



# APPLICATION FOR INTERIM TO DIRECT ADMISSION TO PhD STUDY

THIS FORM COVERS INTERIM TO DIRECT ADMISSION TO PhD STUDY AT THE UNIVERSITY OF OTAGO

**Please note:** there is a **different form** for **international candidates** (excluding Australians) enrolling at the University of Otago for the first time, and for those seeking **interim** or **direct admission**. Please see the PhD website for details ([www.otago.ac.nz/study/phd](http://www.otago.ac.nz/study/phd)).

## INSTRUCTIONS FOR COMPLETING THIS APPLICATION FORM

The **Candidate** should complete **Section A** (PhD Admission Application).

The **Department(s)** (including supervisors and the Head(s) of Department(s)): should complete **Section B**.

The **Primary Supervisor** should complete and sign the **Ethical, Statutory and Regulatory Consents and Approvals** form on page 5.

The **Head of the Primary Department** should complete the **darker boxes** (marked with 'HoD Endorsement' tabs) throughout Sections A and B. It is best if these are completed after the rest of the application, as they endorse the contents of the application. Endorsements are required unless otherwise stated.

*Note: Signatures are required from the candidate, heads of all departments providing supervision, deans (where applicable), and the Pro-Vice-Chancellor(s) (or their nominees) for all involved divisions. Without these signatures, the application cannot be processed.*

If you have queries related to the completion of this form, please contact the Doctoral and Scholarships Office (email: [phd@otago.ac.nz](mailto:phd@otago.ac.nz))

## SECTION A: PhD ADMISSION APPLICATION – TO BE COMPLETED BY THE CANDIDATE

1. Full Name

2. Topic of Study

3. Proposed status:  Full-time  Part-time *(candidates must supply a brief (approximately 500 words) preliminary outline if not previously provided)*

**Full-time** candidates are expected to devote the majority of their working time to their studies.

**Part-time** candidates are required to provide a **separate statement** indicating that they have sufficient time and intellectual and social support to complete their PhD in a timely manner if not previously provided.

### Status Endorsement (to be completed by the Head of Department)

1.  (For part-time candidates only) I am satisfied that the candidate has access to (a) substantial blocks of time to devote to the PhD and (b) sufficient social and intellectual support so as to make completion likely within a reasonable time-frame. Co-supervisors have been appointed to ensure long-term guidance.

4. Where will you be based primarily for the duration of your PhD studies?

Dunedin Campus  Christchurch Campus  Wellington Campus  Other

If **Other**, arrangements should be discussed with your supervisors. Please note that the normal requirement is that at least 6 months of study be completed on-campus. International candidates and permanent residents must be primarily resident in New Zealand to be eligible for domestic fees.

All information that I have supplied in this application is true and correct.

Candidate  Date   20   
Day Month Year

HoD Endorsement

**SECTION B: PhD ADMISSION APPLICATION – TO BE COMPLETED BY THE UNIVERSITY**

**1. Supervision**

**Primary supervisor** (% of supervision: ) *The primary supervisor must be allocated the largest proportion*

Numbers of students supervised (at any institution)

Title and Names

	Current	Completed
PhD		
Masters		

Department

**PLEASE NOTE:** the primary supervisor must also complete and sign the attached Ethical, Statutory and Regulatory Consents and Approvals form (see page 5).

**Co-supervisor 1** (% of supervision: )

Title and Names

Numbers of students supervised (at any institution)

Department

	Current	Completed
PhD		
Masters		

Address (*external supervisor<sup>1</sup> only*):

**Co-supervisor 2** (% of supervision: )

Title and Names

Numbers of students supervised (at any institution)

Department

	Current	Completed
PhD		
Masters		

Address (*external supervisor<sup>1</sup> only*):

**2. Departmental Advisory Committee** (*compulsory if there is only one supervisor*)

Will a Departmental Advisory Committee provide support for this candidate?  Yes  No  
If Yes, please **attach** details of the Committee.

**3. Advisors** (*if applicable*)

An additional support person or people who will assist the candidate with substantial specialist help from time to time. An advisor is not a supervisor as such and is not involved with the ongoing supervision of the candidate. Note that advisors have different roles to a Departmental Advisory Committee.

Title	Initials	Family name	Department
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

<sup>1</sup> Please identify external supervisors clearly. It is the Department's responsibility to ensure that an external supervisor is formally contracted to the University according to the University's separate "Guidelines for Appointing External Supervisors". These Guidelines, including the appropriate form, are available at [www.otago.ac.nz/humanresources/policies/PhDExternalSuper.html](http://www.otago.ac.nz/humanresources/policies/PhDExternalSuper.html). Please note that external supervisors may not be primary supervisors.

