



**LINCOLN  
UNIVERSITY**  
TE WHARE WĀNAKA O AORAKI

## **House Rules for the Study of Doctor of Philosophy at Lincoln University**





## Foreword

Welcome to your PhD study at Lincoln University. Study at this level demands a large commitment, from you, your supervisors and from the University.

These house rules are designed to provide an overview of the most important rules, regulations and procedures for postgraduate study. The aim is to help you, as a PhD student, and your supervisors, to find your way through the complex requirements of a PhD course of study. Understanding the procedures can contribute to a rewarding and enriching period of study. The house rules have not been designed for reading from cover to cover. Rather, use them as a point of reference during your course of study. We do suggest, however, that you make yourself broadly familiar with the contents at the outset so that you have an overview of your research journey.



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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***

Lincoln University's policies, procedures and guidelines are available at [www.lincoln.ac.nz/policies](http://www.lincoln.ac.nz/policies)

In terms of regulations for PhD and other postgraduate study, the *Calendar* takes precedence over any other publications.

## Useful Contacts

Each PhD student at Lincoln University will be assigned to a Faculty or Research Centre. The Faculty or Centre will be the student's "home" throughout their course of study. There are three Faculties and two Centres at Lincoln University:

- Faculty of Agribusiness and Commerce
- Faculty of Agriculture and Life Sciences
- Faculty of Environment, Society and Design
- Bio-Protection Research Centre
- Agribusiness and Economics Research Unit

The Faculty or Centre will appoint a Main Supervisor and a supervisory team. Together, they will provide academic and pastoral support to you.

The most important contacts during your PhD studies at Lincoln University will be your:

- Main Supervisor and supervisory team
- Faculty/Centre Postgraduate Administrator
- Research Student Administration Team
- Head of Department
- Dean of Faculty or Centre Director
- Convenor, Academic Administration Committee
- LUSA Postgraduate representative

### **Convenor, Academic Administration Committee**

Dr Megan Clayton

Email: [AAC\\_Convenor@lincoln.ac.nz](mailto:AAC_Convenor@lincoln.ac.nz)

The Academic Administration Committee has responsibility for oversight of many of the regulations and processes that affect PhD students.

### **Postgraduate Research Team**

Dr Hamish Cochrane

Director Student Admin and Student Health

[hamish.cochrane@lincoln.ac.nz](mailto:hamish.cochrane@lincoln.ac.nz)

Hamish is the contact for the team enacting the recommendations of Academic Administration Committee in relation to the interpretation of the regulations and processes relating to PhD students.

### **NOTE**

In these House Rules, any reference to Faculty Dean or Centre Director should be read as meaning the Dean or Director or their nominee.

# 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 Master's degree. 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

The usual requirement for entry to PhD study is an appropriate/relevant research rich postgraduate qualification in the intended field of study. Admission will depend on whether your previous study provides adequate preparation for the proposed PhD study. Regulations for PhD study are provided in the Lincoln University Calendar and on the website.

**Note:** If the last university you attended was Lincoln, Lincoln University Research Student Administration staff will access your academic transcript when processing your application.

## Enquiries and Application for Admission

The Lincoln University website page provides information for potential PhD students as well as the online link to apply for [admission through the MyLinc application portal](#). Tips on applying can be found at [www.lincoln.ac.nz/apply](http://www.lincoln.ac.nz/apply)

As an applicant for a PhD you should contact either an academic staff member or a member of the Research Student Administration Team, to make enquiries about the possibility of being accepted for PhD study at Lincoln University.

You must apply to the University for admission into a programme of study. Your application will be assessed for completeness; if the application is incomplete, you will be asked to provide the missing information. The Research Student Administration Team staff will collate information on your previous experience based on your application and submit a recommendation to the Dean or Director of the appropriate Faculty or Centre. The Faculty or Centre postgraduate administrator will manage your application through the internal procedures which culminate in the Dean or Director's recommendation which is sent to the Academic Administration Committee. The admission decision is made by this Committee who will inform you in writing of the outcome. Any questions you have about procedures, fees or other process matters, should be directed to the Research Student Administration Team.

### **Timing of Applications for Admission**

Applicants for a PhD may apply for admission at any time during the year. If accepted, you may begin at any time during the year, provided there is no requirement for prerequisite course work and the availability of resources have been confirmed and approved by the Faculty or Centre who will also approve the start date.

Sufficient time should be allowed for the admission process. If you are from New Zealand you should apply for admission no later than two months before the proposed start date.

If you are an International student you will need to apply at least two months earlier than New Zealand applicants to allow for adequate processing time and for visa procedures to be completed.

If you are an International student accepted for a PhD degree you must obtain a student visa for the specific qualification in which you intend to enrol. Your student visa will be issued by the nearest New Zealand diplomatic mission once you have met the academic and immigration requirements. When this has been issued, an offer of a place will be issued by Lincoln University.

### **Concurrent Bridging and Qualifying Programmes**

If you have covered much, but not all, of the prerequisite subject matter in the area of proposed study, one of the following may be required:

- a bridging programme consisting of one or two courses at 600 level, to be taken concurrently with the PhD degree; *or*
- a full year of advanced course work (Postgraduate Diploma) that must be completed before reapplying for admission to the PhD course of study.

The decision on which option is recommended will depend on your previous qualifications, and in some cases the University will impose conditions on admission. For instance, it is possible that admission is subject to:

- the achievement of certain grades and reaching a certain standard in your present studies; *or*
- undertaking and reaching a certain standard in other prerequisite or concurrent bridging material; *or*
- agreement to work in a research area other than in the area originally proposed.

If you are not a university graduate but hold a tertiary qualification substantially similar to a degree and have obtained significant relevant research experience, then you may be admitted to PhD study in special circumstances. Supporting evidence on academic achievement, publications, research experience and work experience, together with references, are essential.

If your application is submitted in anticipation of completing a degree, your current academic transcript must be provided showing passes to the date of the application.

**Admission to a PhD degree does not guarantee the acceptance of any particular research topic. Refer to Section 4.**

**Once you have been admitted to PhD studies, continuation of your admission is subject to satisfactory academic progress. Mandatory official monitoring reports are collected every 6 months.**

**Should progress be found to be unsatisfactory then your continued enrolment may be cancelled or subject to specific conditions. Refer to Section 5.**

### **Transfers from Master's (Upgrade)**

If you are enrolled in a Master's degree by thesis and examination you may apply to transfer your study from the Master's degree to a PhD once you have embarked on your research project.

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 Master's to PhD will depend on your circumstances.

- a) If you have the standard prerequisite for a PhD before embarking on the Master's degree, i.e. hold a Bachelor's 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's degree by your supervisory team submitted to the Chair of the Faculty/Centre Postgraduate Committee. The research already conducted in the course of the Master's studies needs to have shown that you have a high level of academic performance;
  - approval of your Master's research proposal (applicants who do not submit evidence of this will be declined outright);
  - a reconfigured thesis proposal to show the difference between Master's and PhD goals – including results from the Master's 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 Master's studies but do not have the standard prerequisites for a PhD, for instance do not hold a Bachelor's degree with first or upper second class honours, then your application to transfer must be based on:
- high grades in the Master's 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 Master's degree;
- a thesis proposal to show the difference between Master's and PhD goals – including results from the Master's 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 do not embark on doctoral studies without the security of having completed a university qualification. Furthermore, the University will not, in these circumstances, allow entry to the PhD unless the cumulative passes achieved to date (while enrolled for Master's or earlier), can be credited to another award, e.g. a postgraduate diploma. If this is not the case and you do not have sufficient passes to constitute a completed postgraduate diploma or other award, then the transfer to PhD will be declined.

