work which is in the public domain in New Zealand, as in many other countries including Australia, the United States and Europe, copyright expires 70 years following the death of the author.

The duration of the term of copyright is as follows:

- **Literary³, dramatic⁴, musical⁵ or artistic works⁶** remain copyright protected until the end of the period of 50 years from the end of the calendar year in which the author dies (section 22).
- **Sound recordings and films** remain protected for 50 years from the end of the calendar year in which the film is made or made available to the public whichever is later (section 23).
- **Communication works⁷** remain protected for 50 years from the end of the calendar year in which the work is first communicated to the public (section 24).
- **Typographical arrangement** or copyright in the layout, typically a published book or journal, remains protected for 25 years from the end of the calendar year in which the work was first published. Thus, new copyright protection attaches to each new typographical arrangement of a work; so that material contained within a new typographical arrangement of a book is subject to the copyright protection the book enjoys. That work may not be copied or dealt with unless it is done so under a licence or with the express permission of the rights holder, normally the publisher (section 25).

3 "Literary work" means any work, other than a dramatic or musical work, that is written, spoken, or sung; and includes (a) a table or compilation; and (b) a computer programme.

4 "Dramatic work" includes (a) a work of dance or mime; and (b) a scenario or script for a film.

5 "Musical work" means a work consisting of music, exclusive of any words intended to be sung or spoken with the music or any actions intended to be performed with the music.

6 "Artistic work" means (a) (i) graphic work, photograph, painting, sculpture, collage, or model, irrespective of artistic quality; or (ii) a work of architecture, being a building or model for a building; or (iii) a work of artistic craftsmanship...

7 "Communication work" means a transmission of sounds, visual images, or other information, or a combination of any of those, for reception by members of the public, and includes a broadcast or a cable programme.

- **Works of unknown authorship** – if it is not possible to ascertain the identity of the author by reasonable enquiry and it is reasonable to assume that the author has been dead for 50 years and copyright has expired, you may freely use the work.

DigitalNZ has created an easy reference guide “Copyright terms and the public domain in New Zealand” for anyone wanting to know what was out of copyright in New Zealand as of 1 January 2011. The guide is available on the DigitalNZ website at:

<http://makeit.digitalnz.org/guidelines/enabling-use-reuse/public-domain-guide/>

b Copying under licence

Works posted on the internet are protected by copyright. Unless the author has clearly stated that you are permitted to copy the work and post it on the internet then you may only copy that work to the extent permitted under the Copyright Act 1994.

The author may also make a work available under a licence such as a Creative Commons licence. Creative Commons licences allow creators (licensors) to retain copyright while allowing others to copy, distribute, and make some uses of their work providing they give the licensor credit for their work.

Creative Commons offers 6 main licence types. Providing the licence permits you to copy the original work and distribute it online you may include that work in your thesis. More information about creative commons licences can be found at www.creativecommons.org/nz/licences/.

c Fair dealing for criticism and review

Fair dealing means a use which is reasonable. There is no clear formula for the amount which can be copied for the purpose of criticism and review. This will depend on the particular circumstances of the use. The courts have held that the following factors will determine whether or not a use is fair:

- the number and extent of quotations and extracts from the work copied – too many quotes, and quotes which are too long, are unlikely to be considered fair;
- whether the proportion of the work quoted or the number of images copied is more than is necessary to criticise or review the work – long extracts and short comments will not be considered fair;
- the degree to which the use competes with the work copied, so, for example, if the use would reduce demand for and affect sales of the work copied;
- in some instances whole works may be copied – for example if a work of art or a short poem was being criticised or reviewed;
- a court would be less likely to consider that copying for criticism or review is “fair” if a work is unpublished and not in the public domain or widely distributed;
- the copying must be for criticism, but need not be of the work criticised or reviewed. It may be permissible to copy a work for the purpose of illustrating certain points in relation to the work being criticised;
- criticism may extend to the ideas underlying the work.

Any works copied under this provision of the Act must be accompanied by sufficient acknowledgment. This means the work must be identified by its title or other description and by its author unless the work has been published anonymously or it is not possible by reasonable enquiry to ascertain who the author is.

d No copyright

Under section 27 of the Copyright Act no copyright exists in any of the following New Zealand works which may be copied freely:

- Bills and Acts of Parliament
- Regulations and Bylaws
- Reports of Select Committees
- New Zealand Parliamentary Debates
- Judgments of any New Zealand court or tribunal. Note: Head notes are protected by copyright and may not be copied without permission
- Reports of New Zealand Royal Commissions, Commissions of Inquiry, Ministerial Inquiries or Statutory Inquiries.

Note: This does not extend to legislation, judgments or reports from outside New Zealand.

e Copying permitted

Under the Copyright Act the following works may be copied without infringing copyright:

- abstracts of scientific or technical articles accompanying an article in a periodical indicating the contents of the article (section 71);
- buildings and sculptures permanently on public display may be drawn, photographed or filmed (section 73) – this does not extend to copying someone else’s graphic image, photograph or film of a sculpture or building on public display, as a separate copyright will exist in the graphic image, the photograph or film itself, which will belong to the artist, photographer or filmmaker;
- text or images relating to a medicine imported by the Crown and published overseas by the copyright owner (section 76). For example copying a photograph published overseas of a medicine imported by PHARMAC or a DHB would not breach copyright in the photograph.

3.5 Collaboration

If you are intending to include a video or a sound recording of a performance in your thesis there may be a number of different authors each of whom owns copyright in different aspects of the performance and the recording.

Copyright law protects not only the work of the traditional authors of literary, musical or artistic works, but authors such as:

- in the case of computer generated literary, dramatic, musical, or artistic works, the person who undertakes the necessary arrangements for the creation of the work;
- in the case of a sound or video recording, the person who undertakes the necessary arrangements for the making of the recording and the person who undertakes the editing or the compiling of recordings into a final output;

- in the case of a “communication work” (communication works are a “transmission of sounds, visual images, or other information” made available on the internet or a broadcast or cable programme), the person who makes the communication work;
- performers, whether they be actors, musicians, dancers or others who have deliberately contributed through their presence within the performance/exhibition or recording;
- costume and set designers, choreographers, dramaturgs or others who have deliberately contributed concepts and conceptual materials to the performance/exhibition or recording.

