



GUIDE TO THESES AND DISSERTATIONS

This document is a general guide to the presentation of theses and dissertations and contains additional information about related policies and procedures. Your department will also have their own guidelines and requirements so you must consult your supervisor from the outset.

Enquiries:

Graduate Centre
School of Graduate Studies
East Wing, The ClockTower
22 Princes Street, Auckland
Phone: +64 9 373 7599 ext 86899
Fax: +64 9 373 7610 / 84310 (internal)
Email: postgraduate@auckland.ac.nz
Website: www.postgrad.auckland.ac.nz

Last edited November 2004



CONTENTS

1	Introduction.....	4
2	Where can I get help?	5
2.1	Your Supervisor	5
2.2	Departmental Graduate Advisor	5
2.3	Graduate Centre	6
2.4	The University Library.....	6
2.5	Student Learning Centre	7
2.6	Computing Services.....	8
2.7	Postgraduate Students' Association (PGSA)	8
2.8	Funding	9
3	Integrity in research.....	10
3.1	Applying for ethics approvals	10
3.2	Avoiding plagiarism.....	10
4	Style and format	11
4.1	Backing up your work	11
4.2	Proofreading	11
4.3	Language	11
4.4	Word length.....	12
4.5	Page size	12
4.6	Margins	12
4.7	Type face.....	12
4.8	Paragraphing and line spacing	12
4.9	Quotations.....	13
4.10	Footnotes	13
4.11	Page order and pagination.....	13
4.12	Elements of a thesis.....	14
a	Library Thesis Consent Form	14
b	Title page	14
c	Abstract.....	14
d	Dedication.....	14
e	Preface/acknowledgements	14
f	Table of contents	15
g	Lists of tables, figures, etc.....	15
h	Main text of thesis	15
i	Appendices	15

j	Bibliography/List of references	16
k	Glossary	16
l	Index	16
5	Binding.....	17
5.1	Paper	17
5.2	Images.....	17
5.3	Folded maps or charts	17
5.4	Additional material	17
5.5	General binding requirements	18
5.6	Binding a Master's thesis	18
5.7	Binding a doctoral thesis	19
5.8	Binding dissertations, research portfolios, etc	19
6	Submission	20
6.1	Master's thesis or research portfolio	20
6.2	Doctor of Philosophy, Doctor of Education and Doctor of Pharmacy.....	21
6.3	Doctor of Clinical Psychology	22
6.4	Doctor of Fine Arts, Doctor of Music and Doctor of Musical Arts	22
6.5	Doctor of Medicine	22
6.6	Higher degrees	23
6.7	Submission of dissertations and other research work	23
7	Library issues	24
7.1	Deposit of theses in the Library	24
7.2	Author's rights	24
a	Reproduction	24
b	Copyright	24
c	Restrictions on access (embargoes)	24
7.3	Failed works.....	25
7.4	Getting your doctoral thesis published by UMI Dissertation Publishing (Proquest)	25
8	Selected bibliography	26
9	Useful websites	32



I INTRODUCTION

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

Before embarking on your research, you should consult the current University of Auckland *Calendar Regulations* for your degree, the *Academic Statutes and Regulations* (which include the *General Regulations - Master's Degrees*, the *General Regulations for Named Doctorates* and the *Examination Regulations*), and the *Doctor of Philosophy and Higher Degree Regulations*.

Doctoral students should also refer to the *Statute for the Degree of Doctor of Philosophy (PhD) and Guidelines* and the *Doctoral Handbook: a survival guide for doctoral students*, both of which are available from the Graduate Centre.

All research students should consult the *Student Charter*. This document represents a philosophical understanding between the University and its students, and is aimed at preventing problems before they occur. It provides information about student rights and responsibilities and clarifies the responsibilities of the University. It is available on The University of Auckland website or can be obtained from the Auckland University Students' Association.



2 WHERE CAN I GET HELP?

While your supervisors and department/faculty are your first form of support, several other departments and organisations at the University are also here to assist in the completion of your thesis or dissertation and these are described below. The Student Learning Centre offers introductory workshops in research procedures, which are recommended for students unfamiliar with this field. These should be attended before planning your research design. Alternatively your department may offer relevant research tutorials or else suggest suitable research texts appropriate to your discipline. The appropriate Subject Librarian in the University Library should be consulted for advice on information resources for your research.

2.1 YOUR SUPERVISOR

You will not be able to commence/complete a thesis or dissertation without a supervisor. Your department is responsible for arranging supervision. If you wish to discuss matters concerning supervision please contact your departmental Graduate Advisor. It is essential that from the very beginning of your thesis you establish and maintain a good working relationship with your supervisor(s). You'll need to clarify mutual responsibilities with your supervisor and work out a protocol for regular meetings, and for the submission and return of written material. Some departments provide supervision relationship guidelines, and further resources and information can be found on the Student Learning Centre (www.slc.auckland.ac.nz) and the School of Graduate Studies (www.postgrad.auckland.ac.nz) websites. Policies related to thesis supervision (e.g. *Senate guidelines on thesis supervision*, *Policy for resolution of research problems*) are available from the Graduate Centre or on the School of Graduate Studies website.

