**Appointment of Supervisors, Supervisory Agreement, and Approval of Research Proposal**

Research students should use this form to meet the requirements for their first milestone:

1. Appoint their full supervisory team; and
2. Establish an agreed understanding of the way in which research students and their supervisors will work together, across the duration of the thesis course; and
3. Submit their Research Proposal for review by the Head of Department/School.

This milestone is due at 6 months from the beginning of the thesis paper for PhD students and at 2 months for most master’s students. A student should check the regulations for their specific degree or consult their school/department Graduate Research Coordinator to confirm their due date for this milestone, as this may vary for professional doctorates and some master’s programmes.

Students should meet and discuss this milestone with their supervisory team and review the [Research Students Supervision Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-student-supervision-policy) prior to completing this form. Research students should also 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 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=Master%27s+degree), [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 related to their course of study.

**Appointment of Supervisors**

This section establishes the roles of the supervisors and includes approval of their workload from their Head of School/Department. This may include completing the External Supervisor Agreement section in Appendix A if a supervisor is not a UC staff member.

**If you need to make a subsequent change to supervisory arrangements following the initial appointment, you should complete a Change of Supervisors form instead.**

Please note:

* The Senior Supervisor must be a continuing member of staff at the University of Canterbury. If you are appointing an External Supervisor, they may only be appointed as Co- or Associate Supervisors.
* If the proposed Senior Supervisor has not previously supervised a research student to completion at the same level of study, an experienced Co-Supervisor must be appointed as part of the supervisory team to provide appropriate mentoring.

**Supervisory Agreement**

This section goes into more detail on supervisory arrangements to establish an agreed understanding of the way in which the student and their supervisors will work together across the duration of the degree.

**Research Proposal**

The Research Proposal normally includes a literature review, aims/hypotheses, descriptions of studies to be completed and their methods and methodology, noting any specific equipment or resourcing required. The Research Proposal must also include an overall project plan, including specific goals and a timeline. Research students should discuss the appropriate format for their Research Proposal with their Senior Supervisor and/or Graduate Research Coordinator in their Department/School.

The written proposal itself also needs to be submitted along with this form – the form is to confirm that the proposal has been reviewed and approved by your School/Department.

For PhD students, the Research Proposal is the precursor to the Confirmation Proposal.

**Section A**: **Student Details**

*This section should be completed by the student.*

|  |  |
| --- | --- |
| Student name: |  |
| Student ID number: |  |
| Department/School: |  |
| Qualification (e.g., PhD, MA): |  |
| Course Code (e.g., ENME790, LING690): |  |
| Thesis start date: |  |
| Thesis submission date: |  |
| Mode of study: | ​​  Full-time ​ Part-time |
| Thesis working title: |  |
| Language of thesis: | English  Te reo Māori |

**Section B: Appointment of Supervisory Team**

*This section should be completed by the student and supervisory team. The* [*Research Course Regulations*](https://www.canterbury.ac.nz/about-uc/corporate-information/regulations/general-regulations/research-course-regulations) *require a minimum of two, and maximum of four, supervisors. One supervisor must be designated the Senior Supervisor. The Senior Supervisor must be a continuing member of staff at UC.*

|  |  |  |  |
| --- | --- | --- | --- |
| **Role** | **Name** | **Dept/School or Organisation** | **Reason for appointment** |
| Proposed Senior Supervisor: |  |  |  |
| Proposed Co-Supervisor: |  |  |  |
| Proposed Associate Supervisor: |  |  |  |
| Proposed Associate Supervisor: |  |  |  |

If any supervisor is external to UC, an [External Supervisor Agreement](#ExternalSupervisorSection) (Appendix A) must also be completed for each external person.

**EFTS Split**

*EFTS splits apply to UC staff only and only needs to be filled out if there are supervisors from different schools/departments. EFTS splits should be agreed by all supervisors and* ***must be approved by the HoD/S*** *of their respective Departments/Schools. This approval cannot be sub-delegated to the Department/School Graduate Research Coordinator. It is the responsibility of the Senior Supervisor to ensure that all relevant HoD/S have been consulted and agree to the proposed arrangements.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Supervisor | Workload % | Dept | *If EFTS split required between Departments/Schools* | |
| EFTS % | HoD Signature |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

HoD/S, once completed/approved click [**HERE**](#SecGHODS) to return to your section

**Conflicts of Interest***Consult UC’s* [*Conflict of Interest Policy*](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/conflict-of-interest-policy) *when completing this section.*

|  |  |
| --- | --- |
| Are there any actual, potential, or perceived conflicts of interest between the student and supervisors or between two or more supervisors that should be disclosed? | Yes  No  I don’t know |
| If ‘Yes’ (or ‘I don’t know’), please provide brief detail here:  *You must disclose any conflicts in writing in line with the University’s Conflict of Interest Procedures.* |  |

