

PhD Regulations and Guidelines

From 1 December 2007

Category:	Academic
Last Modified:	December 2012
Review Date:	November 2014
Approved By:	Chair, Academic Board
Contact Person:	Dean of Postgraduate Research, Extn 7285

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 - see [Appendix One](#) - (but see Clause 13 for transition provisions).

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

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 appendices. Candidates wishing to submit and defend a thesis in te Reo Māori must seek approval at the time of registration. 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); 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)*; 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)*; Maori (MAOR); Marketing (MKTG); Mathematical Physics (MAPH); Mathematics (MATH); Mathematics and Philosophy (MPHI); Mechanical Engineering (ENME); Media and Communication (COMS); Medical Physics (MDPH); 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.*

** *Subject to UNZ CUAP approval due December 2012.*

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 honours, or a Master's degree at the standard of first or second class honours, or the equivalent; or
 - ii. have been admitted *ad eundem* 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 registration

- a) A candidate shall apply for enrolment on the 'PhD Application' form. The form, which must be signed by the Head of Department/School, 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 [Postgraduate Studies Website](#).

Members of the supervisory team are not formally appointed until the research proposal has been approved and registered. Regulation 5, below, deals with supervision.

When enrolment is approved, a copy of all regulations and procedures governing study for the degree, including these guidelines, will be sent to the candidate by the Postgraduate Office. Copies of these guidelines are also available from the candidate's Department/School, and on the [Postgraduate Studies](#) website.

- b) 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 shall present a proposal to the Head of Department/School for approval and forwarding to the Dean of Postgraduate Research for approval and formal registration. Failure to obtain such approvals within six months may lead to termination of enrolment.

During this initial enrolment period, the candidate should be considered as a full PhD student and afforded the appropriate facilities and resources. During this enrolment period it is expected that the candidate will meet frequently (at least monthly) with their proposed Senior Supervisor as the thesis proposal is developed. Consideration should also be given at this time to the nomination of co- and associate supervisors for the project. It is expected that members of the supervisory team (i.e., co-, associate-supervisors) will be identified early and that they will play an active role in assisting the candidate in developing his/her thesis proposal.

Departments/Schools are expected to have rigorous procedures for the evaluation of thesis proposals that are undertaken prior to the submission of the proposal and registration form to the Postgraduate Office. Students should be provided with clear and detailed information regarding the departmental/school procedures and timeline for proposal evaluation.

If an acceptable proposal is not submitted to the Postgraduate Office within 6 months of a candidate's enrolment, then an application for an extension can be made by the student (with support from the Senior Supervisor) to the Dean of Postgraduate Research. In addition, a department/school may apply to have a candidate's enrolment terminated at this point.

- c) The research proposal will not be approved until the student has completed a Department/School induction course approved by the Dean of Postgraduate Research.
- d) The research proposal must be accompanied by the 'PhD Registration form (Research Proposal)', available from the [Postgraduate Studies Website](#). All proposals should be accompanied by a signed agreement between student and supervisors in regard to IP and publications. Research proposals involving a contract (other than the "Supervision Agreement" which is part of the Standard Registration form) must have the additional

contract signed by Research & Innovation.

The research proposal should be presented in sufficient detail for the Senior Supervisor and Head of Department/School to be able to comment on its suitability for PhD study. It should include a realistic planned timetable including deadlines to be met, a list of objectives, description of methods to be used, and it should provide details of any special supervisory arrangements (for example, provision of alternative supervision in the case of a supervisor taking study leave). There should be statements about who has been consulted about the project, including general staff whose assistance may be required in the course of the work, and also about specific equipment or materials needed for the research.

- 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, approval should have been obtained prior to registration of the proposal, where possible, and full documentation of approval(s) submitted with the proposal. Where it is not possible to provide these approvals at the time of submitting the proposal registration, the Postgraduate Office *must* be informed when the approvals are received.
- f) With the approval of the Dean of Postgraduate Research, and on the recommendations of the Head of Department/School and the appropriate Faculty Dean, a candidate for a Master's degree may transfer to the degree of Doctor of Philosophy provided:
 - i. The candidate has satisfactorily completed any course work normally required by a candidate enrolling for a PhD, and
 - ii. 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
 - iii. The application for transfer is accompanied by a full account of progress made in research for the Master's thesis or project work, and a PhD research proposal, as otherwise required under regulation 3(b). Transfer will not be approved unless the PhD research proposal is approved.