2.2 DEPARTMENTAL GRADUATE ADVISOR

Most departments have a Graduate Advisor whose role is to assist you with supervision arrangements and, if you are a doctoral student, with registration. However, you may also need the services of the Graduate Advisor along the way if you run into difficulties with supervision or your personal life that impact on your progress. The Graduate Advisor can advise you on any departmental requirements for the presentation of your thesis or dissertation.

2.3 GRADUATE CENTRE

The Graduate Centre is a division of Student Administration and provides information and administrative services to prospective and current postgraduate students. The Centre offers a variety of facilities and resources, including four PCs with Internet access, a printer and a photocopier, a quiet area where you can study and relax, departmental handbooks and other information of interest to postgraduate students. There is also a seminar room and meeting room available for booking by staff and research students (phone 373 7599 ext 87742).

The University's Dean of Graduate Studies and Graduate Student Advisors are located at the Centre. Graduate Centre staff can advise you on regulations, postgraduate admission and enrolment, doctoral/Master's administration (including annual report processes for doctoral students), examination processes, thesis submission, dispute and appeals procedures and the role of the Board of Graduate Studies.

The Graduate Centre circulates a fortnightly email newsletter sent to all current postgraduate students informing them of coming events, deadlines, courses and other information of general interest (to subscribe, email postgraduate@auckland.ac.nz). The Centre also publishes a biannual newsletter 'postgradnews' available from the Graduate Centre or on-line at www.postgrad.auckland.ac.nz - link to News and Events.

The Graduate Centre provides dedicated careers support and counselling for research students. The service includes: individual consultations, job seeking skill seminars and workshops, networking with employers and local organisations, professional career skill programmes targeting teamwork, leadership abilities, etc.

The Graduate Centre is located in the East Wing of the ClockTower, 22 Princes St, City Campus and is open from 8.30am to 5pm each weekday. Phone 373 7599 ext 86899, email postgraduate@auckland.ac.nz, or alternatively visit the comprehensive School of Graduate Studies website at www.postgrad.auckland.ac.nz.

2.4 THE UNIVERSITY LIBRARY

The University of Auckland Library comprises multiple libraries with nearly 2 million print volumes, extensive electronic resources, and support services for students and staff of the faculties of the University.

LEARN (Library Electronic Academic Resources Network)

This is the Library's home page (www.library.auckland.ac.nz) and it provides access to a very wide range of full-text and bibliographical research resources, including Voyager, the library catalogue. Voyager provides access to resources in all the libraries of the University and includes direct links to full-text material available on LEARN.

The Subject Librarian Service

This is the key library service for graduate students and staff. At the start of your research, you are strongly advised to make an appointment with the relevant Subject Librarian for an individual consultation to obtain advice on the availability of resources for research. Subject-focused seminars are offered to groups to assist in identifying and using both print resources and the electronic resources available on LEARN. For contact details for all Subject Librarians check on LEARN or telephone the General Library Enquiry Desk on 373 7599 ext 88044.

Document Delivery Services

The Library provides interlibrary loan and document delivery services to graduate students needing access to material not held in the University of Auckland Library. An inter-campus library delivery service enables material to be obtained from another University of Auckland campus or from Off-Campus Storage.

2.5 STUDENT LEARNING CENTRE

The Student Learning Centre (SLC) offers a comprehensive range of support services to postgraduate students, including workshops, individual consultations and on-line assistance. Workshops are offered throughout the year to assist you with the thesis and dissertation writing process. These cover research and data analysis, reading and writing, self-management, computing, and public speaking.

The Student Learning Centre also coordinates a Doctoral Programme with workshops and individual help specifically for doctoral students.

The SLC Website (www.slc.auckland.ac.nz) provides a range of on-line resources and full details of all workshops with on-line booking. To talk with a staff member in person or make an individual appointment with a tutor, contact the SLC reception on 373 7599 ext 88850.

2.6 COMPUTING SERVICES

Computer literacy is an essential aspect of writing a thesis. The University of Auckland provides a range of computing services to assist you with your course of study. Consult the IT Guide on the University website for further information (www.auckland.ac.nz/itguide).

Otherwise, contact the computer support person for your department (details in the IT Guide), or phone the Information Commons Helpdesk on 373 7599 ext 82300/82333, email ichelpdesk@auckland.ac.nz.

The SLC offers a wide range of software training courses, from introductory level to advanced. Full workshop details are available on the SLC website (www.slc.auckland.ac.nz) or by contacting the SLC reception on 373 7599 ext 88850. For the presentation of your thesis, the following software/workshops are of particular importance:

EndNote

This is a bibliography package that automatically compiles a bibliography/reference list; it is also an excellent tool for managing and organising your references. *EndNote* is installed on the majority of University machines and can also be purchased for home use at a charge of \$5 at the IC Helpdesk (Level 2, Kate Edger Information Commons, Alfred St, City Campus). The SLC and the Library both offer *EndNote* workshops and related downloadable resources are available from www.library.auckland.ac.nz/endnote/endnote.htm.

Formatting Your Thesis Using Templates and Styles

The styles and templates functions in Microsoft Word are excellent tools for the presentation of theses and dissertations. Used correctly, these ensure consistent formatting and will compile the table of contents automatically. If you are unfamiliar with the use of templates and styles then it is recommended you attend the SLC workshop on this topic. The SLC also offers an extension of this workshop: 'Compiling Your Thesis' which explains techniques for bringing all the chapters of your thesis together. The SLC has developed a thesis template based on these guidelines, which can be downloaded from their website at www.slc.auckland.ac.nz - link to Resources.