## Section 2: English Language Requirements

All applicants (international, New Zealand citizens or New Zealand permanent residents) whose qualifying degree was obtained in a language other than English, will be required to demonstrate competence in English.

Lincoln University accepts achievements through a number of recognised tests of English Language. These tests must not be more than two years old. If the result is more than two years old, then you will be required to conduct a resit.

Please refer to Section A of Statutes and General Regulations in the Lincoln University Calendar for information on the English Language tests accepted by the University and the required achievements for PhD students.

### **EXCEPTION**

If you are a New Zealand citizen or permanent resident and have resided in New Zealand (or another English-medium country) you may request a waiver of the English Language Requirements if the following conditions are met:

- You have successfully completed one year of academic study at a tertiary level in an English-medium programme in New Zealand (or another English-medium country), or
- You can demonstrate working in the paid labour force in New Zealand (or an English-medium country) for a period of two years in an occupation that requires high usage of written or oral English.

All requests for a waiver of the English Language Requirement must be considered by Academic Administration Committee who may approve, decline or require further conditions.

<https://www.lincoln.ac.nz/eligible>

## **Section 3: The Privacy Act and the Official Information Act**

Lincoln University complies with the Privacy Act 2020 in dealing with any personal information we hold about any individual. A copy of our Privacy Policy is available in our Policy Library and read our [Privacy Statement](#) Please refer any questions to our Privacy Officer at [privacy@lincoln.ac.nz](mailto:privacy@lincoln.ac.nz)

## Section 4: Initial Development of the Course of Study

### Area of Research

Once admitted to a PhD programme by the Academic Administration Committee, and before enrolment is completed, the area in which you intend to conduct research must be finalised. At this early stage, it is important that wide discussions are held with academic staff who specialise in the general field of research, in order to give full and careful consideration to the course of study. You must make personal contact with the academic staff appointed as potential supervisors.

### Length of Study

For a full-time PhD student, it is expected that your completion date is three years, and normally no more than four years.

The **minimum** time for a PhD is two years of full-time study. Most students take longer than this minimum time.

The **maximum** time allowed for full-time PhD students is five years, after which registration may be terminated.

### International Students

If bridging course work is required as part of your course of study then you must arrive prior to the beginning of formal lectures.

### General Research Topic

For many students, your interim Main Supervisor and research topic will have been agreed before you arrive. If this has not happened, consult the academic staff acting as your potential supervisors about a general research topic and identification of your interim Main Supervisor. This general research topic may change during the early stages of your enrolment depending on discussions between you and your potential supervisors. This process culminates in the formal acceptance of your thesis proposal by the Faculty or Centre, at which stage your supervision team is confirmed.

### Part-Time Study

Part-time study during your thesis preparation will be recorded as half-time study.

International students are not normally entitled to study on a part-time basis because of Immigration NZ requirements.

Where your study is part-time for **all** of the programme, the maximum time available for completion is one year beyond the time allowed for full-time students. This means that the maximum time allowed for a PhD student part-time throughout the degree is six years. This extended time does not apply if, at any time during your PhD course of study, you study on a full-time basis. Where there is a doubt as to whether you have studied on a full-time or part-time basis, the matter will be resolved by reference to the record held on the University's student database, which is the official record of your course of study.

### Paid Appointments During Study

If you are enrolled on a full-time basis, your paid employment must not exceed twenty hours per week.

Your main supervisor, in approving your course of study in these circumstances, should ensure that your ability to complete the course of study is not compromised by your obligations to your employer.

If you are employed and your employer has agreed to you undertaking part-time PhD study, they are required to provide this in writing. This statement should give details of any time you will be required to work to continue the employment, and must confirm that you will be given the opportunity to complete your studies.

Records of these arrangements should be held by the relevant Dean or Director.

### **Supervisors**

The Dean or Director will confirm a Main Supervisor or supervisory team from the staff of the Faculty or Centre in which you are enrolled, which may include a staff member from an external research Institute.

The nomination of your Main Supervisor will be approved by the Academic Administration Committee at the commencement of your PhD. This ensures proper guidance and advice is received in the stages leading up to the completion of your research proposal, as well as during the research itself.

**As a PhD student you must** also have at least one other supervisor from the staff of the University, to ensure continuity of supervision.

### **Approval of Course of Study**

The Dean or Director approves your course of study and must ensure that:

- your course of study is appropriate and coherent;
- any conditions imposed at admission have been complied with;
- the Faculty or Centre has the capacity to resource your course of study;
- the nominated supervisor/s and supervisory team are appropriately qualified for their roles.

If your previous studies do not adequately prepare you for the research project, the Dean or Director should identify the courses required for a bridging programme. **Note that where you are required to enrol in courses either concurrently or as part of a bridging programme, you will be expected to enrol and pay fees as a result.**

The Dean or Director is also required to maintain a record of your full course of study including:

- your thesis topic;
- the names of your supervisory team;
- the date of formal commencement;
- any conditions imposed on admission.

**A copy of this record will be sent by the Faculty or Centre Postgraduate administrator to the Research Student Team Leader so that an official record of your course of study in a given calendar year is held in the University's student database.**

### **Extension of Time**

An extension of time beyond the maximum (five years for full-time study, six years for part-time study) may be sought from the Academic Administration Committee, but this is granted only once, and only in exceptional circumstances.

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 is obliged to make arrangements to ensure that the staff member's supervisory responsibilities 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.

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

- evidence of the critical circumstances on which your application is based; an outline of your work that has been completed in the programme, and
- the work required to be completed to finish the programme, i.e. submission of a credible thesis;
- your most recent 6 monthly report
- written support from your Supervisor and Dean or Director.

The application and documentation should be addressed to the Convenor of Academic Administration Committee and submitted to the Research Student Team Leader.

### **Enrolment**

The name of the Student Management System is LUCAS = Lincoln University Campus Administration System.

Once admission has been approved, you will receive a conditional offer of admission in the form of an email (using the email address provided by you at the application stage). After accepting your offer on MyLinc, you will be emailed your LU username and temporary password (monitor email spam/junk folders) and instructions on how to enrol in LUCAS.

Your electronic record in LUCAS will contain a To Do list with items that need to be completed before enrolment can be finalised. The To Do list items include personal details such as your phone numbers, address, as well as any requirement to add a class (course), and obtaining course advice (the Main Supervisor must approve this online). It is important to monitor your emails for further instructions from student administration as you progress through your To Do list.

If you are an International student you must have a current student visa as well as approved medical and travel insurance that covers the full length of your student visa: <https://www.lincoln.ac.nz/visas>

Enrolment is for twelve months and to continue, you must have the following year's enrolment finalised before the end of its expiry date. This includes having a current student visa and appropriate insurance, otherwise access to services will be cancelled and late fees will be charged.

## 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:

- full-time/part-time status
- tuition fees
- student allowances entitlements
- student loans entitlements
- immigration status

If you are unsure of the effects of a change, please contact the Postgraduate Student Administrator.

## International Students

If you are an International student you may change the courses (if enrolled in concurrent courses as part of a qualifying programme) for which you are enrolled and you may also change the Faculty or Centre in which you are enrolled subject to approval from the Academic Administration Committee. You will not, however, be permitted to enrol on a part-time basis without approval from Immigration NZ.

If you are applying to change your programme, e.g. from a Master's degree to PhD, it is essential that a **variation to the student visa** from Immigration NZ is obtained at your cost.

If you hold an NZ MFAT study award you may not change your programme without prior approval from the sponsoring agency and your home government. This approval is rarely granted.