If your thesis includes a film or a sound recording of a performance, you will need to have permission from each of the “authors” before the thesis is posted in ResearchSpace.

Each of the “authors” will also retain copyright in their own performance and that copyright will be infringed by a person who, without the author’s consent, makes a recording of the whole or any substantial part of a performance and communicates that recording to the public. Posting your recording of a performance in ResearchSpace without the author’s consent will be a breach of copyright. Specific contributions by individuals should be recorded in the Co-Production Form.

3.6 Commissioning

Under current New Zealand law, you are the owner of copyright of any work you produce and can use that work as you wish, unless there is an agreement to the contrary where you commission and pay, or agree to pay for, the taking of a photograph or the making of a computer programme, painting, drawing, diagram, map, chart, plan, engraving, model, sculpture, film or sound recording and the work is made as a result of that commission. If you are commissioning someone to create a work for you, you must check any written agreement you are asked to sign to ensure that you retain copyright.

Note that the commissioning rule does not apply to literary works or musical works, so if you have commissioned someone to produce music or text for inclusion in one of your works you will need to ensure that copyright in the work is either assigned to you in writing or is licensed to you to enable you to include it in your thesis and post it in the University’s digital repository.

If you are not paying for the work and the creator is gifting the work to you, then to be an effective assignment, the work will have to be assigned by way of a deed. This means the assignment must be signed and the signature must be witnessed. A nominal sum is generally sufficient consideration.

In summary, where you are commissioning and paying another person to produce a work which will form part of your submitted thesis you will own the copyright in that work unless it is a musical work or a literary work. If you do not own copyright then you must ensure that you have a licence to use that work, or that the copyright in that work has either been assigned or licensed to you.

3.7 Joint ownership

A work of joint authorship will arise if you have collaborated with one or more persons to jointly create a work. For it to be a work of joint authorship, the contribution of each author is not distinct from the other authors.

If the work is a work of joint authorship you will own the copyright in that work jointly with that person or persons. This means you cannot copy or publish that work without the written permission of your co-author(s). Specific contributions by individuals should be recorded in the Co-Authorship Form.

3.8 Obtaining permission

Obtaining permission to use a copyright work requires that you enter into an agreement with the rights owner(s) of that work. This agreement must give you the right or licence to use the work.

Getting permission requires you to undertake the following steps before your thesis or dissertation can be placed in ResearchSpace:

1. determine that the work is protected by copyright;
2. identify the rights owner(s);
3. contact the owner(s) and negotiate whether payment is needed; and
4. get each permission in writing.

If you are unsure whether you need to obtain written permission you will need to check with your supervisor or Head of Department. A draft letter which can be used for approaching copyright holders for permission is provided on page 11.

If you have been unable to obtain permission to reproduce material, you may consider placing that material in a separate section of your thesis which can then be suppressed from public view or the whole text of the thesis can be suppressed. These different access options can be selected on the online deposit form.

SAMPLE LETTER:

Dear [insert name of owner or authorising person]

I am a postgraduate research student in the Department of [name] at the University of Auckland. I am seeking permission to use the following copyright material in my [thesis/dissertation] entitled [title of thesis or dissertation] for the purposes of examination and subsequent deposit in the University of Auckland’s publicly available digital repository, ResearchSpace:

- [Insert description and source of material for which permission is sought].

If you are happy to grant permission, please sign the authority at the bottom of this letter and return a copy to me. You may also add specific instructions regarding the attribution statement that I will include in my [thesis/dissertation], and any additional terms and conditions that you require.

If you wish to discuss the matter further, please contact me at [insert email address] or telephone [insert number].

Thank you for your consideration of this request.

Yours sincerely

[Name]

Permission

I, as Copyright Owner (or the person with authority to sign on behalf of the Copyright Owner) of the material described above, grant permission for [name of student] to copy the material as requested for the stated purposes, with no further action required.

Signed: Date:

Attribution statement

Please note any specific instructions you would like included in my acknowledgement of Copyright Ownership:

Terms and conditions

Please note any terms and conditions of the permission:

3.9 Third party editing

Many masters and doctoral candidates have their theses or dissertations reviewed by third parties, including professional editors. Such third parties must make no contribution to the intellectual content of the thesis or dissertation, or be involved in rewriting text. Their role is confined to advice on editorial changes, as specified in the document *Third Party Editing and Proofreading of Theses and Dissertations* (www.auckland.ac.nz/uoa/cs-pg-doc-theses-dissertations).

It is the candidate's duty to convey the policy and guidelines to third parties (including any professional editor) engaged in checking the final version of the thesis or dissertation. Candidates must acknowledge in their thesis or dissertation any contribution by a third party, in accordance with this document.

4 Style and Format

The following are basic recommendations for setting up the text of your doctoral thesis. Many of the recommendations on style and format are also relevant to masters theses, dissertations and other research work; however you must consult your own departmental guidelines because these may vary.

4.1 Backing up your work

The importance of backing up your work cannot be over-emphasised. Back up your computer files regularly, name the different versions of your documents appropriately, and keep these copies in a separate safe location. It is also a good idea to retain copies of collected data, notes, drafts and any other material that might be necessary to reconstruct your thesis in the event that something goes wrong.

4.2 Proofreading

Careful proofreading for grammar, punctuation, spelling and general consistency is essential. Do not rely on the spellchecker in your programme to pick up errors. It is also a good idea to have someone else read through your work to pick up any mistakes that you may have overlooked (see section 3.9 on third party editing). A high standard of presentation is very important, so allow plenty of time for this before you submit your work. A practical guide to punctuation is Jenny Buxton, Susan Carter and Sean Sturm, *Punc rocks: Foundation stones for precise punctuation*, 2nd edn, Auckland: Pearson New Zealand, 2012.

4.3 Language

A doctoral thesis is to be presented in English unless otherwise approved by the Board of Graduate Studies at the time of registration. Candidates wishing to present and defend a thesis in Māori must, before applying to the Head of Department to be registered, obtain the permission of the Pro Vice-Chancellor (Māori). For detailed regulations governing the language of doctoral theses, refer to the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)*, Clauses 4g(v), 4o and 8f (www.auckland.ac.nz/uoac/cs-pg-doc-phd-statute).