2.7 POSTGRADUATE STUDENTS' ASSOCIATION (PGSA)

The University of Auckland Postgraduate Students' Association (PGSA) is a voluntary organisation, set up by postgraduate students, to represent the interests of this student body at The University of Auckland.

PGnetwork is a peer-mentoring scheme open to all postgraduate students. Its aim is to assist students in the transition to postgraduate study and research at The University of Auckland. New students will be grouped broadly by discipline and matched with a mentor who is a senior postgraduate in a similar discipline. To sign up, email pgsa@auckland.ac.nz.

The PGSA website is intended to act as a communication hub for the postgraduate community here at the University. It features the latest news and information about professional, academic and social events that are being staged especially for postgraduates. Visit the PGSA website at www.pgsa.auckland.ac.nz.

2.8 FUNDING

If you require funding to support your research there are a number of options available. Contact the Scholarships and Financial Support office for further information; international students should contact the International Students Office for specific scholarships available to them. Funding may be available for specific pieces of research; the University of Auckland Research Office can provide further information. The School of Graduate Studies website includes a database of Research Studentships which may be of interest to prospective research students (www.postgrad.auckland.ac.nz - link to Research Studentships). Details of other scholarships and funding are also available on-line via the *BreakOut* database (see Section 9).



3 INTEGRITY IN RESEARCH

3.1 APPLYING FOR ETHICS APPROVALS

If your thesis research involves human subjects or animals in any way, it is essential that you obtain ethics approval from The University of Auckland Human Subjects or Animal Ethics Committees. Your supervisor or department should be able to advise you whether or not this is necessary, or alternatively contact the Research Office on 373 7599 ext 87956 or email researchoffice@auckland.ac.nz. Guidelines and forms can be downloaded from the Research website (www.auckland.ac.nz - link to Research).

3.2 AVOIDING PLAGIARISM

In any thesis, dissertation, report or project, unacknowledged copying or plagiarism **is not acceptable and is treated as an examination offence**. In *The University of Auckland Guidelines on Cheating in Coursework (2001)* plagiarism is defined as follows:

Plagiarism is the use of other people's work in an assignment and presenting it as your own without explicitly acknowledging - or referencing - where it came from. Plagiarism can also mean not acknowledging the full extent of indebtedness to a source. Work can be plagiarised from many sources - including books, articles, the World Wide Web, and other students' assignments. Plagiarism can easily occur unconsciously or inadvertently. Direct copying is plagiarism as is paraphrasing of other work without attribution. Submitting someone else's unattributed or less than fully attributed work or ideas is not evidence of your own grasp of the material and cannot earn you marks. Note: Plagiarism applies to all levels of work, including theses and dissertations.



4 STYLE AND FORMAT

The following are basic recommendations for setting up the text of your thesis and in the first instance you should consult your supervisor and the departmental guidelines. Also refer to the Auckland University Press publication, *The Preparation and style of manuscripts*, 4th edition, 1985. Many of the recommendations on style and format are also relevant to dissertations and other research work, however you must consult your own departmental guidelines because these may vary.

4.1 BACKING UP YOUR WORK

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

4.2 PROOFREADING

Careful proofreading for grammar, punctuation, spelling and general consistency is essential. It is also a good idea to have someone else read through it to pick up any mistakes you may have overlooked. A high standard of presentation is very important so allow plenty of time for this before you submit your work.

4.3 LANGUAGE

A doctoral thesis is to be presented in English unless otherwise approved by the Board of Graduate Studies at the time of registration. Candidates wishing to present and defend a thesis in Maori must, before applying to the Head of Department to be registered, obtain the permission of the Pro Vice-Chancellor (Maori). For detailed regulations governing the language of doctoral theses, refer to the *Statute for the Degree of Doctor of Philosophy (PhD) and Guidelines*, Clauses 4(h)(v) and 4(i).

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

All applications will be considered on a case by case basis, where it is satisfied that the field of study and topic make this essential, and that

suitable examiners will be available for the examination. It is unlikely that permission would be granted because a student's first language is not English.

4.4 WORD LENGTH

A doctoral thesis may not exceed 100,000 words or 250 pages in total, including an abstract of not more than 350 words.

The length of a 14 point Master's thesis is usually around 35,000-40,000 words including an abstract of 350 words, however it is important to check with your supervisor/departmental graduate advisor for individual departmental requirements, which may vary.

Departmental guidelines on the length of dissertations also vary and it is *essential* that you consult your supervisor/departmental graduate advisor. As a general guide, a 4 point dissertation is around 10,000-12,000 words and a 6 point dissertation around 15,000-20,000 words in length.

4.5 PAGE SIZE

The recommended page size is A4.

4.6 MARGINS

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

4.7 TYPE FACE

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

4.8 PARAGRAPHING AND LINE SPACING

This is usually a department-specific requirement. First line indent or flush left aligned first line are both acceptable. Left justified text with a ragged right margin is preferable to a justified right margin, but check whether your supervisor has a preference. Line spacing should be no less than 1½ line space and no more than double line space, with the exception of longer quotations, footnotes, material in tables/figures and the bibliography/list of references (which may be single line spaced).

