



**Ara**

Institute of Canterbury

Ara rau, taumata rau

# Postgraduate Thesis Guidelines

---

## CONTENTS

CONTENTS .....	2
INTRODUCTION .....	3
RESEARCHING AND WRITING TIPS.....	3
OVERVIEW OF THESIS SUBMISSIONS .....	5
SUPERVISION .....	7
RESEARCH PROPOSAL .....	8
PROGRESS REPORTS.....	10
THESIS SUBMISSION.....	13
THESIS EXAMINATION RESULTS .....	14
FINAL THESIS SUBMISSION .....	14
APPENDICES .....	16
APPENDIX 1 – Supervision Contract .....	17
APPENDIX 2 – Postgraduate Research Project Application Requirements.....	19
APPENDIX 2.1 – Postgraduate Research Application .....	20
APPENDIX 2.2 – Ethics Approval .....	23
APPENDIX 2.3 – Risk Screening Checklist .....	24
APPENDIX 2.4 – Model Consent Form for Postgraduate Research Interviews.....	28
APPENDIX 2.5 – Model Information for Postgraduate Research Participants.....	30
APPENDIX 3 – Progress Report Form.....	33
APPENDIX 4 – Form for Thesis Submission for Examination .....	35
APPENDIX 5 – Form for Final Thesis Deposit into Library Database .....	37

## INTRODUCTION

Welcome to the next phase of your Research course.

Being able to initiate and conduct your own research is an exciting part of academic life, however there are specific steps to completion that any research project requires, and which you need to follow. The process we provide in this guide is generic to all research activities, regardless of location and subject, and is therefore an important aspect of your learning journey.

This Guideline has been adopted from Eastern Institute of Technology (EIT) and is specifically for a thesis, but it may also be useful guide for your research project. Your supervisor(s) will identify where the guideline is relevant for a research project.

Please use this guide, together with the support of your supervisors, throughout this course, in developing your research and completing your thesis.

Good luck and enjoy your research experience.

## RESEARCHING AND WRITING TIPS

### DEFINITION OF A THESIS

A thesis is a written output from a supervised learner project or research that is the major or only examinable assessment of that work.

### BEGIN WRITING EARLY

This is the most common piece of advice you will get - and for good reason. Setting small, manageable writing goals each week may help you when you go back and revise work. Writing early also helps to create a momentum that should allow you to get the research done as soon as possible. Writing can also be immensely useful in clarifying your ideas and directing your research. Many research learners spend months reading, but then once they start writing, discover they weren't reading the most important material.

### THE RIGHT TOPIC AND SUPERVISOR

The right topic and supervisor at the outset of your thesis journey will make a positive difference to your research experience. You need to have a clear focus for your research topic. Matching research interests is very important, as Supervisors need to be experts in the area of research in order to provide the necessary support. Supervisors may have a list of possible projects that are of interest to local industry that could be the basis of research topics. Many learners have difficulties with their topic at some point, this is normal. With the support and guidance of your supervisor you will get through any hard patches and your topic will become clearer. Getting a well-defined topic will make the next steps easier.

Negotiating and deciding on the style and form of interaction with your supervisors is also important. A supervision contract provides clear expectations and roles for candidates and supervisors.

## **CHOOSE APPROPRIATE METHODOLOGY**

Choosing a methodology that is appropriate to your research early in your candidature is essential to your progress. Your methodology should both suit your research topic and your areas of interest and expertise. Your supervisors will guide you in this process. Remember you are a learner who is engaged in supervised research and are not expected to know or develop sophisticated methodology from scratch and by yourself.

## **REMEMBER THIS IS NOT YOUR LIFE'S WORK!**

A common problem research learners' face is the intimidation of an original piece of work of thesis length. Some learners find it beneficial to break the work into smaller more manageable chunks i.e. chapters or headings. Using subheadings to structure within a chapter can help learners to write little and often without being intimidated by the eventual size of overall thesis.

## **LITERATURE REVIEW**

The literature review forms the basis of your argument that your research fills a gap in our current knowledge. It also forms an important basis for your research proposal. Draft a literature review in the early stages of your thesis and keep adding to it as your research progresses. Consider the literature review as a work in progress and add to it through time as you will need to refer back to it when you write your discussion and conclusion chapters. This should help you to keep abreast of changes in your chosen field.

## **DOCUMENT REFERENCES AS YOU GO**

During your research journey, you will undoubtedly read through a large amount of material. Documenting the material you have read as you go along is a time efficient way of proceeding as well as helping you during the course of your research when you need to refer back to it. Compiling reference lists as you go along is made easier by software such as EndNote, which is available for you to download to your personal computer through the library.

## **BE PERSISTENT**

The research process is about persistence. Occasionally things may not turn out as you expect but try not to let that get you down. Sometimes an unusual or unexpected result opens up a new possibility or outcome. Be open to such possibilities and talk them over with your supervisors.

## **STAY FOCUSED**

A useful exercise to help you stay focused on your particular research is to write a description in no more than 25 words of what your research topic is. Pin it up in front of your desk or anywhere else where you work on your research. It should help to keep you on track. Many distracting possibilities open up to learners during the course of a research project but staying focused on work that will further your research is important. It can be very useful to read widely and consider new angles on your thesis, but it is important that you can differentiate between an interesting new angle and an unproductive tangent.

Another important skill to learn is setting and fulfilling achievable weekly targets. It is important to maintain momentum in your project, whether it is reviewing literature, writing chapter sections or collecting/analysing data.

## HAND IT IN!

Sometimes there is the temptation to want to continuously polish a thesis well after the point at which it is ready for submission. Wanting to submit a perfect piece of research is an excellent goal but sometimes perfection may not be possible within the timeframes allocated. Furthermore, research should be open to critique, what is perfect to one reader, may be flawed to another. Be guided by your supervisor, your peers, and your professional judgement on when to hand the thesis in. Let it go and enjoy your wonderful achievement!

## TELL OTHERS ABOUT YOUR RESEARCH

Submitting your thesis for examination, making the changes required by your examiners, and then handing in your final, hardbound thesis copies is not quite the end of your project. You also have a responsibility to your thesis participants, your colleagues and yourself to make the information you've discovered available to others. This means working with your supervisors to develop a publication from your research which may be in the form of a journal article or a conference presentation.

## OVERVIEW OF THESIS SUBMISSIONS

The information below provides an overview of the processes involved in completing a Masterate Thesis.; for further information please refer to your relevant Programme Handbook.

### SUPERVISION CONTRACT

Learners completing a Master's thesis will have two supervisors – a Principal Supervisor and an Associate Supervisor. These supervisors are approved by the Postgraduate Board of Studies.

You will need to discuss a research synopsis with your preferred supervisor beforehand to ensure that there is a good basis for undertaking the proposed work which will fit with the criteria for thesis examination and the supporting resources and expertise of supervisors. This needs to be done before enrolling in the thesis or starting a research project.