## 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 explaining the reasons for the change will suffice. Your letter should be endorsed by both the previous and new Dean of Faculty or Director of Centre. The Research Student Team Leader will complete the application with the relevant information from the file before approval for the change is made by the Academic Administration Committee.

## Procedure for Withdrawing Courses and Leaving Lincoln University

- You must discuss your intention to withdraw from your studies with either your Supervisor, Dean of the Faculty, or Centre Director.
- If you are a domestic student you must inform StudyLink and discuss the implications of your withdrawal if you are in receipt of a student loan or allowance.
- You must complete the 'Complete Withdrawal' form obtained from the Faculty or Centre Postgraduate Administrator.
- You must discuss the financial aspects of your withdrawal with the Fees Administrator in Student Finance, and pay any administration fees which may be due.
- If you are an International student you must also notify other interested parties, including Immigration NZ, and this is clearly outlined on the withdrawal form.

### **Withdrawing from study**

If you wish to withdraw from study you should ensure that you are aware of the implications of your withdrawal.

#### *Withdrawals in person*

You must:

- Discuss your intention to withdraw with your Supervisor, and
- Submit the Complete Withdrawal form to staff in Student Administration.

#### *Withdrawals not in person*

You must:

- Complete and send the Complete Withdrawal form or a written request to withdraw from your studies to [withdraw@lincoln.ac.nz](mailto:withdraw@lincoln.ac.nz)
- Provide confirmation of a discussion with your Supervisor.

The administrator processing the withdrawal will communicate with relevant staff (including, but not limited to the Library, Accommodation, Scholarships, Faculty, Student Finance), before processing your withdrawal.

## Section 5: Monitoring of Academic Progress

You may, as part of your provisional entry to the PhD programme, be required to enrol concurrently in one or two 600-level courses in either the first or second semester of study. Your performance in the course/s will be closely monitored and considered by the Faculty or Centre Postgraduate Committee following their completion. Satisfactory progress will equate to a 'B+' grade or better and unsatisfactory will be a grade below 'B+'.

Should your performance in the course/s not achieve the satisfactory level, then your provisional PhD registration may be terminated.

***Unsatisfactory academic progress may also include any of the following:***

- failure to develop a satisfactory research proposal
- breaches of the University's ethical requirements
- poor performance in research, data collection or analysis (as mentioned in the 6 monthly reports or 15 month review)
- slow progress in research (as mentioned in the 6 monthly reports or 15 month review)
- failure to register
- failure to meet agreed target dates (as mentioned in the 6 monthly reports or 15 month review)
- failure to complete changes within three months following notification of the outcome of the examination to the thesis. This could lead to the award of a lesser qualification or no qualification, as appropriate and a **fail** grade awarded.

Any of the items above will be grounds for a review of your enrolment. This review may lead to conditions being imposed on continued enrolment, or to cancellation of your enrolment (if the latter, then a **fail** grade will be awarded). The final decision will be made by the Academic Administration Committee.

A decision to cancel a PhD enrolment will be made by the Academic Administration Committee only following the recommendation of the Faculty or Centre Postgraduate Committee and agreed to by the Dean or Director. The Committee will satisfy itself that you were given warnings about the consequences of your failure to improve and that you had an opportunity provided for improvements. Only when the goals established in your performance regime have not been met will your enrolment be cancelled and a fail grade awarded.

If the Academic Administration Committee decides to cancel your PhD enrolment then you may be invited to apply for admission to a postgraduate diploma or to a Master's degree. In such cases the PhD enrolment will be awarded a fail grade.

### **Six-Monthly Reports**

At half-yearly intervals the Faculty or Centre Postgraduate Administrator will notify you and your supervisory team of the requirement to complete the six monthly progress report which is available online. This report system is designed to enable you and your supervisor to review progress, set fresh objectives, and to plan and guide your research.

Your Main Supervisor and supervisory team need to submit a detailed and honest appraisal of your progress. It is essential that your supervisors are frank and reasonably detailed in their comments. Short bland statements are unhelpful to both you and your supervisors. Failure of your supervisory team to submit these reports will result in action being taken by the Dean of Faculty or Centre Director. You are required to comment on this form on your progress in the previous six months and to outline your work for the next six months. You are also invited to comment on any supervisory or resources/facilities issues that may have occurred in the previous six months. It is compulsory for you to complete your section of the form.

The Chair of the Faculty or Centre Postgraduate Committee provides a summary of all the student reports to the Dean or Director who will then send it to the Academic Administration Committee on the

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.

You have a right to inspect your Faculty or Centre and Student Administration files on request. This includes a right to inspect your six-monthly progress reports.

### **15 Month Reports**

At 15 months after enrolment, you need to submit a mid-term PhD review document of no more than 15 pages illustrating your progress made to date, your proposed activities for the next 21 months, and any difficulties being encountered. Your written report will be evaluated by an expert in your subject who is not a member of your supervisory team (usually the person who assessed your Research Proposal). You will then need to orally present your Report to your supervisory team and the assessor.

Continuation with your PhD study is dependent upon satisfactory progress being recorded. Unsatisfactory progress will be reported through the Faculty or Centre Postgraduate Committee to the Dean or Director and may result in termination of enrolment.

## 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-hours procedure and guideline.

Please download the SAFELU app onto your mobile device. It is the official safety app of Lincoln University, and provides you with our emergency contacts and procedures, health and wellbeing support resources for students, and other safety tools. It is also our main way of notifying you in the event of an emergency on campus, or any campus closures.

For further information, you should refer to <http://hub.lincoln.ac.nz/hr/Pages/Health%20and%20Safety%20Wiki.aspx>

## Section 7: Intellectual Property

The term Intellectual Property (IP) refers to the ownership of an idea. IP is recognised in law as a form of property that can be sold, licensed, damaged or trespassed upon.

As a student, provided you are not an employee of Lincoln University, you own the IP you create or have a claim to ownership of IP you help create. Your precise IP rights (IPR) will depend on the extent and value of your contribution to a research project and the extent and value of other IP inputs to the project. At the same time, you and your supervisors are required to adhere to any separate third party IP arrangement which may exist.

A specialised area of IP management is where the aim is to commercialise it. Shared ownership of IP can complicate and/or severely impede what is, under any circumstances, a time-consuming and expensive process. For example, international patenting costs often exceed \$100,000. Clearly those investing such sums of money in IP commercialisation reasonably require certainty over access to it. It follows that where IP is created during a research project which has commercial potential, it is important that Lincoln University policies:

- avoid impediments to commercialisation created through shared ownership of IP;
- ensure that Lincoln can discharge its contractual obligations to a third party funder;
- ensure that the processes applied are fair to all parties; and
- lead to appropriate financial or other rewards that reflect contributions made.

However, these policies must not:

- prejudice your ability to submit a thesis for examination; or
- prejudice your ability to publish in a managed way.

To accommodate the above requirements, when enrolled as a PhD student at Lincoln University, the University requires you to agree that Lincoln shall own the commercialisable IP created. The University makes no claim of ownership to your copyright in your thesis or in any articles or other works written for publication, nor does it make a claim on non-commercialisable IP.

Should you not wish to agree to Lincoln ownership of your commercialisable IP, or do not wish to benefit financially from successful commercialisation, this will not stop you from enrolling. It will, however mean that you and your Supervisors will agree on a project where the creation of commercialisable IP is unlikely. Where you initiate a research programme then, provided certain conditions are met, such as requiring limited supervision, the University will not seek ownership of your commercialisable IP. Also, should the University not pursue commercialisation after a reasonable time, the IP ownership shall be assigned back to you, the person who created it.

Where shared IP is successfully commercialised, you will, along with other IP contributors, share in any financial or equity ownership returns. You will be treated in exactly the same manner as academic staff in this regard.

