

Foreword

Welcome to your PhD

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Appendix: House Rules for External Doctor of Philosophy Study at Lincoln University

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Sources of Information

There are a number of other sources of information:

The Lincoln University Calendar

This is the definitive source of information on the **regulations** of the University.

The Lincoln University Policy Library

at www.lincoln.ac.nz/policies

Section 1: Admission to PhD Study

General

The Doctor of Philosophy (PhD) is an advanced research degree that is distinct from and of significantly higher status than a M . The major component of a PhD is original research presented either as a thesis or as a work of artistic and creative merit. The research makes a significant contribution to knowledge and understanding or application of knowledge; it requires the preparation of a substantial thesis that presents the outcome of the research and places it in the broader framework of the discipline or field of study; and, undertaken under qualified supervision, it promotes intellectual independence and the capacity to undertake further research at an advanced level. On completion the thesis is examined by New Zealand and international experts in the field of the research.

Definition of Research

Research is intellectually controlled investigation. It advances knowledge through the discovery and codification of new information or the development of further understanding about existing information. It is a creative and independent activity conducted by people with expert knowledge of the theories, methods and information of the principal field of enquiry and its cognate discipline(s). Research typically involves enquiry of an experimental or critical nature driven by an hypothesis or intellectual position capable of rigorous assessment. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. A long term and cumulative activity, research is often characterised by fruitful new topics for investigation and unexpected uses for its findings.

Requirements for Admission

This may be permitted if the proposed research extends your previous research substantially and provides the opportunity to develop the project to PhD level.

The treatment of an application for transfer from _____ to PhD will depend on your circumstances.

- a) If you have the standard prerequisite for a PhD before embarking on the _____ degree, i.e. hold a _____ degree with first or upper second class honours, then your application to transfer will be based on:

a written assessment of the standard of your performance while enrolled in the Master degree by your supervisory team submitted to the Chair of the Faculty/Centre Postgraduate Committee. The research already conducted in the course of the _____ studies needs to have shown that you have a high level of academic performance;
approval of your _____ research proposal (applicants who do not submit evidence of this will be declined outright);
a reconfigured thesis proposal to show the difference between _____ and PhD goals including results from the _____ thesis to date i.e., findings so far, and why it is desirable to add in the new dimensions and;
evidence that **a substantial element** of your thesis work has been completed, including, but not limited to, conference papers or other publications, and copies of your six-monthly report forms. You would also need to have the support of the Dean or Director.

- b) If you have completed the prerequisite for _____ studies but do not have the standard prerequisites for a PhD, for instance do not hold a _____ degree with first or upper second class honours, then your application to transfer must be based on:

high grades in the _____ course work and the completion of the equivalent of a Postgraduate Diploma, typically at the B+ level or better and, certainly at the standard of second class honours division one or higher and;
work experience in an appropriate research environment where you have been responsible for research. The application must include evidence of publications and this must clearly demonstrate that the research being reported is at the level to succeed at the PhD level;
evidence that **a substantial amount** of your thesis work has been completed, including, but not limited to conference papers or other publications, and copies of the six-monthly report forms;
the application would also need to have the support of the Dean or Director;
the application must include an approved PhD research proposal.

It is the responsibility of the Academic Administration Committee to consider transfer applications, and they require the following criteria for PhD study:

appropriateness of earlier studies as preparation for proposed doctoral studies;
supervisor and/or the Faculty/Centre Chair of Postgraduate Committee to provide written assessment that you have met the necessary prerequisite while enrolled in the _____ degree;
a thesis proposal to show the difference between _____ and PhD goals including results from the _____ thesis to date i.e., findings so far, and why it is desirable to add in the new dimensions;
an approved PhD research topic.

Note: the purpose of these criteria is to ensure that if you are a student transferring to PhD in these circumstances, you

Section 4: Initial Development of the Course of Study

When applying for an extension, you will be required to identify the specific, exceptional factors that have caused, or will cause delays. You need to be aware that the temporary absence of the Main Supervisor would not normally be regarded as grounds for an extension. If a member of the staff is to be absent from the University for a period of time, e.g. study or on conference leave, the Dean or Director are met in an appropriate way, and inform you of those arrangements.