Within six weeks of commencing and prior to submitting a research proposal the learner and supervisors and Head of Department will agree on a supervision contract which identifies learner responsibilities and supervisor responsibilities. The contract will identify a timeline for the research project and clear guidelines on how often meetings will occur. The contract must be signed by the learner and each supervisor and submitted to the Programme Leader.

The supervision contract template is located in Appendix 1 of this document.

### RESEARCH PROPOSAL AND APPROVALS

A proposal of research should be developed and submitted to your supervisors in order to clarify your research project. The supervisor will submit it for approval from the Department Research Subcommittee and Human Ethics Subcommittee. Ethics approval is required where humans are the subject of the research, or if animals are involved.

Details of the contents expected of a research proposal are in pages 10-11 of this document.

The Human Ethics Subcommittee oversees all institutional research which requires ethics. You are required to complete as a minimum the Low risk research questionnaire.

The requirements of the Human Ethics Subcommittee will differ dependent upon the submission however they may include some or all of the following:

1. Low risk research questionnaire
2. Consent form
3. Participant Information sheet

4. A Health & Disability Ethics Commission submission
5. Locality approval.

Forms are Appendix 2 of this document.

No intervention should be commenced until all approvals to proceed have been received from and the Programme Manager notified. A copy of the approval to proceed with research should be provided to the Programme Leader and Postgraduate Board of Studies.

## **PROGRESS REPORTS**

It is expected that progress will be identified and adhered to through the timelines identified in the supervision contract. All learners are required to submit at one progress report each six months.

The progress report form is located in Appendix 3 of this document.

## **THESIS FORMATTING**

There are a number of expectations to the formatting of a thesis specific to the institution. The styles are explained in pages 13-16 of this document.

## **DRAFT THESIS SUBMISSION TO SUPERVISORS**

It is expected that a final draft of thesis will be provided to supervisors prior to submission. Details of the submission process are in pages 17-18 of this document.

## **THESIS SUBMISSION FOR EXAMINATION**

Electronic copies of the thesis are preferred and should be submitted for examination by the internal examiner and external examiners. Three hard copies may be provided if the thesis is not available electronically.

Supervisors must be satisfied the thesis is ready for examination. This is signified through the completion of the form in Appendix 4 of this document.

## **THESIS EXAMINATION RESULTS**

The final decision of examination is a grade. The categories are:

- Pass, with grade. No amendments or changes to the work required.
- Pass with grade, subject to minor changes, to be submitted within four (4) weeks.
- Failed grade, where work is unsatisfactory in its current form and requires major revisions.

Examiners reports commonly include amendments or minor changes. It is expected that learners contact supervisors to work on amendments to the satisfaction of the Principal Supervisor.

## **FINAL THESIS SUBMISSION**

On completion of all amendments a soft copy of the thesis should be submitted to the Library and Research Office. If your thesis is printed and bound hand it in to the library with a soft copy to the Library and Research Office.

## **SUPERVISION**

Learners completing a thesis will have two supervisors – a Principal Supervisor and an Associate Supervisor. These supervisors are approved by the Postgraduate Board of Studies. Prior to submitting a research proposal, learner and supervisors will agree on a supervision contract which identifies learner responsibilities and supervisor responsibilities. The contract will identify a timeline for the research project and clear guidelines on how often meetings will occur. The contract must be signed by the learner and each supervisor and submitted to the Programme Leader.

The supervision contract template is located in Appendix 1 of this document and available through the programme handbook.

## **SELECTION OF SUPERVISORS**

Each learner will have a Principal and an Associate Supervisor. Supervisors will be nominated by the institution, at least one supervisor will be internal to the institution.

The supervisors shall collectively meet the following criteria:

- have a degree higher or equivalent to the degree being supervised,
- be actively involved in research in the candidate's general field,
- have a research record of standing, meaning publications in refereed, internationally circulated publications, within the last five years,
- have experience of supervising learners to successful completion of a postgraduate degree, and
- The Principal Supervisor shall be approved by the Postgraduate Board of Studies.

Discussion between the learner and supervisors will take place to ensure there is an understanding and agreement of expectations of both learner and supervisors. The Supervision Contract form (refer Appendix 1) should be completed to signify this and given to the Programme Leader.

## **ABSENCE OF SUPERVISORS**

If either supervisor is likely to be absent for an extended period, the learner should be advised as soon as possible of the expected absence. The supervisor has the obligation, where possible, to inform the learner prior to accepting the role of supervisor of any intended absence or to inform the learner of the distance supervision arrangements that will be in place.

Where necessary, an appropriately qualified replacement supervisor shall be recommended by the Programme Leader and appointed by the Head of Department in conjunction with the Postgraduate Board of Studies. After negotiations between the intended supervisor and the learner have been completed to the satisfaction of both parties, the Head of Department appoints the Supervisor(s) and Postgraduate Board of Studies shall be advised.

## CONCERNS REGARDING SUPERVISION

The Programme Leader is available throughout the supervision process for additional support of to mediate any concerns with the supervision experience or the requirements of the thesis. Contact details can be found in the programme handbook.

If learners consider that the terms of the supervision contract are not being upheld, they should:

- a) Talk with their supervisors in the first instance;
- b) Notify their supervisors in writing and arrange a meeting (face to face or video- conference) with their supervisor (and a mediator if desired) to discuss their concerns, and if that does not resolve their concerns satisfactorily;
- c) Discuss the issue with the Programme Leader who will advise the steps taken to achieve resolution. Should this not result in a satisfactory outcome;
- d) The learner will make a meeting time (online or face to face) with the Head of Department, who may request that the learner present their concerns in writing with relevant documentary evidence. The Head of Department shall investigate the matter and with the Postgraduate Board of Studies seek resolution.

## RESEARCH PROPOSAL

A brief synopsis of the proposed thesis is approved by the Head of Department and Programme Leader after discussion with the supervisor and candidate before enrolment for the thesis.

A proposal of research should be developed and submitted to your supervisors in order clarify your research project. Once your proposal is satisfactory to your supervisor(s), the Principal Supervisor will submit it for approval

Details of the contents expected of a research proposal are described below. Your programme may have specific requirements which will be in the programme handbook.

### WRITING A RESEARCH PROPOSAL

The **introduction** outlines the topic, the problem area or issue and a brief background. In general, it includes the research problem, research question, aims of the study as well as the purpose and significance of the proposed study.

The **research question** should be who, what, when, where or why, and not structured so that there is a simple yes or no answer.

The **purpose of the research** is stated after the problem. It supports the problem and clarifies the knowledge that will be generated. It needs to be stated objectively or in such a way that it does not reflect biases or values of the researcher. The **significance of the research** makes a statement about why the research is important and is outlined according to:

- Who has interest in this issue.
- What is already known.
- What has not been answered.
- How your study will contribute to practice.

