

# PhD Regulations and Guidelines

From 1 December 2007

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## Introduction

These regulations apply to all PhD candidates enrolled from 1 December 2007. Candidates first enrolled at an earlier date continue under the regulations in force at that time.

The guidelines, which are printed in *italics* to distinguish them from the regulations, have been developed to assist students and staff with obligations and good practice for doctoral study.

## Definitions

**Ad eundem statum** - means 'with equivalent standing'.

**Extra-mural study** – means completing study or conducting research outside of Christchurch.

## Regulations and Guidelines

### 1. Nature of the Degree

- a) Study for the degree of Doctor of Philosophy involves a sustained, rigorous and systematic approach to the relevant body of knowledge, undertaken through experimentation, archival work, or other appropriate means. It includes an original research project that makes a significant contribution to knowledge and understanding or application of knowledge. It requires the preparation of a substantial thesis that presents the outcome of the research and places it in the broader framework of the discipline or field of study. Undertaken under qualified

supervision, it promotes intellectual independence and the capacity to undertake further research at an advanced level.

- b) The thesis must meet recognised international standards for such work.
- c) The thesis must be submitted in English or Te Reo Māori and should **not exceed 100,000 words** in total, excluding references and appendices. Candidates wishing to submit and defend a thesis in Te Reo Māori must seek approval at the time of enrolment. A recommendation will be made by the Assistant Vice-Chancellor (Māori) or nominee as to the candidate's fluency and literacy in Te Reo Māori in the thesis subject-area and the likelihood of being able to find appropriately qualified examiners for the thesis.

The subject areas for the degree of Doctor of Philosophy are:

Accounting (ACCT); Accounting and Information Systems (ACIS)\*; American Studies (AMST)\*; Antarctic Studies (ANTA); Anthropology (ANTH); Applied Psychology (APSY); Art History (ARTH); Art Theory (ARTT); Astronomy (ASTR); Audiology (CMDS); Biochemistry (BCHM); Bioengineering (ENBI); Biological Sciences (BIOL); Biotechnology (BIOT); Cellular and Molecular Biology (CEMB); Chemical and Process Engineering (ENCH); Chemistry (CHEM); Chinese (CHIN); Civil Engineering (ENCI); Classics (CLAS); Computational and Applied Mathematics (CAMS); Computer Science (COSC); Cultural Studies (CULT); Disaster Risk and Resilience (DRRE); Earthquake Engineering (ENEQ); Ecology (ECOL); Economics (ECON); Education (EDUC); Electrical and Electronic Engineering (ENEL); Engineering Geology (ENGE); Engineering Management (ENMG); English (ENGL); Environmental Science (ENVR); European Studies (EURO); Evolutionary Biology (EVOL); Finance (FINC); Fire Engineering (ENFE); Forestry (FORE); Forestry Engineering (ENFO); French (FREN); Gender Studies (GEND)\*; Geography (GEOG); Geology (GEOL); German (GRMN); Hazard and Disaster Management (HAZM)\*; Health Sciences (HLTH); Higher Education (HEDN); History (HIST); History and Philosophy of Science (HAPS); Human Interface Technology (HITL); Human Services (HSRV); Information Systems (INFO); Japanese (JAPA); Journalism (JOUR); Law (LAWS); Linguistics (LING); Management (MGMT); Management Science (MSCI)\*; Māori (MAOR); Marketing (MKTG); Mathematical Physics (MAPH); Mathematics (MATH); Mathematics and Philosophy (MPHI); Mechanical Engineering (ENME); Medical Physics (MDPH); Media and Communication (COMS); Medical Physics (Clinical) (MPHC); Microbiology (MBIO); Music (MUSI); Pacific Studies (PACS); Philosophy (PHIL); Physics (PHYS); Plant Biology (PBIO); Political Science (POLS); Psychology (PSYC); Religious Studies (RELS)\*; Russian (RUSS); Science Education (SCED); Social Work (SOWK); Sociology (SOCL); Spanish (SPAN); Speech and Language Sciences (CMDS); Statistics (STAT); Taxation (TAXA); Theatre and Film Studies (TAFS)\*; Transportation Engineering (ENTR); Water Resource Management (WATR); Zoology (ZOOL).

\*This subject is not open to new enrolments.

## 2. Conditions of Enrolment

- a) Every candidate, before enrolling for the degree, must be approved as a candidate

by the Dean of Postgraduate Research.