To apply for an extension, you will need to complete the appropriate extension of study form. The form should be accompanied by:

Your most recent 6 monthly report,

A supporting letter and statements from your Main Supervisor and Dean or Director.

The form and the documents must be addressed to the Convenor of Academic Administration Committee and submitted to the Research Student Team Leader. Only one specified extension of time is permitted and only in exceptional circumstances. Extensions will not exceed 12 months.

Deferment of Study

If you find it necessary for any reason to interrupt your course of study, e.g. through ill-health, unavoidable absence from the campus, or critical circumstances, the Academic Administration Committee may approve a deferment of your thesis period for an appropriate period. The deferment period if approved does not normally exceed twelve months.

Changes to the Course of Study

Note: A change in research **topic** will not usually necessitate a course of study change.

Changes in a course of study can affect your:

Fees

Fees are payable at, or prior to, enrolment. The amount you pay, will depend on your enrolment. If you change your programme of study, or the courses you enrol in, fees may change. For more information visit our website <http://www.lincoln.ac.nz/fees>

Outstanding Fees

Where there are fees outstanding from previous years, you cannot register or graduate until the balance has been settled. All fees are reviewed every year and are subject to change. Tuition fees are confirmed by the University Council in July (international fees) and October (domestic fees and other administrative charges).

External Study and Fees

There are occasions where PhD students apply to study off-shore or off-campus. There are rules for external study (see Appendix: House Rules External Doctor of Philosophy Study at Lincoln University. These rules are to be read in conjunction with this booklet *House Rules for the Study of Doctor of Philosophy at Lincoln University*.

External study may have an impact on your tuition fees. Please note that if you are an international PhD student you are eligible for domestic fees but will have conditions imposed if you have approved external status. To remain eligible for domestic fees only temporary absence will be allowed and only for the purpose of approved doctoral research activities. In these cases your Main Supervisor must provide evidence that;

- a) your absence is not more than 12 months, either accumulated or a block over the duration of your PhD programme;
- b) your request must be submitted in writing to the Academic Administration Committee and contain written approval from the Faculty or Centre Postgraduate Committee.

If, as an international student, and this includes New Zealand Permanent Residents and Australian Citizens, you leave New Zealand to complete your thesis without receiving approval for a and b above, you will be charged international fees from the month of departure.

Changing Faculties

Your application to begin PhD studies at Lincoln University was considered by the Dean or Director of the appropriate Faculty or Centre. For this reason, your admission to PhD study **in a particular Faculty or Centre is given**. The Faculty or Centre is where your Main Supervisor works. For this reason, an application for a change of Faculty or Centre will be treated like a new admission application. However, a letter requesting a change and ex .96 Tf1.61 291.86 Tm0 G[]TJET60.000008871 0 595.32 842.04 reW*nBT/F1 9.96 T

Section 5:

prescribed form. The Chair of the Faculty or Centre Postgraduate Committee is also required to follow up on any items of Faculty or Centre performance that you have rated as unsatisfactory in your six month report, and initiate action to resolve any issues.

Section 6: Health and Safety

Lincoln University is committed to achieving excellence in the management of health and safety. Your involvement and support is essential. The University provides health and safety policies, procedures and systems to ensure that you are not placed at risk. It is your responsibility to ensure you are working within the health and safety standards set by Lincoln University.

Your PhD proposal requires the inclusion of a completed Hazard Identification and Risk Management form. You will need to meet with the Faculty or Centre Health and Safety Committee chairperson (or their nominee) to identify hazards/risks in your proposed research and agree on ways to mitigate them.

If your research is laboratory based, you will need to complete a Laboratory Induction provided by the Laboratory Manager before you begin your research.

If your research involves field work and/or working with animals, you will require training for undertaking these tasks. Please talk to your supervisors about how to get that training before you start any fieldwork activities.