4.9 QUOTATIONS

The format of quotations is usually a department-specific requirement. As a guide, in-text quotations of three lines or longer should appear as separate paragraphs, indented 10 mm from the left-hand margin throughout the passage with quote-marks omitted. (See Section 14, ‘Quotations’, of *The Preparation and style of manuscripts*, 4th edition, 1985.)

4.10 FOOTNOTES

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

4.11 PAGE ORDER AND PAGINATION

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

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

4.12 ELEMENTS OF A THESIS

a Library Thesis Consent Form

This is provided to protect your rights as the author of the thesis (*see Section 7.2a*). Consent forms can be obtained from the University Library website, School of Graduate Studies website or from the Graduate Centre.

b Title page

Your thesis title should be centred in the top third of the title page, and should describe the content of your thesis accurately and precisely. Your full name should be centred in the middle of the title page. Information regarding the degree, subject, university, and date is centred in the lower third of the page. The preferred form of wording is, “A thesis submitted in partial fulfilment of the requirements for the degree of [name of your degree], The University of Auckland, [year of completion]”. The following is an example:

A thesis submitted in partial fulfilment of the requirements
for the degree of Master of Arts in History,
The University of Auckland, 2002.

Where a Master’s degree consists only of a thesis (and no other coursework), the word ‘partial’ should be omitted.

c Abstract

An abstract is obligatory and it should follow the title page. The abstract should be a succinct summary (not more than 350 words) of the aim, methods, findings and conclusions of your research. Your department may have specific guidelines on writing an abstract.

d Dedication

This is optional.

e Preface and/or acknowledgments

The preface may set out briefly the scope and purpose of the study, though the wording of the abstract may make this redundant. This section may include acknowledgments. However, if it is only acknowledgments, head the section as ‘Acknowledgments’. Only acknowledge people or institutions that have contributed to the content of your thesis.

f Table of contents

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

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

g Lists of tables, figures, etc

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

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

AJHR	Appendices to the Journals of the House of Representatives
ATL	Alexander Turnbull Library
PD	New Zealand Parliamentary Debates

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

h Main text of thesis

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

i Appendices

This is an optional section for any additional material that does not

fit conveniently in the body of the text. It is a good idea to include any confidential information required for the thesis into appendices where possible. Each appendix should be labelled in sequence, either with capital letters or with numerals.

j Bibliography/List of references

It is important that citations be consistent in style, though the system chosen will depend on your subject field and departmental requirements. Information on reference styles used at The University of Auckland can be found on the Library's website (www.library.auckland.ac.nz/instruct/ref/ref.htm), including information on citing electronic sources. Also consult *The Preparation and style of manuscripts*, 4th edition, 1985, and other titles listed in the Selected Bibliography section of this publication.

The software application *EndNote* is useful for this section. Assistance with referencing and *EndNote* can be obtained from both the Library and the Student Learning Centre (*see Section 2.6*). *EndNote* is also available on the computers in the Graduate Centre.

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

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

k Glossary

This is an optional section. A glossary contains brief explanations of difficult/obscure expressions, or specialised terms with their meanings.

l Index

This is optional and is not normally required. However, information on arranging an index can be found in *The Preparation and style of manuscripts*, 4th edition, 1985.



5 BINDING

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

5.1 PAPER

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

5.2 IMAGES

Illustrations and diagrams should be scanned and incorporated into the electronic version of the document before printing wherever possible. If this is not possible they may be inserted into the text as required, preferably printed on 100 gsm high grade paper. All photographs with the exception of full-page photographs should be printed on high grade paper and mounted after the volume is bound. A guard sheet should be inserted where photographs are to be placed, and photographs may be mounted on either side of the guard sheet. A guard sheet is a heavyweight sheet of paper the same height and thickness as the text page but wider by 13 mm; the sheet is folded inside to form a flap. (Guard sheets are available from the University Bindery.) Full-page photographs should have the grain of the paper running along the binding edge or spine.

5.3 FOLDED MAPS OR CHARTS

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

5.4 ADDITIONAL MATERIAL

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

5.5 GENERAL BINDING REQUIREMENTS

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

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

The University Bindery standard charges include the author's name and thesis title on the spine. If your title needs to be abbreviated, give the binder instructions as to the exact wording required. The University of Auckland does not require a title or name on the front, but this can be done at an additional cost. Any special binding is charged extra, and a quote may be obtained before such work is done.

The University Bindery rates may be obtained from the Bindery, the Serials Unit in the General Library or from the Bindery's website (www.library.auckland.ac.nz/about/genlib/bind.htm).

Three to five working days are usually needed to bind a thesis at the University Bindery. **Candidates should check in advance with their binder to ensure that adequate time is allowed.**

The University Bindery is located at 82 Merton Road, adjacent to the Tamaki Campus (phone 528 7829; hours 8.00am to 4.00pm Monday to Friday). Non-urgent theses may be left with the Serials Unit in the General Library between 8.30am and 5.00pm, Monday to Friday) for delivery to the Bindery on the next working day.

5.6 BINDING A MASTER'S THESIS

All Master's theses submitted for examination must be hardbound in full library buckram with your name and the thesis title on the spine. Two copies are required to be submitted to the Graduate Centre for examination (please also check whether your department requires any additional copies).