- b) Every candidate for the degree must either:
- i. have qualified in New Zealand for a Bachelor's degree with first or second class (division 1) honours, or a Master's degree at the standard of first or second class (division 1) honours, or the equivalent; or
  - ii. have been admitted with *ad eundem statum* to the status of a graduate equivalent to (i) above.
- c) The Dean of Postgraduate Research must be satisfied that the candidate has adequate training and ability to pursue the proposed course.
- d) In special circumstances, the Dean of Postgraduate Research may approve the enrolment of a graduate who does not hold one of the qualifications under Regulation 2(b), but who has produced satisfactory evidence of adequate training and ability to pursue the proposed course.

### 3. Enrolment and Supervisory Agreement

- a) A candidate shall apply for enrolment on the PhD Application form. The form, which must be signed by the Head of Department/School or nominee, must nominate a potential Senior Supervisor, who will normally be a member of the continuing academic staff of the University of Canterbury, indicate the general field of study, and recommend a date of enrolment. If the enrolment is approved by the Dean of Postgraduate Research, he or she shall confirm the date of enrolment.

*The prescribed form is obtainable from the [Admissions](#) website.*

When enrolment is approved, candidates will receive information from the Postgraduate Office directing them to the [Postgraduate Studies](#) website where all guidelines and forms related to PhD study at UC are available.

- b) The Dean of Postgraduate Research must be satisfied that the candidate has adequate training and ability to pursue the proposed course.

Once enrolled, the candidate shall work to develop a research proposal under the guidance of the nominated Senior Supervisor. Within six months of enrolment for the degree, the candidate must submit a PhD Supervisory Agreement Form to the Head of Department/School or nominee for approval and forwarding to the Dean of Postgraduate Research for approval. Details of the members of the candidate's supervisory team must be provided at this stage.

- c) The candidate must undergo a formal PhD confirmation procedure, normally 12 months after enrolment, that includes submission of a written report and an oral presentation followed by questions. The exact procedures and timing for the

confirmation process differ between Departments/Schools; candidates must be provided with clear and detailed information about this process. On completion of the confirmation process, a PhD Confirmation Report Form must be submitted to the Dean of Postgraduate Research recommending that: the candidate's full enrolment be confirmed; or the candidate's provisional enrolment can be extended for a specified period of up to 6 months; or the candidate's enrolment can be terminated.

*During this provisional enrolment period, the candidate should be considered as a full PhD student and afforded the appropriate facilities and resources. During this provisional enrolment period it is expected that the candidate will meet frequently (at least monthly) with their proposed Senior Supervisor and with other members of the supervisory team as the research is developed.*

- d) Research involving a contract (other than the "Supervision Agreement" which is part of the Supervisory Agreement Form) must have the additional contract signed by Research & Innovation.
- e) Where the research is dependent on the approval of the University's Human Ethics Committees or Animal Ethics Committee, or any other committee or organisation, such approval should be obtained prior to submission of the PhD Confirmation Report Form and details provided on the Confirmation Form. Where it is not possible to provide these approvals at the time of submitting the Confirmation Report Form, the Postgraduate Office must be informed as soon as the approvals are received.
- f) With the approval of the Dean of Postgraduate Research, and on the recommendations of the Head of Department/School or nominee and the appropriate Faculty Dean, a candidate for a Master's degree may transfer to the degree of Doctor of Philosophy under the following conditions:
- The candidate has satisfactorily completed any course work normally required by a candidate for a PhD, and
  - The candidate has undertaken research towards a Master's thesis or project for a period not normally less than the equivalent of six months full-time enrolment, and
  - The candidate has completed a Supervisory Agreement Form.
  - The candidate will be required to satisfactorily complete the PhD Confirmation process as appropriate in his/her department/school.

If the candidate is enrolled for a PhD under this regulation, the date of enrolment will be backdated as is considered appropriate, normally to the date at which the Master's thesis or project work was commenced.

#### **4. Full-time and Part-time Study**

- a) i. A candidate shall normally be enrolled as a full-time candidate.

*A full-time candidate is one who throughout the calendar year regards study and research for the degree of Doctor of Philosophy as a full-time occupation.*

- ii. The minimum period of enrolment for a full-time candidate is two years.

- iii. The maximum period of enrolment for a full-time candidate is normally four

years, although if extenuating circumstances related to the candidate's research can be demonstrated, the Dean of Postgraduate Research may extend this period up to five years.