This section has been written under the assumption that your supervision and funding has been provided by Lincoln University. If your funding has been provided by an external party, then Third Party IP arrangements would apply.

Further information on [Intellectual Property Policy and Procedures](#) can be obtained from the Lincoln University Research Management Office, and on copyright by going to <http://itl.lincoln.ac.nz/copyright>

## Section 8: Ethics in Research

Lincoln University must ensure that all research conducted in its name is undertaken to the highest ethical standards. This applies to the research you undertake as part of your studies, whether in New Zealand or another country. In some cases, the University is also bound by ethical standards imposed by government agencies. There are approvals that must be obtained and assurances that must be given before the research can be undertaken. Prior approval must be obtained for research projects that involve human subjects and for projects involving animals.

The University has established monitoring and approval committees to assess proposals for research projects in these two areas. In each case, the committees contain external representatives together with some staff representatives.

If your project involves human or animal subjects, you should go to Research Management Office on the Hub and click on Ethics.

Applications are located under:  
Human Ethics Committee  
Animal Ethics Committee

These requirements must be discussed fully with your Main Supervisor before preparing the application for approval.

## **Section 9: Thesis Research Topic and Supervision**

### **Development of a Thesis Research Topic**

Once enrolled and registered for a PhD you must proceed to develop a research proposal under the guidance of your supervisors. The information below describes a typical approach.

### **Postgraduate Supervision: Mutual Expectations Agreement (MEA)**

A copy of the MEA, signed by you and your supervisory team, is required to be submitted within four weeks of enrolment to the Faculty or Centre's Postgraduate Administrator, and to the Research Student Team Leader.

The aim of the MEA is firstly to encourage communication between you and your supervisory team, and secondly to record your agreed mutual expectations regarding your research topic and proposal, meetings, advice and support, IP and publications, conferences, working hours, budget and data management plan. It is recommended to review your MEA after your 15 month report and update it if any changes are agreed. The MEA document can be provided by your Faculty or Centre Postgraduate Administrator.

### **Research Proposal**

Preferably within 3 months of enrolment, and no later than 6 months after enrolment, you must submit your research proposal (between 10-15 pages in length) and present it orally to an audience which includes your supervisors, an assessor appointed by the Faculty or Centre, fellow postgraduate students, interested academic staff and guests.

Your research proposal should provide a brief review of current knowledge of your proposed research topic together with the aims and objectives of your research. Information on your proposed work, the techniques to be used, methods of measurement and data analysis are required. References must be included. You will need to include a three year timeline indicating how you will progress from writing the research proposal to final thesis submission, a budget for your PhD programme, and your completed Hazard Identification and Risk Management form.

Your proposal should be submitted to your Faculty or Centre Postgraduate Administrator who will send it to your assessor and supervisors, and work with you to arrange your Research Proposal Seminar time and venue. Your assessor will provide written feedback on your proposal and seminar with a recommendation that either the proposal or presentation be accepted, or that changes are required. In the latter case, suggestions for improving your proposal will be given to you to firstly discuss with your supervisors and secondly to incorporate into your proposal. The assessor will review any changes, and reach a final decision regarding acceptance of your proposal. You will then receive a letter from the Chair of the Faculty or Centre Postgraduate Committee informing you that your proposal has been accepted and that you can begin your PhD research. A copy of this letter is also sent to your supervisors and the Research Student Team Leader.

### **Appointment of Supervisors**

Your Research Proposal acceptance letter will also confirm your Main Supervisor and other members of your supervisory team.

Your Main Supervisor has certain administrative responsibilities and is expected to play a major role in assisting you to set the direction of your research. This includes assisting in the project formulation, participating in setting the research objectives, assisting in the project management and conducting regular reviews of your research. Your supervisory team will also contribute where appropriate. In your

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 <sup>1</sup>	PhD, an international and relevant research record, and a proven track record of supervision.	PhD (normally), together with a developing and relevant research record.
Staff position <sup>2,3</sup>	Research active staff member of Lincoln University and / or Crown Research Institute / other research partner who has a contract for the whole of the proposed enrolment period of the student.	Research active staff member of Lincoln University and / or Crown Research Institute / other research partner who has a contract for the whole of the proposed enrolment period of the student.
Previous experience <sup>4</sup>	At least one postgraduate supervision successfully undertaken.	Previous research supervision evidenced.
Supervision professional development <sup>5</sup>	For staff new to supervision –completion of supervision training before embarking as a main supervisor, and within the first year of being included as a co-supervisor or associate supervisor.  For existing supervisors – relevant supervision refresher training	

**Notes:**

1. Some senior academics/researchers without PhDs have outstanding records in research, teaching and supervision; staff without the defined qualifications will be considered for suitability on a case-by-case basis: a cv and supporting information needs to be received by the Academic Administration Committee for approval.
2. “Other research partner” may include iwi authority, central or local authority, or private company. This is an inclusive statement and so other universities, or private individuals are not excluded whether they are in New Zealand or located overseas.
3. Potential supervisors from other research partners will be assessed on a case by case basis and must have completed Lincoln University supervision training.
4. At the discretion of the Dean or Centre Director, a junior academic may be appointed as a co-supervisor in order to gain experience in the supervision process.
5. For staff new to supervision, training in the first year of employment. For existing experienced-in-supervision staff, refresher training is to take place at least once every three years.

Lincoln University has legal, regulatory and ethical obligations to provide a high-quality supportive and safe learning environment for all its students. It recognises there can be a power imbalance between you and your supervisors. Any sexual or romantic relationship that occurs within this power imbalance is never appropriate. Such a relationship is strongly discouraged under the Staff Conduct Policy. This is because it risks taking advantage of the intrinsic trust, power and status differential implicit in the supervisor-student relationship. It also compromises the academic integrity of all involved, including the

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 University's Conflicts of Interest Statute. As a consequence, the supervisor will be removed from your supervisory team, and the Dean or Director will appoint a replacement supervisor. If you feel that you are being subjected to exploitation by one of your supervisors and/or pressured to consent to a sexual relationship, then you should contact the University Proctor who will follow the Lincoln University Sexual Harm Policy (2020) in taking appropriate action.

The writing of a thesis involves input from both you and your Main Supervisor, but each has a different role.

The Main Supervisor's role is to provide critical comment and guidance. This guidance is likely to include detailed advice on aspects such as overall organisation and the development of the argument (aspects which professional editors term 'substantive editing').

You, however, are ultimately responsible for the research of the thesis, and the writing of the thesis. This requires a high level of expertise in academic writing and English language and you should make all efforts to improve your writing and English language skills during the research/writing process. Education and support in academic writing is available on campus through the Learning, Teaching and Library Centre.

### **Research Costs and Resources**

Before you are accepted as a PhD student the Faculty or Centre Postgraduate Committee will have analysed the requirements of the research topic in order to determine that the facilities needed for the project are available (including the proposed source of funds where applicable), that supervision can be provided, that the thesis can be completed within the specified timeline and that the project is otherwise acceptable.

Approval of a research topic will not be given if the research is dependent on obtaining a grant which has been applied for but not awarded at the time the application is made.

Substantive research should not begin until your research proposal has been approved by the Faculty or Centre Postgraduate Committee Chair.

Your approved budget may include different sources of funding. You may have external funding for your research or you may only have a grant provided for each of three years by the Faculty or Centre (all PhD students receive the latter).

You should note, however, that this is an allocation of funds to the research project and not to you personally.

Each Faculty or Centre has different ways of distributing and allocating research funds. Your supervisor will explain how this will work for you.