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

5.7 BINDING A DOCTORAL THESIS

a Initial submission

All doctoral candidates are initially required to submit three copies of their thesis for examination in *temporary binding*. The preferred type of temporary binding is 'Limp bound' (lumbecked, flexible cover, spine covered with binding cloth). The first page of these examination copies require the following *statement to the examiners*:

This thesis is for examination purposes only and may not be consulted or referred to by any persons other than the examiner.

b Final submission

On successful completion of the examination, three hardbound copies of the thesis (in full library buckram), corrected as may be required, must be deposited with the Graduate Centre. These are to be bound in accordance with Section 5.5.

5.8 BINDING DISSERTATIONS, RESEARCH PORTFOLIOS, ETC

Binding and presentation requirements for dissertations, research portfolios, and other research work are specified by individual departments and these are not normally deposited in the University Library.



6 SUBMISSION

6.1 MASTER'S THESIS OR RESEARCH PORTFOLIO

a Deadlines for submission of a Master's thesis or research portfolio

Degree points	Semester of initial enrolment	Final semester from date of initial enrolment		Due date for submission	Due date for short extensions
		Full time	Part time		
28	1st Semester	4th	8th	15 December	28 February
	2nd Semester	4th	8th	1 May	15 July
14	1st Semester	2nd	4th	15 December	28 February
	2nd Semester	2nd	4th	1 May	15 July
21	1st Semester	3rd		15 July	30 September
			6th	15 December	28 February
	2nd Semester	3rd		15 December	28 February
			6th	15 July	30 September
Any extensions (including short extensions) must be applied for through your department.					

b Submitting a Master's thesis

Two hardbound copies (*see Sections 5.5 and 5.6*) of your thesis should be submitted by the due date to the Graduate Centre, Building 119, East Wing of The ClockTower, 22 Princes Street, City Campus. No appointment is necessary and the Graduate Centre is open between the hours of 8.30am and 5pm, Monday to Friday.

You must have a *Library Thesis Consent Form* bound into each copy of your hardbound thesis. The form can be obtained from the School of Graduate Studies website (www.postgrad.auckland.ac.nz), the Library website or the Graduate Centre.

On successful completion of the examination your Supervisor is responsible, through the Head of Department, for the deposit of two copies of your Master's thesis with the University Library.

c Submitting a Master's research portfolio

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

6.2 DOCTOR OF PHILOSOPHY, DOCTOR OF EDUCATION AND DOCTOR OF PHARMACY

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

a Make an appointment

You should consult with your supervisors about the most suitable time to submit your thesis and notify the Graduate Centre a month in advance. You'll then need to make an appointment with a Student Advisor at the Graduate Centre to come in and submit your thesis. Submission takes around twenty minutes, during which time procedural checks are completed and you'll be advised about the examination process.

b Copies for examination

You are initially required to submit three copies of your thesis in temporary binding to the Graduate Centre.

c Statutory declaration as to originality

You must complete a Doc 7 Statutory Declaration form that must be witnessed by a Justice of the Peace. This form is available from the School of Graduate Studies website or from the Graduate Centre and must be submitted with your thesis.

You will normally be permitted to submit additional material, such as CD-ROMs and audio cassettes, provided that you acknowledge such material in the Statutory Declaration and that the Declaration form is endorsed by your Supervisor and Head of Department.

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

d Hardbound Copies

On advice from the Graduate Centre of the successful completion of your oral examination, you must deposit three hardbound copies of

your thesis in full library buckram (*see Sections 5.5 and 5.7b*) with the Graduate Centre before a conferment of degree form will be issued. These final copies *do not* require the *statement to the examiners* to be bound into them (*see Section 5.7a*).

Make sure you have a *Library Thesis Consent Form* bound into each copy of your hardbound thesis. This form can be obtained from the School of Graduate Studies or Library websites, or from the Graduate Centre.

The Graduate Centre will deposit two copies of your thesis with the University Library. The Graduate Centre sends the third copy to your Head of Department.

6.3 DOCTOR OF CLINICAL PSYCHOLOGY

The thesis requirements for the DCLinPsy are the same as those for the Doctor of Philosophy with the following exception. Three copies of the Portfolio of Clinical Research are submitted for examination, as separate items, with the three copies of the thesis in temporary binding. For further information candidates are advised to consult the Calendar Regulations, their supervisor, the Psychology graduate advisor or the Graduate Centre, email postgraduate@auckland.ac.nz or phone 373 7599 ext 86899.

6.4 DOCTOR OF FINE ARTS, DOCTOR OF MUSIC AND DOCTOR OF MUSICAL ARTS

DocFA, DMus and DMA candidates have special submission requirements. Candidates are advised to consult the *Calendar* regulations for the particular degree for which they are being examined. Further information can be obtained from your supervisor, departmental graduate advisor or the Graduate Centre, email postgraduate@auckland.ac.nz or phone 373 7599 ext 86899.

6.5 DOCTOR OF MEDICINE

The MD is offered as an unsupervised research degree by thesis. The degree is usually based on clinical research work, which may be undertaken within or outside the University. Candidates should adhere to the submission procedures outlined for EdD and PhD candidates. Candidates are also advised to consult the *Calendar* regulations on the Doctor of Medicine. For further information please email the Graduate Centre at postgraduate@auckland.ac.nz or phone 373 7599 ext 86899.

