

Sample Checklist for Primary Supervisors of Doctoral Candidates

Candidate's name: Department:

Primary supervisor's name:

Recruiting Checklist (date: ___/___/20___)

1. ___ The candidate's academic ability has been checked (e.g., we strongly recommend that supervisors read the candidate's dissertation/thesis and/or papers as appropriate)
2. ___ The candidate has written a research proposal that demonstrates some knowledge of the topic area and an ability to critically engage with the literature
3. ___ Academic references have been obtained for the candidate (two are recommended for international students and the referees should comment on the ability of the candidate to conduct research as well as the quality of any publications, the role of the candidate in the publications and their standing in class – this information is helpful for the Scholarship Selection Committee)
4. ___ There has been an interview with the candidate – either face to face or online (e.g., by skype)
5. ___ There has been a discussion about scholarship funding and the process for applying. This should also include a frank discussion emphasising that if the candidate is not successful in gaining a scholarship, their future chances of securing such funding after they arrive are unlikely even if they make very good progress and achieve journal publications.

Note that for scholarship applications the information used by the Scholarships Selection Committee includes:

- i. The most recent academic qualification and GPA. International conversions of grades to GPA: relevant papers and credit weightings. Consideration is given to the range of grades given at the institution, and an explanation of their distribution, such as how many students get an A, whether an A is given for 71% or 91% mark, and comment on when an A+ is possible.
- ii. If the applicant has other qualifications, university courses or two degrees, an explanation of these, and their relevancy to the proposed doctoral programme and scholarship application.
- iii. Rank in class.
- iv. Rank in supervisor's/examiner's experience.
- v. Rank of institution.
- vi. Publications – explanation of discipline norms and expectations, and for each publication: author order explanation, impact factor of journal, rank of journal within discipline.
- vii. Thesis: quality, size, depth compared with University of Otago thesis, type of research, grade of research. If no grade, what grade would it get if marked at University of Otago? An independent – to the supervisory team – assessment of the thesis is sought.
- viii. Two academic referees are recommended for international applicants. The referees should comment on the ability of the candidate to conduct research.

Induction Checklist (date: ___/___/20___)

1. ___ The candidate is aware of the PhD Handbook on the PhD website (<http://www.otago.ac.nz/study/phd/handbook/index.html>)
2. ___ The PhD regulations have been discussed with the candidate
3. ___ A Student-Supervisor Agreement has been completed (<http://www.otago.ac.nz/study/phd/otago009182.html>)
4. ___ A file has been created for the candidate (for filing of relevant documentation related to the candidate's thesis and to the supervisor-candidate relationship)
5. ___ The candidate has attended/is booked to attend a PhD orientation workshop (these are held regularly by the Graduate Research School) and is aware of other learning and pastoral support at the University (e.g., Student Learning Centre, ITS, Library, International Office etc.)
6. ___ The candidate has been welcomed into the department (e.g., by a morning tea to meet other postgraduates) or a welcome has been arranged.
7. ___ The candidate has been inducted into the department (e.g., knows what resources are available to them, how to use photocopier, protocols over tea room etc.)
8. ___ The candidate knows their Subject Librarian (see <http://otago.libguides.com/liaison>)
9. ___ If Māori, the candidate knows about the Māori Postgraduate Support Adviser located in the Graduate Research School and the programme of hui and events they run.

In-candidature Checklist (review as necessary)

1. ___ The University's expectations regarding the responsibilities of supervisors and candidates have been met. These include
 - Regular meetings (at least monthly, preferably weekly or fortnightly)
 - Provision of timely and constructive feedback
2. ___ The professional development needs of the candidate in terms of academic skills for their doctoral study and possible future career pathways have been discussed (a skills template and guide is available on the GRS_PhD Support Blackboard website)
3. ___ The candidate knows how to include publications in a thesis (see <http://www.otago.ac.nz/administration/policies/otago073763.html>)
4. ___ Ongoing funding for doctoral study has been discussed and the candidate knows that scholarships do not get extended except in catastrophic circumstances (and some departments offer departmental awards for the last 3-6 months)
5. ___ Any changes in enrolment/supervision details (e.g., change of topic, supervisors, full-time to part-time study, off-campus study, additional papers) must be applied for using the 'request for change of research details form' available at: <http://www.otago.ac.nz/OTAGO089636>.
6. ___ If a candidate wishes to have a deferral (greater than two months off) from their study, they must apply for this using the form at: <http://www.otago.ac.nz/otago087182>, and give a reason for the break e.g., medical reasons, financial etc. Note that while they are on deferral, they MUST NOT have access to laboratories or undertake fieldwork as this has implications for insurance cover should any accident occur. While on deferral the candidate loses access to the library and other student services. Supervisory support is usually withheld during this period.

7. ___ If the candidate is an international student and wishes to defer their study, they can only apply for a deferral for up to 3 months in any one calendar year during their PhD candidature (this is an Immigration NZ rule).
8. ___ If the candidate is an international student they can only study overseas for up to one year to be eligible to pay domestic fees. This overseas study MUST BE for research-related reasons such as fieldwork or visiting a lab or advisor etc. – they cannot go home to write up!
9. ___ Relevant documentation on the candidate has been filed
10. ___ The supervisor maintains a supervision diary (containing, for example, notes concerning the formulation of the topic, the progress of drafts, the nature of the response to them, and guidance of the project)

Two Months Prior to Submission Checklist (date: ___/___/20___)

1. ___ The candidate has been consulted over possible examiners. Note they are not allowed to know who has been selected, but they can have some input into possible options.
2. ___ Three examiners (internal, NZ external and overseas external) and a Convener of Examiners (choose from the list at: http://www.otago.ac.nz/study/phd/handbook/phd_convener.pdf) have been approached to determine their availability. Note that there should be no conflict of interest (e.g. no role AT ALL in supervision, advice or publishing with the candidate, no relationship etc.), all examiners should have a PhD, and at least two should be experienced (having examined more than three doctoral theses). Exceptions can be made for the latter two criterion (qualifications and experience), providing a satisfactory case is made.
3. ___ The candidate is aware of the guidelines regarding editing and proofing of their thesis (see <http://www.otago.ac.nz/administration/policies/otago011276.html>)
4. ___ The candidate has run their thesis through SafeAssign (or other software) to check for unintentional plagiarism. The candidate should show the SafeAssign report to the supervisor.
5. ___ The candidate is aware of the format and number of copies (4 soft-bound) of their thesis to be submitted for examination, as well as the Thesis declaration form for soft-bound copies (available at: <http://www.otago.ac.nz/study/phd/otago009182.html>).

Submission Checklist (date: ___/___/20___)

1. ___ The examiners have been nominated in eVision.
2. ___ A date for an oral examination (if applicable) has been tentatively set by the Convenor. Note that setting a date at the time of submission can help expedite the examination process.
3. ___ The supervisor(s) and candidate have discussed the thesis and agree that it is ready for submission. Note that the candidate can submit against the wishes of their supervisor, though this is usually unwise!
4. ___ A PhD Publishing Award Bursary application has been completed (if applicable). See guidelines and application form at: <http://www.otago.ac.nz/study/phd/otago009283.html> .
5. ___ The candidate does not have to re-enrol once their thesis is submitted, even if they need to make amendments following the examination. If a candidate receives a 'revise and resubmit' result they normally will not be required to re-enrol. However, they will likely be put on three monthly reporting until submitting their thesis for the second examination.