Applications to submit a masters thesis, honours dissertation, or other postgraduate research work in a language other than English or Māori must be made at the initial stage of enrolment, through the supervisor and Head of Department to the Board of Graduate Studies.

All applications will be considered on a case-by-case basis. Generally, an application will be granted only where the Board is satisfied that the field of study and topic make this essential, and that suitable examiners will be available for the examination. It is unlikely that permission would be granted merely on the grounds that a student's first language is not English.

4.4 Word length

One of the skills of completing a thesis or dissertation is writing within the word length. This is one of the factors that examiners consider as they mark your work. Examiners are reluctant to examine theses that exceed the maximum length, and are within their rights to refuse to examine those pages that exceed the agreed word limit. The word lengths stated below include appendices, footnotes and the reference list.

PhD theses may not, without the prior permission of the Board of Graduate Studies, exceed 100,000 words in total, or 60,000 words in total when accompanied by a corpus of creative work by a candidate enrolled in a creative arts or design discipline. The approximate number of words will vary considerably across disciplines, and according to the topic and the other means of conveying thought such as charts, formulae etc. Your supervisor will be able to advise you on what would be expected normally.

Where the core of the thesis comprises a series of published or unpublished research papers and/or case studies, the candidate must be the lead or sole author of each paper or case study and have written the text, and must provide a contextual framework and concluding discussion. The range and focus of this material shall generally correspond with the introductory and concluding chapters of a thesis. The thesis must be presented in a consistent format, citation style and typeface. See the Guidelines for Including Publications in a Thesis for more information: <http://www.auckland.ac.nz/uoq/cs-pg-doc-theses-dissertations>.

The total length of a 120 point masters thesis is usually around 35,000–40,000 words including an abstract of 350 words. However it is important to check with your supervisor/departmental graduate adviser for individual departmental requirements, which may vary.

Departmental guidelines on the length of dissertations also vary and it is essential that you consult your supervisor/departmental graduate adviser. As a general guide, a 30 point dissertation is around 10,000–12,000 words, and a 60 point dissertation around 15,000–20,000 words in length.

4.5 Page size

The recommended page size is A4.

4.6 Margins

A binding margin of at least 19mm is required on the left for the spine, and at least 15mm margins on the three remaining sides. If printing double-sided, “mirror margins” must be used. All written and illustrative material, including headers, footers, footnotes and page numbers, must fall within these margins to allow for trimming during binding.

4.7 Typeface

Clear, easily readable, standard True Type fonts in black should be used (these fonts are used on both screen and printer). The recommended font styles are 12 point Times New Roman or 10 point Arial. Footnotes may be of a smaller font size.

4.8 Paragraphing and line spacing

Paragraph and line spacing, as well as some other specific details, are usually a department-specific requirement. First line indent or flush left aligned first line are both acceptable. Line spacing should be no less than 1½ line space and no more than double line space, with the exception of longer quotations, footnotes, material in tables/figures and the bibliography/list of references (which may be single line spaced).

4.9 Quotations

The format of quotations is usually a department-specific requirement. As a guide, in-text quotations of three lines or longer should appear as separate paragraphs, indented 10mm from the left-hand margin throughout the passage with quote-marks omitted.

4.10 Footnotes

For those who are using footnotes, Arabic numerals are used consecutively throughout a chapter, and should normally appear at the bottom of the relevant page, keyed to the same number following the word or phrase in the text to which it refers. If a footnote is too long for the relevant page, it may be continued on the following page preceding the footnotes for that page. If the number of footnotes is very large, numbers may be restarted with each chapter. The first reference to a work in a footnote should be given in full, but subsequent references may be abbreviated using “ibid.”, “op.cit.” and so on, as appropriate. This is dependent on the referencing style used and departmental requirements.

4.11 Page order and pagination

Page numbers should be located in a consistent position throughout the thesis (either bottom right-hand corner or centre is recommended). The recommended order of material in a thesis is as follows:

Elements of a thesis	Pagination
a Library Thesis Consent Form	<i>Not counted and not numbered</i>
b Title page	<i>Counted but not numbered</i>
c Abstract	<i>Numbered in Roman numerals</i>
d Dedication (<i>optional</i>)	
e Preface and/or acknowledgements	
f Table of contents	
g Lists of tables, figures, etc (<i>optional</i>)	
h Glossary (<i>optional</i>)	
i Co-Authorship and/or Co-Production Forms (for PhD students)	
j Main text of thesis or dissertation	<i>Numbered in Arabic numerals starting at 1</i>
k Appendices (<i>optional</i>)	
l Bibliography/List of references	

4.12 Elements of a thesis or dissertation

Theses may take different forms:

Monograph

The thesis or dissertation may be written as a traditional monograph.

You may include published or unpublished research papers and/or case studies within your thesis, provided that you are the lead or sole author of each paper or case study and wrote the text. If you are not the sole author of any of the papers or case studies, a Co-Authorship Form must be completed.

In the case of published or unpublished research papers and/or case studies that you have contributed to but are not the sole or lead author of, you may report in your thesis your contribution to the research with due reference to the original paper and/or case study. These research papers and/or case studies should be listed in the bibliography and a Co-Authorship Form completed for each co-authored work referred to. The co-authorship forms should then be included in each copy of the thesis.

In both cases, the thesis must be presented in a consistent format, citation style and typeface.

Thesis with publications

PhD candidates registered under the 2011 Statute may choose to write a thesis with publications.

Where a thesis includes published or unpublished research papers and/or case studies, these must have been conducted under supervision for this degree; you must be the lead or sole author of each paper or case study and have written the text. The thesis must be presented in a consistent format, citation style and typeface.

If the core of the thesis comprises submitted papers or work published during PhD enrolment, you must provide a contextual framework and concluding discussion. The range and focus of this material shall generally correspond with the introductory and concluding chapters of a thesis.

When writing a thesis with publications that involves co-authorship candidates must complete co-authorship forms signed by all authors. These are best completed as soon as the paper is submitted. An example of a Co-Authorship Form is included on page 17 and can also be accessed at the following link: www.auckland.ac.nz/uoq/cs-pg-doctoral-forms.

