

Unsatisfactory Progress Procedures

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Kupu Whakataki | Introduction

This document details the procedures to be followed by PhD students, their supervisors, Heads of Department/School (or their delegate), the Amo Rangahau | Dean of Postgraduate Research (or their delegate), and Te Kura Tāura | UC Graduate School where Unsatisfactory Progress has been identified through a Progress Report.

If Unsatisfactory Progress is identified through this process, the Unsatisfactory Progress Process may be initiated by the Amo Rangahau | Dean of Postgraduate Research, in line with Regulation 10(e) of the Regulations for the Degree of Doctor of Philosophy ([PhD Regulations](#)).

This document should be read in conjunction with the [PhD Regulations](#) and the [Research Student Supervision Policy](#). If anything in this document conflicts with UC Regulations or policies, the Regulations and policies prevail.

The decision making referred to below may be carried out by the decision maker named in this document or a person holding the relevant delegated authority.

While the University will endeavour to comply with the process set out in this document, any minor breaches in process will not invalidate the relevant decision making.

Aratohu | Procedure

1. Referral to Unsatisfactory Progress Process

The primary responsibility of a PhD student is to maintain sound academic progress under the guidance of their supervisory team. A PhD student must submit Progress Reports for consideration by their supervisory team and the Tumuaki Tari/Kura | Head of Department/School (HoD/S), and approval of the Amo Rangahau | Dean of Postgraduate Research, at six monthly intervals after the date at which Confirmation is approved by the Amo Rangahau | Dean of Postgraduate Research.

As part of the Progress Report, the Senior Supervisor, in consultation with the supervisory team, will consider the PhD student's progress over the prior six months and recommend to the Amo Rangahau | Dean of Postgraduate Research whether the student's progress is: (1) satisfactory, and they should continue their studies; or (2) unsatisfactory, and the Unsatisfactory Progress Process should be initiated. The student will have the opportunity to comment on the Senior Supervisor's comments within the Progress Report.

Next, the HoD/S will consider the Progress Report and recommendation from the Senior Supervisor and make a final recommendation to the Amo Rangahau | Dean of Postgraduate Research. The Amo Rangahau | Dean of Postgraduate Research will review the Progress Report and decide whether the student will be subject to the Unsatisfactory Progress Process. The Dean may seek further information or clarification from the Senior Supervisor and/or HoD/S before making a decision.

Te Kura Tāura | UC Graduate School will notify the PhD student in writing of the Dean's decision. If the decision is to refer the student to the Unsatisfactory Progress Process, Te Kura Tāura | UC Graduate School will advise the PhD student of the process that will be followed.

The PhD student may be referred to other appropriate University support services and resources for additional assistance, depending on their specific needs. This may be either as part of, in addition to, or instead of the referral to the Unsatisfactory Progress Process.

2. The Unsatisfactory Progress Process

The following steps will be undertaken when a PhD student is referred to the Unsatisfactory Progress Process:

1. Staff within Te Kura Tāura | UC Graduate School will request that the Senior Supervisor, in consultation with the HoD/S, draft specific and measurable conditions (**provisional conditions**) that the PhD student would be required to meet, within a set timeframe, to demonstrate satisfactory progress.
2. The provisional conditions and timeframes will be reviewed by the Amo Rangahau | Dean of Postgraduate Research. The Amo Rangahau | Dean of Postgraduate Research may request further information or clarification from the Senior Supervisor and/or HoD/S and may make any changes to the provisional conditions and timeframes that are considered necessary. This may include imposing additional conditions.
3. Once the Amo Rangahau | Dean of Postgraduate Research is satisfied with the provisional conditions and timeframes, the PhD student will be informed in writing of the provisional conditions and timeframes, and provided with an opportunity to respond. The response will be required within 10 working days of notification of the conditions to the PhD student.