If the candidate is enrolled for a PhD under this regulation, the date of enrolment and registration 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 2 years.
 - iii. The maximum period of enrolment for a full-time candidate is normally four years, although if extenuating circumstances related to the student's research can be demonstrated, the Dean of Postgraduate Studies may extend this period up to five years.
- b)
 - i. With the approval of the Dean of Postgraduate Research, 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. Included in the period of enrolment for part-time candidates should, ideally, be a period of continuous full-time study of at least six months.

Students 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. If a student resides outside New Zealand while studying and is not a New Zealand citizen, s/he will have the option of either enrolling on a full- or part-time basis. While resident overseas an international student will be liable for international rate tuition fees. A period of overseas study (e.g., fieldwork), up to a cumulative total of 12 months, is permissible for a student who is not a New Zealand citizen during his/her PhD tenure whilst retaining the right to pay domestic fees. Such period of overseas studies must be approved by the Dean of Postgraduate Research prior to departure. Students 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.
 - iii. For a part-time candidate the minimum period of enrolment shall be not less than three years.
 - iv. The maximum period of enrolment for a part-time candidate is normally seven years, and 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 student's research can be demonstrated, the Dean of Postgraduate Research may extend this period by a further year.
- 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 research proposal, the Dean of Postgraduate Research shall appoint a Senior Supervisor of the research, normally a member of the University of Canterbury 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 student 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. Members of the supervisory team, other than the Senior Supervisor, 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. Members of the supervisory team will be appointed by the Head of Department/School in consultation with the candidate and Senior Supervisor, and their names recorded in the Postgraduate Office.

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 students 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 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 of Canterbury, consideration must be given to whether, and in what capacity, they will remain involved in a student'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 which can be found on the [Postgraduate Studies website](#) and forwarded to the Postgraduate Office.

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 which is available on the Postgraduate Studies website. This form must be submitted to the Postgraduate Office well 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.

7. Reports and progress

- a) Six months after the date of registration of the research proposal, and at intervals of 6 months thereafter, the Supervisors and the student shall complete the PhD Progress Report Form for

the Head of Department/School to submit to the Dean of Postgraduate Research. The student must see the form completed by the Supervisors and sign it.

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 7(a) above.

It is important that both student and supervisors are candid in their comments made on the progress report forms. It is the responsibility of the HoD/S or delegate to emphasize this point within their Department/School.

- b) 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 student and the Senior Supervisor at least every three months.
- c) At the end of the probationary period, the Dean of Postgraduate Research may terminate a candidate's registration 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.
- d) In exceptional cases not covered by Regulation 7(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 registration 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 at <http://www.canterbury.ac.nz/ucpolicy>

- e) 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 [UCSA Welfare and Advocacy Team](#) before contacting the Dean.

8. Submission of thesis

- a) Subject to fulfilment 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 student must be enrolled at the time of submission and must not have any outstanding tuition fees or other charges.

- b) The candidate shall submit PDF¹ of a thesis embodying the results of the research and the [Use of Thesis Form](#), which can be found on the Postgraduate Studies website.
- 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](#), which is available from the Postgraduate Studies website, 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](#)" which can be found on the Postgraduate Studies website.
- d) A candidate must indicate in the thesis any part which he or she has previously used for another degree. (See Regulation 1 concerning the requirements for original work.)
- e) 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 Examiner's Request Form and the Supervisor's Certificate must be submitted by the Head of Department/School to the Postgraduate Office.

At its initial submission for examination the thesis should normally be submitted as a PDF.

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

9. Examination

- a) The Senior Supervisor must submit the completed Supervisor's Certificate, available from the [Postgraduate Studies Website](#), within ten working days of the thesis being submitted for examination. The Supervisor's Certificate is sent to examiners alongside the thesis and hence any delay in the submission of this certificate delays the examination process.
- b) Two examiners shall be recommended by the Senior Supervisor, considered by the departmental/school postgraduate research committee or coordinator of postgraduate research, and nominated on the PhD [Examiners Request Form](#) available from the Postgraduate Studies website by the Head of Department/School or postgraduate coordinator for approval by the Dean of Postgraduate Research.

Examiners should be nominated on the basis of their expertise in the research domain and/or methodologies used in the thesis. Nominations must be received no later than 10 working days after submission of the thesis. Normally one of the examiners will be from New Zealand. 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. The oral examination Chair will be a senior member of the University staff, who has had no involvement with the thesis work, appointed by the Dean of Postgraduate Research following consultation with the Head of Department/School. The Chair will be responsible for maintaining the integrity of the oral examination process and will act as a neutral chair at the examination.