**Section C: Supervisory Arrangements**

*This section should be completed by the student and supervisory team. 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 each of their roles is briefly outlined here: |  |
| 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  Other (please specify): |
| The research student agrees to provide written work in line with agreed timelines: | Yes  No |
| The Senior Supervisor agrees to provide written feedback within [X weeks] of receipt of written work, assuming the written work is received within the agreed timeframes: | One week  Two weeks  Three weeks  Four weeks |

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

**D1. 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 initiate the Māori consultation process, use the How-To Guide to complete the Consultation Form (both found on the* [*Human Ethics webpage*](https://www.canterbury.ac.nz/study/study-support-info/study-related-topics/human-ethics/#applications)*), and send the completed form to* [*ethicsmaoriconsultation@canterbury.ac.nz*](mailto:ethicsmaoriconsultation@canterbury.ac.nz)*. Your form will be reviewed, and you will be contacted by a Kaiārahi if further kōrero is required.*

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

**D2. 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: |  |

**D3. 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 D4)** | 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. |  |

**D4. 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.*

*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.*

*The University’s IP Policy can be found* [***here***](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/intellectual-property-policy)*.*

*The default position at UC is that students own the IP created during their thesis, please refer to Section 1 of the IP Policy, General Principles and Provisions. However, it may be required to formally assign IP using one of the IP template agreements which can be found* [*here*](https://www.canterbury.ac.nz/study/uc-graduate-school/support-for-research-students/current-doctoral-students#regsandlinks)*. Please note that it may also be determined at a later stage that an IP agreement would be required.*

|  |  |  |
| --- | --- | --- |
| **Intellectual Property** | The student and supervisors have discussed the University’s IP policy and appropriate advice has been sought/provided if a formal agreement is required. | Yes  No  ​​ |
|  | Is an IP agreement with the University and/or third parties required?  *If no, please proceed to Externally Funded Projects below.* | Yes  No |
|  | Do the student and supervisors agree that the default position relating to IP apply, or is a separate IP agreement required?  *If a separate IP agreement is required, you can download an appropriate template from the Te Kura Tāura website* [*here*](https://www.canterbury.ac.nz/study/uc-graduate-school/support-for-research-students/current-doctoral-students#regsandlinks)*. The Research & Innovation (*[*research@canterbury.ac.nz*](mailto:research@canterbury.ac.nz)*) office will sign these agreements on behalf of the University. They will also assist if a non-standard agreement is required.* | The student agrees to the default terms  An IP agreement is required |
|  | Has an IP agreement been signed? | 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 |

**D5.** **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://mfatgovtnz2020.cwp.govt.nz/en/trade/export-controls/which-exports-are-controlled)

*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 Theses 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](mailto:insurance@canterbury.ac.nz) as early as possible.

For further information please see [Trusted Research Guidance for Institutions and Researchers](https://www.protectivesecurity.govt.nz/assets/protective-security-requirements/resources/psr-trusted-research-guidance-spreads.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/).

**D6. 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-tāura---uc-graduate-school/A-Guideline-to-Including-Publications-within-a-Doctoral-or-Research-Master’s-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-uc/corporate-information/policies/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 |

**D7. 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 if this will be for a period of one month or longer.*** | Yes  No |

**Section E: Student Agreement**

*This section must be completed by the student.*

**Student**

|  |  |
| --- | --- |
| I understand and agree to the appointment of the supervisory team detailed in this document: | Yes  No |
| I understand and accept the details of the Supervisory Agreement: | Yes  No |
| I have attached a copy of my Research Proposal, which has been reviewed by my Senior Supervisor: | Yes  No |
| I confirm that this Research Proposal is entirely my own work, including research and writing, except where the assistance of other authors or tools is explicitly acknowledged and their contribution fully explained: | Yes  No |
| The Research Proposal has been submitted to UC’s specified similarity- or AI-checking software (e.g., [Turnitin](https://learn.canterbury.ac.nz/course/section.php?id=165953)). I have discussed the resulting report and any potential issues with my supervisor. | Yes  No |
| Any additional comments:  *If you have answered ‘no’ to the above questions or have any other comments or concerns you would like to raise, provide more detail:* |  |

|  |  |
| --- | --- |
| Research student name/e-signature: |  |
| Date: |  |

**PLEASE FORWARD THE FORM TO YOUR SENIOR SUPERVISOR**

***You must ensure that any supporting documents, including a copy of the Research Proposal, are submitted along with this form.***

**Section F: Supervisor Agreement**

*This section must be completed by the Senior Supervisor and signed by all supervisors.*

