

## Divisional Signing on Postgraduate Matters

This document outlines current (as of January 2021) signing requirements for postgraduate matters in the Division of Humanities. The Divisional nominee for PVC signatures is normally the Associate Dean Graduate Studies (ADGS sometimes called the AD Postgraduate). Please use the [adgs.humanities@otago.ac.nz](mailto:adgs.humanities@otago.ac.nz) as the main email to use for inquiries on postgraduate matters, and [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz) for forms that need a PVC signature (or Associate Dean Graduate Studies as the nominee) signature. The latter email is to the Divisional Client Services team who then keep records, and follow-up as necessary.

As a general rule, the Graduate Research School has oversight of the administration of all doctoral candidates (excluding professional doctorates – EdD and DMA). The Associate Dean Graduate Studies has oversight of all Masters' programmes and all taught postgraduate programmes in the Division. However, generic research masters information is available through the GRS website.

### PhDs

#### Applications and Research Proposal Assessment

As of mid 2020, PhD applications and proposal assessments are all undertaken online. There are comprehensive resources available here (<https://www.otago.ac.nz/graduate-research/staff/otago634373.html>) for information on who signs for what at what stage of the process, as well as a flow chart of the process. Divisional sign off for doctoral candidates applications is no longer needed in this new system.

#### Progress Reports (RPR)

As of late 2020, progress reports for PhD candidates no longer need to be signed at the Divisional level. All PhD Progress Reports should be signed by the candidate, supervisor and HoP/HoS/Dean (as appropriate) and then forwarded to the PhD administrators in Student Experience – [phd@otago.ac.nz](mailto:phd@otago.ac.nz) – who process the form in eVision. For Confirmation decisions, or if there are any anomalies, concerns, or progress is poor or unsatisfactory, these are escalated to the Dean of Graduate Research. If there are specific matters you need advice on or feel the ADGS should be aware of about doctoral students in the Division the feel free to get in touch on [adgs.humanities@otago.ac.nz](mailto:adgs.humanities@otago.ac.nz).

#### Change of Research Details (CORD)

Change of Research Details (CORD) forms are used for:

- Change of topic
- Change of supervision arrangements
- Change from part-time to full-time or vice versa
- Change of supervising department or subject code
- Off campus study request
- Additional paper added

Please ensure a reason for the change is given in the final box. The form should be signed by the candidate, primary supervisor, HoP/HoS/Dean as appropriate and PVC nominee ADGS. If the student is supervised across more than one programme or across the Divisions, then the additional signatures of co-supervising HoP/HoS/Dean and, if relevant, PVC nominee are required.

Send CORDs to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

### Request for Deferral of Research Component (RDRC)

For deferral requests, the student applies online, and then the form is printed and signed by primary supervisor, HoP/HoS/Dean (as appropriate), and ADGS as PVC nominee.

Send RDRC to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

Once approved by the ADGS, the form is forwarded by the Division to Student Experience who administer it in accordance with GRS requirements.

### Nomination of Examiners (NOE)

These forms for doctoral students do not need PVC/Divisional sign off. Forward completed forms directly to [phd@otago.ac.nz](mailto:phd@otago.ac.nz).

### **Masters by Research**

*(ie programmes with a thesis of 90 points or more, managed in eVision Student Research Management system)*

The Graduate Research School does not have final administrative oversight of the administration of research masters, although they are a very useful source of information and have expertise in matters concerning research by thesis. The Associate Dean Graduate Studies liaises closely with the GRS in matters regarding research masters.

### Applications and Research Proposal Assessment

As of mid 2020, these applications are all undertaken online. There are resources available here (<https://www.otago.ac.nz/graduate-research/staff/otago634373.html>) for information on who signs for what at what stage of the process. Divisional sign off for Masters students occurs at the end of the process.

### Masters Progress Reports (RPR-[degree name] eg RPR-MA; RPR-Mplan etc)

These should be undertaken every six months for masters thesis students, adopting similar practices as for doctoral candidates. These are administered at the Divisional level, and should be signed by the candidate, supervisory team, convenor of the meeting, HoP/HoS/Dean as appropriate, and then forwarded to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

Different programmes have different practices concerning whether a self-review document is required for Masters' students. If no such document is included in the process, please ensure comments in the report are sufficiently detailed. If progress is poor or unsatisfactory, the ADGS will follow up with the candidate and the supervisory team. In such cases, a self review document may be useful.