¹ A student may request to submit hard-copy of the thesis for examination rather than a PDF version if the format of the thesis requires such.

To shorten the examining process, it is desirable that the Department/School 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 six weeks. The date for the oral examination is to be agreed between the oral examination Chair, candidate, Senior Supervisor and oral examiner at the time of appointment of the examiners. The date of the oral examination will normally be 8-10 weeks after submission of the thesis for examination. The Postgraduate Office will oversee the travel arrangements for the oral examiner, in collaboration with the oral examination Chair.

- b) Prior to the nomination of examiners, the candidate should be informed by the Senior Supervisor who the proposed examiners are. The candidate has a right to make a case to the Dean of Postgraduate Research that a particular nominated person not be an examiner. Candidates are not permitted to nominate examiners but may discuss the question of the choice of examiners with their Senior Supervisor.
- c) The examination process must be independent of departments/schools and once examiners have been nominated all communications must be through the Postgraduate Office.
- d) Neither supervisors of the thesis nor the candidate should contact examiners about matters relating to the thesis once they have been appointed.
- e) If the Head of Department/School is a supervisor, he or she shall appoint a deputy to act as Head for the purposes of administering the examination, including the nomination of examiners and the oral Chair.
- f) The two examiners shall each submit an independent report on the thesis, using the Examiner's Report Form, to the Postgraduate Office.
- g) When the examiners' reports, have been received, the Dean of Postgraduate Research shall determine whether the oral examination should proceed at that point. 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 oral Chair and the Senior Supervisor. The Dean may also seek new examiners' reports, replace one or more examiners or appoint an additional examiner. The oral examination Chair will be informed when he or she can begin to organise the oral examination.
- h) The Senior Supervisor may not be an examiner but may, if he or she wishes, comment to the Dean of Postgraduate Research on the examiners' reports prior to these being released to the oral examination Chair. Such comments should be made within 10 days of receipt of the examiners' reports.
- i)
 - 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.

An oral examination is normally held both on the first submission of the thesis and on any re-submission. However, a recommendation that the thesis be revised and resubmitted after initial submission, prior to an oral examination taking place, may be made by the Dean of Postgraduate Research. Any revision of the thesis must take place after, not before, the oral examination.

Any public presentation sought by the Department/School is not part of the formal

University examination process, and should normally be sufficiently separate from the oral examination to ensure that there is no confusion posed by the two activities.

- ii. The oral examination Chair shall act as a neutral chair and 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.
- iii. The examiner's reports, but not the recommendations shall be released to the candidate by the oral examination Chair no more than one week and no less than three 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.
- iv. The oral examination shall be conducted by one of the examiners. The other examiner may take part in the examination with the approval of the Dean of Postgraduate Research.

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

- v. The Senior Supervisor shall also be present as an observer and participate to the extent requested by the oral examination Chair, and with the prior agreement of the candidate. The supervisor will leave the room, along with the candidate, at the conclusion of the oral examination while the examiners discuss their recommendation.
 - vi. The candidate shall have the right to have a maximum of two persons present at the oral examination as observers. Other persons may also be present as observers with the agreement of the candidate and the Chair. The observers must remain silent unless the Chair allows otherwise, and the observers must not disrupt the examination in any way, whether audibly or otherwise.
 - vii. At the request of the examiners, the candidate may be required to sit a written examination following the oral examination.
 - viii. 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 that:
- 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;
 - v. no degree be awarded to the candidate.
- k) At the conclusion of the oral, 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 organising the examination, and 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.

- 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 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.

10. 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 regulations 8 and 9 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 can be sent a new enrolment offer for that period.

11. Deposit of thesis

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

12. Variation

The Dean of Postgraduate Research shall have power to vary these regulations in respect of 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.

13. Transitional Regulations

Students enrolled under the 2003 regulations continue under those regulations, but may elect to transfer to this set of regulations on each anniversary of enrolment.

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 9 of these regulations, normally within three months of the decision, on the grounds that:

- i. relevant information which was not available to the Dean of Postgraduate Research at the time when a decision was made has since become available,

and/or

- ii. the procedure adopted in arriving at the decision was unfair.