For more on the thesis with publications option see Guidelines for Including Publications in a Thesis: www.auckland.ac.nz/uoq/cs-pg-doc-theses-dissertations.

Thesis with creative practice

PhD candidates registered under the 2011 Statute may apply to undertake a thesis with creative practice. If the application is successful, the final thesis may not exceed 60,000 words in total plus a corpus of creative work. The thesis should be accompanied by a Co-Production Form signed by all those involved in each creative practice aspect of the thesis. These are best completed as soon as the work is produced. An example of a Co-Production Form is included on page 18 and can also be accessed at the following link: www.auckland.ac.nz/uoq/cs-pg-doctoral-forms.

Co-Authorship Form

Graduate Centre
 ClockTower – East Wing
 22 Princes Street, Auckland
 Phone: +64 9 373 7599 ext 81321
 Fax: +64 9 373 7610
 Email: postgraduate@auckland.ac.nz
www.postgrad.auckland.ac.nz

This form is to accompany the submission of any PhD that contains research reported in published or unpublished co-authored work. **Please include one copy of this form for each co-authored work.** Completed forms should be included in all copies of your thesis submitted for examination and library deposit (including digital deposit), following your thesis Acknowledgements.

Please indicate the chapter/section/pages of this thesis that are extracted from a co-authored work and give the title and publication details or details of submission of the co-authored work.

Nature of contribution by PhD candidate

Extent of contribution by PhD candidate (%)

CO-AUTHORS

Name	Nature of Contribution
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Certification by Co-Authors

The undersigned hereby certify that:

- ❖ the above statement correctly reflects the nature and extent of the PhD candidate's contribution to this work, and the nature of the contribution of each of the co-authors; and
- ❖ in cases where the PhD candidate was the lead author of the work that the candidate wrote the text.

Name	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Co-Production Form

This form is to accompany the submission of any PhD that contains co-produced creative practice components. **Please include one copy of this form for each part of this thesis that was co-produced.** Forms should be included in all copies of your thesis submitted for examination and library deposit (including digital deposit), following your thesis Acknowledgements.

Please indicate the creative practice component of this thesis that has involved co-production or creative collaboration and the title and public presentation details of the co-produced work.

Nature of contribution by PhD candidate

--

CO-PRODUCERS

Name	Nature of contribution and how it is expected to be attributed e.g. performed the choreography – attributed as "dancer"

Certification by Co-Producers

The undersigned hereby certify that:

- ❖ the above statement correctly reflects the nature and extent of the PhD candidate's contribution to this work, and the nature of the contribution of each of the co-producers

Name	Signature	Date

a Library Thesis Consent Form

This is provided to protect your rights as the author. Consent forms can be obtained from the Library website at <http://researchspace.auckland.ac.nz/docs/uoa-docs/thesisconsent.pdf>, the University of Auckland website, or from the Graduate Centre.

b Title page

Your thesis title should be centred in the top third of the title page, and should describe the content of your thesis accurately and precisely. Your full name should be centred in the middle of the title page. Information regarding the degree, subject, university, and date is centred in the lower third of the page. The preferred form of wording for the examination copies is “A thesis submitted in [partial] fulfilment of the requirements for the degree of [name of your degree] in [subject area], the University of Auckland, [year of completion]. This thesis is for examination purposes only and is confidential to the examination process”. The final copies (hard and digital) that are deposited in the Library should *not* have the words “This thesis is for examination purposes only and is confidential to the examination process.”

Where a degree consists only of a thesis (and no other coursework), the word ‘partial’ should be omitted. It is not usual to use the logo of the University on the title page of your thesis, as the thesis represents your own views which may not be the views of the University. For the same reason you do not name your supervisors or advisers on the title page of your thesis.

c Abstract

An abstract is obligatory for a thesis and should follow the title page. The abstract should be a succinct summary (no more than 350 words) of the aim, methods, findings and conclusions of your research. Your department may have specific guidelines on writing an abstract.

d Dedication

This is optional.

e Preface and/or acknowledgments

The preface may set out briefly the scope and purpose of the study, though the wording of the abstract may make this redundant. This section may include acknowledgments. However, if it is only acknowledgments, head the section as “Acknowledgments”. You should acknowledge people or institutions that have contributed to the content of your thesis. You must acknowledge third party editors if you engage them in accordance with the University of Auckland document Third Party Editing and Proofreading of Theses and Dissertations (www.auckland.ac.nz/uoa/cs-pg-doc-theses-dissertations).

f Table of contents

This should list chapter titles, normally in upper case, preceded by their numbers in Roman or Arabic numerals; any subheadings should be in lower case except as required for initial letters. It is recommended that no more than four levels of subheadings are included in the Table of Contents (chapter names are level 1 headings, subheadings of a chapter are level 2 headings, subheadings of subheadings are level 3, etc). Subsections of chapters may be numbered with Arabic numerals, or with letters in either upper or lower case.

If a thesis consists of more than one volume, the contents of the whole thesis should be shown in the first volume, and the contents of subsequent volumes in separate tables of contents in the relevant volumes.

g Lists of tables, figures, etc

This is optional. Lists of tables, figures, photographs, maps and illustrations should be numbered in Arabic numerals (1, 2, 3, etc). In each entry, the first letter of the first and all other significant words is capitalised.

h Glossary

This is optional. A glossary defines or explains specialised terms, symbols and abbreviations.

Any abbreviations or glossary/symbols used should be separately listed in this section, the abbreviated form starting from the left-hand margin, with the full form to its right, e.g.

A JHR *Appendices to the Journals of the House of Representatives*

ATL Alexander Turnbull Library, Wellington

NZPD *New Zealand Parliamentary Debates*

Any abbreviations used should conform to standards appropriate to the field or discipline of the thesis or dissertation; check with your supervisor or a librarian for the appropriate abbreviations in your discipline. Unless a particular title or name is cited repeatedly, it is preferable to use the full form rather than an abbreviation.

i Co-Authorship/Co-Production Forms

A Co-Authorship Form must accompany the submission of any PhD that contains co-authored work and include the names of any co-authors, as well as the nature of their contribution. Each co-author is required to sign the Co-Authorship Form. The Co-Authorship Form is available at the following link: www.auckland.ac.nz/uoq/cs-pg-doctoral-forms.