**Supervisory Endorsements (to be completed by the Head of Department)**

- The supervisors are research active.
- The primary supervisor is a leading researcher of international or very good national standard.
- At least one supervisor, providing at least 33% supervision, has previously supervised a PhD to submission.
- The supervisors have been carefully matched with the candidate and his/her topic and their research expertise is appropriate to the candidate's topic.
- The workloads of the supervisors have been carefully considered and they have the capacity to supervise the candidate.
- The supervisors have agreed to supervise the candidate (and by implication are able to provide support for the candidate's research project).
- The Ethical, Statutory and Regulatory Consents and Approvals form on page 5 has been completed and signed by the primary supervisor.
- If applicable, a Departmental Advisory Committee has been established for the candidate and the details are attached to the candidate's admission form.
- If applicable, the required paperwork for any external supervisors has been completed (external supervisors may not act as a primary supervisor).

**Supervisory Panel**

- At least two supervisors, or one supervisor supported by a departmental advisory panel, should be appointed to oversee the work of the candidate.
- A PhD supervisor should have a PhD or equivalent qualification and appropriate research experience.
- If the primary supervisor is inexperienced, an experienced supervisor must form part of the supervisory team and agree to provide mentoring support to the primary supervisor.
- Inexperienced supervisors are encouraged to attend the University's annual supervisory training workshop.

**4. Resource allocation**

This question is applicable only for those candidates who will be supervised across *more than one* Department. Leave *blank* if only one Department is involved.

Name of Departments		% EFTS Split <sup>2</sup>
Primary Department		
Second Department		
Third Department <i>(if applicable)</i>		
TOTAL		100%

**5. Thesis enrolment code**

Please indicate the thesis code (eg ANTH); this is particularly important if the study is based in an established cross-disciplinary programme (eg Genetics, Ecology, Environmental Science, etc) or if the topic is in a different area to the primary department. If left blank, the candidate will be enrolled in the primary department code.

**6. Resources required**

Please note the separate policy document regarding the provision of resources for graduate research candidates (available at [www.otago.ac.nz/study/phd](http://www.otago.ac.nz/study/phd)). Please list below the resources required for this candidate's project. Include dollar values and funding sources where appropriate. This list should not be considered exhaustive at this early stage; it is clearly important however; that prior to admission due consideration should be given by **the applicant and the department** to the likely funding requirements and funding arrangements for the particular project.<sup>3</sup>

Admission of the applicant to PhD study represents the department's commitment to provide the appropriate resources required for the proposed project.

  
  


Does the project involve external research funding?

Yes

No

If yes, have contracts been put in place through the Research Office?

Yes

In progress

No

**7. Off-campus supervisory arrangements**

Will this candidate's research involve substantial periods of time off-campus?

Yes

No

If Yes, please **attach** a statement including:

- the name of the institution in which the candidate will be based for substantial periods of time;
- the intended periods of residency at the University of Otago;
- the arrangements and methods of contact which will ensure adequate supervision for the candidate when they are not resident at the University of Otago.

<sup>2</sup> This is required for funding purposes. If there is only one Department, the % EFTS split will be 100% for that Department. There will be an opportunity to review the EFTS split on the candidate's annual progress reports. The % EFTS split does **not** necessarily have to represent the % supervisory split.

<sup>3</sup> This list should not be considered exhaustive at this early stage. It is clearly important, however; that prior to admission due consideration should be given by the **candidate and the department** to the likely requirements and funding arrangements for the particular research project.

**Resourcing Endorsements (to be completed by the Head of Department)**

- Appropriate funding arrangements have been made or are underway to cover the costs of the candidate's research.
- Appropriate resources will be available for the candidate such as working and study/writing space; secure storage; after-hours access to departmental facilities; and access to appropriate computing resources, email, internet, library, telephone and fax.
- If applicable**, a statement on off-campus supervisory arrangements has been attached.

**Resources**

- The acceptance of a PhD candidate represents a commitment to provide resources as stipulated by Senate (see [www.otago.ac.nz/study/phd](http://www.otago.ac.nz/study/phd)).
- The funding of the candidate's research project should be planned and discussed with the candidate and the supervisor(s) before admission is approved.
- For candidates who will not be spending all of their time on campus during their studies, appropriate arrangements to support them should be put in place before admission is approved. A statement describing these arrangements should be attached to the PhD Admission form.

**7. Enrolment in a paper(s) in addition to the thesis (only in exceptional cases)**

*(to be completed after discussion with the candidate)*

All applicants are required to meet the minimum entrance standards before being admitted to the PhD programme. In **exceptional** cases however, there may be sound academic grounds for a candidate to be required to enrol in a paper(s) in order to gain additional knowledge or skills relevant to the proposed research. Such papers will be listed as "Certificate of Proficiency (COP)" as they are **not** a formal requirement of the PhD. In the case of students who hold a University funded Postgraduate Scholarship, the additional tuition fees payable would also be covered by that Scholarship. Senate must be satisfied that taking any such paper will not materially delay the completion of the candidate's research. Guidelines on additional papers are available from the Doctoral and Scholarships Office.