The Divisional Client Services team will then arrange for the ADGS to do final checks and sign off, and send the finalised report to [masters@otago.ac.nz](mailto:masters@otago.ac.nz) to upload to eVision.

### Masters Change of Research Details (CORD)

As for PhD, except that the ADGS has final sign off and changes are actioned by the masters team in Student Experience. Please send completed forms to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

### Request for Deferral from Research Component (RDRC)

As for PhD, except that the ADGS has final sign off and is actioned by the masters team in Student Experience. Please send completed forms to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

### Nomination of Examiners (NOE)

Examination of research Masters theses are administered in eVision in a similar way to PhDs. The Division has final approval of examiners, on the recommendation of the programme. Send completed and signed (by HoP/HoS/Dean as appropriate) NOE form to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz) for ADGS to approve the examiners in eVision.

### Master's Degree Final Result

The final result for a masters thesis has final sign-off by the ADGS. Send the completed form to [Humanities@otago.ac.nz](mailto:Humanities@otago.ac.nz), with email correspondence of an agreed grade where this has been negotiated between the examiners (ie where the difference between grades is more than 10% and/or crosses the credit/distinction boundary). Ensure all examiners reports and documents are uploaded to eVision so the ADGS can do final checks. If the examiners cannot agree or the difference is so great that agreement is unlikely, email the examiners reports and a recommendation for a third referee to [humanities@otago.ac.nz](mailto:humanities@otago.ac.nz).

### Admissions to Masters or Taught Programmes

All Masters and taught postgraduate programmes' regulations include a clause requiring PVC approval of admission. This approval has been delegated mostly to the ADGS, but there are some exceptions, where delegated approval lies with the programme or a dedicated co-ordinator (as in the case of the MA(Coursework)). In all cases except the MA(Coursework), the delegated approval should be escalated to the ADGS if the standard entry requirements are not met, or the 'alternate qualifications' clause is applied.

The appended documents (Appendix I and II), that will also be available in the new web space available through the Graduate Studies Committee page on the Humanities webpage, provide further details on the process adopted by Student Experience and the ADGS for these approvals. These documents reflect current practices that have been in place since SSR was instigated, and in some cases prior to SSR.

For international admissions use the email: [international.admissions@otago.ac.nz](mailto:international.admissions@otago.ac.nz)

For domestic postgraduate admissions use the email: [admissions@otago.ac.nz](mailto:admissions@otago.ac.nz)

## APPENDIX I

### Divisional Approval Requirements for Postgraduate Admissions in Humanities

*This document aims to clarify and confirm Divisional approval requirements and processes for postgraduate admissions administered through Student Administration for the Division of Humanities. It is effective from 1 January 2021.*

#### Part A – Requirements:

##### 1. Level 10 Degrees - Doctorates

1.1 **PhD Out of scope.** This document does not cover PhDs in Humanities which are approved through the Online Approval process in eVision.

1.2 **Professional Doctorates.** Divisional approval by the Associate Dean Graduate Studies (ADGS) is required in all cases for admission to Professional Doctorates in Humanities (e.g. DMA, EdD).

##### 2. Level 9 Degrees – Masters’ Programmes

###### 2.1 General Rule – Divisional Approval by ADGS Required

Divisional approval is required for admission to *all Masters’* programmes in the Division of Humanities unless specified as an exception in section 2.2 below.

- a. This includes domestic and international Masters’ applicants.
- b. This includes Research Masters’, Coursework Masters’ and combined Coursework and Research Masters’ programmes.
- c. Divisional approval follows prior approval by the Head of Programme or Co-ordinator.
- d. The ADGS, as PVC nominee, will provide Divisional approval unless specified otherwise (see Section 2.2 below). Approval will be in writing; usually by email.
- e. Where required, Student Administration will not issue Masters’ ‘offers’ until Divisional approval has been obtained; however, ‘declines’ can be issued without Divisional approval providing the Programme has recommended admission be declined in writing.

###### 2.2 Exceptions – Divisional Approval Delegated to Programme Coordinators

Masters’ admissions in the following areas do *not* require approval by the ADGS for standard admissions (where admissions regulations are met, and no variation is required) because Divisional approval for standard admissions for these areas has been delegated to the relevant Programme Coordinator.

1. **Education** postgraduate taught masters (Master of Teaching and Learning)
2. **Social Work** postgraduate taught masters (Master of Community and Social Work Applied)
3. **Planning** admission to MPlan first year and second year coursework path. ADGS approval is still required for the thesis pathway of second year.