### **Responsibilities of the Main Supervisor**

Your Main Supervisor is expected to have regular contact with you (as per your Mutual Expectations Agreement) and to be available for discussions by appointment. Your Main Supervisor should assist you with the overall conception of research, development of theory, choice of methods, if appropriate, the design of experiments, organisation of fieldwork and provision of facilities. **Your Main Supervisor is also responsible for the submission of all the reports and administrative duties required by Lincoln University during your PhD programme.**

**Your Main Supervisor is obliged to see that the research meets the University's requirements for both safety and ethics.** For example, safety standards for radio isotopes and biohazards in research must be met, while research involving people and animals must satisfy high ethical standards. If you are conducting social science research or research on vertebrate animals, you will need to discuss

with your Main Supervisor the University's ethical requirements and to become familiar with those 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 'Embargo Notification Form'.

### **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 your research supervision. This includes participation in your research project 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.**

**Associate Supervisor:** The designation of Associate Supervisor is used when the person plays a major, but not leading, role in your supervision. **Reflecting the nature of supervision, an Associate Supervisor shares the workload of supervising you with a main supervisor.**

Anyone appointed as an external Co-Supervisor or Associate Supervisor is expected to have the qualifications and experience that would be appropriate for a research active member of Lincoln University.

### **Responsibilities of Students**

Whilst as a PhD student you need to learn to work independently, you should take the initiative in arranging meetings as scheduled in your Mutual Expectations Agreement. A stimulating and successful thesis depends very much on the creation and maintenance of a good working relationship between you and your supervisory team. **It is recommended that you keep a record of each meeting in the form of minutes and action points which you share with your supervisory team.**

As a PhD candidate you are expected to contribute to the life of the Faculty or Centre in which you are working, and are expected to attend Faculty, Centre and Departmental seminars.

### **Copy Editing**

The writing of a thesis involves input from both you and your supervisory team, but each has a different role. The supervisory team has a role to provide critical comment and guidance. This guidance, particularly at the first draft stage, is likely to include detailed advice on aspects such as overall organisation and the development of argument, aspects which professional editors term 'substantive editing'. You, however, are ultimately responsible for writing the thesis. This requires a high level of expertise in academic writing and English language.

It is not considered usual practice at Lincoln University for students to have professional or third party assistance in editing their theses. However, in some circumstances, the supervisory team may recommend that the final draft of the thesis is copy-edited by a third party. If a thesis is to be copy-edited, the Main Supervisor should give permission in writing, the editor should be one recommended by Learning, Teaching and Library or the Faculty or Centre, and the copy editing should be acknowledged in the thesis.

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 wish to lodge a formal complaint or to appeal against a decision made within your Faculty or Centre, you should consult the Research Student Team Leader.

## 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 a “standard thesis” or a “thesis with publications”.

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 50,000 words, including references but excluding appendices, is suggested for a PhD thesis. This would include tables, figures and diagrams.

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 confidential way and must be destroyed after a period of time. In other cases, the data may be made available on request to those who read the thesis.
- You are strongly encouraged to publish the results of your research.
- Publication practice varies among Faculties and Centres, but it is essential that there should be full discussion with your supervisory team concerning authorship, choice of journal and timing of publication.
- Papers may be published before your thesis is completed. Where appropriate, a published paper may form a chapter in the body of your thesis, provided that you are the main author of the paper, you conducted the experimental work and the majority of the writing process, and provided that the paper follows the style of other chapters and is integrated with the rest of the thesis in a general discussion.

Alternatively, a paper may be cited in the thesis or it may form an appendix to the thesis. Also refer to the AUTHOR GUIDELINES FOR ACADEMIC PAPERS taken from the *British Sociological Association* <https://www.britisoc.co.uk/publications/guidelines-reports/authorship-guidelines/>

Particular care must be taken with presentation. Excessive spelling mistakes and typographical errors can require a thesis to be rewritten, no matter how well-performed the research.

**Please note: Your thesis may not be submitted for examination without the final draft first having been seen as a complete document by at least one of your supervisors.**

### **Thesis Cost**

If you choose to bind your thesis, you are expected to meet the cost of the preparation and binding of your thesis, unless these costs are met under the terms of a specific scholarship, grant or other award.

### **Thesis Length**

While your PhD thesis is expected to be approximately 50,000 words, it should not be longer than 100,000 words.

Your thesis should be written in double-space typing and in a minimum type face of size 12 for the body of the work (excluding tables, figures, reference section).

The typical length will, however, depend on the field in which your research is being conducted. You should therefore discuss the matter of thesis length with your Supervisors and be guided by the conventions that apply to the Faculty/Centre and discipline.

### **Types of Thesis**

Examiners (and supervisors) are typically faced with two styles of thesis at Lincoln University:

- 'standard' or traditional thesis
- thesis with publications

Both formats are acceptable with the former being by far the most common.

## Standard Thesis

A standard thesis contains:

- **Abstract:** a summary of the research questions addressed, your results and the conclusions drawn.
- **Acknowledgements:** people, organisations, funders whose contributions have assisted you in your research.
- **Introduction:** should contain a brief background, the problem statement, hypothesis, goals, objectives, study approach and chapter outline.
- **Literature Review:** comprehensive, up-to-date and insightful.
- **Methodology, including where relevant the Methods and Materials:** which justify the chosen methodology and outlines the methods and, if appropriate, materials.
- **Study Areas or Study Context:** sets the locational, policy, social or other scenes.
- **Results:** normally 3-4 chapters describing findings, i.e., the empirical component.
- **Discussion:** evaluates the findings and their implications in terms of the literature and theories.  
**Conclusion:** an integration of the entire thesis, an assessment of the contribution the research has made to the sum of knowledge, a review of the research objectives, and recommendations.
- **References:** must include all references quoted in the thesis.
- **Appendices:** for supporting information related to the thesis.

## Thesis with publications

An alternative thesis format is one built around a set of peer-reviewed published manuscripts.

At least two publications must have been published in a peer-reviewed journal with an impact factor ranking as recorded by the web of knowledge database. A further one or more publications have to be in the review stage for a peer-review journal. Evidence must be provided to support this fact; conference manuscripts are generally not accepted.

This format has some specific requirements. In particular such a thesis must present as an integrated whole and therefore must have the following sections and chapters:

- **Abstract:** a summary of the research questions addressed, your results and the conclusions drawn.
- **Acknowledgements:** people, organisations, funders whose contributions have assisted you in your research.
- **Introduction:** detailing the flow of the research conducted and presented in the thesis.
- **Literature Review:** provides a detailed review of the current context of the research. If you had already published a literature review as a journal article, this may form part of your thesis literature review, but the thesis literature review needs to be an extension of the published article.
- **Methodology section:** an outline and justification of all the methods used in the stand alone manuscripts in greater detail than provided in any published articles presented.
- **Results chapter:** this may be broken down into sub-chapters comprised of the pre-publication proof versions of accepted and submitted manuscripts, together with additional results not covered in the published / submitted manuscripts (abstracts written for the submitted manuscripts and reference lists included in the manuscript, should be excluded from individual chapters. All references must be cited in a consistent format and included in the main Reference section of the thesis.;
- **Overall Discussion and Conclusions chapter:** used to draw together the published material as well as any material not yet published. This chapter must be an insightful and integrated chapter which brings together all of the results presented in the previous chapters and provides an in-depth critical evaluation of the relevance of the results in your particular field of research.
- **Reference section:** this should contain all the references used throughout the thesis in a single, and consistent, reference style.
- **Appendix;** where necessary

This thesis format must also adhere to the following:

- formatted in a single, standard and consistent manner throughout the entire thesis.
- a single, standard, referencing system, and all references included in a single reference chapter at the end of the thesis (a list of references is not allowed in each separate chapter);
- a consistent spelling style using UK English;
- a statement at the beginning of the thesis about the status of manuscripts submitted as part of the thesis, e.g., have they been submitted and are subject to review, are they published and if so where, if they are jointly authored then who are the other authors? and
- copies of published/submitted manuscripts to be provided in the Appendix of the thesis for distribution to the examiners.