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

Related Policies, Procedures and Standard Forms:

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

Forms

- [PhD Application Form](#)
- [Registration of PhD Research Proposal Form](#)
- [PhD Student's Report on Progress Form](#)
- [Examiner Request Form](#)
- [Senior Supervisor's Certificate](#)
- [Examiner Report Form](#)
- [Final Joint Examiner Report Form](#)

Appendices:

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

Version Control Table		
Action	Approval Body	Date Amended
Full Review <i>The policy has had some comprehensive additions.</i>	Chair, Academic Board	13 July 2011
Amended	Chair, Academic Board	4 December 2012

© *This policy is the property of the University of Canterbury*

PhD Regulations and Guidelines

Pre 1 December 2007

Category:	Academic
Last Modified:	December 2007
Review Date:	June 2008
Approved By:	Chair, Academic Board
Contact Person:	Postgraduate Office, Extn 6974

Note: These regulations apply to PhD candidates first enrolled for a doctoral degree before 1 December 2007.

Introduction:

Regulations and guidelines have been developed to assist students and staff with obligations and best practice for doctoral (PhD) study.

Definition:

A **thesis** is a detailed study based on original research and submitted for a Master's or PhD degree.

Regulations and Guidelines

[Note: The regulations are printed in ordinary type. The guidelines that accompany them are printed in *italics*, and their purpose is to explain and expand on the regulations.]

1. Nature of the degree

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. The thesis must meet recognised international standards

for such work.

The subject areas for the degree of Doctor of Philosophy are: Accountancy, Finance and Information Systems (AFIS); American Studies (AMST); Antarctic Studies (ANTA); Anthropology (ANTH); Applied Psychology (APSY); Art History (ARTH); Art Theory (ARTT); Astronomy (ASTR); Audiology (CDMS); Biochemistry (BCHM); Biology (BIOL); Biotechnology (BIOT); Computational and Applied Mathematics (CAMS); Cellular and Molecular Biology (CEMB); Chemistry (CHEM); Chinese (CHIN); Classics (CLAS); Mass Communication (COMS); Computer Science (COSC); Cultural Studies (CULT); Diplomacy and International Relations (DIPL); Ecology (ECOL); Economics (ECON); Education (EDUC); Chemical and Process Engineering (ENCH); Civil Engineering (ENCI); Electrical and Electronic Engineering (ENEL); Fire Engineering (ENFE); Forestry Engineering (ENFO); English (ENGL); Engineering Geology (ENGE); Mechanical Engineering (ENME); Engineering Management (ENMG); Transportation Engineering (ENTR); Environmental Science (ENVR); European Studies (EURO); Forestry (FORE); French (FREN); Gender Studies (GEND); Geography (GEOG); Geology (GEOL); German (GRMN); Health Sciences (HLTH); History and Philosophy of Science (HAPS); Higher Education (HEDN); History (HIST); Human Services (HSRV); Japanese (JAPA); Journalism (JOUR); Law (LAWS); Linguistics (LING); Maori (MAOR); Mathematical Physics (MAPH); Mathematics (MATH); Microbiology (MBIO); Medical Physics (MDPH); Management (MGMT); Mathematics and Philosophy (MPHI); Management Science (MSCI); Music (MUSI); Pacific Studies (PACS); Philosophy (PHIL); Physics (PHYS); Political Science (POLS); Psychology (PSYC); Religious Studies (RELS); Russian (RUSS); Science Education (SCED); Sociology (SOCI); Social Work (SOWK); Spanish (SPAN); Speech and Language Therapy (CMDS); Statistics (STAT); Theatre and Film Studies (TAFS); Zoology (ZOOL).

2. Conditions of enrolment

- a) Every candidate, before enrolling for the degree, must be approved as a candidate by the Dean of Postgraduate Studies.
- b) Every candidate for the degree must either:
 - i. have qualified in New Zealand for a Bachelor's degree with first or second class honours, or a Master's degree at the standard of first or second class honours, or the equivalent; or
 - ii. have been admitted ad eundem to the status of a graduate equivalent to (i) above.
- c) The Dean of Postgraduate Studies must be satisfied that the candidate has adequate training and ability to pursue the proposed course.
- d) In special circumstances the Dean of Postgraduate Studies 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 registration

- a) A candidate shall apply for enrolment on the prescribed form. The form, which must be signed by the Head of Department/School, must nominate a potential Senior Supervisor, indicate the general field of study, and recommend a date of enrolment.

The prescribed form is obtainable from the Postgraduate Office and at the Postgraduate Studies website <http://www.canterbury.ac.nz/postgrad>. Members of the supervisory team are not formally appointed until the research proposal has been approved and registered. Regulation 5, below, deals with supervision.