While we understand that PhD students continue working outside the normal operating hours of the university (8am-6pm), the University is committed to safeguarding the wellbeing of our students so please ensure you are familiar with the Working Alone or After-

Section 7: Intellectual Property

Section 9: Thesis Research Topic and Supervision

Development of a Thesis Research Topic

Mutual Expectations Agreement you will have agreed on meeting frequency with your supervisors. It is your responsibility to arrange these meetings.

Your supervisory team may include a Co-Main Supervisor who is external to Lincoln University. The external Co-Main Supervisor will have been approved by the Faculty or Centre Postgraduate Committee Chair and Dean or Director, and will be partnered with your internal Co-Main Supervisor who is a Lincoln University staff member.

The appointment of external members to your supervision team does not remove the need for internal supervisors. You must have two Lincoln University staff members in your supervision team. This ensures that your team has a staff member who has an understanding of, and can perform, the administrative functions of your Main Supervisor should they be absent for a period of time.

The table below provides the criteria used by Lincoln University to allocate the supervisory roles.

Criteria	Requirements for PhD Main or Co-Main supervision ready	Requirements for PhD co-supervision, or Associate supervision ready
Staff qualification and / or research record ¹ Staff position ^{2,3}	PhD, an international and relevant research record, and a proven track record of supervision. Research active staff member of Lincoln University and / or Crown Research Institute / other research partner who	PhD (normally), together with a developing and relevant research record.

University. If you do enter into a consensual sexual or romantic relationship with one of your supervisors, that supervisor is required to disclose the relationship to the Faculty Dean or Centre Director under the Uni

with your Main Supervisor requirements. The requirements of the Human Ethics Committee and the Animal Ethics Committee are set out in Section 8. All supervisors are expected to be familiar with those requirements and to be aware of what approvals are needed and how those approvals are to be obtained.

Your Main Supervisor should provide you with guidelines on the processes of thesis presentation appropriate to your topic area and approach followed in the study. This may include advice on the composition and the content of chapters, e.g., literature review, conceptual framework, methodology, analysis, results, conclusions, policy implications. In preparing your thesis, you will need critical assessment and help during all stages. You may also need help to organise and adhere to a personal research timetable. Your Main Supervisor is the first source of advice and assistance.

In some cases, for example the protection of intellectual property, an embargo or restriction may need to be applied to a thesis. [Link to Grounds for Embargo Guidelines](#). If this applies to you, your Main Supervisor will provide advice on completing the

Responsibilities of the Co-Supervisor or Associate Supervisor

Co-Supervisor: If your supervisory team includes a Co-Supervisor it is because the person will have a leading role in the supervision of your thesis. This includes the Co-Supervisor's participation in the formulation, participation in the formulation of your research objectives and participation in on-going, regular reviews of your research. **Reflecting the shared nature of supervision, your co-supervisor shares the workload of supervising you with your Main Supervisor.**

It is important to note that copy editing involves correcting errors of grammar, syntax, punctuation, and spelling, and ensuring consistency of style. It does not include correcting substantive errors of content, structure, language and style. Copy editing of the final draft, therefore, cannot ameliorate any significant weaknesses in written language. You should make all efforts to improve your writing and English language skills during the research/writing process, including making use of the education and support in academic writing available through Learning, Teaching and Library.

When Things Go Wrong

In most cases, PhD studies are fruitful and rewarding. Nevertheless, problems do arise from time to time and it is important to be proactive in resolving issues.

In the first instance, you should discuss any difficulties with your Supervisor.

However if this is not appropriate or satisfactory, e.g. where the problem relates to the supervisory team, you can initiate discussions with the Head of Department, Faculty or Centre Postgraduate Committee chairperson, or Dean of Faculty, Centre Director, or the LUSA postgraduate representative or a student advocacy officer. Such discussions are always confidential.

The University has a grievance and appeals process. If you

Section 10: Thesis

Changes in Topic or Supervision

In order to make a major change to your thesis topic, or a change of Supervisor during the programme, it is essential that you obtain the approval of the Dean of Faculty or Centre Director for the change, and the Research Student Team Leader is notified of such changes.