A Co-Production Form must accompany the submission of any PhD that contains co-produced creative practice components and include the names of any co-producers, as well as the nature of the contribution. Each co-producer is required to sign the Co-Production Form. The Co-Production Form is available at the following link: www.auckland.ac.nz/uoq/cs-pg-doctoral-forms.

Signed consent should be obtained as early as possible in your PhD to ensure that the material can be used and while co-authors/co-producers are available. At the time of submission, the consent forms are required to be bound into the soft-bound copies of the thesis for the examiner, as well as into the final hardbound copies.

j Main text of thesis or dissertation

The main text must be divided into a logical scheme that is followed consistently throughout the work. Chapters with subsections are the most common form of division. Any logical system of subdivision within chapters or sections appropriate to the field or discipline may be used, but the scheme must be consistent throughout the manuscript.

k Appendices

This is an optional section for any additional material that does not fit conveniently or appropriately in the body of the text. It is a good idea to include any confidential information required for the thesis into appendices where possible. Each appendix should be labelled in sequence, either with capital letters or with numerals.

l Bibliography/list of references

It is important that citations be consistent in style, though the system chosen will depend on your subject field and departmental requirements. Information on reference styles used at the University of Auckland can be found on Referen©ite, an academic referencing resource at www.cite.auckland.ac.nz.

Assistance with referencing and programmes for bibliographical references can be obtained from the Libraries and Learning Services (see section 2.5).

While a bibliography may list unpublished material separately from published material, in some disciplines it may be a single alphabetical list. It is often used to include not only sources cited in the thesis itself, but all important/relevant works consulted during the research, and which the author thinks that readers might wish to go on to consult. If it is likely to prove more helpful, such a bibliography may be divided into sections according to the type of material; primary sources preceding secondary, monographs preceding periodical articles, works by a particular author (if the subject of the thesis) followed by works about that author, and finally, studies relating to the topic in general.

A list of references should comprise a straight list of material cited in the text, arranged alphabetically by author.

5 Binding

The following are recommendations for the binding of masters and doctoral theses. Refer to your department's own guidelines for the binding of research portfolios, dissertations and other research work.

5.1 Paper

This must be of good quality, and of a suitable texture and weight for printing. Standard 80gsm A4 printing/photocopying paper is recommended. It is essential that all the contents of your thesis (text, photographs, maps, charts, diagrams, etc) fit within an A4 frame. Larger material may be folded, or contained in folders.

5.2 Images

Illustrations and diagrams should be scanned and incorporated into the electronic version of the document before printing wherever possible. If this is not possible, illustrations and diagrams should be produced on paper of a similar size and quality to the main text. When this is also not possible, they should be mounted on a heavier grade of paper than is used for the text to avoid wrinkling.

IMPORTANT: If you are using a diagram, chart, graphic or image from another publication, please refer to section 3.4 on third party copyright.

5.3 Folded Maps or Charts

These should be folded in one direction only, concertina fashion, so that they conform to the accepted page size. The fold should be no closer than 13mm to the edge of the typed page, since all edges are cut during the binding process (it is essential to point out all folded material to the binder). Special material of this type may also be included either as appendices, or in folders contained within the volume. In such cases, candidates should consult with their supervisor and their binder.

5.4 Additional Material

The submission of DVDs or other forms of media supporting your thesis may be permitted. Check with your supervisor or the Graduate Centre.

5.5 General Binding Requirements

A complete set of pages for all copies, with the pages in correct order, must be supplied to the binder. The maximum size for binding as one volume is 7cm or approximately 600 sheets.

For durability, the University Library prefers lumbecking⁸ in which the pages are bound with an adhesive, and not stapled. Binding margins of 19mm on the left-hand side are generally sufficient for lumbecked work, but this may vary with the thickness of the thesis and the type of binding used. If in doubt, consult your binder. The top, bottom and right side margins should be at least 15mm.

⁸ Lumbecking is a durable binding system used for brochures, books and other printing materials. The process is named after the bookbinder Emil Lumbeck (1886-1979).

The University requires the author's name and thesis title on the spine. It does not require a title or name on the front, although many students choose to include this. If the title needs to be abbreviated on the spine, give the binder instructions as to the exact wording required.

The University Bindery rates may be obtained from the Bindery, the Lending Desk in the General Library, or from the Bindery's website (www.library.auckland.ac.nz/bindery).

Three working days are needed to bind a thesis, if the thesis is delivered to the University Bindery.

Candidates should check in advance with their binder to ensure that adequate time is allowed, particularly if it is very close to the final submission date.

The University Bindery is located at 4 Neilpark Drive, Highbrook, East Tamaki (phone 09 278 2456; hours 8am to 4pm Monday to Friday). Non-urgent theses may be left with the Lending Desk in the General Library. Allow 3-4 working days for transport to and from the Bindery (i.e. a turnaround time of at least 7 working days) or considerably longer in the run-up to graduation ceremonies when all binderies experience heavy demand.

5.6 Binding a Masters Thesis

a Initial submission

All masters candidates are initially required to submit three copies of their thesis for examination in temporary binding. Submissions are made to the candidate's Faculty Student Centre. The preferred type of temporary binding is 'limp bound' (lumbecked, flexible cover, spine covered with binding cloth), but other temporary binding, such as spiral, may be acceptable. Candidates are also required to provide a digital copy of their thesis. The first page of these examination copies requires the following statement to the examiners:

"This thesis is for examination purposes only and is confidential to the examination process."

b Final submission

Within one month of being advised of the outcome of the examination, successful candidates must deposit a digital and a hard-bound copy of the thesis. The digital copy must be deposited in ResearchSpace as described in the following link: <https://researchspace.auckland.ac.nz/docs/uoa-docs/depositmasters.pdf>. When submitting the hard-bound copy, the student must provide the Faculty Student Centre with a copy of the email from ResearchSpace confirming that the digital copy has been deposited. The thesis must be hardbound in full library buckram⁹ with the candidate's name and the thesis title on the spine.

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

It is advisable to discuss with your binder any special requirements, particularly regarding overlays, binding material, and lettering.