The **limitations** might include statements about the lack of theory in the area or that theory is not clear as well as methodological weaknesses in the design or sample you have chosen for your study which means that the study cannot be generalised. **Delimitations** should also be included i.e. how you have delimited the study, what strategies did you put in place?

The literature reviewed should include both theoretical and empirical research studies. The point of the **literature review** is to provide a picture of what is already known about the research problem or issue. Literature should be summarised and critiqued in terms of its strengths and weaknesses. Highlight what is known and what is not known. One of the objectives of the literature review is to demonstrate the knowledge gaps and therefore justify the topic of your project. You may wish to cluster information according to themes or have some structure that gives the reader of the proposal



a clear sense of the topic.

It is essential that you put your own proposed study into the context of the existing literature – e.g. all studies may have been undertaken overseas, so there is limited direct relevance to New Zealand, or all studies may have utilised a particular design, so you might want to explore the issue from a different perspective. Or, you may want to determine if findings from research using similar designs and samples are relevant to New Zealand.

The **study design** is the plan for undertaking the research and is usually informed by a philosophical position. This means that you want to undertake your research from either a qualitative perspective where you might want rich data, for example, from what participants say to you, or a quantitative perspective, which is more concerned with data collection and analysis.

In this part of the proposal you need to outline/describe the features of the design you will be using. You need to state how it is appropriate to your research and make some statement that justifies why it was chosen as a design. Additionally, discuss the advantages and disadvantages of the design. Make sure that when you do the latter you are discussing the design and not the data collection method.

The **methods** section includes the sample type, the data collection method/tool, the process of data collection and methods for analysis. Identify any limitations in the methodology or analysis.

**Ethical considerations** should outline which institution will approve the proposed research (Ara Institute of Canterbury Ltd<sup>1</sup>, Health and Disability Ethics Committee, or other)? Are the rights of participants and/or agencies ensured? Depending on the design of the study this section covers potential benefits, risks/harm (and how this will be addressed), storage of data, informed consent, confidentiality, anonymity, privacy, right to withdraw from the study, communication of research findings. Include a completed Research Proposal with Low Risk ethics research questionnaire, your information sheet and participant consent form.

The **timeline** helps to plan the study and shows that you are being realistic with your time. Include dates for drafts of your proposal to supervisor, date for final submission, ethical approval, data collection, analysis and writing up the findings of your study. The **budget** includes an outline of all proposed expenses associated with undertaking the study in terms of resources and materials. Identify if additional resources such as staff time are required.

After discussing with your Supervisor, the proposal will be submitted to the Department Research Subcommittee for approval. Approvals are copied to the programme Leader and endorsed by the Postgraduate Board of Studies.

## ETHICS SUBMISSION

If you are undertaking a research thesis, a research component within a coursework degree, or are engaged in other activities where you may need ethics approval. You should seek advice from your department's Human Ethics Subcommittee representative. For any research involving animals, your Principal Supervisor will contact the Chair of the Human Ethics Subcommittee to identify the most appropriate authority.

**All thesis research proposals must have the Ethics Risk Assessment completed when submitted for proposal approval, regardless of whether external ethics approval is required.**

Please be aware that obtaining ethics approval may take considerable time. Ethics Committees receive large numbers of applications, and it is not unusual for an Ethics Committee to request further information and adjustments to your research protocol. Work closely with your supervisors, who have the responsibility to advise you on such matters.

No data collection should be commenced until ethical approval to proceed has been received from Human Ethics Subcommittee, or equivalent if animal ethics are required.

A copy of the approval to proceed with research should be provided to the Department Research Chair who will forward it to the Postgraduate Board of Studies for endorsement.

---

<sup>1</sup> From herein referred to as Ara

The requirements of the Ethics Committees will differ dependent upon the submission however they may include as a minimum:

1. Ethics Risk Assessment questionnaire.
2. Research Proposal form.
3. Consent form.
4. Participant Information sheet.

In addition, it may be necessary to have:

5. A Health & Disability Ethics Commission submission.
6. Locality approval.

The forms for Ethics submissions are located in **Appendix 2** of this document and available through the course page online.

## PROGRESS REPORTS

It is expected that progress will be identified and adhered to through the timelines identified in the supervision contract. All learners are required to submit at one progress report in the first six months and at six monthly intervals afterwards. The progress report form is located in **Appendix 3** of this document.

Unsatisfactory progress at this time will require a meeting between the candidate, Programme Leader, Principal and Associate Supervisors to discuss a progress plan. A further progress report will be required in three months. Failure to make progress will be managed in accordance with the *APP511 Academic Support and Progression Policy*.

## THESIS

There are a number of expectations to the formatting of a thesis. The styles are explained in detail below.

## COPYRIGHT

Learners own the copyright to their thesis. This is governed by the Copyright Act 1994. Unless you state otherwise, the Library may copy all or part of your thesis and provide it to another institution for the purposes of research and private study.

You may assert your moral right to be identified as the author of the work in a statement to this effect on the verso (back) of the title page (i.e. "The author asserts her/his moral right to be identified as the author of this work").

As well as ensuring that you comply with the Ara's requirements stipulated in this guide and in the programme handbook, it may be necessary during the course of your candidature to seek permission from a copyright holder if you wish to reproduce part or all of a document. Situations where this may be necessary might include reproduction of a map, diagram, photo, drawing, musical score or even another piece of text. In most cases it is easy to establish who holds copyright of the document, map, text etc. should you wish to reproduce a piece for inclusion in your thesis, it may be necessary to write to the publisher, a copyright collection agency or a society for permission for use or reproduction. If unsure contact the Copyright Officer at [teachingandlearning@ara.ac.nz](mailto:teachingandlearning@ara.ac.nz).

## RECOMMENDED ORDER OF THESIS

The thesis should be presented in the following sequence, although the topic or requirements of the learner's work may indicate the need for variation.

Preliminaries:

- Title page
- Originality Declaration
- Abstract
- Acknowledgements (these should not be included in the examination copy of the thesis)
- Table of Contents
- List of Figures and Tables

Main body to include (normally these are individual chapters):

- Introduction
- Review of Literature
- Methods/Methodology
- Results/Findings
- Discussion
- Conclusions

Reference Material

- References / Bibliography
- Appendices

## LAYOUT AND PRODUCTION

Paper	Minimum 100-gram bond. Printed on one side only.
Page size	A4 (21cm x 29.7cm)
Margins	4 cm on the left, 2.5cm top and bottom and 2 cm on the right
Font	Text should be Arial, Calibri or Times New Roman 11-point font
Line spacing	1.5 line spacing
Length	25,000-40,000 words
Page numbering	Pages must be numbered consecutively, using lower case Roman numerals in introductory pages and Arabic numerals, starting again from 1, in the body of the text.
Figures and Tables	Numbered sequentially in Arabic numerals and should appear after the first reference to them in the text.
References	All references should be provided in an appropriate referencing format, normally APA 6 <sup>th</sup> Edition, but check with your supervisor(s) as it may differ depending on the discipline.
Printing	Electronic files are preferred, but if the thesis is to be presented in hard copy, all copies should be legible and produced on good quality printers. Binding for Hard bound examined copies can be done at any book binder. All binding is at the learners' expense.
Finalised binding	The colour of the cover for the examined thesis to be held on shelf at the library is mid-blue. On the spine of the thesis in uppercase letters, from the top down, should be: Initials, Last name, Degree abbreviation, Year of submission.