**Additional paper(s) required:**

Paper code <i>(e.g. DOCT101)</i>	Teaching period <i>(eg Semester 1, 2008)</i>	Year	Minimum grade required <i>(if applicable)</i>	Qualification <i>(e.g. COP or INTONLY)</i>
1.				
2.				

To aid in enrolment, please indicate the timeframe for any papers the candidate intends to study during their PhD candidature.

- Certificate of Proficiency (COP) – candidate attends classes, completes course work and sit any tests or exams. Credited with completing paper (if successfully passed);
- Interest Only (INTONLY) – candidate attends classes only, is not credited with completing the paper, although the paper will appear on the candidate's academic record.

In relation to the candidate's PhD this paper is:  Required  Useful (but not required)  Unrelated

**What are the exceptional reasons requiring enrolment in the above papers?**


Is confirmation of PhD candidature dependent on the above minimum grade(s) being achieved for the above paper(s)?

Yes  No

## ETHICAL, STATUTORY AND REGULATORY CONSENTS AND APPROVALS

Name of PhD Candidate

The main purpose of this form is to bring to your attention the various consents and approvals that may be required. Actual consents and approvals are not normally required prior to admission to PhD study. Direct Admission to PhD study will not be approved by the PhD Advisory Committee unless this form is completed and signed.

### Ethical Approval

Is ethical approval required?

Yes  No

If YES, (a) What type of ethical approval?

Human  Animal

(b) Has application been made for approval?

Yes  No

If Yes to (b), has ethical approval been given?

Yes  No

If No to (b), I agree to obtain approval.

Yes

### Approvals required under the Hazardous Substances and New Organisms (HSNO) Act

1. Does this project involve the development of an organism modified through the use of recombinant DNA techniques (ie, a GMO)?

Yes  No

If YES, (a) is the development approved under HSNO?

Yes  No

If No to (a), I agree to obtain approval.

Yes

2. Does this project involve the importation of a GMO or other new organism as defined under the HSNO Act?

Yes  No

If YES, (a) Is the importation approved under HSNO?

Yes  No

(b) Is the importation covered by a valid MAF permit?

Yes  No

If No to (a) or (b), I agree to obtain ERMA approval and/or a MAF Permit.

Yes

### Other Regulatory Consents (eg, DoC, MAF, Fish & Game, etc)

Are any other approvals required?

Yes  No

If YES, what type of approval is required?

If YES, (a) Has application been made for the relevant approval(s)?

Yes  No

If Yes to (a), has the relevant Approval(s) been given?

Yes  No

If No to (a), I agree to obtain approval.

Yes

### Māori Consultation

Has consultation with the Ngāi Tahu Research Consultation Committee been initiated/undertaken?

Yes  No

If YES, (a) has consultation reached a conclusion?

Yes  No

If No to (a), I agree to undertake consultation and bring it to a satisfactory conclusion

Yes

I acknowledge by my signature below, that as Primary Supervisor, I will be held accountable for ensuring that all ethical, statutory and/or regulatory obligations are met (eg, for ERMA, MAF, animal ethics, human ethics) and that all appropriate consultation is made

ALL INFORMATION PROVIDED IS TRUE AND CORRECT

Primary Supervisor Name

Signature

Date

## SIGNATURES

As evidence that the candidate and proposed topic are formally accepted by the Department and that the supervisor(s) are properly qualified and have sufficient time to devote to supervising the candidate. This also guarantees the availability of facilities, equipment, resources and any special support which may be required. Where the topic requires ethical, statutory and regulatory consents and approvals, these will be obtained before the project commences.

**Head of Department**  Date   20   
Name (Printed)   
Day Month Year

**Head of Department**  Date   20   
Name (Printed)   
Day Month Year

*(In cases of joint supervision, the signature of each Head of Department is required)*

**Dean (where applicable)**  Date   20   
Name (Printed)   
Day Month Year

**Dean (where applicable)**  Date   20   
Name (Printed)   
Day Month Year

*(In cases of joint supervision, the signature of each Dean (where applicable) is required)*

In signing confirmation of admission for the above candidate, the Pro-Vice-Chancellor is also giving the approval for:

### ADMISSION AD EUNDEM STATUM WITH THE RIGHT TO APPLY TO REGISTER FOR A COURSE LEADING TO THE DEGREE OF DOCTOR OF PHILOSOPHY\*

**Pro-Vice-Chancellor (or nominee)**  Date   20   
Name (Printed)   
Day Month Year

**Pro-Vice-Chancellor (or nominee)**  Date   20   
Name (Printed)   
Day Month Year

*(In cases of joint supervision, the signature of each Pro-Vice-Chancellor (or nominee) is required).*

\*Most students for whom this will be the first enrolment at a New Zealand university require Admission Ad Eundem Statum.

The completed, signed application form, with required attachments, should be forwarded to:  
Doctoral and Scholarships Office, Clocktower Building