The basis for the above 3 exceptions is that these areas have their own admissions committees, robust internal admissions processes, and external

relations with professional bodies that already provide an additional layer of oversight.

**Variations:** Where applicants in these areas do *not meet* the admissions regulations and admission is sought under the 'alternative qualifications or experience' clause, Divisional approval by the ADGS is still required.

4. **MA (Coursework) – All Subjects.** The PVC nominee is the MA(Coursework) Coordinator and their approval is needed in addition to HoP or Co-ordinator approval in all cases and replaces approval by the ADGS.

### 3. Level 8 Degrees – Postgraduate Diplomas, Postgraduate Certificates, and Honours Programmes

#### 3.1 General Rule – Divisional Approval Delegated to Programme

Divisional approval is delegated to the Programme HoP or Coordinator for Level 8 Degrees for standard admissions where all entry criteria in the admissions regulations are clearly met. In these cases, approval by the ADGS is not required.

#### 3.2 Exceptions – ADGS Approval is Required

- a. **'Alternative' Entry Criteria.** Divisional approval by the ADGS is always required where admission is based on 'alternative qualifications or experience' rather than the standard entry pathway and the alternative credentials must be 'acceptable to the Pro-Vice-Chancellor' (or similar wording). 'Alternative' credentials may include anomalous qualifying degrees or backgrounds, variations to GPA requirements, or other non-standard admission pathways. Commonly, this falls under Clause 1(b)(iii) of the Admission regulation, but numbering varies depending on the specific programme.
- b. **Ambiguity (requirements not 'clearly met').** Divisional approval by the ADGS is also required where there is uncertainty about whether admission criteria have been met or where the outcome is borderline. If there is any question, the 'clearly met' standard is not satisfied and escalation for ADGS approval is required. The Division has identified the following as situations where uncertainty is common and escalation is advised (if not otherwise required):
  - (i) Complex international transcripts where interpretation can be difficult
  - (ii) Complex GPA calculations (international or otherwise)
  - (ii) Possible misinterpretation of the regulations by the HOP
  - (iii) Anomalous applicants with unusual education backgrounds
  - (iv) Applicants seeking entry with a Diploma for Graduates (DipGrad vs PGDip)

## Part B – Process

The following processes will be followed to obtain Divisional approval where Divisional approval is required. Different degree categories have different contexts and therefore require different processes.

### **4. Research Masters' Process**

#### 4.1 Admission Approval

##### *a. Context:*

Admission to thesis-only programmes is through the Online Approval system in eVision. This involves approval by the Primary Supervisor, Academic Approver, Resourcing Approver(s), Student Administration's 'Confirmation' check, and two built-in pathways for Escalated Approval by the ADGS (or GRS for PhDs). Guides for all Approver roles can be found on the [GRS website](#).

The built-in escalation pathways area: (1) Automatic escalation whenever a variation is entered by the Academic Approver; these bypass Student Administration and go directly to the ADGS. (2) Manual escalation by Student Administration when an error or uncertainty is found in their 'Confirmation' check. To activate the 'Escalate' button, Student Administration must untick the relevant criteria box to indicate where the problem lies (e.g. missing documents, regulations are not met, etc). Pathway 2 will be implemented for Humanities so that *all* cases can be escalated to the ADGS for approval (not just those involving problems).

##### *b. Escalation Process:*

###### *(i) Student Administration:*

In *all* cases, Student Administration will *untick all boxes* in the Confirmation check, select Escalate, and enter comments explaining the basis for escalation, indicating either

- No issues found; escalation is per standard procedure for Humanities
- or
- Issues found; the escalation issue is ... [with text specifying the concern, e.g. GPA is below B+, assessment of international transcript is questionable, etc]

###### *(ii) ADGS:*

Where no issues were raised and the ADGS is simply confirming approval, this should be noted. Where issues were raised by SA, ADGS approval should include comments about how those issues were resolved. If the ADGS identifies new issues, these should be noted.

If, in exceptional circumstances, the ADGS wants to give 'conditional approval' (e.g. subject to completion of a qualifying degree, etc), this needs to be stated explicitly in the ADGS comments, and should include any specific terms/text to be included in the conditional offer letter.