## TITLE PAGE

The title page should be laid out as follows:

- Title of the thesis centred in the top third of the page
- Declaration and degree centred in the middle third of the page
- Author's name and date centred in the bottom third of the page

[Thesis Title]

A thesis presented in partial fulfilment  
of the requirements for the degree of

Master of XXX

at the  
Ara Institute of Canterbury  
Christchurch, New Zealand

[Author's full name]  
[Year]

## DECLARATION OF AUTHENTICITY

When submitting the final thesis for examination, the learner must include in the thesis a signed statement page confirming that the thesis is the candidate's own original work.

I declare that the work presented in this [Thesis Title] is, to the best of my knowledge and belief, original and my own work, except as acknowledged in the text and reference pages.
Signed: _____ Date: _____

## THESIS SUBMISSION

### DRAFT THESIS SUBMISSION TO SUPERVISORS

It is expected that a final draft of thesis will be provided to supervisors prior to submission. Draft theses should be provided to supervisors with sufficient time for supervisors to comment and for changes to be made prior to final submission.

### THESIS SUBMISSION FOR EXAMINATION

It is expected that a final draft of thesis will be agreed with supervisors as ready for submission

In the event that the learner wishes to submit their thesis before the supervisors believe it is ready, the learner may submit their work and ask for it to be examined, but must also submit a letter to the Programme Leader stating that:

- a) They acknowledge that they are submitting the thesis without the approval and support of their supervisors; and
- b) That they will accept the assessment of the examiners and the resultant grade as decided by the Postgraduate Board of Studies.

Supervisor's satisfaction that the thesis is ready for examination will be signified through the completion of the Statement by Supervisor on Submission of Masterate Thesis form. A copy of this form is located in Appendix 4 and is available in the programme handbook.

## SUBMISSION COPIES

To submit the thesis for examination, the learner must send three soft-bound (coil-bound) copies to the Programme Leader. An electronic version may also be requested.

The deadline for submission is the date specified in the programme syllabus.

## EXAMINATION PROCESS

The thesis will be examined by one internal and one external examiner who will give feedback and the recommend an appropriate grade for the thesis.

Feedback and grades will be received by the Programme Leader who will submit the examiners recommendations to the Postgraduate Board of Studies. The Postgraduate Board of Studies will consider recommendations and recommend a grade, which may be subject to amendments. The Head of Department releases the final grades.

## THESIS EXAMINATION RESULTS

A detailed explanation of thesis results is provided in the programme handbook. The final decision of an examination grade is categorised as:

- Pass, with grade. No amendments or changes to the work required.
- Pass with grade, subject to minor changes, to be submitted within four (4) weeks.
- Failed grade, where work is unsatisfactory in its current form and requires major revisions.

It is expected that learners contact supervisors to work on any amendments to the satisfaction of the Principal Supervisor. On completion of changes to the satisfaction of the Principal Supervisor a response to the examiners' report will be provided to the Programme Leader.

## FINAL THESIS SUBMISSION

On satisfactory completion of any changes required by the Postgraduate Board of Studies, an electronic copy (preferred) or two (2) hard-bound copies of the final version of the thesis should be submitted to the Research Office.

An electronic copy of the thesis is also required to be submitted to the library, which will be placed on the Digital NZ website following insertion of a copyright page.

## FINALISED THESIS BINDING - POST EXAMINATION

The colour of the cover of the examined thesis is 'mid blue' and the cover/spine lettering should be gold. The spine should have your first initial and last name, the degree abbreviation and year. The cover should have the thesis title, your name, and the year.

Initial, Last-name degree Year	<p>A Guide to Submission of Masterate Research Theses</p> <p>Your Name</p> <p>Year</p>
-----------------------------------	--

## APPENDICES

1. SUPERVISION CONTRACT
2. RESEARCH PROPOSAL AND ETHICS SUBMISSION REQUIREMENTS
3. THESIS PROGRESS REPORT
4. FORM FOR THESIS SUBMISSION
5. THESIS DEPOSIT DOCUMENTS



### Section 1: Details of Candidature

Candidate Name	<input type="text"/>	ID Number	<input type="text"/>
Principal Supervisor	<input type="text"/>		
Associate Supervisor	<input type="text"/>		
Thesis working title	<input type="text"/>		
Planned thesis submission date	<input type="text"/>		

### Section 2: Candidate's Responsibilities

Candidates are expected to:

1. Make an appointment (either online or face to face) to discuss their proposed thesis with their supervisors and establish agreed roles, timelines, and processes to be maintained between the supervisors and the learner.
2. Prepare a synopsis of the thesis in discussion with supervisor(s) before enrolment
3. Develop a timeline schedule which outlines the expected meeting dates and completion dates of successive stages of the thesis.
4. Establish, in conjunction with the supervisors, a date for final submission of the thesis.
5. Maintain minimum contact of once a month with supervisors through formal scheduling of meetings (either online or face to face).
6. Be adequately prepared for each meeting with the supervisors.
7. Reflect on the advice and instruction provided by the supervisors.
8. Be pro-active in raising matters which may be detrimental to satisfactory progress on the thesis.
9. Maintain progress in accordance with the agreed stages and timing of the research and thesis.
10. Complete and submit Progress Reports as required.
11. Have and keep documented evidence of the work that contributes to their thesis is their own work.
12. Attend contact days.
13. Ensure due acknowledgement of the academic and intellectual contribution of the supervisor in publications/presentations derived from the Thesis.

Additional Responsibilities

### Section 3: Supervisor's Responsibilities

Supervisors are expected to:

1. Meet with the candidate (either online or face to face) to discuss the proposed thesis with their co-supervisor and establish agreed roles, timelines, and processes to be maintained between the supervisors and the learner.
2. Prepare a synopsis of the thesis in discussion with supervisor(s) before enrolment
3. Discuss with the candidate and establish agreed roles and processes to be maintained amongst the two supervisors and the learner.
4. Develop a timeline schedule which outlines the expected meeting dates and completion dates of successive stages of the thesis
5. Provide guidance for the candidate on the thesis process including literature and information sources, and on research methods and techniques appropriate to the topic area, on developing research objectives, requesting ethical approval,

- reporting findings and integrating research into each section of the thesis.
6. Provide information and guidance on the form and structure of the thesis, including format and style in accordance with Ara requirements.
  7. Have and keep documented evidence of the correspondence and discussions between the supervisors and the learner.
  8. Be accessible at reasonable times for providing the candidate with advice that is sought.
  9. Where necessary, ensure that the candidate is made aware, in writing, of the inadequacy of progress and/or any work where the standard is below that likely to succeed in the course.
  10. Complete and submit Progress Reports as required.
  11. Attend candidate presentations in contact days.
  12. Review written work and return that work with constructive criticism within a timeframe agreed with the candidate within this supervision contract.
  13. Encourage learners to present the findings of their thesis through publication/presentation.

