**Embargo and Secure Thesis Examination Request**

Before applying for an embargo or secure thesis examination please review the [Thesis Availability Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/thesis-availability-policy).

**Embargo Requests**

In keeping with international practice, the University endorses the principle that research theses are, by their very nature, available for public inspection. However, the University also recognises that in some situations, theses may contain material that, for commercial or security reasons, should be withheld from the public for a period after the thesis has been completed, and/or may require stricter security measures during the examination process. A standard thesis embargo can be put in place for up to two years.

**Please note:** An embargo would not normally be required on the grounds of ‘publication purposes’, except for theses including creative writing. Journals usually accept the release of a thesis through a university repository as acceptable.

The University may approve embargo requests under the following categories:

* it contains commercially sensitive material which will breach prior contractual arrangements with an external organisation;
* access to the thesis will endanger protection of future intellectual property rights (e.g., making an application for a patent);
* the research uses personal sources and/or contains sensitive cultural information which has been obtained on the condition that access to the information be restricted.

**Secure Thesis Examination Requests**

In exceptional cases, an examination process with a higher level of security can be requested. In such cases, Non-Disclosure Agreements (NDAs) must be co-signed by an authorised University representative and each examiner prior to sending a thesis for examination, and additional restrictions may apply depending on the category. If an external (i.e., non-UC) NDA is requested, for example by a commercial research partner, the Senior Supervisor should contact UC Legal Services for advice using [this SharePoint request form](https://ucsharei16.canterbury.ac.nz/LEG/LCM/lcm001/Pages/Legal%20Advice.aspx).

These exceptional cases can be considered under the following categories:

* **Confidential:**this category covers theses where NDAs are required for examiners, for example due to contractual arrangements with an industry partner, but additional security requirements beyond NDAs are not needed.

If an embargo is required you will need to complete that section of this form, as an embargo will not automatically be applied for confidential theses.

* **Sensitive:**as per the Thesis Availability Policy,a sensitive thesis is: “a thesis that contains material that is objectionable, offensive, contrary to public safety or national security.” This category may also apply when the student’s safety could be compromised.

Sensitive theses will be deposited to the Sensitive Thesis Archive – no embargo request will be required as this is a long-term restriction on access. Encryption/password protection would not usually be required when sending a thesis to examiners but could be arranged on request. Examiners are requested to destroy any saved/printed copies of the thesis upon completion of the examination.

* **Protected:**includes any thesis which may contain technology/goods restricted under MBIE’s [Trusted Research Guidance](https://www.protectivesecurity.govt.nz/assets/protective-security-requirements/resources/psr-trusted-research-guidance-spreads.pdf) that must adhere to [Protective Security Requirements](https://protectivesecurity.govt.nz/).

Protected theses will be deposited to the Sensitive Thesis Archive – no embargo request will be required as this is a long-term restriction on access. An Export of Strategic Goods application will be required for overseas examiners, which Te Kura Tāura will arrange. Email encryption and password-protection is required, and examiners are advised that they must destroy any saved/printed copies of the thesis upon completion of the examination. You can find out more about how export controls apply to research on MFAT’s website [here](https://www.mfat.govt.nz/en/trade/export-controls/which-exports-are-controlled/research/).

If your thesis will be deposited to the Sensitive Thesis Archive, a member of the UC Library team will contact you to discuss archival notes and review dates.

**Section A: Thesis Details**

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| --- | --- |
| Student Name: |  |
| Student ID: |  |
| Permanent email address (not pg/uclive email): |  |
| Senior supervisor: |  |
| Thesis title: |  |
| Department/School (not faculty): |  |
| Qualification (e.g., PhD in Biology): |  |
| Course code (i.e., XXXX790): |  |

|  |
| --- |
| **Standard Embargo**[ ]  I wish to request an embargo be placed on my thesis for Choose an item. months from the date of receipt of the thesis by the Library on the basis that (*select all that apply*):[ ]  it contains commercially sensitive material which will breach prior contractual arrangements with an outside organization.[ ]  access will endanger protection of future intellectual property rights (e.g., making an application for a patent).[ ]  the research uses personal sources and/or contains sensitive cultural information which has been obtained on condition that access to the information be restricted.[ ]  other (*please provide details*):  |

|  |
| --- |
| **Secure Thesis Examination Request**[ ]  My thesis is confidential and/or an existing contractual arrangement requires NDAs to be completed by each examiner prior to examination. *(****Note****: selecting this option does not result in an automatic embargo – you will need to complete the above section of this form if an embargo is required following examination).* [ ]  My thesis is to be treated as sensitive (*as per the definition in the Thesis Availability Policy*) and held in the Sensitive Thesis Archive. NDAs must be completed by each examiner prior to examination. No embargo request is required for this option.[ ]  My thesis contains information protected under MBIE’s [PSR Trusted Research Guidelines](https://www.protectivesecurity.govt.nz/assets/protective-security-requirements/resources/psr-trusted-research-guidance-spreads.pdf) and requires an Export of Strategic Goods application (this will be coordinated by Te Kura Tāura). NDAs will need to be completed by each examiner prior to examination, and additional digital protections will be applied when sending the thesis. The thesis will be held in the Sensitive Thesis Archive. No embargo request is required for this option.[ ]  My thesis title is also restricted or sensitive and should not be entered on my student record. |

**Section B: Signatures**

**Student**

|  |  |
| --- | --- |
| Please make any additional comments in support of this request here (optional): |  |
| Name/e-signature: |  |
| Date: |  |

**Senior Supervisor**

|  |  |
| --- | --- |
| Please make any additional comments in support of this request here (optional): |  |
| Name/e-signature: |  |
| Date: |  |

**Head of Department/School (or the person/s with appropriate delegated authority under UC’s Academic and Research Delegations)**

|  |  |
| --- | --- |
| Please make any additional comments in support of this request here (optional): |  |
| Name/e-signature: |  |
| Date: |  |

**PLEASE FORWARD THE FORM TO TE KURA TĀURA | UC GRADUATE SCHOOL (****GRADUATESCHOOL@CANTERBURY.AC.NZ****)**

**If there are existing or custom NDAs already completed, please provide these to Te Kura Tāura along with this form. If NDAs are required but not yet arranged, then a standard UC NDA will be arranged by Te Kura Tāura.**

**Section C: Approval**

*This section should be completed by the* *Tumu Tuarua Rangahau | Deputy Vice-Chancellor - Research (or the person/s with appropriate delegated authority under UC’s Academic and Research Delegations).*

# The above embargo period and/or exceptional restriction request has been approved:

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