If a Supervisor resigns, or is otherwise unable to fulfil their role during your course of study, the Dean of Faculty or Centre Director must appoint a replacement Supervisor.

Seminar Presentation of Thesis Results

Once your thesis is completed, you are encouraged to present an exit research seminar at one of the following events:

Faculty/Department/Centre seminar
Postgraduate Research Conference
or other approved conferences

Thesis Language

Your thesis may be written in Te Reo, English or both languages.

Thesis Preparation

Your thesis must be prepared in accordance with Regulation I of the General Course and Examination Regulations of the *Lincoln University Calendar*. Two forms of thesis are acceptable by Lincoln University, namely

More general points that should be noted are as follows:

An overall plan for your thesis should be developed, and discussed, with your Supervisors before any writing begins.

As the first draft of your thesis is written, completed sections should be given to your Supervisors for critical comment.

You have a right to expect that these will be examined carefully and critically and returned within the time stated in your Mutual Expectations Agreement (MEA).

Comment will mostly be about the substance of your research and the overall organisation and development of ideas.

You are expected to present the draft in a form that is readable by your supervisors. Written expression is an important skill and one that is expected of you.

You are encouraged to contact the Learning and Teaching Team early on in the research process. The Team can assist you with a programme aimed at improving your thesis writing skills.

Succinctness is important. An examiner is not impressed by the length of a thesis, but by its content.

As a rough guide, a thesis of approximately 50As a rough guapd Biqt]TJETQ0.0000 G[are e)-9(he)0 G[A]088

Requirements will differ between disciplines and you should discuss expectations with your Supervisors.

Raw data on which research is based may be included in the thesis, usually in appendices. Alternatively, the data may be stored in the Faculty or Centre in electronic form.

In some cases, where the research involves human subjects, the data must be stored in a

Standard Thesis

A standard thesis contains:

Abstract: a summary of the research questions addressed, your results and the conclusions drawn.

Thesis with publications

An alternative thesis format is one built around a set of peer-

Section 11: Thesis Examination

Thesis Submission

When the thesis is completed an electronic PDF and a Word version should be submitted to the Research Student Administration Team. Receipt of these copies will be recorded.

In addition, you are required to submit a declaration form signed by you and your Main Supervisor stating that the work was carried out under their immediate supervision and that the contribution of the supervisory team was consistent with normal supervisory practice. The declaration forms are held by the Faculty/Centre Postgraduate Administrator or in Student Administration (Postgraduate Team). The declaration also acknowledges external contributions, including substantive input such as joint authorship and significant contributions of intellectual property, e.g. research and resource contributions from CRIs, assistance from external authorities in the discipline, and copy editing. Details of the contribution, including the name of the contributor and a description of the input should be included in the Acknowledgements section of the thesis. The Postgraduate Team Leader will notify the Main Supervisor that your thesis has been submitted, and send copies to the two external examiners.

Your supervisory team may write a context report to be provided to the New Zealand external examiner immediately prior to the oral exam. The report is written after consultation with the supervisory team, and following the submission of the thesis, confirming:

The work presented in the thesis is your own work, and contributions made by others have been properly identified by you;
entirely presented in the thesis

the posts held by the proposed examiners and a brief statement (one paragraph) of their status in

Criterion 5: In scientific work, units of measure **should conform to SI** unless there are clear reasons for not doing so.

Criterion 6: The work should be suitably documented and citations correct in every detail. Although there is no prescribed standard method of setting out a reference list, the method adopted should be uniform throughout. Refer to the University Library publication Presentation and Deposit of Theses and Dissertations: Library Requirements and Guidelines. This can be found at <https://tl.lincoln.ac.nz/resources/theses-dissertations/depositing-to-research-archive>

Examining the Thesis

Examiners, in examining your thesis, will not give equal weight to each of the criteria specified above.