#### Additional Responsibilities

## Section 4: Combined Statement

The learner, the Principal Supervisor and the Associate Supervisor agree that:

The timeframe for the review of written work is:

## Section 5: Sign Off

### Signatures

Candidate	<div style="border: 1px solid black; width: 435px; height: 20px;"></div>	Date	<div style="border: 1px solid black; width: 185px; height: 20px;"></div>
Principal Supervisor	<div style="border: 1px solid black; width: 435px; height: 20px;"></div>	Date	<div style="border: 1px solid black; width: 185px; height: 20px;"></div>
Associate Supervisor	<div style="border: 1px solid black; width: 435px; height: 20px;"></div>	Date	<div style="border: 1px solid black; width: 185px; height: 20px;"></div>
Supervision agreed	<input type="checkbox"/> Confirmed <input type="checkbox"/> Declined		
Programme Leader	<div style="border: 1px solid black; width: 435px; height: 20px;"></div>	Date	<div style="border: 1px solid black; width: 185px; height: 20px;"></div>

## APPENDIX 2 – Postgraduate Research Project Application Requirements



The Research & Knowledge Transfer Committee oversees all institutional research. Approval for learner research is delegated to the relevant Department Research Group, with endorsement by the Postgraduate Board of Studies. It is expected that you complete the *Postgraduate Research Application* on the following page.

If you require ethics approval no data shall be collected until ethics approval to proceed has been received from the Human Ethics Subcommittee (or Animal Ethics Committee if using animals). The requirements for ethics will differ dependent upon the submission however they may include some or all of the following:

1. Postgraduate Research Application
2. Ethics Approval
3. Ethics Risk screening Checklist
4. Consent form
5. Participant Information sheet
6. A Health & Disability Ethics Commission submission
7. Locality approval

A copy of all approvals to proceed with research should be provided to the Programme Leader.

**Section 1: Your Details**

Candidate's Name	<input type="text"/>		
Contact phone	<input type="text"/>	Email	<input type="text"/>
Department	<input type="text"/>	Enrolled Qualification	<input type="text"/>
Supervisor's Name	<input type="text"/>	Email	<input type="text"/>
Associate Supervisor' Name	<input type="text"/>	Email	<input type="text"/>
Project Title:	<input type="text"/>		
Proposed Start Date	<input type="text"/>	Proposed Finish Date	<input type="text"/>

**Section 2: Project Details**

Overall research aims, objectives, hypothesis research question/s

Synopsis

**Methodology** (how you plan to answer your research question/s e.g. data collection, analysis methodology, etc)

Does this involve human or animal/fish participants?

☐

Yes

☐

No

If yes, you must also complete APP804b Ethics Application Form. You may apply for ethics later, but this must be identified as a milestone and no data collection may occur before approval is given. Ara has no default approval for low risk research.

**Planning** (forms part of progress report)

Milestone name	What will be achieved	Completion date

**Risks**

a) Is the methodology compliant with relevant Health and Safety policies?

b) How is confidentiality managed?

c) For external organisations and institutions: What contracts and/or MOU or similar are in place? What requirements are placed on researchers? (e.g. Confidentiality, IP, financial arrangements, data management)

## Consultation<sup>1</sup>

If your research involves any significant group, state how you have undertaken appropriate consultation e.g. Pasifika, people with disabilities, community (If Māori, go to the following "Consultation with Māori" section).

For detailed information read Ethics guidelines to download a copy paste this link into your browser

[http://infoweb.cpit.ac.nz/\\_data/assets/pdf\\_file/0020/131609/APP804a-InfoReqsProposals.pdf](http://infoweb.cpit.ac.nz/_data/assets/pdf_file/0020/131609/APP804a-InfoReqsProposals.pdf)

--

## Consultation with Māori<sup>2</sup>

If your research involves Māori, consultation will be required, and endorsement given by our Kaiārahi. Contact the Ara Research Co-ordinator for confirmation of consultation procedures.

**This confirms that consultation with Māori has been carried out and any issues addressed:**

Kaiārahi Signature		Date	
--------------------	--	------	--

Comment	
---------	--

## Ara Resources (e.g. staffing)

Comment	
---------	--

## Section 3: Endorsements and Approvals

### Department Research Group

Chair signature	
-----------------	--

Comments	
----------	--

**Human Ethics Subcommittee** has reviewed the proposal (if applicable) *refer Appendix 2.2 for document*

Chair signature	
-----------------	--

Comments	
----------	--

### Postgraduate Board of Studies

Manager, Research signature	
-----------------------------	--

Comments:	
-----------	--

<sup>1</sup> How do I know if I need to consult?

- There is an identifiable group e.g. a community group,
- Your research is framed around a group or will result in statements about a group?
- You are using a group's resources or traditional knowledge

<sup>2</sup> Points to consider

- Is the ethnicity of the participants relevant?
- Does the research have implications for Māori?
- Are you using significant Maori content or knowledge?
- Do you require access to Maori sites or sampling of traditional flora/fauna?

## APPENDIX 2.2 – Ethics Approval



To be completed for research projects which involve ethical considerations. This includes research completed as part of a higher qualification.

### 1 Human Participants/Subjects

If human participants or subjects are involved in your research, complete the following steps:

- a. Complete the following Ethical Risk Assessment screening and forms
- b. Submit checklists and your application via your Principal Supervisor

### 2 Other Ethical Considerations

e.g. animal subjects contact Chair of Human Ethics Subcommittee. Attach to your application evidence of consultation and endorsement from an appropriate ethics body when submitting it to the Department.

The NZ Association of Science Educators website provides a definition of “animal” – [www.nzase.org.nz/ethics/legal-definition.html](http://www.nzase.org.nz/ethics/legal-definition.html)

## Risk Screening Checklist

- This applies to research which involves human participants.
- Do not modify the content or formatting of this document in any way
- Part A of this questionnaire must both be completed and Part B if Health and Disability Ethics Committee Approval is required

The statements below are being used to determine the degree of ethical risk around your project.

Please answer all questions. Check either Yes or No - if you have checked yes, you must identify risk mitigation strategies in the appropriate section.