- b) i. With the approval of the Dean of Postgraduate Studies, a candidate may be enrolled as a part-time candidate.

*A part-time candidate is one who, because of employment or other reasons, is unable to devote himself or herself full-time, to study and research. The candidate and the Head of Department/School should discuss, before enrolment, the possibility and appropriateness of one or more continuous periods of full-time study.*

*Candidates who require a Student Visa to reside and study in New Zealand must be enrolled on a full-time basis to satisfy the requirements of the Student Visa and to be eligible for domestic tuition fees. A period of overseas study (e.g. fieldwork), up to a cumulative total of 12 months, is permissible for a candidate who is not a New Zealand citizen during his/her PhD tenure whilst retaining the right to pay domestic fees (provided s/he is enrolled as a full-time student). Such a period of overseas studies must be approved by the Dean of Postgraduate Research prior to departure. If a candidate resides outside New Zealand while studying and is not a New Zealand citizen, he or she will have the option of either enrolling on a full or part-time basis. While resident overseas, an international candidate will be liable for international rate tuition fees. Candidate who are New Zealand citizens may be enrolled on a full- or part-time basis and will pay domestic fees regardless of whether they reside in New Zealand or not.*

- ii. An applicant for part-time enrolment must produce evidence, including a statement from any employer, stating that he or she is not able to enrol full-time for a PhD but will be able to pursue satisfactorily, the necessary study and research. The Dean of Postgraduate Research will not approve part-time enrolment unless satisfied that the candidate can devote sufficient time to study and research to be able to present a thesis within this time. If extenuating circumstances related to the candidate's research can be demonstrated, the Dean of Postgraduate Research may extend this period further by up to a year.
- iii. For a part-time candidate the minimum period of enrolment is three years.
- iv. The maximum period of enrolment for a part-time candidate is normally seven years.

- c) After the commencement of study and research for the degree, a candidate may, with the permission of the Dean of Postgraduate Research, transfer from part-time to full-time status, or vice-versa.

## **5. Supervision**

- a) Upon approval of the Supervisory Agreement, the Dean of Postgraduate Research shall appoint a senior supervisor of the research, normally a member of the University continuing academic staff, who shall supervise the work of

the candidate and be responsible for ensuring that all administrative and regulatory requirements are met. The Dean may appoint a non-continuing academic staff member as senior supervisor if satisfied that the candidate will receive continuity of supervision for the whole term of the PhD. In addition to the senior supervisor, there shall be a co-supervisor and/or one or more associate supervisors and/or a Supervisory Committee to support the supervisor and candidate. Co- and Associate-Supervisors may be from outside the department/school in which the candidate is registered, and may be from another university or from outside the university system.

*When the appointment of supervisors is considered, the time that they are able to devote to supervision should be taken into account, including the number of candidates already being supervised. The supervisory team must include members with a research interest and methodological expertise relevant to the proposed research of the candidate. The senior supervisor must have an appropriate doctoral qualification or equivalent research experience. The senior supervisor will take into account the expressed views of any other members of the supervisory team in the application of these regulations.*

*If associate supervisors are being appointed from another university or from outside the university system, an agreement should be signed which details the role of the external supervisor. Any payment to the external supervisor is a matter for the relevant department/school.*

- b) For good reason, which may include the existence of a dispute between the candidate and a member of the supervisory team, the Dean of Postgraduate Research may replace a senior supervisor, and the Head of Department/School may replace any other member of the supervisory team. If a supervisor leaves the employment of the University, consideration must be given to whether, and in what capacity, they will remain involved in a candidate's supervision and an appropriate agreement drawn up. Any changes (additions, removals, replacements) to the supervisory team must be recorded on the [Change of Supervisor](#) form.

## 6. Place of Research and Study

Unless approval has been granted at the time of enrolment for extra-mural study:

- a) A candidate must spend at least 18 months undertaking study and research at the University of Canterbury. With support from the senior supervisor, a candidate may apply to the Dean of Postgraduate Research for this period to be reduced. Approval will not be granted unless the department/school can show that adequate supervision can be provided, and that the necessary resources are available, or can be made available, to the candidate.
- b) For the remainder of the duration of study and research, a candidate may study away from the University of Canterbury. A candidate wishing to undertake study away from Christchurch must complete the [Application to study outside Christchurch form](#). This form must be submitted to the Postgraduate Office in advance of the planned period of study away from Christchurch.

