**Doctoral Supervisory Agreement**

Doctoral students should use this form to establish an agreed understanding of the way in which the student and their supervisors will work together across the duration of the degree. Doctoral students should meet and discuss this milestone with their supervisory team prior to completion.

A PhD student must submit a Supervisory Agreement for the approval of the Amo Rangahau | Dean of Postgraduate Research within six months of enrolment in the PhD. Students enrolled in other doctoral programmes may have a different timeframe for completion of the Supervisory Agreement; please refer to the [qualification regulations](https://www.canterbury.ac.nz/about-uc/corporate-information/regulations/qualification-regulations?s=%21PadreNull&num_ranks=20&profile=qualification-regulations-result-page&sort=title&collection=university-of-canterbury%7Esp-aem-qualification-regulations&f.Qualification+Type%7CucQualificationType=PhD+or+Doctoral+degree) for your specific degree.

Students and their supervisors should review the [Research Student Supervision Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-student-supervision-policy) when completing this form. Please note:

* This form is to specify arrangements for different aspects of supervision. To appoint or change the roles of supervisors, an Appointment or Change of Supervisors form needs to be completed.
* Research students should familiarise themselves with relevant Regulations and Policies (e.g., [Research Course Regulations](https://www.canterbury.ac.nz/about-uc/corporate-information/regulations/general-regulations/research-course-regulations), relevant degree Regulations, [Research Conduct Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-conduct-policy), [Intellectual Property Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/intellectual-property-policy)) and specific Department/School obligations.
* If a research student intends to study off-campus at any stage during the thesis course, they must also request a Change of Study Location form, which will be considered by the Amo Rangahau | Dean of Postgraduate Research or their delegate.

**Section A: Research Student and Supervisory Team Details**

|  |  |
| --- | --- |
| Student name:  |   |
| Student ID number:  |   |
| Senior Supervisor:  |   |
| Department/School:   |   |
| Qualification (e.g., PhD in Biology):  |  |
| Course code (e.g., BIOL790):  |   |
| Programme start date:   |   |
| Name of any scholarships held:  |    |
| Mode of study:  | [ ]  Full-time [ ] ​ Part-time  |
| Thesis working title:  |    |
| Senior Supervisor:  |   |
| Co- or Associate Supervisor:  |   |
| Co- or Associate Supervisor:  |   |
| Co- or Associate Supervisor:  |   |

**Section B: Supervisory Arrangements**

*Please refer to the* [*Research Student Supervision Policy*](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-student-supervision-policy) *and other relevant University Policies when completing this section.*

|  |  |
| --- | --- |
| The Research Student and all members of the Supervisory team have reviewed the University’s Research Student Supervision Policy and understand and accept their roles and responsibilities as detailed in this Policy. |   [ ]  Yes [ ]  No |
| The Senior Supervisor has discussed with the Research Student the roles of Co- and/or Associate Supervisors, and a summary of their roles is as detailed: |   |
| Regular formal meetings between the research student and the supervisory team will be held:  |  [ ]  Once a week [ ]  Once every two weeks [ ]  Once every four weeks |
| The research student agrees to provide written work in line with agreed timelines: |   [ ]  Yes [ ]  No |
| The Senior Supervisor agrees to provide written feedback within \_\_\_\_\_ of receipt of written work, assuming the written work is received within the agreed timeframes. |  [ ]  One week [ ]  Two weeks [ ]  Three weeks [ ]  Four weeks |

**Section B agreements**

We have discussed our roles and responsibilities, and agree to the arrangements detailed in Section B. On signing, Co- and/or Associate Supervisors further agree that they accept that the Senior Supervisor may sign off subsequent paperwork on behalf of the supervisory team:

|  |  |  |  |
| --- | --- | --- | --- |
| Research student name/e-signature:  |   | Date:  |   |
| Senior Supervisor name/e-signature:  |   | Date:  |   |
| Co/Assoc. Supervisor name/e-signature:  |   | Date:  |   |
| Co/Assoc. Supervisor name/e-signature:  |   | Date:  |   |
| Co/Assoc. Supervisor name/e-signature:  |  | Date: |  |