⁹ Buckram is a stiff cloth used to cover and protect books

5.7 Binding a Doctoral Thesis

a Initial submission

All doctoral candidates are initially required to submit three copies of their thesis for examination in temporary binding. The preferred type of temporary binding is 'limp bound' (lumbecked, flexible cover, spine covered with binding cloth), but other temporary binding, such as spiral, may be acceptable. The first page of these examination copies requires the following statement to the examiners:

"This thesis is for examination purposes only and is confidential to the examination process."

b Final submission

On successful completion of the examination process, candidates who first registered in a PhD programme on or after 1 January 2007 are required to deposit two hardbound copies of the thesis (in full library buckram) and one digital copy, corrected as may be required. Students who first registered in a PhD programme prior to 1 January 2007 are required to deposit three hardbound copies of the thesis (in full library buckram), or two hardbound copies and one digital copy of the thesis, corrected as may be required. Print copies are to be bound in accordance with section 5.5.

The hardbound copies should be submitted to the Graduate Centre and the digital copy should be deposited in ResearchSpace using the online thesis deposit form found on <https://researchspace.auckland.ac.nz/>.

5.8 Binding Dissertations, Research Portfolios, etc

Binding and presentation requirements for dissertations, research portfolios, and other research work are specified by individual departments. These works are not normally deposited in the University Library. Please consult with your supervisor or department as to the binding and presentation requirements in your discipline.

6 Digital copies and ResearchSpace

For information on how to format your digital copy see [Guidelines for Formatting a Digital Thesis at <http://researchspace.auckland.ac.nz/docs/uoā-docs/guidelines.pdf>](http://researchspace.auckland.ac.nz/docs/uoā-docs/guidelines.pdf) (and FAQs).

ResearchSpace is an open access digital archive or institutional repository, managed by the Library, which promotes the research outputs of the University of Auckland. Doctoral and masters theses are deposited here, and the full text or, in some cases, abstract only can be searched directly at <http://researchspace.auckland.ac.nz/>. Doctoral theses deposited in ResearchSpace can also be accessed via a link from the record in the catalogue, are indexed worldwide by search engines such as Google, and are available directly via a permanent URL. Masters theses are normally only accessible to authenticated University of Auckland users.

Providing a digital copy of your thesis means that you can create a fully searchable and potentially media-rich digital document. Your doctoral research receives international exposure which may be beneficial for your future career.

7 Submission

It is highly desirable that your supervisor(s) have seen the final copy of your thesis/dissertation prior to submission and agree that you are ready to submit your work.¹⁰ Remember to allow sufficient time for your supervisor(s) to review the thesis/dissertation before your planned submission date.

7.1 Masters Thesis, Research Portfolio or Dissertation

a Deadlines for submission of a masters thesis, research portfolio or dissertation

Please refer to the *University of Auckland Calendar* for information regarding applicable submission dates.

b Submitting a masters thesis or research portfolio

Three temporary-bound copies and a digital copy of your thesis or research portfolio should be submitted for examination to the appropriate Faculty Student Centre. The digital thesis shall be formatted as specified in the Guidelines for Formatting a Digital Thesis at the University of Auckland.

At the end of the examination, you will complete any required minor corrections to the thesis (not applicable to research portfolios) to the satisfaction of your 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, but does not affect the grade already allocated to the thesis.

You need to deposit a digital copy of the final thesis (not applicable to research portfolios) to ResearchSpace as described in the following link: <https://researchspace.auckland.ac.nz/docs/uoa-docs/depositmasters.pdf> and submit a hard-bound copy of that thesis to the Faculty Student Centre. When submitting the hard-bound copy, you must provide the Faculty Student Centre with a copy of the email from ResearchSpace confirming that the digital copy has been deposited. The Faculty Student Centre will forward the print copy to the Library.

You must have a **signed** Library Thesis Consent Form bound into each copy of your hardbound thesis. The form can be obtained from <http://researchspace.auckland.ac.nz/docs/uoa-docs/thesisconsent.pdf> or the Graduate Centre.

c Deposit of digital copy

At the same time as submitting the examined, hard-bound print copy of your thesis, you are required to deposit a digital copy of the thesis, using the online form found at <https://researchspace.auckland.ac.nz/>. Digital theses should be converted to pdf if possible before deposit.

Instructions for depositing your digital copy are located at: <https://researchspace.auckland.ac.nz/docs/uoa-docs/depositmasters.pdf>.

Note that digital copies of masters theses are normally only accessible to authenticated members of the University.

¹⁰ Doctoral candidates enrolled prior to 1 January 2011 and submitting their theses for examination within 48 months from their date of first registration must have the endorsement/approval of their supervisor in order to be eligible for a Doctoral Completion Award.

d Submitting a dissertation

Dissertations should be submitted directly to the relevant departmental office for examination. Binding and presentation requirements for dissertations are specified by individual departments. Dissertations are not normally deposited in the University Library.

7.2 Doctor of Philosophy, Doctor of Medicine and Doctor of Education

This is a brief outline of important information that PhD, MD and EdD candidates need to consider before submitting their thesis for examination. Specific regulation requirements for submission of a PhD thesis are set out in Clause 8 of the *Statute and Guidelines for the Degree of Doctor of Philosophy (PhD)*. MD and EdD candidates follow the same procedures as PhD candidates for submission and examination.

a Make an appointment

You should consult with your supervisor(s) about the most suitable time to submit your thesis and notify the Graduate Centre three months in advance. You will then need to make an appointment with a student adviser at the Graduate Centre to come in and submit your thesis. Make the appointment a few days prior to your actual submission date. Submission takes around twenty minutes, during which time procedural checks are completed and you'll be advised about the examination process.

b Copies for examination

You are initially required to submit three hard copies of your thesis in temporary binding to the Graduate Centre. You may wish to consider providing your supervisor with a further copy of your thesis. You will also be asked to provide a digital copy for examination purposes.

c Statutory declaration as to originality

You must complete a Statutory Declaration form, witnessed by a Justice of the Peace, stating that this is your own work. This form is available from the University of Auckland website, or from the Graduate Centre, and must be submitted with your thesis.

