

## PGP 2.3.5 Transfer Protocol

### Summary

Where a student is seeking to transfer their AUT doctoral candidature or AUT master's programme. The University will assess that the entry criteria (or the criteria for advanced standing) has been met and that the required documentation has been received for approval by the Faculty Associate Dean (Postgraduate) and University Postgraduate Research Board.

### Purpose

This protocol outlines the processes and procedures required for transferring a student between master's or doctoral programmes, either from an external institution to AUT University or internally within AUT.

### Scope

This protocol applies to a student seeking to transfer their AUT doctoral candidature or AUT master's programme in the following areas:

- External institution doctoral programme transfer to the AUT doctoral programme
- Transfer from an AUT doctoral programme to an external institution doctoral programme
- From an AUT doctoral programme to an AUT master's programme
- From an AUT master's programme to an AUT doctoral programme

It is not normally allowable for research close to completion to be transferred. Research already submitted for examination may not be transferred.

### Application

#### Transfer of External Doctoral Programme to AUT Doctoral Programme

##### *Entry Criteria*

To transfer to the AUT doctoral programme applicants must demonstrate they meet the entry criteria for the AUT Doctoral programmes. Refer to the *Doctoral Admissions protocol*.

##### *Admission*

Students wishing to transfer their doctoral candidature to AUT are required to submit the following documentation:

##### *Transfer requirements:*

- Completed and signed *Transfer Form*;
- If the application is transferring as a provisional admission, a copy of the current institution's equivalent to the AUT 'Admission to a Doctoral Programme' form will be required. If the applicant is transferring as a confirmed admission, a copy of the current Institution's equivalent to the 'Confirmation of Candidature' will be required;
- Copies of all progress reports;

Once admission is approved an offer will be issued with the following conditions:

- A letter from the external institution to confirm;
  - Withdrawal from the doctoral programme
  - The amount of time completed in the programme. Normally, students transferring must have completed no more than 3 years full-time equivalent. Transfers exceeding this might be considered on a case-by-case basis.
  - Transfer of Intellectual Property (if applicable)

Where an applicant is transferring from an external professional doctorate programme to an AUT professional doctorate programme (DHSc/EdD) the application will need to be assessed by the programme leader to confirm that the courses undertaken in the external programme are equivalent to AUT's courses.

When confirmed, the student will need to apply for Recognition of Prior Learning (RPL) for the completed coursework through the Faculty Assessment Board.

### Transfer from an AUT Doctoral Programme to an External Institution Doctoral Programme

When a student requests to transfer from an AUT doctoral programme to an external institution's doctoral programme, the student will need to complete a Change Request/Variation of Record form to formally withdraw from the AUT Doctoral programme.

A letter may be provided (upon request) detailing that formal withdrawal has been processed, a record of candidature, the research topic, and the total number of EFTs consumed while in the programme.

Where applicable the student will need to ensure that any contractual obligations have been fulfilled (in terms of any external funding agreements or scholarship terms and conditions) and clarify any transfer of intellectual property (if applicable). It is recommended that this is discussed with the supervisor(s) and/or Faculty Associate Dean Postgraduate.

### Transfer from an AUT Doctoral Programme to an AUT Masters Programme

#### *Admission*

A transfer to a master's programme from a doctorate will result in the withdrawal from the doctoral programme. Students can only transfer to a master's degree with a research component of 90 points and above. Where applicable, the faculty will assess if the student meets the criteria for advanced standing (recognition of having previously completed the paper requirements, or equivalent, of the master's programme).

Students wishing to transfer their doctoral candidature to an AUT master's programme are required to submit the following documentation:

#### *Transfer requirements:*

- Completed and signed 'Transfer Form';
- Timeline to completion;
- A supporting statement from the supervisor(s).

#### Note:

- A student who is transferring to a masters and submitting for examination in the same time period will be unable to change supervisors
  - The student will need to be enrolled in a paper for results and reporting. No fees will be charged.
- A student who is transferring to a masters and NOT submitting for examination in the same time period will be enrolled in a paper and required to pay fees.
  - International students may be required to pay international fee rates.

On occasion, because of an unsuccessful doctoral examination, the examiner (or University Postgraduate Research Board) can recommend that the student completes a Master of Philosophy instead of a doctorate. The student will not be required to complete a transfer form and, upon approval of the student, the Graduate Research School will record a fail grade (F) against the doctoral programme and enrol in a short-duration course in the Master of Philosophy programme in order to be able to record a result. Normally the result will be a passing grade with no honours.

### *Recording of Results*

For students who transfer from an AUT doctoral programme to an AUT master's programme, a withdrawal (W) grade will be recorded against the doctoral qualification if the transfer occurs prior to 3 completed years of enrolment in the doctoral programme. Transfer after these timeframes will be recorded as Did Not Complete (DNC).

## Transfer from an AUT Masters Programme to an AUT Doctoral Programme

### *Admission*

Students applying to transfer from an AUT Masters programme to an AUT Doctoral programme will need to have completed their coursework component and ensure that they have completed a significant portion of their research. The student's research potential and academic performance are to be equivalent to those of a first-class honours student and the transfer request should be submitted within the expected timeframe of their masters programme.

Normally only students enrolled in a master's by thesis can apply to upgrade to a PhD. Students must contact their Faculty Associate Dean (Postgraduate) to discuss their suitability to upgrade to a PhD. Under exceptional circumstances, a student enrolled in a master's by dissertation, may seek advice from their Faculty ADP and Dean GRS about applying to upgrade to a PhD.

Students wishing to transfer their AUT master's programme to the AUT doctoral programme are required to submit the following documentation:

### *Transfer requirements:*

- Completed and signed 'Transfer form';
- Completed and signed Confirmation of Candidature form - PGR9;
- A supporting statement from the supervisor(s).

### Note:

- The transfer application should be submitted within the expected timeframe of their master's programme, and all other milestones are required to be met.
- The research topic must be confirmed as having the potential for an original contribution to knowledge.
- The research topic must be a continuation of the original master's topic

## Approval Process

### *Review by Faculty Postgraduate Committee*

The Faculty Postgraduate Office will review the application for completeness and obtain approval of the Faculty's Postgraduate Committee /Associate Dean (Postgraduate). Once approved by the Faculty, the transfer documentation and associated documents will be forwarded to the Graduate Research School for consideration by the University Postgraduate Research Board.

### *Review by the University Postgraduate Board*

The Graduate Research School will check that all required documentation has been received and assess that the transfer requirements have been met. The transfer request will then be sent to the University Postgraduate Research Board for approval.

For the transfer to an AUT doctoral programme, the University Postgraduate Research Board will determine the status of the student as provisional or confirmed based on the information provided in the application. When a student is transferring from an AUT Masters to an AUT doctoral programme the student will be transferred as a confirmed student.

The time undertaken in the master's research component will be included in the overall doctoral completion timeframe.

### *Scholarships*

Students who hold a scholarship/award/sponsorship from an external organisation and wish to transfer to AUT University will need to contact the scholarships office in the first instance.

### *Ethics*

It is recommended that the student and/or supervisor checks that ethical approval is still valid for the programme being transferred to.

### Outcome

Transfer applicants are aware of the requirements, regulations and application process that is undertaken for transfer between master's or doctoral programmes, either from an external institution to AUT University or internally within AUT are clear.

### Review

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