Greater significance will be given to the quality of the research done, the integrity of the methodology used, together with your ability to demonstrate originality, critical insight and capacity to carry out independent research.

Presentational aspects will be of secondary importance although poor presentation will count unfavourably in the examination. Poor presentation will mean that a greater number of editorial changes will be needed before your thesis can be accepted as appropriate to deposit in the Library.

If you present a thesis significantly in excess of the recommended length you should note that the examiners may judge the thesis less favourably if the greater length detracts from the overall quality of the presentation.

Section 12: The Oral Exam

General

An oral examination is required before a PhD is awarded.

The purpose of the oral examination is to enable you to demonstrate your understanding of the area of your research to recognised experts in the field. It allows the examiners to question you orally in order to:

- clarify any matters left unclear in the thesis;
- explore aspects of the topic not developed in the thesis;
- explore in greater depth the general area of the research.

The Composition of the Examination Panel

The oral examination will be attended by:

- the Examination Convenor
- the New Zealand external examiner (and/or the international examiner if they are available)
- your Main Supervisor

In addition, other members of your supervision team may attend with your agreement.

The overseas external examiner does not usually attend. They will, however, be expected to include, as part of their report, any lines of questioning they wish to see pursued in the oral examination. This list of topics and questions will be passed to the New Zealand external examiner by the oral examination convenor. The New Zealand external examiner will put these questions to you at the oral examination.

The Role of the Examination Convenor

The Examination Convenor is responsible for chairing the examination, preserving impartiality and preparing the consolidated report of the examiners. While the Examination Convenor is not an examiner, they are not precluded from expressing an opinion on you or on the examination in the examination report.

Pre-examination responsibilities and guidelines for conducting PhD oral examinations using telecommunications

The Examination Convenor is responsible for:

- collating reports
- following up on examiners
- deciding on the next step in the process, which will normally be the oral exam

Criteria for Alternative Arrangements

Your Main Supervisor will provide the Examination Convenor with:

Information on the specific reasons that prevents any person required to attend the oral examination from doing so;

An explanation as to why the examination cannot be carried out on another occasion;

The type and availability of the telecommunications available to the absent person(s);

to coordinate the arrangements for the oral examination
to provide clarification if so required
to support

Section 13: Final Result

General

The final recommendation of the examiner s is submitted to the Research Student Team Leader by the Examination Convenor as soon as is practicable.

The responsibility for confirming your final result rests with the Academic Administration Committee.

Final Corrections and Lodgement in the Library /Clearance to Graduate

Following the examination, the Faculty or Centre Postgraduate Administrator will be sent a graduation clearance form. If the thesis (usually) requires corrections and editorial changes, these changes will have to be made and are usually set out in the reports of the examiners. Your Main Supervisor, and/or occasionally also the New Zealand examiner, will normally be responsible for oversight of your work in making these changes. The thesis is not regarded as complete until all of the changes have been attended to.

Appendix

House Rules for External Doctor of Philosophy Study at Lincoln University

A1. Introduction

Other times you are expected to be on campus will depend on whether you are working in New Zealand or overseas (see A5 and A6).

A5. External Research within New Zealand

If you are conducting your research elsewhere in New Zealand, you will need to meet with your supervisory team at the frequency agreed in your MEA. These meetings may be held using telecommunications technology such as Zoom, but it is desirable that at least one meeting per year is held where you are working, so that your Lincoln University supervisors can see the facilities and view the research you are conducting.

If you are based within easy commuting distance of Lincoln University (e.g. at a Lincoln-based Crown Research Institute), you are expected to attend on-campus activities organised for postgraduate students by your Faculty or Centre (e.g. seminars, workshops, social events) and take advantage of the training opportunities produced for postgraduate students by Learning, Teaching and Library. You will be required to present your 15 Month Report and your exit seminar on-campus. You may choose to return to campus once your research has been completed to analyse data and write your thesis. You will need to be on-campus for your PhD examination.

If you are not based within easy commuting distance of Lincoln University, you should plan to have at least one of your supervisory team meetings on