6.6 HIGHER DEGREES

The University offers Doctorates in Literature (LittD), Science (DSc), Law (LLD), and Engineering (DEng). As at other universities, these are primarily designed for graduates of the University who have subsequently published original work that has, over a period of time, given them authoritative international standing in their field. Higher degrees are awarded rarely and after rigorous examination of a substantial and significant body of material. Candidates are advised to consult the *Calendar* regulations of the particular degree for which they are applying to be examined. For further information please email the Graduate Centre at postgraduate@auckland.ac.nz or phone 373 7599 ext 86899.

6.7 SUBMISSION OF DISSERTATIONS AND OTHER RESEARCH WORK

If your programme includes a dissertation or other research work you'll need to complete the requirements by the last day of the semester in which you are enrolled for the course. Dissertations and other research work should be submitted directly to the relevant departmental office for examination. Research portfolios are also submitted directly to the department for examination (*see Section 6.1*). Theses must be submitted to the Graduate Centre (*see Section 6.1*).

Binding and presentation requirements for dissertations and other research work are specified by individual departments and these are not normally deposited in the University Library.



7 LIBRARY ISSUES

7.1 DEPOSIT OF THESES IN THE LIBRARY

On successful completion of the examination of your thesis two copies will be deposited in the University Library (by the department for Master's students and by the Graduate Centre for doctoral candidates). One copy remains in the Library for reference purposes; the second may be borrowed by members of the Library or may be sent to other libraries on interlibrary loan.

7.2 AUTHOR'S RIGHTS

a Reproduction

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

b Copyright

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

- *Intellectual Property Policy: A Guide for Students*, available on the School of Graduate Studies website, www.postgrad.auckland.ac.nz
- *Intellectual Property Including Inventions and Patents*, The University of Auckland Calendar
- *Research Policy Manual*, available on the Research website, www.auckland.ac.nz - link to Research

c Restrictions on access (embargoes)

A thesis will normally be available for public consultation unless there are compelling reasons for restricting access to it. A period of embargo may apply to theses that contain material that is confidential or sensitive, but will normally be limited to a maximum of 2 years. Applications for embargoes are to be made to through the Head of Department and Associate Dean (Postgraduate) to the Dean of

Graduate Studies. For more information, refer to the *Calendar* (the regulations concerning embargoes were revised in 2004).

7.3 FAILED WORKS

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

7.4 GETTING YOUR DOCTORAL THESIS PUBLISHED BY UMI DISSERTATION PUBLISHING (PROQUEST)

Once a doctoral degree has been awarded, if you wish to have your thesis published by University Microfilms International you will need to supply the University Library with a further copy of your thesis and abstract. Submissions can be made either in unbound paper format or digital format. Information regarding this will be forwarded to doctoral candidates when the degree is awarded.



8 SELECTED BIBLIOGRAPHY

The titles listed below are held in the University Library; specific locations and call numbers are available on Voyager, the Library catalogue.

GENERAL

American Psychological Association. *Publication manual of the American Psychological Association*. 5th ed. Washington, DC: American Psychological Association, 2001.

Anderson, Jonathan, and Millicent E. Poole. *Assignment & thesis writing*. 3rd ed. Brisbane: John Wiley, 1998.

Bosworth, David P. *Citing your references : a guide for authors of journal articles and students writing theses or dissertations*. 2nd ed. Thirsk: Underhill, 1995.

Brause, Rita S. *Writing your doctoral dissertation : invisible rules for success*. London: Falmer Press, 2000.

Cryer, Pat. *The research student's guide to success*. 2nd ed. Buckingham: Open University, 2000.

Lester, James D. *The essential guide : research writing across the disciplines*. 2nd ed. New York: Longman, 2002.

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

Mauch, James E., and Namgi Park. *Guide to the successful thesis and dissertation : a handbook for students and faculty*. 5th ed. New York: Marcel Dekker, 2003.

Ritter, R. M. *The Oxford style manual*. Oxford: Oxford University Press, 2003.

Roberts, Carol M. *The dissertation journey : a practical and comprehensive guide to planning, writing, and defending your dissertation*. Thousand Oaks: Corwin Press, 2004.

Rudestam, Kjell Erik, and Rae R. Newton. *Surviving your dissertation : a comprehensive guide to content and process*. 2nd ed. Thousand Oaks: Sage Publications, 2001.

Thomas, R. Murray, and Dale L. Brubaker. *Theses and dissertations : a guide to planning, research, and writing*. Westport: Bergin & Garvey, 2000.

University style. 2nd ed. Cambridge, Mass.: Harvard University. Development Office. Communications Group, 1999.

Walker, Janice R., and Todd W. Taylor. *The Columbia guide to online style*. New York: Columbia University Press, 1998.

Write, edit, print : style manual for Aotearoa New Zealand. Canberra: AGPS Press, 1997.

ARCHITECTURE

Borden, Iain, and Katerina Rüedi. *The dissertation : an architecture student's handbook*. Oxford: Architectural Press, 2000.

Chappell, David. *Report writing for architects and project managers*. 3rd ed. Oxford: Blackwell Science, 1996.

Evans, D. G. *How to write a better thesis or report*. Carlton: Melbourne University Press, 1995.

Hamilton, Alaine. *Writing matters*. London: RIBA Publications, 1989.

Holt, Gary D. *A guide to successful dissertation study for students of the built environment*. Wolverhampton: Built Environment Research Unit, University of Wolverhampton, 1997.