- b) If the Dean of Postgraduate Studies approves the enrolment, he or she shall confirm the date of enrolment.

When enrolment is approved, a copy of all regulations and procedures governing study for the degree, including these guidelines, will be given to the candidate by the Postgraduate Office. Copies of these guidelines are also available from the candidate's Department/School, and at the Postgraduate Office, from website (as above).

- c) Once enrolled, the candidate shall work under the guidance of an academic staff member as potential Senior Supervisor to develop a research proposal. Within six months of enrolment for the degree, the candidate shall present a proposal to the Head of Department/School for consideration and forwarding to the Dean of Postgraduate Studies. The proposal shall be formally registered after approval of the Head of Department/School and Dean of Postgraduate Studies has been obtained. Failure to obtain such approval within six months may lead to termination of enrolment.

The research proposal must be accompanied by the "Application for Approval of Registration of PhD Research Proposal" form, available from the Postgraduate Office in the Registry Building and the Postgraduate Studies website. The research proposal should be presented in sufficient detail for the Senior Supervisor and Head of Department/School to be able to comment on its suitability for PhD study. It should include a realistic planned timetable including deadlines to be met, a list of objectives, description of methods to be used, and it should provide details of any special supervisory arrangements (for example, provision of alternative supervision in the case of a supervisor taking study leave). There should be statements about who has been consulted about the project, including general staff whose assistance may be required in the course of the work.

Research proposals involving a contract (other than the "Supervision Agreement" which is part of the standard registration form) will need to acknowledge the signing of the contract by either the Research Office, or Canterbury for commercial work.

If the research is dependent on the approval of the University's Human Ethics Committee or Animal Ethics Committee, or any other committee or organisation, the approval should normally have been obtained prior to registration of the proposal; in any case, such aspects of the research which require approval from an Ethics Committee shall not proceed until the approval has been acquired. Full documentation of the approval(s) received must be given.

- d) With the approval of the Dean of Postgraduate Studies, and on the recommendations of the Head of Department/School and the appropriate Faculty Dean, a candidate for a Master's degree may transfer to the degree of Doctor of Philosophy provided:

- iv. The candidate has satisfactorily completed all course work normally required by a candidate enrolling for a PhD. This requirement will be determined in each case by the Faculty Dean.
- v. 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.
- vi. The application for transfer is accompanied by a full account of progress made in research for the Master's thesis or project work, and a PhD research proposal, as otherwise required under regulation 3(c). Transfer will not be approved unless the PhD research proposal is approved.

If the candidate is enrolled for a PhD under this regulation, the date of enrolment and registration 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.
 - ii. A full-time candidate is one who throughout the calendar year regards study and research for the Doctor of Philosophy as a full-time occupation.
 - iii. The minimum period of enrolment for a full-time candidate is 24 months.
 - iv. The maximum period of enrolment for a full-time candidate is normally four years, although if extenuating circumstances related to the student's research can be demonstrated, the Dean of Postgraduate Studies may extend this period up to five years. See Note (ii), below.

NOTES:

- With the approval of the Senior Supervisor and Head of Department/School, a full-time candidate may be employed in the university in academically relevant work for up to an average of six hours a week over the calendar year.
 - Candidates enrolled before 2003 continue under the 2002 regulations with respect to the maximum period of enrolment.
- b)
 - i. With the approval of the Dean of Postgraduate Studies, a candidate may be enrolled as a part-time candidate.
 - ii. A part-time candidate is one who, because of employment or other reasons, is unable to devote his or her full time to study and research.
 - iii. An applicant for part-time enrolment must produce evidence, including a statement from any employer, that he or she will be able to pursue satisfactorily the necessary study and research.
 - iv. The maximum period of enrolment for a part-time candidate is normally seven years, and the Dean of Postgraduate Studies 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 student's research can be demonstrated, the Dean of Postgraduate Studies may extend this period up to eight years. See Note (iii), below.
 - v. For a part-time candidate the minimum period of enrolment shall be not less than 36 months.

NOTES:

- The minimum period of enrolment for staff of the university or other educational institutions shall normally be four years.
- Included in the period of enrolment for part-time candidates should, ideally, be a period of continuous full-time study of at least six months.
- Candidates enrolled before 2003 continue under the 2002 regulations with respect to the maximum period of enrolment.

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.