#### 4.2 Progression Approvals

##### *a. Context:*

Students already in a programme and progressing to the thesis following the coursework component need to go through the Online Approval process before they can enrol in the thesis. In Humanities, this includes students progressing to the

thesis in the MPlan, MA (Geography), Master of Social Work, DMA and EdD. The Online Approval process in the 'progression' context is the same as in the 'admission' context but stops with the Resourcing Approver; Student Administration does not play a role in these approvals (because admission is not involved).

For progressing students, Online Approval is linked to re-enrolment and course approval rather than admission. In this context, completing Online Approval will 'unlock' thesis codes in Paper Selection so that students can add the thesis to their programme and submit for course approval. (If online approval has *not* been completed, they will be blocked from selecting a thesis code in Paper Selection.)

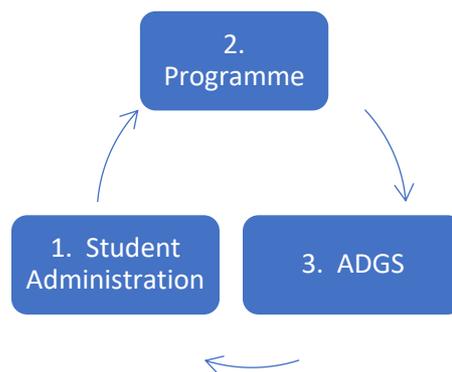
*b. Process.*

To facilitate escalation to the ADGS for students progressing to a thesis in Humanities, Academic Approvers are asked to tick the variation box in *all cases* (even if no variation is involved). This will automatically escalate approval to the ADGS, as per Divisional policy. When doing so, Academic Approvers should enter comments to indicate whether a variation is actually involved, or whether it is only being used for escalation purposes.

## 5. Coursework Degrees — Standard Process where ADGS Approval is Required

**5.1 Scope.** The following is the standard process for obtaining ADGS approval for all coursework and 'coursework + thesis' programmes in Humanities where ADGS approval is required. This covers all programmes that are *not thesis-only* programmes, including Professional Doctorates, Masters', Postgraduate Diplomas, Certificates and Honours degrees.

**5.2 Approval Triangle.** The standard process follows a triangular pattern where Student Administration sends the application and all supporting documents to the Programme. If they approve it, the Programme then *forwards* it with their approval in the text along with attached documents on to the ADGS for approval, who then makes the final decision and sends it back to Student Administration for actioning in eVision.



### 5.3 Approval Triangle Steps:

- **Student Administration:** Sends 'complete' applications (along with the SA template and all supporting documents) to the relevant Programme Head/Co-ordinator for assessment. If scholarship applications are also involved, this will be noted in the SA template.
- **Programme Approval:** If admission is recommended by the HOP/Co-ordinator, the application is forwarded (with the SA template and all

supporting documentation) to the ADGS for Divisional approval. If alternative qualifications/experience or variations are involved, the HOP/Co-ordinator should 'make the case' for consideration by the ADGS. Declines can be returned (using the email template) directly to Student Administration for actioning.

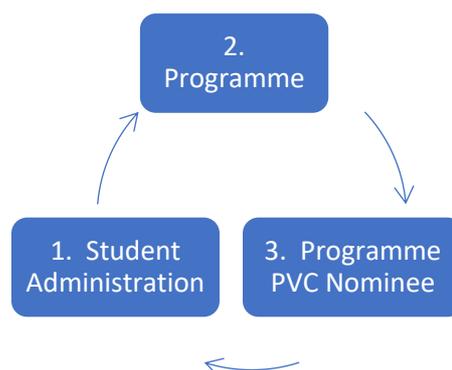
- **ADGS Approval:** If approved by the ADGS, final approval is sent by the ADGS to Student Administration, using the SA template email. If the ADGS has questions or concerns about the approval, the ADGS will liaise directly with the HOP/Co-ordinator until they are resolved, then send the final decision to Student Administration using the SA template. Where the ADGS is approving admission under alternative experience or qualifications requiring PVC approval, the ADGS will note this explicitly in their approval.
- **Student Administration:** Will process in eVision 'accept' decisions received from the ADGS and 'decline' decisions received from the HOP/Co-ordinator.

**5.4 Errors.** If ADGS approval is required but missing (and Programme approval is sent directly to Student Administration), these will be returned to the Programme and the Programme will be asked to forward them to the ADGS (along with the SA template and all documentation) as per the standard process. This will ensure that the ADGS receives the necessary documentation, will enable the HOP/Co-ordinator to 'make a case' for ADGS approval where needed, and will facilitate a clear and continuous audit trail.