**Section C: Agreement Regarding Research Consultation, Management, and Dissemination**

**C1. Research Consultation with Māori**

*Consultation with Māori is required when the proposed research involves any of the following impact areas: significant Māori content; access to Māori sites; sampling of native flora/fauna; culturally sensitive material/knowledge; Māori involvement as participants or subjects; research where Māori data is sought and analysed; and research that will impact on Māori.*

*To instigate the Māori consultation process please go the* [*‘Apply to the Human Research Ethics Committee’*](https://www.canterbury.ac.nz/study/study-support-info/study-topics/human-ethics/apply-to-the-human-research-ethics-committee) *webpage and scroll down to the Māori Consultation Form. Use the ‘Māori Consultation Form How-To Guide’ for advice on how to fill out the Māori Consultation Form and follow the process within to complete.*

|  |  |
| --- | --- |
| Is consultation with Māori required for this research?  |   [ ]  Yes [ ]  No |
| If “no”, please detail why: |  |

**C2. Research Ethics**

*Please review the University’s Human Ethics and/or Animal Ethics Policies when completing this section. Further information can also be found on the* [*Human Ethics*](https://www.canterbury.ac.nz/study/study-support-info/study-topics/human-ethics) *and/or* [*Animal Ethics*](https://www.canterbury.ac.nz/study/study-support-info/study-topics/animal-ethics) *webpages.*

|  |  |
| --- | --- |
| Is ethical approval required?  |   [ ]  Yes [ ]  No |
| If ‘Yes’, approval will be sought from the following ethics committee(s):  | [ ]  UC Human Ethics ​​ [ ]  UC Animal Ethics ​​ [ ]  Health and Disabilities Ethics Committee ​​ [ ]  Other (please specify):  |
| If “no”, please detail why: |  |

**C3. Research Data Management**

*Prior to research commencing, agreement must be reached between the research student and their supervisory team on the management of data generated during the research. Consideration should also be given to broader data sharing. Please refer to the* [*UC Library Research Data Management webpage*](https://canterbury.libguides.com/startingresearch/researchdatamanagement) *for more information.*

|  |  |
| --- | --- |
| Will data - including notes, transcripts, samples, photographs or other material - be collected during this research? **(If ‘No’, proceed to Section C4)**  |     [ ]  Yes [ ]  No |
| A data management plan has been agreed, including issues of data access and storage, both during and subsequent to the research completion: |     [ ]  Yes [ ]  No |
| Storage of all data, both raw data and any processed data, will be overseen by:  |  |
| The student will have full access to the data generated by their work.  |     [ ]  Yes [ ]  No |
| The student will ensure that all data are stored appropriately and in accord with any specifications from relevant ethics committees.   |     [ ]  Yes [ ]  No |
| The student agrees to comply with any agreements regarding provision of data or reports for external bodies (e.g., research sponsor, participants, Iwi, funders).   |     [ ]  Yes [ ]  No |
| Data generated will be shared with the following individuals (e.g., supervisors) during and/or after the research has concluded, subject to ethics and confidentiality requirements. Please specify: (a) the type of data to which specific people will have access, and (b) the time period in which access will be maintained. |  |

**C4. Intellectual Property, Externally Funded Research, and Copyright**

*Intellectual Property (IP) is defined as any discovery, innovation, invention, form, shape, sound, image, expression, technique or process which is the product of skill, effort or intellect. Please read* [*UC’s Intellectual Property Policy*](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/intellectual-property-policy)*, for more information.*