You will normally be permitted to submit additional material, such as a DVD, provided that you acknowledge such material in the Statutory Declaration and that the declaration form is endorsed by your supervisor and Head of Department.

Where your thesis contains jointly authored research papers, case studies or any other work or production published or unpublished, the Statutory Declaration should state the extent to which the jointly authored or produced material is your own work. To satisfy copyright laws, you must supply evidence that all co-authors or co-producers have approved the inclusion of joint work through the inclusion of co-authorship or co-production forms.

d Hardbound copies

On advice from the Graduate Centre of the successful completion of your oral examination, you must deposit either three hardbound copies of your thesis with the Graduate Centre, or two hardbound copies with the Graduate Centre and a digital copy to ResearchSpace before a conferment of degree form will be issued (see section 5.7b). See <http://researchspace.auckland.ac.nz/> for instructions on the digital submission.

The Graduate Centre sends one of the hardbound copies of your thesis to your Head of Department. You may wish to consider providing your supervisor with a final copy of your thesis.

The final copies do not require the statement to the examiners to be included in them, but do require the inclusion of signed co-authorship or co-production forms.

Make sure you have a **signed** Library Thesis Consent Form bound into each copy of your hardbound thesis. This form can be obtained from <http://researchspace.auckland.ac.nz/docs/uoa-docs/thesisconsent.pdf>, or from the Graduate Centre.

e Deposit of digital copy

You will need to deposit a digital copy of your thesis using the online form found on: <http://researchspace.auckland.ac.nz/>.

Digital theses should be converted to pdf if possible before deposit. Full instructions, including information on alternative deposit options, are available at: <http://researchspace.auckland.ac.nz/docs/uoa-docs/submission.pdf>.

The thesis will be stored in ResearchSpace. Note that ResearchSpace is an Open Access repository and that **generally material will be freely available to other researchers**. If you are intending to publish your thesis as a book or article in a scholarly journal and have concerns about your material being accessible before publication, during the deposit process you may wish to choose Campus Access Only.

If your thesis contains confidential or sensitive material it may be appropriate to apply for it to be embargoed. Both the Campus Access Only and Embargo options are for a limited period of time. Further details may be found on the Library website at the following link: <https://researchspace.auckland.ac.nz/docs/uoa-docs/thesesfaqs.htm#thesesfaqs5>. In the event you would like to request an embargo on your thesis, please see section 8.2c for further information.

Submission of the two hardbound copies and digital copy of the doctoral thesis, must be accompanied by a Statutory Declaration form, witnessed by a Justice of the Peace, stating that the hardbound copies and the digital copy are the same. This form is available from the University of Auckland website, or from the Graduate Centre, and must be submitted with your thesis.

7.3 Doctor of Clinical Psychology

The thesis requirements for the DClInPsy are the same as those for the Doctor of Philosophy with the following exception. Three copies of the Portfolio of Clinical Research are submitted for examination, as separate items, with the three copies of the thesis in temporary binding. For further information, candidates are advised to consult the *University of Auckland Calendar* regulations, their supervisor, the Psychology graduate adviser or the Graduate Centre, email postgraduate@auckland.ac.nz, or telephone 373 7599 ext 81321.

7.4 Doctor of Fine Arts, Doctor of Music and Doctor of Musical Arts

DocFA, DMus and DMA candidates have special submission requirements. Candidates are advised to consult the *University of Auckland Calendar* regulations for the particular degree for which they are being examined. Further information can be obtained from your supervisor, departmental graduate adviser or the Graduate Centre, email postgraduate@auckland.ac.nz, or telephone 373 7599 ext 81321.

7.5 Higher Doctorates

The University offers doctorates in Literature (LittD), Science (DSc), Law (LLD), and Engineering (DEng). As at other universities, these are primarily designed for graduates of the University who have subsequently published original work that has, over a period of time, given them authoritative international standing in their field. Higher doctorates are awarded rarely and only after rigorous examination of a substantial and significant body of material. Candidates are advised to consult the *University of Auckland Calendar* regulations of the particular degree for which they are applying to be examined. Guidelines for Candidates of Higher Doctorates can be found at: www.auckland.ac.nz/uoq/cs-pg-higher-doctorates. For further information please email the Graduate Centre at postgraduate@auckland.ac.nz, or telephone 373 7599 ext 81321.

8 Library Matters

8.1 Deposit of Theses in the Library

On successful completion of the examination of your thesis one copy will be deposited in the University Library by the relevant Faculty Student Centre for masters students, and one or two copies by the Graduate Centre for doctoral candidates. The first hardbound copy remains in the Library for reference purposes; the second copy (if hardbound) may be borrowed by members of the Library, or may be sent to other libraries on inter-library loan. If the second copy is digital, then this will be freely accessible online for doctoral theses unless you have requested restrictions on access; masters theses are normally only accessible to authenticated members of the University.

8.2 Author's Rights

a Reproduction

As the author of your thesis you have a right to impose conditions restricting the reproduction of your work using the Library Thesis Consent Form. Unless you specify otherwise, the University Librarian has the right to make and supply copies in terms of section 56 of the Copyright Act 1994.

b Copyright

In general, matters of copyright are governed by the provisions of the Copyright Act 1994. Copyright of your thesis normally belongs to you, as the author, though in some circumstances this may be varied. Refer to:

<https://policies.auckland.ac.nz/policy-display-register/intellectual-property-created-by-staff-and-students-policy.pdf>

Third party copyright: If you have received permission to use third party copyright material (i.e. copyright material other than your own) you will need to have included copies of permissions when you deposit your digital copy.

c Restrictions on access (embargoes)

A thesis will normally be available for public consultation unless there are compelling reasons for restricting access to it. A period of embargo may apply to theses that contain material that is confidential or sensitive, but will normally be limited to a maximum of 2 years. Applications for embargoes are to be made through the Supervisor and Head of Department to the Dean of Graduate Studies using the Thesis Embargo Form (www.auckland.ac.nz/uoq/cs-pg-doctoral-forms). Neither digital nor hard copies will be accessible during the period of the embargo. Other access options for digital PhD theses may be requested as part of the deposit process (see section 7.2e).