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

5. Supervision

- a) Upon approval of the research proposal the Dean of Postgraduate Studies shall appoint as Senior Supervisor of the research a member of the academic staff of the University who shall supervise the work of the candidate. In addition to the Senior Supervisor, there shall be a Co-Supervisor and/or one or more Associate and/or Assistant Supervisors and/or a supervisory committee to support the supervisor and candidate. Members of the supervisory team, other than the Senior Supervisor, 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. Members of the supervisory team will be appointed by the Head of Department/School in consultation with the candidate and Senior Supervisor, and their names recorded at the Postgraduate Office.

When the appointment of supervisors is considered, the time that they are able to devote to supervision should be taken into account. Senior, Co-, and Associate Supervisors will normally have a research interest and/or methodological expertise relevant to the proposed research of the candidate. An Assistant Supervisor may possibly fill a more administrative role. Sometimes pressure of work may mean that a candidate's first choice of Senior Supervisor will not be allocated. The Senior Supervisor will take into account the expressed views of any other members of the supervisory team in the application of these regulations.

- 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 Studies may replace a Senior Supervisor, and the Head of Department/School may replace any other member of the supervisory team.

6. Place of research and study

- a) Candidates who are not enrolled extramurally
 - i. Normally a candidate should spend at least 18 months undertaking study and research at the University of Canterbury.
 - ii. With the approval of the Senior Supervisor and Head of Department/School, a candidate may undertake study and research at places and institutions in New Zealand outside the University of Canterbury.
 - iii. With the approval of the Dean of Postgraduate Studies, a candidate may undertake study and research outside New Zealand for a specified period.

Before being granted approval under either (a)(ii) or (a)(iii) above, the candidate must demonstrate (i), that he or she has adequate financial means (to meet the costs of travel or the research, for example), (ii), that if required, there are adequate research facilities and supervision at the proposed locations, and (iii), that there is a satisfactory means of communication with the Senior Supervisor at the University of Canterbury.

- b) Extramural enrolment

With the approval of the Dean of Postgraduate Studies, and on the recommendation of the Head of Department/School, a candidate may enrol extramurally for the PhD. 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.

7. Reports and progress

- a) Six and 12 months after the date of registration of the research proposal, and at intervals of 12 months thereafter, or more frequently if the candidate and Senior Supervisor agree or the Head of Department/School requires, the candidate shall provide to the Head of Department/School, through the Senior Supervisor, a written report on the progress of his or her research.

The candidate's report should give (i) a summary of progress since the last report; (ii) an outline of the proposed programme for the next twelve months; and (iii) an outline of any difficulties experienced whether in respect of supervision, resources, or otherwise.

- b) Six and 12 months after the date of registration of the research proposal, and at intervals of 12 months thereafter, the Senior Supervisor shall write a report on the candidate's progress for the Head of Department/School to submit to the Dean of Postgraduate Studies. The student shall also sign this report, and may add comment if he or she wishes. A copy of the candidate's report required under Regulation 7(a) will accompany the Senior Supervisor's report when that is submitted to the Dean by the Head of Department/School.

The Senior Supervisor's report will be on a standard form available from the Postgraduate Office, in the Registry Building and the Postgraduate Studies website. It should state whether or not, in the Senior Supervisor's opinion, the candidate's progress is satisfactory, and outline any difficulties experienced. The student must see the form completed by the Senior Supervisor and sign it. The report should be submitted to the Head of Department/School who should consult 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, from in the Registry for the Dean's approval. It is the Head of Department/School's responsibility to ensure that reports are submitted in accord with 7(b) above.

- c) i. Should a candidate's progress be unsatisfactory, the Dean of Postgraduate Studies may require further explanation from the Head of Department/School, Senior Supervisor and 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 student and the Senior Supervisor at least every six months.
- ii. At the end of the probationary period, the Dean of Postgraduate Studies may terminate a candidate's registration on the recommendation of the Head of Department/School if satisfactory progress has not been made.
- d) In exceptional cases not covered by Regulation 7(c) the Dean of Postgraduate Studies may at any time, upon the recommendation of the Senior Supervisor and Head of Department/School, terminate the candidate's registration either unconditionally or upon such terms as the Dean may think fit.

The candidate has a right of appeal to the Academic Committee against a decision to terminate enrolment, whether under this clause or clause 7(c)(ii).

- e) 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 may report the matter to the Head of Department/School, or directly to the Dean of Postgraduate Studies.