*Copyright is a form of IP. Copyright exists only once a work is recorded (in writing or otherwise) and protects the recorded expression of that work. Students, as authors, own the copyright to their theses once written. In writing a thesis it is essential that a student adheres to copyright laws. Please refer to the* [*Copyright Policy*](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/copyright-policy)*, for more information. If you have any queries, please contact the UC Library Subject Librarian team.*

|  |  |  |
| --- | --- | --- |
| **Intellectual Property**  | Is an IP agreement with the University and/or third parties required? *If no, please proceed to Externally Funded Projects below.* | [ ]  Yes [ ]  No​​[ ]  To be determined  |
|  | Has an IP agreement been signed? *If yes, please attach a copy of the agreement to this form.* | [ ]  Yes [ ]  No |
|  | Prior to signing the IP Agreement, the reasons for the agreement and its implications were clearly articulated to the student, and they were given an opportunity to seek legal advice. | [ ]  Yes [ ]  No |
|  | Any IP, idea, or specific know-how with potential commercial applicability already in existence at the commencement of the student’s studies has been identified and documented in a Statement of Intellectual Property through Research & Innovation. | [ ]  Yes [ ]  No |
| **Externally Funded Projects** | Is this research project part of a wider research programme involving external organisations?If “yes’, please elaborate on the research programme: | [ ]  Yes [ ]  No |
|  | Has a contract been signed, or are there contractual agreements to be negotiated? | [ ]  Yes [ ]  No |
| **Copyright** | Student and supervisors have discussed issues regarding copyright | [ ]  Yes [ ]  No |
|  | The student agrees to ensure that any necessary copyright approvals are sought prior to submission of the thesis for examination: | [ ]  Yes [ ]  No |

**C5. Embargoes and Sensitive Theses**

*Please review UC’s* [*Thesis Availability Policy*](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/thesis-availability-policy) *in completing this section and consider whether your research could have a ‘sensitivity’ which will place constraints on export / dissemination of research outcomes. On occasion there may be contractual or Protective Security Requirements to protect research outcomes.*

*Note that internally or externally funded research could have limitations placed on the sharing of research outcomes (goods/software/technology) if there are aspects that fall under the Sensitive Technology / Dual Use or Catch-all provisions of the* [*Export Controls regime*](https://www.mfat.govt.nz/en/trade/export-controls/#:~:text=MFAT%20Alerts&text=Exports%20of%20military%2C%20dual%20use,the%20trade%20of%20certain%20chemicals.) *which controls the export of aspects named on the* [*New Zealand Strategic Goods List.*](https://www.mfat.govt.nz/assets/Trade-General/Brokering-weapons-AND-Trading-weapons-and-controlled-chemicals/NZ-Strategic-Goods-List-November-2021.pdf)

*Be aware that* ***Dual Use Technology*** *can comprise of equipment, software and technologies developed to meet research or commercial needs but which may be used either as military components or for the development or production of military systems or weapons of mass destruction.*

*Catch-all controls also apply to goods and technologies which are not regulated items under New Zealand’s export controls regime for military and dual-use goods (those with civil and military uses), but which could be put to military or police uses or used to support military or police operations.*

|  |  |
| --- | --- |
| At this stage, do you expect an embargo will be necessary after thesis completion?   | [ ]  Yes [ ]  No |
| If yes - is this due to Sensitive Technology / Dual Use outcomes? | [ ]  Yes [ ]  No |
| Any additional comments:   |  |

**The Risk & Assurance Team are able to support with the appropriate protection of Sensitive Thesis alongside Te Kura Tāura | UC Graduate School.** If you have any questions or concerns throughout the life cycle of the research please contact the Risk and Assurance Team, insurance@canterbury.ac.nz as early as possible.

For further information please see [Trusted Research Guidance for Institutions and Researchers](https://protectivesecurity.govt.nz/assets/Campaigns/PSR-ResearchGuidance-17Mar21.pdf) and further information through the [Ministry of Foreign Affairs and Trade](https://www.mfat.govt.nz/en/trade/export-controls/which-exports-are-controlled/research/).