Before being granted approval by the Dean of Postgraduate Research for study away from Christchurch, the candidate must demonstrate:

- i. that he or she has adequate financial means to meet the costs of travel and/or the research,
- ii. that if required, there are adequate research facilities and supervision at the proposed location,
- iii. that there is a satisfactory means of communication with the senior supervisor at the University of Canterbury,
- iv. that consideration has been given to risks associated with research being conducted at the proposed location.

*International students who study overseas for longer than a cumulative total of 12 months during candidature become liable for international fees once they enter the 13<sup>th</sup> month of overseas study.*

## **7. Completion of Coursework during PhD Candidature**

- a) PhD candidates may be required by their supervisors to enroll in specific courses concurrent with their PhD enrolment.
  - i. Completion of such courses to a specified standard (minimum grade) is required for continued enrolment in the PhD.
  - ii. Candidates will normally be restricted to one 15-point course per semester and to 60 points during their PhD candidature.
  - iii. Candidates will not be charged additional enrolment fees for courses required as part of the PhD.
- b) PhD candidates wishing to enroll in courses not required by their supervisors concurrent with their PhD enrolment can apply to the Dean of Postgraduate Research to do so.
  - i. Candidates must have the support of their supervisory team to enroll in such courses.
  - ii. Candidates will normally be restricted to one 15-point course per semester and 60 points during their PhD candidature.
  - iii. Candidates will be charged additional enrolment fees for these elective courses.

## **8. Reports and Progress**

- a) Six months after the date of confirmation of PhD enrolment, and at intervals of six months thereafter, the Supervisors and the candidate shall complete the [PhD Progress Report Form](#) for the Head of Department/School to submit to the Dean of Postgraduate Research. The candidate must see the form completed by the supervisors and sign it.

- b) The report should be submitted to the Head of Department/School who should consult with the departmental/school Postgraduate Research Committee or coordinator of postgraduate research and comment on whether progress is, or is not, satisfactory before forwarding the report to the Postgraduate Office for the Dean's approval. It is the Head of Department/School's responsibility to ensure that reports are submitted in accord with 8(a) above.

*It is important that both candidate and supervisors are candid in their comments made on the progress report forms. It is the responsibility of the HoD/S or nominee to emphasize this point within their department/school.*

- c) Before approving a progress report, the Dean of Postgraduate Research may require further explanation from the Head of Department/School, senior supervisor or candidate, and may, if he or she thinks appropriate, place the candidate on probation for a period not exceeding one year. During this period the Dean will require reports from both the candidate and the senior supervisor at least every three months.
- d) At the end of the probationary period, the Dean of Postgraduate Research may terminate a candidate's enrolment on the recommendation of the Head of Department/School if satisfactory progress has not been made, or make any changes to the supervisory regime considered necessary.
- e) In exceptional cases not covered by Regulation 8(c), the Dean of Postgraduate Research may at any time, upon the recommendation of the senior supervisor and Head of Department/School, terminate or alter the terms of the candidate's enrolment either unconditionally or upon such terms as the Dean may think fit.

*The candidate has a right of appeal to the Academic Appeals Committee against a decision to terminate enrolment. A copy of the Academic Appeals and Grievance Procedures can be found in the [UC Policy Library](#)*

- f) If at any time the candidate is dissatisfied with the supervision provided or the resources available, or with any other matter affecting his or her progress, the candidate should report the matter to the Head of Department/School or directly to the Dean of Postgraduate Research.

*Candidates should first attempt to resolve difficulties within the Department/School. Department/Schools are expected to have, and to publish, their own procedures for dispute resolution. These procedures would normally involve the Head of Department/School or the departmental/school Postgraduate Research Committee or coordinator of postgraduate research. If resolution cannot be reached in this way, the candidate should contact the Dean of Postgraduate Research directly. The candidate may seek the advice of the [UC Students' Association Welfare and Advocacy Team](#) before contacting the Dean.*

## **9. Submission of Thesis**

- a) Subject to fulfillment of the requirements of these regulations, a candidate may apply through the Postgraduate Office to have his or her thesis examined. Except with the approval of the Dean of Postgraduate Research, submission must occur after the minimum period of enrolment and within the maximum enrolment

period. In order for a thesis to be sent out for examination the candidate must be enrolled at the time of submission. Any outstanding tuition fees or other charges must be paid before a candidate is eligible to graduate.