### a. Risk of Harm

Does your project involve:

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1. Situations in which the researcher may be at risk of harm?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. User of questionnaire or interview, whether or not it is anonymous which might reasonably be expected to cause discomfort, embarrassment, or physical or spiritual harm to the participants?                        | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Processes that are potentially disadvantageous to a person or group, such as the collection of information which may expose the person/group to discrimination?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Information gained during the research which could place the participants at risk of criminal or civil liability or be damaging to their financial standing, employability, professional or personal relationships? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. The potential for any cultural and social issues? (refer Section 2 of APP804a Information Requirements for Proposals)   | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. Collection of blood, body fluid, tissue samples or other samples?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Any physical pain, physical examination, form of exercise regime or deprivation (e.g. sleep, dietary)?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. The administration of any form of drug, medicine (other than in the course of standard medical procedure), placebo?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Any Ara research or teaching which involves learners for the demonstration of procedures or phenomena which have a potential for harm?  | <input type="checkbox"/> | <input type="checkbox"/> |

#### Proposed Risk Mitigation

### b. Voluntary Participation and Informed Consent

A high level of justification is required to mitigate risk in this section.

Does your project involve:

- |  | Yes                      | No                       |
|--|--------------------------|--------------------------|
| 1. Participants who are unable to give informed consent?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. The participation of children under 16 years old (18 years old if at school), even if parental consent is sought?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Participants who are in a dependent situation, such as those who are under custodial care, or residents of a hospital, nursing home or patients highly dependent on medical care? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Participants who are vulnerable due to disability, age, illness, or social circumstances?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. The use of previously collected identifiable personal information or research data for which there was no explicit consent for this research?                                     | <input type="checkbox"/> | <input type="checkbox"/> |
| 6. The use of previously collected biological samples for which there was no explicit consent for this research?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Participants whose identity is known to the researcher giving <b>oral</b> consent rather than written consent?  | <input type="checkbox"/> | <input type="checkbox"/> |

If yes, please explain how will consent be recorded and participants rights protected.

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 8. Audio or video recording or photography without prior informed consent? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

#### Proposed Risk Mitigation



c.	<b>Privacy / Confidentiality Issue</b> Any evaluation of organisational services or practices where information of a personal nature may be collected and where participants, or the organisation, may be identified? <b>Proposed Risk Mitigation</b>	<input type="checkbox"/>	<input type="checkbox"/>
d.	<b>Deception</b> Does your research involve the deception of participants, including concealing the purposes of the research, covert observation and/or audio or visual recording without consent? <b>Proposed Risk Mitigation</b>	<input type="checkbox"/>	<input type="checkbox"/>
e.	<b>Conflict of Interest</b> Could your research result in a conflict of interest for the researcher (e.g. are there any power relationships between the researcher and the participants such as a researcher and their learners)? <b>Proposed Risk Mitigation</b>	<input type="checkbox"/>	<input type="checkbox"/>
f.	<b>Compensation to Participants</b> Will your research involve payments or other financial inducements (other than reasonable reimbursement of travel expenses or time) to participants? <b>Justification and Proposed Risk Mitigation</b>	<input type="checkbox"/>	<input type="checkbox"/>
g.	<b>Procedural</b> A requirement by an outside organisation (e.g. funding organisation, or collaboration) which requires Ara Human Ethics Subcommittee approval? <b>Details</b>	<input type="checkbox"/>	<input type="checkbox"/>
h.	<b>Are there any other ethical issues that should be drawn to the attention of the Human Ethics Subcommittee?</b> If you answered <b>Yes</b> , please provide additional information below explaining the ethical issue(s) and how it will be addressed	<input type="checkbox"/>	<input type="checkbox"/>

## Part B

### FOR PROPOALS WHERE HEALTH AND DISABILITY APPROVAL IS REQUIRED

Not all health and disability research require review. Confirm if you require approval from HDEC in Online Manual <http://ethics.health.govt.nz/applying>.

The flowchart on the next page should be used to determine if your project requires ethical approval by a Regional Health and Disability Ethics Committee.

#### Determine the type of approval procedure to be used (choose one option):

<p>If you answer YES to any of the questions 1 to 22 (Part A) and the HDEC flowchart result is "NO. HDEC review is NOT required for your study", then</p> <p><b>Prepare an application for the Department Research Committee using this template and adapting the following model consent and information forms</b></p>	<p>If you follow the HDEC flowchart and the result is "YES. HDEC review is required for your study", then</p> <p><b>Prepare an application using the Health &amp; Disability Ethics Committee Application Form</b></p>	<p>If you answer NO to all of the questions in part A and do not required HDEC review, then</p> <p><b>Complete the Postgraduate Research Application Form</b></p>
---	--	---

The HDEC website is: <http://www.ethics.health.govt.nz/applying-review>

# Does your study require HDEC review?

This flowchart summarises the definition of the scope of HDEC review in section 3 of the Standard Operating Procedures for Health and Disability Ethics Committees.

## 1. Main criteria

Will your research use or create a human gamete, a human embryo or a hybrid embryo?

yes  
no para 20

Does your study involve human participants recruited in their capacity as:

- consumers of health and disability support services, or
- relatives/caregivers of such consumers, or
- volunteers in clinical trials?

yes  
no para 27.1

Does your study involve the use, collection of storage of human tissue (as defined by the Human Tissue Act 2008)?

yes  
no para 27.2

Does one or both of the exceptions at paras 27.2.1 and 27.2.2 of the SOPs apply to this use, collection or storage?

yes  
no

Does your study involve the use or disclosure of health information (as defined by the Health Information Privacy Code 1994)?

yes  
no para 27.3

Does one or both of the exceptions at paras 27.3.1 and 27.3.2 of the SOPs apply to this use or disclosure?

yes  
no

Your study must be approved by the Ethics Committee on Assisted Reproductive Technology ([www.ecart.health.govt.nz](http://www.ecart.health.govt.nz)).

## 2. Exemptions

Does your study involve a medical device that is (or would be) classified as a low risk (class I) medical devices by Australia's Therapeutic Goods Administration?

yes  
no para 28

Is your study a minimal risk observational study?

yes  
no paras 29, 30

Is your study an audit or related activity?

yes  
no para 31

Does your audit or related study involve the use, collection or storage of human tissue without consent?

yes  
no

Does a statutory exception to the need to gain informed consent apply to this use, collection or storage?

yes  
no

Is your study an observational study that is to be conducted for the purposes of an educational qualification at Masters level or below?

yes  
no para 32

**YES.**

HDEC review is required for your study.

**NO.**

HDEC review is NOT required for your study.