## 6. Coursework Degrees - Standard Process where Divisional Approval is Delegated to the Programme

**6.1 Scope.** This process applies to those programmes where Divisional approval has been delegated to the Programme Co-ordinator, as outlined in Part A, Section 2.2 above. In these cases, the Programme Co-ordinator is the PVC nominee and gives Divisional approval rather than the ADGS.

**6.2 Delegated Approval Triangle.** The process for obtaining Divisional approval where it has been delegated to a Programme PVC Nominee is the same triangle process as used with ADGS approval. The only difference is that in these cases the Programme forwards the application (and supporting documentation) to the Programme PVC Nominee rather than to the ADGS. Where the Programme Co-ordinator is also the PVC Nominee, Programme and Divisional approval occur simultaneously (and forwarding is not necessary).



### 6.3 Delegated Approval Triangle Steps:

- **Student Administration:** Sends complete applications (with the SA template and all supporting documentation) to the Programme for assessment.
- **Programme Approval:** If approved by the Programme, the application (with the SA template and all supporting documentation) is forwarded to the Programme PVC Nominee for Divisional approval. Declines can be returned directly to Student Administration for actioning.
- **Programme PVC Nominee Approval:** Final decisions approved by the Programme Coordinator/PVC Nominee are sent to Student Administration (using the SA template) for actioning. Where admission is under variation or admission clauses requiring PVC approval, the Programme PVC Nominee will note this explicitly in the approval.
- **Student Administration:** Will process in eVision 'accept' decisions received from the Programme PVC Nominee and 'decline' decisions received from the HOP/Co-ordinator.

**6.4 Errors.** If Programme PVC Nominee approval is required but missing (and Programme approval is sent directly to Student Administration without it), these will be returned to the Programme and the Programme will be asked to forward them to the Programme PVC Nominee (with all documentation) as per the standard process. This will ensure that the necessary documentation is provided, will enable the HOP/Co-ordinator to 'make a case' for Divisional approval where needed, and will facilitate a continuous and clear audit trail.

## APPENDIX II

### Quick Guide to Divisional Approval for PG Admissions in Humanities

Please refer to the full document, *Divisional Approval Requirements for Postgraduate Admissions in Humanities*, for further detail and explanation; this is just for quick reference.

#### General Rule:

PG admissions require Divisional approval by the ADGS (as the PVC nominee) in addition to HoP approval, unless a specified exception applies.

#### Exceptions:

ADGS approval is not required in the following situations where Divisional approval is delegated to the Programme HoP or Co-ordinator (as PVC nominee):

1. **Honours, PGCerts & PGDips** where admission regulations are clearly met (no variation or ambiguity involved). These still require HoP/Co-ordinator approval. If a variation or alternative qualification or experience is involved, then ADGS approval is required.
2. PG admissions in
  - **Education** postgraduate taught masters (MTchgLn)
  - **Social Work** postgraduate taught masters (MSCW Applied)
  - **Planning** (MPlan 1<sup>st</sup> year or coursework in 2<sup>nd</sup> year.) ADGS approval is still required for admission to the thesis.

These programmes have a committee process for admissions.

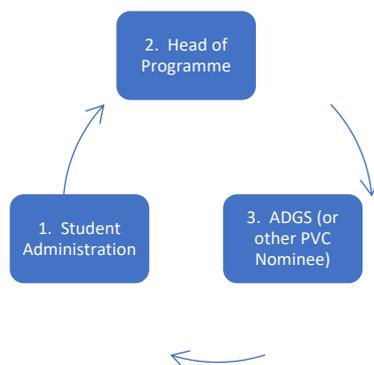
If a variation or alternative qualification or experience is involved, then ADGS approval is required.

3. **MA (Coursework) – All Subjects.** The PVC nominee is the MA(Coursework) Coordinator and their approval is needed in addition to HoP approval in all cases.
4. **Ambiguity.** Divisional approval from the ADGS is required whenever it is difficult to ascertain whether admission regulations are met.

#### Process:

The HoP/Co-ordinator forwards Programme-approved applications (with SA template and all supporting documents) to the ADGS (or other PVC Nominee), who provides Divisional approval, and then sends final decisions back to Student Administration for actioning in eVision.

#### Approval Triangle:



*Note: If ADGS/Nominee approval is required but missing (and Programme approval is sent directly to Student Administration), these will be returned to the Programme and the Programme will be asked to forward them to the ADGS (along with the SA template and all documentation) as per the standard process.*