- b) The candidate shall submit PDF of a thesis embodying the results of the research and the [Use of Thesis Form](#),
- c) A candidate may include in the thesis or attach as an appendix to it any of his or her relevant published work. Where the published work has more than one author, it shall be accompanied by a completed [Co-Authorship Form](#), identifying the candidate's own contribution. While published work can be included in the thesis, the thesis must be a single coherent document. Further information regarding the inclusion of published work is included in the document [Including Publications in a PhD Thesis](#).
- d) Once examiners have been appointed, as below, the thesis shall normally be sent to the examiners within 10 working days. Prior to being sent out for examination the [PhD Examiner's Request Form](#) and the Supervisor's Certificate must be submitted by the Head of Department/School to the Postgraduate Office.

*Candidates should make themselves familiar with the University's [Thesis Availability Policy](#) and the [Intellectual Property Policy](#) which cover such issues as the borrowing and consultation of theses, and the possibility of imposing an embargo on the use of a thesis.*

## 10. Examination

- a) The senior supervisor must submit the completed [Supervisor's Certificate](#), within seven days of notification by the Postgraduate Office of the thesis having been submitted for examination. The Supervisor's Certificate is sent to examiners along with the thesis.
- b) Two examiners shall be recommended by the senior supervisor and nominated, on the [PhD Examiners' Request Form](#), by the Head of Department/School or nominee for approval by the Dean of Postgraduate Research within seven days of the submission of the thesis for examination.

*Examiners should be nominated on the basis of their expertise in the research domain and/or methodologies used in the thesis. The [guidelines for the selection of examiners](#). Nominations must be received by the Postgraduate Office no later than seven days after the senior supervisor has been notified by the Postgraduate Office that the thesis has been submitted for examination. Normally, one of the examiners will be from New Zealand, or Australia (excluding Western Australia and The Northern Territories). In choosing the overseas examiner, familiarity with the New Zealand system for PhD theses should be taken into account.*

*At the same time an oral examination chair is nominated by the Head of Department/School or nominee. The Chair of the oral examination will be an experienced member of the University staff, who has had no involvement with*

*the thesis work and will be appointed by the Dean of Postgraduate Research following consultation with the Head of Department/School or nominee. The Chair will be responsible for maintaining the integrity of the oral examination process and will act as a neutral Chair at the examination as set out in the [Guidelines for the oral Chair](#).*

*The senior supervisor should approach proposed examiners informally before submission of the thesis to ascertain their willingness to examine. Potential examiners should be informed of the likely submission date and told that it is expected that examiners' reports be returned within eight weeks. The date for the oral examination is to be agreed between the chair of the oral examination, candidate, senior supervisor and oral examiner, at the time of appointment of the examiners. The date of the oral examination will normally be ten-twelve weeks after submission of the thesis for examination. The Postgraduate Office will oversee the travel arrangements for the oral examiner, in collaboration with the Chair of the oral examination.*

- c) Prior to the nomination of examiners, the senior supervisor should discuss and agree on the most appropriate examiners with the candidate. The candidate must indicate to the Postgraduate Office that he or she accepts the nominated examiners or, can make a case to the Dean of Postgraduate Research that a particular nominated person not be an examiner. If the Dean upholds the candidate's request that a nominated examiner not be appointed, a replacement nomination will be sought from the department/school. Candidates are not permitted to nominate examiners but may discuss the question of the choice of examiners with their supervisors.
- d) The examination process must be independent of supervisors. Once examiners have been nominated, all communications must be through the Postgraduate Office or, where indicated, through the Chair of the oral examination.

*Once examiners have been appointed neither supervisors of the thesis, nor the candidate, should contact examiners about matters relating to the thesis until completion of the examination process.*

- e) If the Head of Department/School or nominee is a supervisor, he or she shall appoint a nominee for the purposes of administering the examination, including the nomination of examiners and the Chair of the oral examination.
- f) The two examiners shall each submit an independent report on the thesis to the Postgraduate Office, using an [Examiner's Report Form](#).
- g) When the examiners' reports have been received, the Dean of Postgraduate Research shall determine whether the oral examination should proceed. In making this decision, the Dean may correspond with the examiners, in which case the nature and substance of any correspondence must be recorded. The Dean may also discuss the matter with the Chair of the oral examination and the senior supervisor, and will do so if any issues of serious concern are raised in any examiner's report. As necessary, the Dean may invite formal written comment from the supervisor/s before the oral examination. The Dean may also seek new examiners' reports, replace one or more examiners, or appoint an additional examiner. The Chair of the oral examination will

be informed when he or she can confirm the details of the oral examination.