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. Failing resolution in this way, the candidate should report directly to the Dean of Postgraduate Studies, or alternatively, the candidate may exercise his or her right of complaint to the Joint Academic Grievance Committee. The candidate may seek the advice of the Education Advocate at UCSA before reporting to the Dean or the Grievance Committee.

8. Submission of thesis

- a) Subject to fulfillment of the requirements of these regulations, a candidate may apply through the Postgraduate Office to be examined. Except with the approval of the Dean of Postgraduate Studies this must be done within four years from the date of enrolment in the case of a full-time candidate and within seven years in the case of a part-time candidate.
- b) The candidate shall then submit three copies of a thesis embodying the results of the research; this shall be accompanied by a certificate from the Senior Supervisor, stating that the work described in the thesis was carried out under his or her immediate supervision and, where appropriate, the conditions laid down in Regulation 4 have been satisfied.
- 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 statement signed by the candidate identifying the candidate's own contribution.
- d) A candidate must indicate in the thesis any part which he or she has previously used for another degree.
- e) The provisions of the General Course and Examination Regulation: L. Theses apply to theses submitted for the degree of Doctor of Philosophy.

At its initial submission for examination the thesis should normally be soft (not ring) bound and the candidate must pay the specified fee (\$25 per volume in 2007) to cover the cost of hardbinding. The thesis will not be examined until the fee is paid. The copy will be hardbound for deposition in the University Library together with a digital copy (student to supply) of the final approved version once the candidate has made any necessary revisions and the candidate has been approved for the award of the degree. The candidate should ensure that sufficient extra copies are prepared to provide for those that might be required by the Department/School, examiner, any sponsor of the work, and the candidate him or herself.

Candidates should make themselves familiar with the university's "Thesis Availability Policy" and the "Intellectual Property Guide" which cover such issues as the borrowing and consultation of theses, and the possibility of imposing an embargo on the use of a thesis.

9. Examination

- a) The thesis shall be submitted to three examiners, who shall be appointed by the Dean of Postgraduate Studies acting for Council. One examiner will be a continuing staff member of the university who may be a member of the candidate's supervisory team. The other two examiners must be external to the university and the supervisory team, and one of these shall normally be from overseas.

Examiners are usually recommended by the Senior Supervisor, considered by the Departmental/School postgraduate research committee or coordinator of postgraduate research, and nominated on the official form by the Head of Department/School for approval

by the Dean of Postgraduate Studies. The form is available from the Postgraduate Office and the Postgraduate Studies website. Normally one of the external examiners will be from New Zealand. In choosing the overseas examiner, familiarity with our system for PhD theses is taken into account.

If the Head of Department/School is a supervisor, he or she should appoint a deputy to act as Head for the purposes of administering the examination, including the nomination of examiners.

To shorten the examining process, it is desirable for the Department/School to approach proposed examiners informally before submission of the thesis to ascertain their willingness to examine. Potential examiners should be informed that it is expected that examiners' reports be returned within three months.

The official forms for the appointment of examiners require documentation on the suitability of the proposed examiners. It has to be declared that the external examiners are not close working colleagues of any member of the supervisory team.

Upon submission of the thesis, the candidate should be informed by the Registry who the proposed examiners are. The candidate has the right to make a case to the Dean of Postgraduate Studies that a particular person, including a supervisor, not be an examiner.

- b) The three examiners shall each submit an independent written report on the thesis to the Postgraduate Office who shall forward the reports to the Oral Chair.

Each report will be accompanied by a standard form (available from the Postgraduate Studies website), which is to be completed by the examiner. This provides clear alternatives for the examiner's recommendations, together with a space for general comments. Examiners are told that their reports will normally be released to the candidate unless an examiner forbids this. The person who presides over and organises the oral examination (see regulation 9 (c)(iii)) will consult with the examiners in determining whether or not the examiners' reports (or parts thereof) will be made available to the candidate before the oral examination.

Each member of the supervisory team who is not an examiner shall provide a contextual report on the student's thesis. Each contextual report must be submitted to the Postgraduate Office, who shall forward the reports to the Oral Chair.

The contextual report should provide a commentary on the working relationship between the supervisor and the candidate, an opinion on the extent to which the thesis work is the candidate's own (especially in cases where the thesis work was done in close collaboration with others), and opinions on where the candidate's work stands in the context of the university and in the context of the discipline, both nationally and internationally.

- c) i. Except where the Vice-Chancellor acting on the advice of the examiners otherwise authorises, the candidate shall be examined orally on the subject of the thesis and on the general field to which the subject belongs.