BUSINESS AND ECONOMICS

Alred, Gerald J., Charles T. Brusaw, and Walter E. Oliu. *The business writer's handbook*. 6th ed. New York: St. Martin's Press, 2000.

Cleland, Jane K. *Business writing for results : how to create a sense of urgency and increase response to all of your business communications*. New York: McGraw-Hill, 2003.

Davidson, Wilma. *Business writing: what works, what won't*. Rev. ed. New York: St. Martin's Press, 2001.

Emerson, Lisa. *Writing guidelines for business students*. 2nd ed. Palmerston North: Dunmore Press, 2000.

Forsyth, Patrick. *Powerful reports and proposals*. London: Kogan Page, 2003.

Manalo, Emmanuel, Glenis Wong-Toi, and Julie Trafford. *The business of writing : written communication skills for business students*. 2nd ed. Auckland: Longman, 2002.

Polonsky, Michael J., and David S. Waller. *Designing and managing a research project : a business student's guide*. Thousand Oaks: Sage, 2005.

The write style guide for New Zealanders : a manual for business editing. Wellington: Write Group, 2004.

ENGINEERING

Ellis, Richard. *Communication for engineers: bridge that gap*. London: Arnold, 1997.

Silyn-Roberts, Heather. *Writing for science and engineering : papers, presentations and reports*. Oxford: Butterworth-Heinemann, 2000.

Silyn-Roberts, Heather. *Writing for science: a practical handbook for science, engineering and technology students*. 2nd ed. Auckland: Prentice Hall, 2002.

LAW

Asprey, Michele M. *Plain language for lawyers*. 3rd ed. Sydney: Federation Press, 2003.

The bluebook : a uniform system of citation. 17th ed. Cambridge: Harvard Law Review Association, 2000.

Campbell, Enid Mona, and Richard G. Fox. *Students' guide to legal writing and law exams*. 2nd ed. Leichardt: Federation Press, 2003.

Costanzo, Margot. *Legal writing*. London: Cavendish, 1993.

Guide to legal research and writing. Auckland: University of Auckland Faculty of Law, 2003.

Ray, Mary Barnard, and Jill J. Ramsfield. *Legal writing--getting it right and getting it written*. 3rd ed. St. Paul: West Group, 2000.

Stephens, Cheryl M. *Plain language legal writing*. 5th ed. Vancouver: ASAP Legal Pub., 1999.

Yogis, John A., Innis Christie, Michael J. Iosipescu, and Michael E. Deturbide. *Legal writing and research manual*. 5th ed. Toronto: Butterworths, 2000.

MEDICAL AND HEALTH SCIENCES

Goodman, N. W., and Martin B. Edwards. *Medical writing : a prescription for clarity : a self-help guide to clearer medical English*. 2nd ed. New York: Cambridge University Press, 1996.

Huth, Edward J. *Medical style & format : an international manual for authors, editors, and publishers*. Philadelphia: ISI Press, 1987.

Huth, Edward J. *How to write and publish papers in the medical sciences*. 2nd ed. Baltimore: Williams & Wilkins, 1990.

International Committee of Medical Journal Editors. "Uniform requirements for manuscripts submitted to biomedical journals." *Annals of Internal Medicine* 126, no. 1 (1997): 36-47. Note: This reference is also available at the following URL: <http://www.acponline.org/journals/resource/unifreqr.htm>

Matthews, Janice R., John M. Bowen, and Robert W. Matthews. *Successful scientific writing : a step-by-step guide for biomedical scientists*. Cambridge: Cambridge University Press, 1996.

Murrell, George, Christopher L. H. Huang, and Harold Ellis. *Research in medicine : planning a project - writing a thesis*. 2nd ed. New York: Cambridge University Press, 1999.

Rountree, Kathryn, and Patricia Laing. *Writing by degrees : a practical guide to writing theses and research papers*. Auckland: Longman, 1996.

SCIENCE

Alley, Michael. *The craft of scientific writing*. 3rd ed. New York: Springer, 1996.

Blum, Deborah, and Mary Knudson. *A field guide for science writers : the official guide of the National Association of Science Writers*. New York: Oxford University Press, 1997.

Davis, Martha. *Scientific papers and presentations*. San Diego: Academic Press, 1997.

Garson, G. David. *Guide to writing empirical papers, theses, and dissertations*. New York: Marcel Dekker, 2002.

Hailman, Jack Parker, and Karen B. Strier. *Planning, proposing, and presenting science effectively : a guide for graduate students and researchers in the behavioral sciences and biology*. Cambridge: Cambridge University Press, 1997.

Hampton, John, Lisa Emerson, and Bruce R. MacKay. *Writing guidelines for postgraduate science students*. Palmerston North: Dunmore Press, 1999.

Higham, Nicholas J. *Handbook of writing for the mathematical sciences*. 2nd ed. Philadelphia: Society for Industrial and Applied Mathematics, 1998.

Holtom, Daniel, and Elizabeth Fisher. *Enjoy writing your science thesis or dissertation! : a step by step guide to planning and writing dissertations and theses for undergraduate and graduate science students*. London: Imperial College Press, 1999.

Lindsay, David. *A guide to scientific writing*. 2nd ed. Melbourne: Longman, 1995.

Mathison, C. I. *Preparation of geological reports, theses, and publications*. Neutral Bay: Australian Institute of Geoscientists, 1995.