4. The Amo Rangahau | Dean of Postgraduate Research may, at their discretion, consult further with the PhD student, the Senior Supervisor and/or HoD/S upon receipt of the student's response, and may invite the PhD student to meet with them to discuss the conditions and timeframes. This meeting would usually include the Senior Supervisor and may include the HoD/S.
5. The Amo Rangahau | Dean of Postgraduate Research will then make a final decision on the conditions and timeframes to be imposed (**confirmed conditions**). The PhD student, their Senior Supervisor, and the HoD/S will be notified of the confirmed conditions and timeframes, in writing, by the Amo Rangahau | Dean of Postgraduate Research. Notification will occur within 15 working days of the student's comments being received by the Amo Rangahau | Dean of Postgraduate Research.
6. Te Kura Tāura will maintain a record of the confirmed conditions imposed under the Unsatisfactory Progress Process.
7. Senior Supervisors will be requested to provide a report to the HoD/S and Te Kura Tāura about whether the PhD student has met the confirmed conditions, within 5 working days of the final date the condition was due. A student will have the opportunity to provide their view/comments on this report, particularly if the Senior Supervisor's view is that any of the conditions have not been met.
8. The Amo Rangahau | Dean of Postgraduate Research will make the final decision as to whether a confirmed condition/s has been met, based on the recommendation of the Senior Supervisor and HoD/S and any evidence provided. Where multiple conditions have been imposed, the Senior Supervisor may report either at the completion, or otherwise, of each condition or at the point at which all conditions should have been met.
9. Should the student fail to meet any or all confirmed conditions within the stipulated timeframe, the Amo Rangahau | Dean of Postgraduate Research may consider cancelling their enrolment in the PhD programme under PhD Regulation 14(a)(v). The PhD student will have the right to make a submission to the Amo Rangahau | Dean of Postgraduate Research before a decision on their enrolment is made under this Regulation (per PhD Regulation 14(b)).
10. Should a PhD student meet all required conditions, to the satisfaction of the Amo Rangahau | Dean of Postgraduate Research, then the Unsatisfactory Progress Process will cease. For the avoidance of doubt, completion of the Unsatisfactory Progress Process does not preclude the PhD student from being referred to another Unsatisfactory Progress Process on a later date, if a subsequent Progress Report identifies that the PhD student's progress has again been unsatisfactory.
11. Te Kura Tāura will inform the PhD student in writing of the Dean's decision regarding completion of the conditions and the next steps (if any).

3. *Appeal*

If a PhD student disagrees with a decision made by the Amo Rangahau | Dean of Postgraduate Research under the Unsatisfactory Progress Process, they may seek a

review of the decision by the Amo Rangahau | Dean of Postgraduate Research, or appeal the decision. Further information about this process is provided in the PhD Regulations and the General Regulations for the University, and in the Academic Appeal Procedures Guide for Students ([Concerns and complaints guide | University of Canterbury](#)).

He kōrero anō | Related Documents and Information

Ngā Waeture | UC Regulations

- [Academic Misconduct Regulations](#)
- [Appeals Regulations](#)
- [Doctor of Philosophy Regulations](#)
- [General Regulations](#)
- [Research Course Regulations](#)

Te Pātaka Kaupapa Here | UC Policy Library

- [Academic Integrity Guidance](#)
- [Animal Ethics Committee Code of Ethical Conduct](#)
- [Allocation of Academic Activities and Establishing Academic Staff Workload Policy](#)
- [Conflict of Interest Policy](#)
- [Emails To Enrolled Students Policy and Guidelines](#)
- [Equity and Diversity Policy](#)
- [Financial and Enrolment Information – Doctorate, Master’s Thesis, and Dissertation Students Policy](#)
- [Health, Safety and Wellbeing Policy](#)
- [Human Research Ethics Policy - Research Involving Human Participants](#)
- [Intellectual Property Policy](#)
- [Master's Thesis Work Policy and Guidelines](#)
- [Proofreading and Editing Guidelines](#)
- [Research Conduct Policy](#)
- [Research Student Supervision Policy](#)
- [Thesis Availability Policy](#)
- [Staff Code of Conduct](#)
- [Student Code of Conduct](#)

Te Pae Tukutuku me te Ipurangirotu o UC | UC Website and Intranet

- [A Guideline to Including Publications within a Doctoral or Research Master’s Thesis \(University website\)](#)
- [Forms and information for current doctoral students \(University website\)](#)
- [Te Kura Tāura | UC Graduate School Homepage \(University website\)](#)
- [Raise a concern for Staff and Students \(University website\)](#)
- [Research Homepage \(University website\)](#)
- [UC Policy Library \(University UC Policy Library website\)](#)
- [University of Canterbury homepage \(University website\)](#)

External Links

- [Immigration NZ \(Immigration New Zealand website\)](#)
- [Okanagan Charter](#)

Appendix | Tāpiritanga

Document History and Version Control Table			
Version	Action	Approval Authority	Action Date
1.00	Document approved following Graduate Research Committee in March 2024	Dean of Postgraduate Research	20 March 2024