**Senior Supervisor**

|  |  |
| --- | --- |
| I have reviewed the attached Research Proposal and recommend the approval of the research proposal. | ​​  Yes  No |
| I have reviewed the report generated by UC’s specified similarity or AI-checking software (e.g., Turnitin) and discussed with the research student the concept of plagiarism and the boundaries of AI use in producing research and writing in this discipline: I confirm that, to the best of my knowledge, there is no plagiarism within the Research Proposal | ​​  Yes  No |
| I confirm the details of the Appointment of Supervisors and Supervisory Agreement have been discussed and agreed with the student: | Yes  No |
| I would like to bring the following issue(s) to the attention of the HoD/S and/or the relevant Dean or their delegate: |  |

|  |  |
| --- | --- |
| Senior Supervisor name/e-signature: |  |
| Date: |  |

**Co- and Associate Supervisors**

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

|  |  |  |  |
| --- | --- | --- | --- |
| Co-Supervisor name/e-signature: |  | Date: |  |
| Associate Supervisor name/e-signature: |  | Date: |  |
| Associate Supervisor name/e-signature: |  | Date: |  |

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

***You must ensure that any supporting documents, including a copy of the Research Proposal, are submitted along with this form.***

**Section G: Department/School Agreement**

*This section must be completed by the Head of Department/School and cannot be delegated.*

**Research Proposal**

|  |  |
| --- | --- |
| I endorse the supervisor’s approval of the attached Research Proposal:  *If “No”, please provide further detail:* | Yes  No |
| I confirm that the School/Department has appropriate resources to support the student to complete the research outlined in the Research Proposal.  *If “No”, please provide further detail:* | Yes  No |
| Where it has been indicated that the student will be writing in te reo Māori, I confirm that appropriate resources are in place to support the research and examination being conducted in te reo:  *If “No”, please provide further detail about what aspects of resourcing are not available to support a thesis written and examined in te reo Māori. Include any potential impacts that this will have on the student's research and any plans in place to mitigate or resolve resourcing issues.* | Not applicable  Yes  No |

**EFTS Split**

*EFTS splits apply to UC staff only. EFTS splits should be agreed by all supervisors and* ***must be approved by the HoD/S*** *of their respective Departments/Schools. This approval cannot be sub-delegated to the Department/School Graduate Research Coordinator. It is the responsibility of the Senior Supervisor to ensure that all relevant HoD/S have been consulted and agree to the proposed arrangements.*

*Please click* [**HERE**](#EFTSSplits) *to view and approve the EFTS splits in Section B*

**Supervisory Agreement**

|  |  |
| --- | --- |
| I support the appointment of this supervisory team and confirm that they have the appropriate expertise and capacity for this project.  *Note: If there are any external supervisors, the HoD/S must also sign Appendix A: External Supervisor Details for each external person* | Yes   No |
| Please add any further comments here, with a more detailed description if you have answered “no” to any of the questions above:  *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 THE RELEVANT ADMINISTRATOR**

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

**Section H: Dean’s Approval**

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

|  |  |
| --- | --- |
| The appointment of the named supervisors is: | Approved  Approved with conditions (specify below)  Declined |
| The supervisory arrangements are: | Approved  Approved with conditions (specify below)  Declined |
| Please add any further comments here:   *Include any required conditions for approving the supervisory arrangements, any processing notes for administrators, and any reasons for declining.* |  |

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

**Appendix A: External Supervisor Details**

*This section must be completed by the Head of Department/School and cannot be delegated.*

***If there are multiple external supervisors, this appendix should be duplicated as needed.***

|  |  |  |  |
| --- | --- | --- | --- |
| Title and name: |  | | |
| Supervisory role: | Co-Supervisor  Associate Supervisor | | |
| Country: |  | | |
| Work phone: |  | Mobile: |  |
| Email: |  | | |
| Employer: |  | | |
| Role: |  | | |
| Highest qualification: |  | | |
| Have you previously supervised at this level of study? | Yes  No | | |
| ORCID ID and/or link to online research profile: |  | | |

**Terms and Conditions of Appointment**

External Supervisor

* I agree to the supervisory role and will abide by the responsibilities as detailed in the UC [Research Student Supervision Policy](https://www.canterbury.ac.nz/about-uc/corporate-information/policies/research-student-supervision-policy).
* I confirm that I am appropriately qualified and experienced to be a member of the student’s supervisory team.
* I confirm that I shall confer with the Senior Supervisor on a regular basis on dates to be agreed and shall promptly consult at other times on any matters coming to my attention which I believe are likely to significantly affect the quality, direction, or progress of the student’s work.
* I agree to supervise the student for the duration of their candidacy or for a specified period as required. If I am unable to continue with supervision of the student, I will promptly advise the senior supervisor accordingly.
* I agree to maintain a comprehensive and confidential file of relevant documents, emails, correspondence, etc. relating to my supervision of the student.

Yes  No I have entered into a separate agreement with the University regarding intellectual property rights relating to the research.

Yes  No I confirm that my employer is aware of and has agreed to (a) my supervision of the student and (b) the terms of this agreement. Where supervision will occur during paid work hours, I have obtained my employer’s consent.

The University of Canterbury

* Agrees to, through the Senior Supervisor, keep the external supervisor appropriately informed about matters pertaining to the programme and the student.

**Signatures and Authorisations**

|  |  |  |  |
| --- | --- | --- | --- |
| External Supervisor name/e-signature: |  | Date: |  |
| UC (HoS/D) name/e-signature: |  | Date: |  |