- h) On receiving the examiners' reports, a supervisor may, if they have concerns about the nature or content of the reports, contact the Dean of Postgraduate Research to raise those concerns. If contacted, the Dean will respond and, if necessary, consult the examiners (refer to Clause 10 g above).
- i) There shall be an oral examination of the candidate on the subject of the thesis and on the general field to which the subject belongs.
  - i) *Based on the recommendations from the examiners, the Dean of Postgraduate Research may require that the thesis be revised and resubmitted after initial submission, prior to an oral examination taking place.*

*Any public presentation sought by the department/school is not part of the formal University examination process, and should be clearly distinct from the formal oral examination to ensure that there is no confusion posed by the two activities.*

- i) The Chair of the oral examination shall act as a neutral Chair and should not act as an additional examiner. He or she does not have voting rights, but may ask questions of the candidate. He or she shall ensure that questions posed by the absent examiner are put to the candidate.
- ii) The examiners' reports and the recommendations shall be released to the candidate by the Chair of the oral examination no more than ten and no less than five days prior to the oral examination. An examiner's name may not be withheld, though specific sections of a report may be, at the examiner's request.

*With the agreement of the Dean of Postgraduate Research, reports may be released more than ten days, or fewer than five days, prior to the oral examination. A case for such, must be put to the Dean of Postgraduate Research by the Chair of the oral examination, candidate or supervisor.*

- iv) The oral examination shall be attended by one of the examiners. The other examiner may take part in the examination with the approval of the Dean of Postgraduate Research, and agreement of the candidate.

*Normally the international examiner will not be required to participate in the oral examination, but may provide advice on questions to be asked. It is common practice in the oral examination for the oral examiner to lead the discussions.*

- v) All members of the candidate's supervisory team shall be invited to attend the oral examination as observers. At least one member of the supervisory team – normally the senior supervisor – must be in attendance. The senior supervisor (or nominee) shall participate to the extent requested by the chair of the oral examination; *it is suggested that the senior supervisor be invited by the oral chair to put to the candidate the questions submitted by the absent examiner.* Members of the supervisory team, except the senior

supervisor or nominee, will leave the room (or go offline if the examination is being conducted by video link), along with the candidate and his or her support person/s, at the conclusion of the oral examination while the examiners discuss their recommendation. The senior supervisor shall be present during the decision making at the conclusion of the oral examination but should **not** take part in the decision making, except to answer any questions from the chair of the oral examination or the oral examiner.

*At the request of either the Chair of the oral examination or the oral examiner the senior supervisor may be required to absent him/herself during the decision making at the conclusion of the oral examination.*

- vi. The candidate shall have the right to have a maximum of two persons present at the oral examination as observers. With the prior agreement of the candidate, the chair may also invite other persons to be present as observers. The chair shall inform the attendees of the purpose of these observers. All observers must remain silent unless the chair allows otherwise, and the observers must not disrupt the examination in any way, whether audibly or otherwise.

*Observers invited by the chair to attend may include junior colleagues who are being mentored in the role of thesis examiner and senior colleagues who are invited to provide feedback to the chair for professional development purposes.*

- vi. At the request of the examiners, the candidate may be required to sit a written examination following the oral examination.

- vii. In exceptional circumstances, an oral examination may be waived by the Vice- Chancellor on the advice of the Dean of Postgraduate Research.

- j) After the oral examination and any written examination, the examiners shall, after consultation, submit to the Postgraduate Office the [PhD Final Joint Examiners' Report Form](#). They shall recommend one of the following:

- i. the candidate be awarded the degree of Doctor of Philosophy;

- ii. the candidate be awarded the degree of Doctor of Philosophy subject to the satisfactory completion of specified amendments;

- iii. the candidate be invited to revise and resubmit the thesis for re-examination;

- iv. the candidate not be awarded the degree of Doctor of Philosophy but be awarded instead, an appropriate Master's degree; or

- v. no degree be awarded to the candidate.