8.3 Failed Works

Where a thesis or dissertation has failed the examination, that thesis or dissertation is not deposited in the University Library. Note also that where a thesis or dissertation has passed, but all requirements for the degree have not been met, the thesis or dissertation is not deposited in the University Library.

9 Selected Bibliography

The titles listed below are all held in the University Library; specific locations and call numbers are available on Library Search.

For advice on succeeding with your thesis, these books are recommended:

Evans, D. G. and Paul Gruba. *How to write a better thesis*. 2nd edn, Carlton: Melbourne University Press, 2002.

Manalo, Emmanuel, and Julie Trafford. *Thinking to thesis: a guide to graduate success at all levels*. Auckland: Pearson Longman, 2004.

Rudestam, Kjell Erik, and Rae R. Newton. *Surviving your dissertation: a comprehensive guide to content and process*. 3rd edn, Los Angeles: Sage Publications, 2007.

These books will help you with style and formatting:

Buxton, Jenny, Susan Carter, and Sean Sturm. *Punc rocks: Foundation stones for precise punctuation*. 2nd edn, Auckland: Pearson New Zealand, 2012.

The Chicago manual of style. 16th edn, Chicago: University of Chicago Press, 2010.

Publication manual of the American Psychological Association. 6th edn, Washington, DC: American Psychological Association, 2010.

10 Useful Websites

The University of Auckland	www.auckland.ac.nz
School of Graduate Studies	www.postgrad.auckland.ac.nz Information for current postgraduate students. Policies, guidelines and forms used by students and staff are found on this website, as well as contact details for School of Graduate Studies' staff located at the Graduate Centre.
Doctoral Skills Programme	www.auckland.ac.nz/uoa/home/for/current-students/cs-current-pg/cs-dsp Courses can be booked at: www.library.auckland.ac.nz/booking/doctoral/index.asp
IT Services and Resources	www.auckland.ac.nz/uoa/home/for/current-students/cs-student-it-essentials This site provides information and access to the range of student information technology services and support at the University.
Libraries and Learning Services	www.library.auckland.ac.nz The Library homepage provides access to the University Library's electronic resources including Library Search, databases, and information about services, including the very useful page Tutorials and Guides at www.library.auckland.ac.nz/instruct/
Referen©ite	www.cite.auckland.ac.nz Referen©ite is an academic referencing resource which guides students through the reference styles used at the University of Auckland.
ResearchSpace	http://researchspace.auckland.ac.nz Home page for ResearchSpace, the digital repository or archive for University of Auckland digital theses and research materials.
The University Bindery	www.library.auckland.ac.nz/bindery Contact details, bindery services, prices and more.
University Calendar	www.calendar.auckland.ac.nz

Thesis Submission Checklist for Students

- Doctoral candidates: Have you advised the Graduate Centre 3 months in advance that you will be submitting your doctoral thesis?
- Have you provided a final draft for your supervisor's feedback?
- Have you received your supervisor's feedback?
- Have you included an abstract of not more than 350 words?
- Is the word length of your thesis within the allowable limit?
- Have you proofread your thesis carefully for spelling and typographical errors (and ideally had someone else proofread it for you)?
- Have you checked that the presentation of your thesis meets departmental or University style and format guidelines? (*See section 4*)
- Is your referencing system appropriate for your discipline? (*See section 4.12*)
- Are the page numbers in sequence? (*See section 4.11*)
- Have you backed up the final version of your thesis?
- Have you left at least three working days for binding (or up to 7 days allowing for transport to and from the University Bindery)? (*See section 5.5*)
- Is there a signed Library Thesis Consent Form included with the copies for binding (masters and doctoral final submissions)? (*See section 4.12a*)
- Have you read through the binding requirements? (*See section 5*)
- Is your title page set out correctly? (*See section 4.12b*)
- Is any additional material such as maps or DVDs adequately affixed to the thesis?
- Is your name and thesis title printed on the spine? (*See section 5.5*)

Masters Thesis

- Are you submitting three temporary bound copies of your thesis and a digital copy to your Faculty Student Centre by the due date? (*See section 7.1*)
- Have you deposited your final hard-bound print copy with your Faculty Student Centre and a digital copy in ResearchSpace within a month of being awarded a passing grade? (*See section 7.1b and c*)

Doctoral Thesis

- Have you arranged an appointment with a Student Adviser at the Graduate Centre to submit your thesis? (*See section 7.2a*)
- Are you submitting three temporary bound copies of your thesis with the statement to examiners on the first page? (*See section 5.7*)
- Have you bound the co-authorship/co-production forms (where applicable) into your thesis? (*See section 4.12i*)
- Have you completed a Statutory Declaration as to originality, witnessed by a JP? (*See section 7.2c*)
- If you are submitting a digital copy, have you completed a Statutory Declaration witnessed by a JP stating that the hardbound copies and the digital copy are the same? (*See section 7.2e*)

Checklist for Supervisors/Heads of Department

Before Submission

- Advise the student on deadlines for submission or make arrangements for an extension, if appropriate.
- Advise the student on the correct referencing/bibliography style and format conforming to University guidelines.
- Ask if the student has performed all necessary checks, including word length, before submitting the final draft for printing.

Nomination of Examiners

- Organise the nomination of examiners well in advance of the submission deadline.
- Obtain Head of Department and faculty approval.
- Ensure that the appointment of examiners meets the University guidelines. Please refer to the Guidelines for the Appointment of Examiners of Doctoral Theses and Masters Theses/Research Portfolios (of 90 points or more).

Thesis Examination

- For masters theses, ensure the grades are submitted on a GC-512 form, via the Associate Dean (Postgraduate) of the faculty, once the thesis has been marked.

Library Deposit

- Upon successful completion of a masters thesis examination, the Faculty Student Centre is responsible for the deposit of one print copy with the University Library, and for checking that a digital copy has been deposited in ResearchSpace.



**THE UNIVERSITY
OF AUCKLAND**

**SCHOOL OF
GRADUATE STUDIES**

Enquiries:

School of Graduate Studies
ClockTower – East Wing
22 Princes Street, Auckland

Phone: +64 9 373 7599 ext 81321

Fax: +64 9 373 7610 / ext 84310 (internal)

Email: postgraduate@auckland.ac.nz

Website: www.auckland.ac.nz