### *Third Party Copyright Permission*

You must remember to request permission before using any third party copyright information in your thesis. The Library staff or the legal adviser (Vice-Chancellor's Office) can provide advice and guidance on all copyright matters.

## 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;
- Factors which may have influenced your work; and
- Your technical/practical capability.

If you want to attend the Graduation Ceremony immediately following the submission of your thesis, and ensure that there is sufficient time for you to be included in the printed list of graduates for the Graduation Ceremony, you should aim to submit your thesis no later than the end of November prior to the next Graduation Ceremony. The later the thesis is submitted, the less likely it is that you will be able to graduate in person at the ceremony.

### Thesis Examiners

Two external examiners are involved in marking a PhD thesis. The external examiners are appointed by the Academic Administration Committee and are chosen for their knowledge in the field of study, together with a good understanding of the university examination system and standards.

Lincoln University requires that one of your external examiners is from a country other than New Zealand. The other external examiner is required to be from within New Zealand or Australia but outside Lincoln University. Examiners will not be appointed when they;

- are known to you;
- have no experience at marking a PhD unless the other external nomination has substantial supervision and experience in marking theses at this level;
- have recently been employed (less than 5 years) by the University.

Your Main Supervisor will have contacted the proposed external examiners informally and obtained their tentative agreement prior to the Academic Administration Committee considering the nomination.

Approximately two months before the submission of the thesis, your Main Supervisor will have made a recommendation to the Academic Administration Committee on the appointment of the external examiners. In recommending the external examiners, the Main Supervisor will have supplied the following information to the Academic Administration Committee:

- full names, titles and postal addresses;
- academic qualifications, including the awarding institution/s;

- the posts held by the proposed examiners and a brief statement (one paragraph) of their status in the field for which they are recommended as examiners.
- a short curriculum vitae.

The nominations will have been endorsed by the Dean of Faculty or Centre Director. When the nomination has been prepared, it will be submitted to the Research Student Team Leader.

When appointing the external examiner/s, the Academic Administration Committee will also approve a Lincoln University staff member to act as your examination convenor. The convenor need not be an expert in your field of research.

The role of the examination convenor is to:

- oversee the whole examination and preserve impartiality;
- collate the reports of the independent examiners;
- determine whether a dispute exists; and
- chair your oral examination

The examination convenor will report to the Convenor of the Academic Administration Committee on the conduct of the exam and ensure a recommendation and examination report are provided.

### Criteria for Examining a PhD Thesis

Your thesis will be examined by both examiners. The examiners will mark your thesis independently and will each submit a report and recommendation and separate set of questions without seeing the other examiner's report.

Following receipt of the written reports, the AAC will determine if your thesis qualifies for you to undertake an oral examination. The oral examination is where the New Zealand examiner asks you questions about the results of your research and about the general field of the research. The award of the degree could depend on your satisfactory performance in the oral examination as well as in the examination of your thesis.

To better understand the way in which the examiners will examine your PhD thesis, the following evaluation criteria are provided to examiners:

Criterion 1: A PhD degree is designed to create new knowledge through original research. Therefore, candidates for PhD degrees must demonstrate **originality, critical insight and a capacity to carry out independent research**. A candidate has succeeded in this when the thesis can demonstrate to an examiner that, moving from the base of the declared aims and objectives, originality and insight are evident, that the results are original and represent new knowledge in the discipline, that this is done through excellence of presentation, that significant components of the work are publishable in peer-reviewed journals of standing, that sound statistical analyses have been carried out where appropriate, and that there has been good integration of the candidate's work with that in the literature.

Criterion 2: The thesis should be presented as a coherent body of work. It should contain a **critical review of the literature** on the subject. It should set out clearly the aims and the objectives of the research. The materials and methods used should be set out in sufficient detail so that the work could be repeated, where appropriate, by another person. Tables, graphs and figures should be well presented, accurate and concise and suitable techniques used to evaluate the results. A final discussion should be included, covering previous work, the present results and future investigations. Conclusions should be clear and precise.

Criterion 3: The thesis should contain information which **contributes to the sum of knowledge or technical procedures** on the subject studied and provides new understanding of the subject with which it deals.

Criterion 4: The thesis should be **clear, accurate, cogent, and concise**. It should be free of typographical errors, errors of spelling or syntax.

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://tli.lincoln.ac.nz/resources/theses-dissertations/depositing-into-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.

Presentation 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.

Examiners need to make a recommendation on the award of the degree. This is an assessment of whether your thesis is worthy of the award of a Doctor of Philosophy degree. The intention of this recommendation is to make a global assessment of the thesis against national and international norms for doctoral theses.

The standard recommendations available to examiners are:

**a) Pass**

That the thesis meets the required standard for the award of the Doctoral degree

**b) Amendments Required**

That the thesis will meet the required standard for the award of the Doctoral degree on satisfactory completion of the recommended amendments to the satisfaction of the student's supervisory team, before being deposited in the Library

**Note:** Such a thesis may contain minor errors, the sum of which do not detract from its overall quality to such an extent that it requires corrections to be made.

**Note:** If the examiners both recommend options (a) or (b) then you will proceed to an oral examination of the thesis.

**c) Re-examination**

That the thesis does not meet the required standards for the award of the Doctoral degree, but has sufficient merit that the required standard may be met following further research, re-analysis of data, and/or synthesis of information

**d) Fail**

That the thesis does not meet the required standards for the award of the Doctoral degree, and further research or revision of the thesis would be unlikely raise it to Doctoral degree standard.

**e) Master's**

That the thesis would likely, with or without recommended amendments, meet the standards required for the award of the Master of Applied Science, without honours and with a pass grade only.

**Examiner's Report**

In reporting on your thesis, an examiner will complete an examination report form and also provide written comments on the thesis in general, a separate list of questions regarding the thesis, and a recommendation (should such be warranted) for consideration of the thesis in the annual list of Dean's Awards for Exceptional Theses.

Lincoln University also expects examiners to indicate the areas in which changes are required. The University considers these reports to be very valuable academic and professional feedback for you. Consequently examiners are encouraged to be as detailed and as expansive as time permits.

The examiner who will not attend the oral examination (normally the overseas external examiner) is asked to supply a list of questions to be put to you at the oral examination on their behalf. This list will be passed to the New Zealand external examiner by the oral examination convenor.

Examiners' reports may also be used as items in the University's quality management processes. For instance, reports (with the identity of examiner and student protected) may be considered during Faculty or Centre reviews.

The examiners' reports, but not the questions, will be provided to you no less than five working days prior to the oral examination.

### **Thesis reporting timeframe**

Examiners are given two months to examine a thesis. Often examiners are able to do this in a much shorter period of time but this should not be the expectation. Approximately three to six months can be expected to elapse between the submission of your thesis to you being cleared to graduate, including a decision by the Academic Administration Committee on the award of the degree.

### **Disputes on Recommendations**

Disputes between the examiners of your thesis are governed by Regulation K: Disagreement between Examiners in the Statutes and General Regulations in the Lincoln University Calendar.

As noted above, there are several standard recommendations available to examiners. As soon as it is clear there is a disagreement between examiners, the Examination Convenor will contact the Research Student Team Leader and the Convenor of the Academic Administration Committee, for advice and clarification.

