

# Doctorates

## The Degree of Doctor of Philosophy (PhD)

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 (but see Clause 13 for transition provisions).

For guidelines to these Regulations and further information, consult the Postgraduate Office or the Policy Library.

### 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, without the permission of the Dean of Postgraduate Research. Candidates wishing to submit and defend a thesis in 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); Bioen-

gineering (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 (GEO); German (GRMN); Hazard and Disaster Management (HAZM); Health Sciences (HLTH); Higher Education (HEDN); History (HIST); History and Philosophy of Science (HAPS); Human Interface Technology (HITD); Human Services (HSRV); Information Systems (INFO); Japanese (JAPA); Journalism (JOUR); Law (LAWS); Linguistics (LING); Management (MGMT); Management Science (MSCI)\*; Māori (MAOR); Marketing (MKTG); Media and Communication (COMS); Mathematical Physics (MAPH); Mathematics (MATH); Mathematics and Philosophy (MPHI); Mechanical Engineering (ENME); 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. Students enrolled in the PhD may complete their qualification provided that they do so by 31 December 2015.

\*\* (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 Office or on 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 a potential 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 a provided 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 (ie, co- or 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 Office or 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 and 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 rch10(ost(erminat)12(ed at)15(ent)uf)Jalen

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 and, where possible, 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 submit them as soon as they are obtained prior to the full documentation of the proposal.





more than one author, it shall be accompanied by a completed "Co-Authorship" Form (available from the Postgraduate Studies website). 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 or Head

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 organiser will be informed









committee or organisation of the University or externally, approval must have been obtained prior to registration of the proposal. Full documentation of the approval(s) received must be submitted with the proposal. Where it is not possible to provide these approvals at the time of submitting the proposal and 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 recommendation of the Head of School and the Faculty Dean, a candidate for a Master of Music (MMus) degree, a Master of Arts (MA) degree or a Doctor of Philosophy (PhD) degree may transfer to the degree of Doctor of Musical Arts, provided:
- i. the candidate has satisfactorily completed all course work normally required by a candidate enrolling for a DMA. This requirement will be determined in each case by the Faculty Dean.
  - ii. the candidate has undertaken research towards a Masters thesis or project for a period not normally less than the equivalent of six months full-time enrolment.
  - 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 DMA research proposal, as otherwise required under Regulation 4(b). Transfer will not be approved unless the DMA research proposal is approved. If the candidate is enrolled for a DMA 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.

### 5. Full-time and Part-time Study

- (a) Full-time study:
- i. A candidate shall normally be enrolled as a full time candidate.
  - ii. The minimum period of enrolment for a full time candidate is 36 months.
  - iii. The maximum period of enrolment for a full time candidate is normally 48 months, although if extenuating circumstances related to the student's research can be demonstrated, the Dean of Postgraduate Research may extend this period by a further 12 months.
- (b) Part-time study:
- i. With the approval of the Dean of Postgraduate Research, a candidate may be enrolled as a part-time candidate.

- ii. 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.
- iii. The maximum period of enrolment for a part-time candidate is normally 84 months, 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 complete the degree 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 12 months.
- iv. For a part-time candidate the minimum period of enrolment shall be not less than 48 months.

Students who require a Student Visa to reside and study in New Zealand are expected to be enrolled on a full-time basis to satisfy the requirements of the Student Visa and to be eligible for domestic tuition fees. If you reside outside New Zealand while studying and you are not a New Zealand citizen you have the option of either enrolling on a full-time or part-time basis. While resident overseas you will be liable for international rate tuition fees. A period of overseas study (eg, fieldwork) is permissible for students, up to a cumulative total of 12 months, who are not NZ citizens during their 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.

- (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.

### 6. 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 continuing academic staff of the University, 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 DMA. The Senior Supervisor will have expertise in the candidate's principal field of study (Composition or Performance). In addition to the Senior Supervisor, there shall be a Co-Supervisor with primary responsibility for the thesis component of the student's research. One or more Associate Supervisors and/or advisors may also be appointed who, together with the Senior- and Co-Supervisor, will form a supervisory team led by the Senior Supervisor. Members of the supervisory team, other than the Senior- and Co-Supervisor, may be from outside the School of Music, and may be from another university or from outside the university system. Members of the supervisory team will be appointed by the Head of the School of Music in consultation with the candidate and Senior Supervisor, and their names recorded in the Postgraduate Office.

- (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 or Co-supervisor, and the Head of School may replace any other member of the supervisory team.

### 7. Place of research and study

The Place of Research and Study shall be in accordance with Regulation 6 of the regulations for the Degree of Doctor of Philosophy (PhD).