## 3. Inclusions

Does your study involve the use of Guthrie cards?

yes  
no para 33.1

Is your study: funded by the Health Research Council, and not able to be reviewed by an HREC-approved university ethics committee?

yes  
no para 33.2

Does your application involve the establishment or maintenance of a tissue bank?

yes  
no para 33.3

## Model Consent Form for Postgraduate Research Interviews



*Instructions for use: Delete the above header. Text in red should also be deleted (including these instructions) once the appropriate action has been taken.*

### Consent Form

**Title of Research**

**Name of Researcher/s**

**Position of Researcher/s**

I have read and understood the information sheet for this research study and the details have been explained to me.

I have had the opportunity to discuss this study and my questions have been answered.

I understand that I have the right to ask further questions at any time. I understand that my participation in the study is entirely voluntary.

I understand that this interview will be audiotaped [or other method for recording information shared as applicable].

I agree to participate under the following conditions:

- I am free to withdraw at any time until the data analysis begins without giving reasons and without any disadvantage.
- My participation in this study is confidential and no material which could identify me will be used in the reports or publications from this study.
- I may decline to answer any questions.
- I can ask for the tape recorder to be turned off at any point during the interview.
- The tapes will be transcribed by a transcriber who has signed a confidentiality agreement. [if applicable]
- The transcripts will only be seen by the above-named researcher/s. [list anyone else who will have access to these]
- The tapes will be returned to me. *[if applicable]* The transcripts and this consent form will be stored securely at the Department of ... *[replace ... with your department]*, Ara for 5 years and then destroyed.

>>>

I wish to be sent a copy of the transcript from my interview to check for inaccuracies or to withdraw any comments I made that I do not want to be included.

☐ Yes

☐ No

I have x *[Replace the x with the appropriate number of weeks]* weeks to respond after receiving the transcript to make any changes or to withdraw my contribution. *[delete if not applicable]*

☐ Yes

☐ No

I wish to receive a copy of the results

☐ Yes

☐ No

Full name of participant

Signature of participant

Date

Signature of researcher

Date

*This study has been approved by the <<ethics committee>> on <<date>>, Reference # <<reference>>.*

## Model Information for Postgraduate Research Participants



*Instructions for use: Delete the above header. Text in red should also be deleted (including these instructions) once the appropriate action has been taken.*

### Consent Form

**Project Title**

**To**

**Researcher/s**

**Affiliation**

**Description of the Research**

**What will participating in the research involve?**

*Provide information on factors such as where the research will take place, how much time will be involved, what activity(s) your subjects will be performing, what things you intend to measure, and whether or not audio or video recordings will be made. Delete this highlighted section prior to printing.*

**What are the benefits and possible risks to you in participating in this research?**

**Your Rights**

*Delete any of the statements below which do not apply to your participants. Also delete this text prior to printing.*

- You do not have to participate in this research if you do not wish to.
- If you are a learner at Ara and decide to take part, you can withdraw from the research at any time and this will not affect treatment or assessment in any courses at Ara.
- If you are a patient or under the care of learners or staff from Ara, you can withdraw from the research at any time and this will not affect your treatment or assessment in any way.
- Once you have completed the research you have a *[specify an appropriate length of time]* period within which you can withdraw any information collected from you.
- You are welcome to have a support person present (this may be a member of your family/whanau or other person of your choice)
- You may request a summary of the completed research confidentially:  
*Provide information on how you will maintain confidentiality and implement anonymity procedures. Include a statement which says "Identifiable information about you will not be made available to any other people without your written consent". Also include a statement outlining where the data will be securely stored and for how long.*

>>>

If you wish to participate in this research, or if you wish to know more about it, please contact:

Contact person	<input type="text"/>
Department	<input type="text"/>
Email	<input type="text"/>
Work phone	<input type="text"/>
Mobile phone	<input type="text"/>

Supervisor name(s)	<input type="text"/>
Email	<input type="text"/>
Work phone	<input type="text"/>

HoD/Manager	<input type="text"/>
Work phone	<input type="text"/>

For any queries regarding ethics, please contact the Supervisor

## Checklist

### 1 Information for the Participant includes

- a ☐ An information sheet is available and attached  
The information sheet contains the following explanations:
- b ☐ i. the nature and purpose of the research  
☐ ii. possible hazards/risks of the activities  
☐ iii. the participants' rights to:  
☐ decline participation or withdraw from the activity  
☐ have privacy and confidentiality protected  
☐ receive information about the results in an appropriate form  
☐ iv. safe keeping of the consent forms and data

### 2 Recorded interviews *(if applicable)*

The participants will be informed of the following:

- ☐ That the interview is being recorded (audio/video/electronic/digital)  
☐ That they may stop the recording at any time  
☐ Who will use the recording and how  
☐ Who will transcribe the recording, if not the researcher  
☐ Who will see/use the transcription  
Storage and disposal of:  
☐ The recording  
☐ The transcription

Note: it is the researcher's responsibility to ensure the above issues are addressed during the research.

### 3 Consent

- a ☐ Participant consent form/s attached and complies with principles underlying participants' rights  
b For any other consent required, tick the appropriate box and attach copies  
☐ Guardian/proxy consent  
☐ Institutional/organisational consent  
☐ "Completion complies consent" statement attached to questionnaire

This study has been approved by the *[ethics committee]* on *[date]*, Reference # *[reference]*.



## Progress Report Form

### Section 1: Details of Candidature

Candidate's name	<input type="text"/>	Student ID No	<input type="text"/>
Principal Supervisor	<input type="text"/>		
Associate Supervisor	<input type="text"/>		
Thesis working title	<input type="text"/>		
Planned thesis submission date	<input type="text"/>		

### Section 2: Candidate's Progress Report

Please attach your milestones and rate progress

More than planned	Approximately what was planned	Less than planned
<input type="text"/>	<input type="text"/>	<input type="text"/>

Have you completed ethics application requirements?

Yes ☐

Reference

No ☐

Planned ethics submission date

If required, have you completed additional locality approval requirements?

Yes ☐

Reference

No ☐

Planned ethics submission date

Have you maintained contact with your supervisor(s) as agreed in your supervisor contract? *(please explain as necessary)*

Are there any issues or alterations to your original proposal? *(please explain as necessary)*

Are there any issues or concerns for your progress? *(please explain as necessary)*

### Section 3: Supervisors Progress Report

#### Principal Supervisor

Please rate the candidate's progress against the agreed milestones (*tick one*)

More than planned	Approximately what was planned	Less than planned

Are there any issues or concerns for the candidate's progress? (*please explain as necessary*)

#### Associate Supervisor

Please rate the candidate's progress against the agreed milestones (*tick one*)

More than planned	Approximately what was planned	Less than planned

Are there any issues or concerns for the candidate's progress? (*please explain as necessary*)

---

### Section 4: Combined Statement

We consider that the progression of this thesis is (*tick one*)

Satisfactory	Conceded Satisfactory	Unsatisfactory

We confirm that any issues or concerns regarding timely completion of the thesis (*see Section 3 above*) have been discussed and there is a plan in place to address any issues or concerns (*please outline as necessary*)