### **Procedure for Facilitating Dispute Resolution**

The Examination Convenor will, in the first instance, compile the examiners' reports and send them to both examiners (names of examiners will remain on the reports). The Convenor will ask each examiner to, independently, determine where the key dispute issues arise, to reconsider these issues in light of the other reports, and respond with one of the following views:

1. That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reasons) that they cannot change their recommendation;
2. That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reasons) that they would like to change their recommendation
3. That they have read the reports, identified the issues (include a brief summary), reconsidered their conclusion and come to the view (state reason) that they would like to discuss the following points with the other examiner, before finalising their recommendation.

It is important to note in this process that Lincoln University is not trying to pressure examiners into compromise, rather this is a process to look at the bigger picture and assess whether or not there is room for mutual and agreed adjustment, without coercion.

When the brief summaries are received the Examination Convenor will evaluate whether or not potential for agreement to change exists, and then mediate the process for formalising that agreement, either by phone or e-mail. If the process leads to no changes occurring then a 'Continuing dispute' is defined.

Whatever the outcome, the Examination Convenor will write a very brief report summarising the outcomes of the process to the Research Student Team Leader, with copies to all the examiners.

### **Continuing Dispute process**

Where it is determined that a Continuing dispute exists, the following process will commence:

- the Research Student Team Leader will ask the Main Supervisor and the Dean of Faculty or Centre Director to submit the names of three people, external to the University, appropriately

qualified for the role of additional external examiner to the Convenor of the Academic Administration Committee

- the Convenor of the Academic Administration Committee will recommend to the Vice-Chancellor the appointment of an additional external examiner, who may or may not be from among those nominated;
- once they have accepted the position, the additional external examiner will be provided with a copy of your thesis and asked to examine your thesis and prepare a report;
- the additional external examiner will also be provided with:
  - a copy of each of the examiners' reports, in a sealed envelope. The names of the examiners and the examiners' institutions and other affiliations will be redacted; and
  - a copy of the report on the examination prepared by the Examination Convenor;
- the additional external examiner will also be asked to comment on the examination and the reports of the examiners.

The report of the additional external examiner will be considered by a meeting of the Academic Administration Committee, together with the reports from the other examiners and the report of the Examination Convenor. The Academic Administration Committee will then determine whether to:

- proceed to an oral examination;
- require you to revise and resubmit;
- make no award;
- award the Master of Applied Science, without honours and with a pass grade only;

### **Release of Examiners' Reports**

Under normal circumstances, you will be entitled to copies of all examiners' reports and comments (but not to the separate written questions or to the examiner's recommendation) no less than five working days prior to the oral examination occurring.

If a dispute occurs during the examination process, release of the reports cannot be made until the examination of the thesis is complete. If you are asked to revise and resubmit, you will receive copies of all reports to enable the revision to be done. You may not, however, see any of the reports while the thesis is still under examination.

In the case of a dispute, the Academic Administration Committee will release a copy of the initial reports to your Main Supervisor to assist them in nominating an additional external examiner. Your Main Supervisor will not be allowed to release to you, or to any other person, a copy of these reports without the prior approval of the Academic Administration Committee.

### **Examination of a Revised and Re-submitted Thesis**

If the result of the examination is to require you to revise and re-submit your thesis, then this is treated, for examination purposes, as an entirely new thesis, and new examiners will be appointed. In this case, you will be given a submission date for your revised thesis that will depend on the extent of the revision needed. You will be expected to enrol and register and pay tuition fees during the revision period. If you are an international student who has returned home, offshore and international fees will apply.

### **Right of Candidate to Appeal**

No appeals are allowed, except those based on procedural irregularities in the examination process.

An ad-hoc appeals committee will be established by the Vice-Chancellor in the event of an appeal being lodged. The appeal should be lodged in the first instance with the Convenor of Academic Administration Committee.

The main function of the appeals committee will be to ensure that the examination was conducted thoroughly in all aspects.

## 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. If there is disagreement between the examiners or an exam is not required, i.e., a fail, then other courses of action are followed as outlined in the previous section,
- advising key participants of what the next step is, etc.

The Examination Convenor also provides you with the appropriate section of the examiners' reports at least five working days prior to the oral exam. In addition the Examiner Convenor is responsible for facilitating a discussion about whether you (and your thesis) warrant a Dean's Award for an Exceptional Thesis.

The Academic Administration Committee recognises that it may not be possible to arrange to have all parties required to attend a PhD oral examination in the same venue at the same time. In this case, telecommunication technologies such as Zoom may be used to facilitate an examination. The following criteria and conditions are set out as guidelines to ensure an effective PhD oral examination takes place under these alternative arrangements.

### **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);
- Any other matters relevant to successful completion of the oral examination (e.g., time zone differences, etc.).

If the criteria above are met and the arrangement for an alternative arrangement for a PhD oral examination is approved by the Examination Convenor, your Main Supervisor will ensure the following conditions are met in full.

- 1) The telecommunication technology being employed and the facilities in which they are being used are of sufficient quality and reliability to allow the examination a good chance of being completed successfully.
- 2) It may not be possible to guarantee absolute reliability of a communication technology, therefore back-up plans should be in place, e.g., if a video link fails, back up telephone links should be available.
- 3) A test of the telecommunications technology should be carried out before the oral examination to ensure links can be established.
- 4) In the event of telecommunications failing to the point where they cannot be re-established in a short period, e.g., one hour, then the examination will be terminated. The Examination Convenor will report in detail to the Convenor of Academic Administration Committee on:
  - a) at what point during the examination telecommunications failed;
  - b) how far through the examination the examiners had reached;
  - c) opinion from the examiners as to whether the examination was sufficiently close to completion for a decision to be reached, or what still needed to be completed;
  - d) any other matters germane to the completion of the examination.

If you are at a remote location, the Examination Convenor must be satisfied that you are in suitable examination conditions and are providing your own responses to questions.

- 5) A support person may accompany you. However, this person must not contribute to the examination in any way.
- 6) The Examination Convenor will be responsible for ensuring all requirements of the University are met for the examination, and will report in their letter to the Academic Administration Committee that a candidate/examiner/supervisor was 'attending' the examination by way of telecommunications. Any problems experienced during the examination must also be reported by the Examination Convenor.

### **Examination Arrangements**

It is the responsibility of your Main Supervisor to make all arrangements for the time, place and any other requirements for your oral examination. The Examination Convenor must ensure that all arrangements have been attended to prior to the oral examination.

The Examination Convenor may wish to meet with you a day or two before the oral examination to explain the examination process and answer any queries you may have.

### **The Role of Your Main Supervisor**

Your Main Supervisor has three principal roles in the oral examination:

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

### **Recommendations Following the Oral Examination**

On completion of the oral examination, the examiners will prepare a report setting out their joint opinion and making a specific recommendation. Attached to this will be the reports of the individual examiners. The Examination Convenor will forward the joint report and the individual reports together with a covering letter to the Research Student Team Leader, who will arrange for confirmation of the result by the Academic Administration Committee.

A recommendation will be made in accordance with one of the following options:

#### **a) Pass**

That the thesis be accepted meets the required standard for the award of the Doctoral degree.

- Such a thesis may contain minor errors, the sum of which do not detract from its overall quality to such an extent that it requires corrections to be made.

#### **b) Amendments Required**

That the thesis will meet the required standard for the award of the Doctoral degree on satisfactory completion of the recommended amendments to the satisfaction of the student's supervisor, before deposit in the Library;

In this case you will be informed of the fact that you have met the required standard, but that amendments are needed; the supervisory team is expected to inform you of the nature of the amendments required.