### 8. Reports and Progress

Reviews of progress and continuation of registration will be made according to Regulation 7 of the regulations for the Degree of Doctor of Philosophy (PhD).

### 9. Submission of Work for Examination

- (a) Subject to fulfilment of the requirements of these regulations, including completion of Part Two of the degree, a candidate may apply through the Postgraduate Office to be examined. Except with the approval of the Dean of Postgraduate Research this must be done after the minimum enrolment period and within the maximum enrolment period.
- (b) Candidates for the degree of DMA in Performance shall then submit two copies of their written thesis and two copies of a CD embodying the results of their research. They shall also confirm that they are prepared to present a public performance related to their work during the examination period (usually within two months

of submission). Candidates for the degree of DMA in Composition shall submit two copies of their written thesis and two copies of their portfolio of compositions, together with recordings, embodying the results of their research. They shall also confirm that they are prepared to present a public lecture-seminar on their compositional research during the examination period (usually within two months of submission). In all cases the submissions shall be accompanied by a certificate from the Senior Supervisor stating that the work submitted was carried out under their immediate supervision, that the requirements of Part One and Part Two of the degree have been fulfilled and, where appropriate, that any conditions laid down in other regulations have been satisfied.

- (c) A candidate may include in the written thesis and/or portfolio of compositions, 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 and co-authors identifying the candidate's own contribution.
- (d) A candidate must indicate in the written thesis any part, which he or she has previously used for another degree (see requirement in Regulation 1 regarding original work).
- (e) Once examiners have been appointed, as below, the thesis shall normally be sent to the examiners within 10 working days.
- (f) The provisions of the General Course and Examination Regulation: L. Theses apply to written theses submitted for the degree of Doctor of Musical Arts.

### 10. Examination

- (a) Two examiners shall be recommended by the Senior Supervisor, in consultation with the Head of the School of Music or person(s) designated by the Head as responsible for postgraduate research within the School, and nominated on the "DMA Examiner Request" form by the Head of School for approval by the Dean of Postgraduate Research. Nominations must be received no later than two weeks after submission of the written thesis/recording(s)/portfolio. The form

candidate shall be informed by the Senior Supervisor who the proposed examiners are. The candidate has the right to make a case to the Dean of Postgraduate Research that a particular person not be an examiner.

- (c) The Senior Supervisor may not be an examiner, but may be involved in the examination process, including viewing and commenting on the examiners' reports and attending the public recital/lecture presentation and oral examination, as below.
- (d) Once examiners have been nominated, all communication between the University and the examiners that relates to the examination must be through the Postgraduate Office.
- (e) Supervisors of the candidate must not contact examiners about matters relating to the degree prior to the public recital/lecture and oral components of the assessment once they have been appointed.
- (f) 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.
- (g) The two examiners shall each submit an independent written report on the thesis and composition portfolio (DMA in Composition), or thesis and CD recording (DMA in Performance) to the Postgraduate Office, which shall forward the reports to the Head of Department/School or appointed deputy. Each report must be accompanied by a "DMA Examiner's Report" form (available from the Postgraduate Studies website), which is to be completed by the examiner.
- (h) The student to the procedure by the University shall be notified in writing of the proposed examiners and the student must be given the opportunity to make a case to the Dean of Postgraduate Research that a particular person not be an examiner.



- v. no degree be awarded to the candidate.
- (n) At the conclusion of the oral, the organiser may, with the agreement of all the examiners, inform the candidate of the intended recommendation.
- (o) 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.
- (p) 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.

### 11. Resubmission

Where revision and resubmission (including re-presentation of lecture-seminar or recital) are recommended and approved by the Dean of Postgraduate Research, the process for the submission of work and examination shall be as in regulations 9 and 10 above. Normally, the original examiners will undertake re-examination. The revision and resubmission option may be exercised once only.

### 12. Deposit of Thesis

After a candidate has been approved for the award of the degree of Doctor of Musical Arts, the Senior Supervisor shall deliver final copies of the following to the University Library:

DMA in Performance: the thesis (two copies), CD recording (one copy), and recording of the recital (one copy)

DMA in Composition: the thesis (two copies), composition portfolio (two copies), and recording of the lecture-seminar (one copy).

In the case of the thesis and notated components of the composition portfolio one copy will be in soft bound or unbound form for hard binding, and the other in electronic form as a pdf file. The Senior Supervisor will also supply one copy of the CD recording and one copy of the composition portfolio (in soft-bound form) to the School of Music Resource Library. The candidate should make separate arrangements for the hard binding of any extra copies required, either with the University Library, or elsewhere.

### 13. Variation

The Dean of Postgraduate Research 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.

### 14. Appeals

A candidate may appeal against the decisions of the Dean of Postgraduate Research in regulations 4-10 above. Appeals must be made according to regulation 14 of the regulations for the Degree of Doctor of Philosophy (PhD).