An oral examination is held both on the first submission of the thesis and on any re-submission. The oral examination should normally be held within a month of the receipt of the reports from all examiners. Any revision of the thesis should take place after, not before, the oral examination.

If the candidate is required by the Department/School to make a public presentation, this should normally be done sufficiently in advance of the oral examination, or after the oral, so that there is no confusion posed by the two exercises.

- ii. The oral examination shall be conducted by two of the examiners, the internal examiner

and one of the external examiners.

Normally the overseas external examiner will not be required to travel to New Zealand for the oral, but may provide advice on questions to be asked at the oral. It is common practice in the oral examination for the external examiner to lead the discussions.

- iii. The Dean of Postgraduate Studies, after consultation with the Head of Department/School, shall appoint a senior member of the University staff who is not an examiner to organise and preside at this examination. The organiser of the oral examination shall act as a neutral chair, does not have voting rights, but may ask questions of the candidate. He or she shall ensure that questions posed by the third examiner are put to the candidate.
 - iv. The candidate shall have the right to have up to two persons present at the oral examination as observers. Other persons may also be present as observers with the agreement of the candidate and the examiners. The observers must remain silent unless the person presiding allows otherwise, and the observers must not disrupt the examination in any way, whether audibly or otherwise.
 - v. At the request of the examiners the candidate may be required to sit a written examination.
- d) After the oral examination, the examiners shall, after consultation, make a report to the Postgraduate Office on the whole examination. They may recommend that the thesis:
- i. be accepted and the degree awarded;
 - ii. be accepted and the degree awarded after minor amendments have been made by a specified date to the satisfaction of one of the examiners nominated by the person presiding at the oral examination;
 - iii. be rejected in its present form, but be revised and re-submitted by a specified date;
 - iv. be accepted for another degree, with or without amendments;
 - v. be rejected with no right of resubmission.

The person presiding at the oral examination is responsible for organising the examination, and ensuring that a joint report is forwarded to the Postgraduate Office. A form for this purpose is available from the Postgraduate Office and from the Postgraduate Studies website. The form should be signed by the examiners present at the oral examination. When the form is returned to Registry, it should be accompanied by the reports of all the examiners and the contextual reports of all non-examining members of the supervisory team.

- e) In exceptional circumstances which in the opinion of the Dean of Postgraduate Studies render it necessary, one or more examiners may be replaced with the approval of Council.

In the case of dissatisfaction with the examining process or the outcome of the examination, the candidate may appeal in the first instance to the Academic Committee by writing to the Manager, Academic Administration, Registry.

10. Deposit of thesis

After a candidate has been approved for the award of the degree of Doctor of Philosophy the internal examiner shall deliver two final copies of the thesis to the University Library, one in softbound or unbound form for hard binding, and the other in digital form as an electronic file. The candidate should make separate arrangements for the hard binding of any extra copies required, either with the University Library, or elsewhere.

11. Variation

The Dean of Postgraduate Studies shall have power to prescribe conditions not in accordance with these regulations in respect of a particular candidate where special or unusual circumstances warrant it.

Related Policies, Procedures and Forms:

- [Thesis Availability Policy](#)
- [PhD Website](#)
- [General Course and Examination Regulation: Theses](#)
- [Intellectual Property, Copyright, Embargoes, Joint Publications, Sponsorship Contracts and Agreements – a Guide for Research Students and their Supervisors](#)
- [Notes for PhD Examiners](#)
- [Research Work for a Master’s or PhD Thesis: Code of Practice for Heads of Department/ School, Supervisors and Students](#)

Forms

- [PhD Application Form](#)
- [PhD Registration Form \(Research Proposal\)](#)
- [PhD Progress Report Form](#)
- [Change of Supervisor Form](#)

Notes:

1. These regulations should be read in conjunction with General Course and Examination Regulations, especially Part L, Theses.
2. Under these regulations the Dean of Postgraduate Studies is acting on behalf of the “Academic Board”, unless stated otherwise.
3. Other information and forms pertaining to doctoral students and their supervisors may be found at the Postgraduate Studies website: <http://www.canterbury.ac.nz/postgrad/>

Version Control Table		
Action	Approval Body	Date Amended
Modification <i>Under Section 3, Page 3, item d) text modified</i>	Chair, Academic Board	09 October 2008 (Previous last modified date December 2007)

© This policy is the property of the University of Canterbury.