**C6. Authorship**

*The inclusion of published work within a thesis is encouraged at UC. Please see the* [*Guideline to Including Publications within a Doctoral or Research Master’s Thesis*](https://www.canterbury.ac.nz/content/dam/uoc-main-site/documents/pdfs/d-other/te-kura-t%C4%81ura---uc-graduate-school/A-Guideline-to-Including-Publications-within-a-Doctoral-or-Research-Master%E2%80%99s-Thesis-uc.pdf) *for further details. The research student (i.e., thesis author) and their supervisors should reach agreement about authorship of any published results of the research. All contributors should be consulted about any planned dissemination in advance, and authorship should adhere to the University’s* [*Authorship Policy and Guidelines*](https://www.canterbury.ac.nz/about/governance/ucpolicy/staff/authorship-policy-and-guidelines/)*.*

|  |  |
| --- | --- |
| Do you intend to include publications within your thesis or to publish following completion of the thesis?  | [ ]  Yes [ ]  No |
| If ‘Yes’, the research student and supervisory team have reviewed and will follow the Guidelines to Including Publications within a Doctoral or Research Master’s Thesis and UC’s Authorship Policy.  | [ ]  Yes [ ]  No |

**C7. Equipment and Logistics**

|  |  |
| --- | --- |
| My research requires special equipment or logistical requirements: | [ ]  Yes [ ]  No |
| List any major equipment requirements (if applicable): |   |
| Have you completed a Health and Safety Checklist? *Please consult your faculty if you are unsure of the requirements for this.*  | [ ]  Yes [ ]  No ​ [ ]  Not applicable  |
| Have you completed a Field Activity Plan? *Please consult your faculty if you are unsure of the requirements for this.*  | [ ]  Yes [ ]  No ​ [ ]  Not applicable  |
| I intend to be located off-campus for data collection *If ‘Yes’, you will need to complete a Change of Study Location application* | [ ]  Yes [ ]  No |

**Section E: Signatures**

**Student**

|  |  |
| --- | --- |
| I understand and accept the details of this Supervisory Agreement: | [ ]  Yes [ ]  No |

|  |  |
| --- | --- |
| Name/e-signature:  |   |
| Date:  |   |

**Senior Supervisor**

*On behalf of the supervisory team:*

|  |  |
| --- | --- |
| I confirm the details of the Supervisory Agreement: | [ ]  Yes [ ]  No |
| I would like to bring the following issue(s) to the attention of the HoD/S or their delegate and/or the relevant Dean or their delegate:Please comment on any areas of concern, e.g., effects of this change on the timeline for degree completion, availability of resourcing and supervision. |  |

|  |  |
| --- | --- |
| Name/e-signature:  |   |
| Date:  |   |

**PLEASE FORWARD THE FORM TO YOUR HEAD OF DEPARTMENT/SCHOOL OR THEIR DELEGATE**

***You must ensure that any supporting documents are submitted along with the application.***

**Department/School**

*This section should be completed by the Head of Department/School (or the person/s with appropriate delegated authority under UC’s Academic and Research Delegations).*

|  |  |
| --- | --- |
| I confirm that the supervisors listed meet the requirements outlined in the [Research Student Supervision Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-student-supervision-policy): | [ ]  Yes [ ]  No |
| I confirm that the arrangements detailed in the Supervisory Agreement are satisfactory: | [ ]  Yes [ ]  No |

|  |  |
| --- | --- |
| Please add any further comments here: *Please comment on any areas of concern, e.g., effects of this change on the timeline for degree completion, availability of resourcing and supervision. Include any suggested conditions for approving the supervisory arrangements or any reasons for declining.* |   |
| Name/e-signature:  |  |
| Date:  |   |

**PLEASE FORWARD TO** **GRADUATESCHOOL@CANTERBURY.AC.NZ**

***You must ensure that any supporting documents are submitted along with the agreement.***

**Section E: Outcome**

*This section should be completed by the Amo Rangahau | Dean of Postgraduate Research (or the person/s with appropriate delegated authority under UC’s Academic and Research Delegations).*

The Supervisory Agreement is:

[ ]  Approved

[ ]  Approved with conditions (specify below)

[ ]  Declined

|  |  |
| --- | --- |
| Please add any further comments here: *Include any required conditions for approving the supervisory arrangements or any reasons for declining.* |  |
| Name/e-signature:  |   |
| Date:  |   |