## The Degree of Doctor of Commerce (DCom)

1. The Degree of Doctor of Commerce shall be awarded for significant original contributions to Commerce.
2. A candidate for the Degree of Doctor of Commerce shall hold a degree of the University of New Zealand or of the University of Canterbury or shall have been admitted under the admission ad eundem statum regulations to the status of such a degree. No candidate shall be examined for the degree of Doctor of Commerce until five years have elapsed from having been admitted to the qualifying degree. Except in special circumstances approved by the admitted Doctor of Commerce (DCom) 2013 Doc

Doctorates) the Dean of Postgraduate Research shall decide whether to proceed with the examination. The work may then be submitted to three examiners, of whom at least one shall be resident outside New Zealand. The candidate may be required by the examiners to sit a written or oral examination. The examiners shall report to the Dean of Postgraduate Research through

the relevant Faculty Dean.

Notes:

1. The entry fee of \$2,000 shall be submitted with the application.
2. See Regulation L12 of the General Course and Examination Regulations for the resolution of disagreements between examiners.

## The Degree of Doctor of Engineering (DEng)

1. The Degree of Doctor of Engineering shall be awarded for significant original contributions to Engineering.
2. A candidate for the Degree of Doctor of Engineering shall hold a degree of the University of New Zealand or of the University of Canterbury or shall have been admitted under the admission ad eundem statum regulations to the status of such degree. No candidate shall be examined for the Degree of Doctor of Engineering until five years have elapsed from having been admitted to the qualifying degree.
3. Except in special circumstances approved by the Academic Board no member of the academic staff who is not a graduate of the University shall be examined for the Degree of Doctor of Engineering until he or she has served a period of five years on the permanent full-time staff of the University.
4. The Degree of Doctor of Engineering shall be awarded for published papers, books, designs and inventions by the candidate or in special circumstances for unpublished work, provided that these special circumstances are recognised as sufficient by the Academic Board.
5. With the application, a candidate shall forward:
  - (a) Three copies of the work referred to in Regulation 4 upon which the application is based.
  - (b) Three copies of any additional work, published or unpublished, which he or she desires to submit in support of the application.
  - (c) A statement signed by the candidate identifying the work which is the candidate's own, and stating that the principal work has not been previously accepted and is not being currently presented for a degree or diploma in any other University.
6. Upon receipt of a report from the Faculty ad hoc committee (as appointed under General Course and Examination Regulations: M. Higher Doctorates) the Dean of Postgraduate Research shall decide whether to proceed with the examination. The work may then be submitted to three examiners, of whom one at least shall be resident outside New Zealand. The candidate may be required by the examiners to sit a written or oral examination. The examiners shall report to the Dean of Postgraduate Research through the relevant Faculty Dean.

Notes:

1. The entry fee of \$2,000 shall be submitted with the application.
2. See Regulation L12 of the General Course and Examination Regulations for the resolution of disagreements between examiners.

## The Degree of Doctor of Laws (LLD)

1. The Degree of Doctor of Laws shall be given for an original contribution or contributions of special excellence to the history, philosophy, exposition or criticism of Law.
  - (a) A candidate shall either:
    - i. hold the Degree of Master of Laws of a university in New Zealand; or
    - ii. hold the Degree of Doctor of Philosophy in the Faculty of Law of a university in New Zealand; or
    - iii. have been admitted ad eundem statum to the status of Master of Laws in the University of Canterbury.
  - (b) No candidate shall be examined for the Degree of Doctor of Laws until five years have elapsed from having been admitted to the qualifying degree. Except in special circumstances approved by the Academic Board no member of the academic staff who is not a graduate of the University of Canterbury shall be examined for the Degree of Doctor of Laws.

university.

2. The Degree shall be awarded on the basis of published work of the candidate or, in special circumstances approved by the Academic Board



- that these special circumstances shall be recognised as sufficient by the Academic Board.
4. With the application, a candidate shall forward:
    - (a) Three copies of the work referred to in Regulation 3 upon which the application is based.
    - (b) Three copies of any additional material, published or unpublished, including conjoint work or relevant material from other sources, which the candidate desires to submit in support of his or her application.
    - (c) A statement signed by the candidate identifying the work which is the candidate's own, and stating that the work referred to in Regulation 3 above has not been previously accepted and is not being currently presented for a degree or diploma in any other University.
  5. Upon receipt of a report from the Faculty ad hoc committee (as appointed under General Course and Examination Regulations: M. Higher Doctorates) the Dean of Postgraduate Research shall decide whether to proceed with the examination. The work may be then submitted to three examiners, of whom at least one shall be