- k) At the conclusion of the oral examination, the Chair may, with the agreement of all the examiners, inform the candidate of the intended recommendation. It must be made clear to the candidate that a recommendation is being made to the Dean of

Postgraduate Research who will formally inform the candidate of the outcome.

*The chair of the oral examination is responsible for ensuring that the joint report form is forwarded to the Postgraduate Office. This form should be signed by all the examiners present. If the oral examiner is not present physically but via video or audio link then a separate signature must be obtained prior to the awarding of the degree.*

*An electronic signature is acceptable.*

- l) After the oral examination and receipt of reports, the Dean of Postgraduate Research shall consider all reports and recommendations, and shall determine the outcome of the examination.
- m) In the event of a disagreement between the examiners, and after the chair of the oral examination has taken all reasonable steps to achieve consensus, the Dean of Postgraduate Research may appoint an adjudicator to determine the outcome of the examination.
- n) Where a candidate is required to complete amendments to the thesis after the oral examination, the nature of these amendments will be specified in the [PhD Final Joint Examiners' Report Form](#) submitted to the Postgraduate Office. The candidate will be provided with the list of required amendments, a timeframe for their completion and details of who will check that the amendments have been completed satisfactorily. Once the amendments have been approved the candidate will become eligible to graduate.

## **11. Resubmission**

Where revision and resubmission are recommended and approved by the Dean of Postgraduate Research, the process for the submission of the thesis, appointment of examiners and conduct of the oral examination shall be as in clauses 9 and 10 above. Normally, the original examiners will undertake the re-examination of the thesis. The revision and resubmission option can be exercised once only. The examiners will recommend an appropriate period for the revisions to be completed and the thesis resubmitted.

A candidate must be enrolled for the period of time in which he or she is undertaking revisions prior to a resubmission of the thesis for re-examination. Once an appropriate period for the revisions has been determined (usually in discussion between the supervisors, candidate, oral Chair and Dean of Postgraduate Research) Student Services will be informed and the candidate will be sent a new enrolment offer for that period.

## **12. Deposit of Thesis**

After a candidate has been approved for the award of the degree of Doctor of Philosophy, an electronic copy (as a PDF file) of the final version of the thesis, must be uploaded to the [library website](#). A candidate may also deposit a hard-bound copy of their thesis if he or she so chooses.

### 13. Variation

The Dean of Postgraduate Research shall have power to vary these regulations in respect to a particular candidate where special or unusual circumstances warrant it. In such circumstances the Dean will consult, as appropriate, with the candidate, supervisors, Head of Department/School, oral examination Chair and examiners.

### 14. Appeals

A candidate may appeal to the Academic Appeals Committee against any decisions of the Dean of Postgraduate Research made under clauses 3 to 11 of these regulations, normally within one month of the decision, on the grounds that the procedure adopted in arriving at the decision breached a University Regulation or the laws of natural justice.

The appeal must state clearly all grounds relied upon by the candidate and attach all relevant documentation.

## Related Documents and Information

- [Guidelines for Oral Examiners](#)
- [Intellectual Property, Copyright, Embargoes, Joint Publications, Sponsorship Contracts and Agreements – a Guide for Research Students and their Supervisors](#)
- [Research Work for a Master's or PhD Thesis: Code of Practice for Heads of Department/School, Supervisors and Students](#)
- [Thesis Availability Policy](#)
- [Including Publications in a PhD Thesis – Guidelines for Students](#)

## Forms

- [Co-Authorship Form](#)
- [PhD Examiner's Report Form](#)
- [PhD Oral Examination Recommendation Form](#)
- [PhD Application Form](#)
- [PhD Examiner Request Form](#)
- [PhD Progress Report Form](#)
- [PhD Confirmation Report Form](#)

- [PhD Supervisory Agreement](#)
- [Supervisors Certificate \(PhD\)](#)
- [Use of Thesis Form](#)

## Appendices

Appendix One: PhD Regulations and Guidelines: Pre 1 December 2007

<b>Document History and Version Control Table</b>			
<b>Version</b>	<b>Action</b>	<b>Approval Authority</b>	<b>Action Date</b>
<i>For document history and versioning prior to 2013 contact <a href="mailto:ucpolicy@canterbury.ac.nz">ucpolicy@canterbury.ac.nz</a></i>			
1.00	Major review of document and conversion into new format. Removal of document from UCPL and moved to PhD webpages.	Academic Board	Sep 2013