---

### Section 5: Sign Off

#### Signatures

Candidate	<div></div>	Date	<div></div>
Principal Supervisor	<div></div>	Date	<div></div>
Associate Supervisor	<div></div>	Date	<div></div>
Progress approval	Confirmed <input type="checkbox"/> Follow up required <input type="checkbox"/>		
Programme Leader	<div></div>	Date	<div></div>

## Form for Thesis Submission for Examination

This form **MUST** accompany the thesis on submission\*

### Section 1: Candidate's Details

Student ID	<input type="text"/>
Family Name	<input type="text"/>
Given Names	<input type="text"/>
Department	<input type="text"/>
Thesis Title	<input type="text"/>

### Section 2: Principal Supervisor's Details

Title	<input type="checkbox"/> Prof <input type="checkbox"/> A/Prof <input type="checkbox"/> Dr <input type="checkbox"/> Other (please specify) <input type="text"/>
Family Name	<input type="text"/>
Given Names	<input type="text"/>
Department	<input type="text"/>
Address	<input type="text"/>
Phone	<input type="text"/>

Declaration overleaf completed by supervisor\* ☐ Yes ☐ No

**\* NOTES:**

1. The purpose of this form is to ensure that submitted theses are sufficiently well presented to undergo timely examination.
  2. In the event that a supervisor is unwilling to certify that a thesis satisfies note 1, written comments detailing the supervisor's concern should be attached to the form.
- Candidates are required to countersign the form to indicate awareness of the supervisor's comments.

## Section 3: Certification

### Principal Supervisor

#### 1. Presentation of Thesis

In my opinion, the thesis is sufficiently well prepared to be examined ☐ Yes ☐ No

#### 2. Responsibility for Research

I hereby certify to the best of my knowledge that:

The research and writing embodied in the thesis/ISP are those of the candidate except where due reference is made in the text; ☐ Yes ☐ No

And assistance provided during the research phase has been appropriately described and acknowledged; ☐ Yes ☐ No

And editorial assistance in the writing of the thesis has been appropriately described and acknowledged; ☐ Yes ☐ No

#### 3. Ethics approval processes

I confirm that all ethics approval processes have been obtained for this project ☐ n/a ☐ Yes ☐ No

---

## Section 4: Sign off

### Signatures

Principal Supervisor	<input type="text"/>	Date	<input type="text"/>
Associate Supervisor	<input type="text"/>	Date	<input type="text"/>
Candidate	<input type="text"/>	Date	<input type="text"/>
Programme Leader	<input type="text"/>	Date	<input type="text"/>

# Form for Final Thesis Deposit into Library Database

**Notes:**

- Section A *Certificate of Regulatory Compliance* must be completed by all depositing students
- Section B *Thesis Deposit and Copyright Declaration*
  - sub-section 1 must be completed by all depositing students
  - sub-section 2 is only required if you have opted to self-print your thesis
  - sub-section 3 is only required if you are required/it is necessary to manually deposit a copy of your thesis
- Section C *Application for Approval to Embargo a Thesis* is only required if you require your thesis to be embargoed from public access

## Section A: Certificate of Regulatory Compliance *(this section is to be completed by all depositing students)*

This is to certify that the research carried out in the Masterate Thesis entitled:

Programme of Study

Year Completed

**Carried out by:**

Student ID Number

Student Name  Surname

Student Ara Email

In the Department of:

**at Ara Institute of Canterbury Ltd, New Zealand:**

- is the original work of the candidate, except as indicated by appropriate attribution in the text and/or in the acknowledgements
- the text, excluding appendices/annexes, is within the recommended word count
- all the ethical requirements applicable to this study have been complied with as required by Ara and other organisations and/or committees *(insert name(s) of the external organisation(s)/committee(s) if applicable)*

which had a particular association with this study, and relevant legislation. *(Ethical Authorisation Code(s) if applicable)*

Student Signature  Date

Principal supervisor

Signature  Date

Associate Supervisor

Signature  Date

Additional Associate Supervisor

Signature  Date

## Section B: Thesis Deposit and Copyright Declaration

### Part 1: Deposit and Declaration *(this sub-section is to be completed by all depositing students)*

In signing this form, I understand that –

- This material will be freely available on the internet via the library catalogue of Ara and other relevant academic databases
- I am still the copyright owner
- The digital copy (and/or hard copy if needed) will only be used for private research or study and may not be reproduced elsewhere without my permission

**AND** *(tick one below)*

☐ I confirm that my thesis **DOES NOT** contain **ANY** material of which copyright belongs to third parties, **(or)** that all such material falls within the limits permitted by the Copyright Act 1994.

**OR**

☐ I confirm that my thesis **DOES** contain material of which copyright belongs to third parties and which **I HAVE** obtained written permission, and attach copies of all permissions, for all material of which copyright belongs to third parties and which does not fall within the limits permitted by the Copyright Act 1994.

**OR**

☐ I confirm that my thesis **DOES** contain material of which copyright belongs to third parties and which **I HAVE NOT** obtained written permission. I have identified all such material in the digital copy of my thesis, and have submitted two digital copies: one with all material retained, for academic purpose only; and, one with copyright material removed and noted, which can be publicly available in the institutional repository.

Student's Signature

Date

### Part 2: Self-Printed Thesis *(complete this sub-section only if you have opted to self-print your thesis)*

I can confirm that the content of the digital version of this thesis is identical to the bound paper copy.

Student's Signature

Date

### Part 3: Manual Deposit *(complete this sub-section only if you are required/it is necessary to manually deposit a copy of your thesis)*

The electronic upload of my thesis is not possible for the following reason:

☐ Thesis exceeds maximum capacity

☐ Thesis to be examined by exhibition

☐ Other *(please specify)*

I will forward a copy of my thesis to the Research Office via:

☐ CD/DVD

☐ USB stick

☐ Hard/printed copy

☐ Other – *please specify*

Student's Signature

Date

**Section C: Application for Approval to Embargo a Thesis** *(complete this section only if you require your thesis to be embargoed from public access)*

As author of the above-named thesis, I request that my thesis be embargoed from public access until:

Date

**for the following reason(s)** *(select all that apply)*

- ☐ The thesis contains commercially sensitive information
- ☐ The thesis contains information which is personal or private and/or which was given on the basis that it would not be disclosed
- ☐ Immediate disclosure of the thesis' contents would not allow the author a reasonable opportunity to publish all or part of the thesis
- ☐ Other – *please specify*

**NOTE:** the standard embargo is for a maximum of two years.

*Justification (please provide information which supports this embargo request)*

Student Name

Surname

Student Signature

Date

Principal Supervisor

Signature

Date

**Decision** *(to be made by the Chief Executive of Ara, or delegate)*

☐ Approved

☐ Not Approved

Chief Executive

Signature

Date