#### **c) Re-examination**

That the thesis does not meet the required standards for the award of the Doctoral degree, but has sufficient merit that the required standard may be met following further research, re-analysis of data, and/or synthesis of information;

- In this case, a further oral examination may or may not be requested by the examination committee. A specific date will be set for the date of your resubmission. The resubmission should be made to the Examination Convenor. All correspondence must, be copied to the Research Student Team leader. The thesis should usually then be re-examined to confirm that the appropriate standards have now been reached.

#### **d) Fail**

A fail recommendation means that the thesis does not meet the required standards for the award of the Doctoral degree, and further research or revision of the thesis would unlikely raise it to Doctoral degree standard. The options are:

- i. That the thesis would likely, with or without recommended amendments, meet the standard required for the award of the Master of Applied Science, without honours and with a pass grade only.
- ii. That the thesis would likely, with or without recommended amendments, not meet the standards required for the award of any qualification.

#### **Note:**

- a) The Examination Convenor will use rapid means of communication, e.g. telephone or email when seeking the consensus of all examiners with the result of the entire examination.
- e) You will be informed of the result of the examination without undue delay.
  - i. If you do not pass in the whole examination you will be given written advice in general terms of the reasons for failure. Where a recommendation that the degree be awarded without substantial additional work is unanimous, it is acceptable for the Examination Convenor to inform you unofficially of this soon after the oral examination. In other

cases, you will be told that a result must await the decision of the Academic Administration Committee.

- f) After the Academic Administration Committee has approved the examination panel's recommendation on the examination, you, on request, will be sent a copy of each examiner's report bearing the examiner's name.

### **On Completion of an Oral Examination**

When an oral examination is completed, the Examination Convenor will:

- complete the normal documentation required for oral examinations, noting in addition any relevant points from the section above.
- arrange for a copy of the recommendation letter from the examiners to the Academic Administration Committee to be signed and returned to the Examination Convenor. A scanned PDF document sent and returned is sufficient.

### **Disputes at the Oral Examination**

If the examiners attending the oral cannot agree on the outcome of the examination, then the Examination Convenor must prepare a report, including:

- an account of the conduct of the oral examination;
- the views of each of the oral examiners;
- the written reports of each of the examiners.

This report will then be considered by the Academic Administration Committee which will have the power to decide the result of the examination or to call for an additional external examination of the thesis.

## 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.

Unless otherwise specified by the examiners, you will normally have three months following notification of the outcome of the examination in which to complete any changes required following examination. Where advice from the Dean of the Faculty or Centre Director is compelling, the Academic Administration Committee may approve a longer term.

If you fail to satisfy this requirement you are liable to the provisions of the Unsatisfactory Progress regulations as outlined in Section 5 and shall be awarded a lesser qualification or no qualification, as appropriate.

As part of the graduation clearance process, you, under direction from your Main Supervisor, are responsible for:

- The digital deposit of your thesis in the University Library. The copy will be made publicly accessible under the terms of the Lincoln University [Open Access Policy](#): this may include requirements for embargo or restricted access.
- If full open access is not possible, and further embargo requirements are not deemed applicable, a complete digital copy will be made available to Lincoln staff and students only. A second digital copy with the restricted material removed will be made openly available.

Instructions can be found at

<https://itl.lincoln.ac.nz/resources/theses-dissertations/depositing-into-research-archive>

You will not be cleared to graduate until the deposit of your thesis has been made and sign off confirmed by the appropriate Faculty or Centre Research/Postgraduate Committee Chair, all debts to Lincoln University cleared, and the Research Student Team Leader has been notified. Once you have been cleared to graduate, the Administrator, Student Records, Graduation and Awards will email you with instructions on how to graduate.

### Apply to Graduate

You must apply to graduate. There is a deadline for graduation applications which is separate to the process outlined above. To meet this deadline, you will need to take into account additional steps and requirements. Please refer to the [Graduation](#) page on the website.

## Appendix

# House Rules for External Doctor of Philosophy Study at Lincoln University

### A1. Introduction

As a PhD student you may wish to carry out your research away from Lincoln University. To do so, the need to carry out your research externally, whether elsewhere in New Zealand or internationally, must be clearly justified. You will need to be able to demonstrate that although you will be based off-campus, you will be:

- still working in an academic atmosphere and have the opportunity to benefit from the academic excellence standards set by your external supervisor(s)
- working under conditions acceptable to Lincoln University
- conducting your own research; your research must have been planned in conjunction with your supervisory team, but executed and evaluated by you as the PhD student, not by staff of the research establishment where you are working. Remember it is your PhD research programme – you are not a technician for another researcher

### A2. Supervisory Team

The House Rules for Study of Doctor of Philosophy at Lincoln University (House Rules) require that two members of your supervisory team must be members of the academic staff of Lincoln University, one of whom will be your Main (or Co-Main) Supervisor. However your team may also include a Co-Main Supervisor or Associate Supervisor who is external to Lincoln University. For your external study, a person (or persons) located where you are working will be appointed to your supervisory team. This person must meet the criteria used by Lincoln University to allocate supervisor roles (see Section 9 of the House Rules) and have been approved by your Faculty or Centre Postgraduate Committee Chair and Faculty Dean or Centre Director.

### A3. Approval of External Study

The Academic Administration Committee is responsible for approval of your external study. This decision will be made following receipt of a submission from you, supported by your Main Supervisor, the Faculty or Centre Postgraduate Committee Chair and the Faculty Dean or Centre Director which includes:

- the justification for your external research,
- the name, position and brief curriculum vitae of your external supervisor(s)
- a time-line that sets out the on-campus periods required during your PhD study (see A4) and that provides a schedule of visits planned to your work place by your Lincoln University supervisors
- details of the communication methods planned
- details of how any travel is to be funded
- if you are in paid employment, your employer's written statement (see Section 4 of the House Rules).

### A4. Time on Campus

You will be required to spend time at Lincoln University at the start of your PhD study. A minimum of three months on campus will be required to allow you to finalise your supervisory team, complete your Mutual Expectations Agreement (MEA), and write, submit, present orally, and have approved your Research Proposal (see Section 9 of the House Rules). Your research cannot begin until your Proposal has been accepted.

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-campus each year. You are expected to be on-campus for your 15 Month Report, exit seminar, and PhD examination. However the Academic Administration Committee recognised that there may be circumstances which prevent your being on campus for one or more of these three events. In this case telecommunication technologies such as Zoom may be used to facilitate the event. For your PhD examination via this system see Section 12 of the House Rules for the required process.

#### **A6. External Research Outside New Zealand**

If you are conducting your research outside New Zealand you must be located and/or working in a research-orientated tertiary educational institution or in a research institute. You will need to meet with your supervisory team at the frequency agreed in your MEA. These meetings will usually be held using telecommunications technology such as Zoom. However where possible, one meeting which includes at least one of your Lincoln University supervisors should be held annually at your location, normally funded by your host institute.

Your external research may have an impact on your tuition fees. If you are an international student conducting your PhD research in New Zealand, you are granted domestic student status and pay only domestic level fees. However if you are conducting all your research outside New Zealand, you lose your domestic student status and will be required to pay international student fees. To retain domestic student status while based overseas, you can be absent from New Zealand for no more than 12 months, either accumulated or in one block, over the duration of your PhD programme. The difference in cost between domestic and international fees at the PhD level is substantial. Make sure you understand the implications; discuss this with your supervisory team before reaching agreement via the MEA process. You are strongly encouraged to be present on-campus for your PhD examination. However if this is not possible, telecommunications technologies such as Zoom may be used to facilitate your examination. See Section 12 of the House Rules for the required process.

#### **A7. House Rules**

Your external status does not exempt you from the general requirements for PhD study as set out in the House Rules.