Morgan, Candia. *Writing mathematically : the discourse of investigation*. Bristol: Farmer Press, 1998.

Sides, Charles H. *How to write & present technical information*. 3rd ed. Phoenix: Oryx Press, 1999.

Silyn-Roberts, Heather. *Writing for science and engineering : papers, presentations and reports*. Oxford: Butterworth-Heinemann, 2000.

Van Emden, Joan. *Effective communication for science and technology*. Basingstoke: Palgrave, 2001.

SOCIAL SCIENCE/HUMANITIES

Alexander, Patrick H., and Society of Biblical Literature. *The SBL handbook of style : for ancient Near Eastern, Biblical, and early Christian studies*. Peabody: Hendrickson Publishers, 1999.

The Chicago manual of style. 15th ed. Chicago: University of Chicago Press, 2003.

Gibaldi, Joseph. *MLA style manual and guide to scholarly publishing*. 2nd ed. New York: Modern Language Association of America, 1998.

MHRA style guide : a handbook for authors, editors, and writers of theses. London: Modern Humanities Research Association, 2002.

Winkler, Anthony C., and Jo Ray McCuen. *Writing the research paper : a handbook*. 6th ed. Boston: Thomson & Heinle, 2003.



9 USEFUL WEBSITES

The University of Auckland	www.auckland.ac.nz
School of Graduate Studies	www.postgrad.auckland.ac.nz Information for new and returning students wishing to pursue a postgraduate programme. The Graduate Centre webpage is located here.
International Office	www.auckland.ac.nz/io Information and assistance for International Students on gaining admission to the University of Auckland, with ongoing support and advice.
Research Office	www.auckland.ac.nz - link to Research This office is responsible for the University's policy on research-related matters and the management and administration of these policies.
Computing Resources	www.auckland.ac.nz/itguide This site provides information and access to the range of student computing services at the University.
Student Learning Centre	www.slc.auckland.ac.nz This interactive on-line centre provides downloadable resources, workshop listings and registration, tips, useful links and more.
Library	www.library.auckland.ac.nz The Library homepage provides access to the University Library's electronic resources including Voyager, the catalogue, and information about services.
Reference Styles	www.library.auckland.ac.nz/instruct/ref/ref.htm An extremely useful page on the Library website about references styles used at the University, with lots of guidelines and useful links.
The University Bindery	www.library.auckland.ac.nz/about/genlib/bind.htm Contact details, bindery services, prices and more.
Scholarships & Financial Support	www.auckland.ac.nz/scholarships Information and advice on scholarships and funding, student loans, allowances and money management.
BreakOut	www.fis.org.nz/BreakOut/ Details of awards, scholarships and grants available to individuals for personal development.

Thesis Submission Checklist for Students

- ☐ Have you provided a final draft for your supervisor's feedback?
- ☐ Have you included an abstract of not more than 350 words?
- ☐ Have you proofread your thesis carefully for spelling and typographical errors (and ideally had someone else proofread it for you)?
- ☐ Have you checked that the presentation of your thesis meets departmental or University style and format guidelines? (see Section 4)
- ☐ Is your referencing system appropriate for your discipline? (See Section 4.12j)
- ☐ Are the page numbers in sequence? (see Section 4.11)
- ☐ Have you backed up the final version of your thesis on disk?
- ☐ Have you left at least three working days for binding?
- ☐ Is there a signed *Library Thesis Consent Form* included with two of the copies for binding (Master's theses and Doctoral Final Submissions)? (see Section 4.12a)
- ☐ Have you read through the binding requirements? (see Section 5)
- ☐ Is your title page set out correctly? (see Section 4.12b)
- ☐ Is any additional material such as maps or CDs adequately affixed to the thesis?
- ☐ Is your name and thesis title printed on the spine? (see Section 5.5)

Master's Thesis

- ☐ Are you submitting 2 hardbound copies of your thesis to the Graduate Centre by the due date? (see Section 6.1)
- ☐ Do you have a signed *Library Thesis Consent Form* bound into each copy? (see Section 4.12a)

Doctoral Thesis

- ☐ Have you arranged an appointment with a Student Advisor at the Graduate Centre to submit your thesis? (see Section 6.2a)
- ☐ Are you submitting three temporary bound copies of your thesis with the *statement to the examiners* on the first page? (see Section 5.7)
- ☐ Have you completed a Doc7 Statutory Declaration, witnessed by a JP? (see Section 6.2c)

Checklist for Supervisors/Heads of Department

Before Submission

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

Nomination of Examiners

- ☐ Organise the nomination of examiners and assessors well in advance of the submission deadline.
- ☐ Obtain Head of Department and Faculty approval.
- ☐ Ensure that the appointment of examiners and assessors meets the University guidelines. Please refer to the current Instructions to Examiners and Assessors Handbook, which is available from the Examinations Office, Clock Tower Building. When nominating examiners for doctoral candidates, The Statute and Guidelines for the Doctor of Philosophy (PhD) should be consulted.

Thesis Examination

- ☐ For Master's theses, ensure the grades are submitted to the Graduate Centre on an SA-512 form, via the Associate Dean of the Faculty (Postgraduate), once the thesis has been marked.

Library Deposit

- ☐ Upon completion of a Master's thesis examination, the supervisor is responsible through the Head of Department for the deposit of two copies with the University Library.