

GUIDELINES FOR HIGHER DEGREES BY RESEARCH and PROFESSIONAL DOCTORATES

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GUIDELINES FOR HIGHER DEGREES BY RESEARCH and PROFESSIONAL DOCTORATES

These Guidelines are intended to provide guidance and an outline of the steps, stages and responsibilities involved for those undertaking or supervising or providing administrative support for candidature in a higher degree by research or a professional doctorate at the University.

The Guidelines should be read in conjunction with “Rules for Higher Degrees by Research and Professional Doctorates” which are available in the University Handbook and via the Student and Staff Drives and intranets in Policies/Academic.

They relate specifically to applications for candidature received from 1 July 2001 and candidature which began from 1 July 2001.

These Guidelines will also apply to candidates who commenced enrolment before 1 July 2001 except where any conflict of the Guidelines with the Rules governing candidature at the time of the candidate’s admission could cause detriment to the candidate.

1. Introduction

What is a higher degree by research or a professional doctorate?

Higher degrees by research and professional doctorates have two purposes: to train a candidate in advanced research skills and to enable a candidate to prepare a substantial piece of research work which represents a significant contribution to a particular field of study or professional area.

Research higher degrees are Master or Doctoral level programs of advanced study and research in a scholarly area in which the major component is the satisfactory completion of an advanced research project, culminating in a significant piece of scholarly writing (a thesis, dissertation or exegesis).

Professional doctorates are programs of advanced research and study involving a major advanced-level applied research project within the professional field, presented in the form of a thesis, dissertation or exegesis, together with a minor component of advanced level coursework.

A distinction is made between what is expected for a thesis submitted for a Master or a Doctoral degree. This is well stated in advice given to research higher degree candidates at the University of Cambridge, though it must be remembered that there are likely differences between different disciplines.

Doctoral Degree

“Before recommending the award of the PhD Degree, the Examiners shall satisfy themselves that the dissertation is clearly written, that it takes due account of previously published (thesis) work on the subject and that it represents a significant contribution to learning, for example, through the discovery of new knowledge, the connection of previously unrelated facts, the development of new theory or the revision of old ideas.”

Master Degree

“Before recommending the award of a Master degree, the Examiners shall satisfy themselves that the dissertation is clearly written, that it takes due account of previously published (thesis) work on the subject and that it represents a useful contribution to learning.”

The training role is summarised in a statement by the (UK) Committee of Vice-Chancellors and Principals (*“Postgraduate Training and Research” January 1985*) in which it is indicated that a successful Doctoral program should:

“give students a training which makes them capable subsequently of assuming the role of independent scholars and research workers at the highest level, capable of planning and carrying to completion a well conceived program of research directed towards a given objective, without the necessity of supervision from more experienced people. The ideal is to develop and bring to fruition the quality of originality.”

For a Master program, one would expect a similar but less demanding statement.

It is important to keep these aims in mind while reading these guidelines.

Context for the guidelines

The successful conclusion of a research higher degree (Master or Doctoral, including a professional doctorate, e.g. Doctor of Business Administration) is the result of sustained intellectual activity by the candidate, under the principal supervision of a member of academic staff, and within a faculty which provides appropriate resources and support to the candidate. There is a complex interaction involving many people and positions in the University during a student’s period of candidature.

This document provides a guide for the most usual situations and matters.

There could be individual circumstances in which it might be appropriate to depart from or vary these guidelines and the approval of the Deputy Vice-Chancellor would be required before departing from these guidelines.

The guidelines are arranged to follow roughly the progression from making an application to admission to the award of the degree. At each stage, the responsibilities of a candidate; a supervisor; a Dean; the Graduate Studies Sub-committee; the Director, Student Affairs; the Deputy Vice-Chancellor and relevant areas of University administration are outlined.

Overall responsibility

Overall responsibility for the administration and conduct of higher degrees by research, professional doctorates and candidature rests with the Deputy Vice-Chancellor.

2. Applicant’s/Candidate’s File

A file on each applicant/candidate will be established and maintained by Student Administration. It will contain original documentation and/or copies of all official correspondence and associated papers relating to an applicant’s or candidate’s standing within the University as an applicant or candidate for a higher degree by research or professional doctorate.

3. Applications and Initial Admission to Candidature in a Higher Degree by Research or a Professional Doctorate

Advertising areas of candidature

The University should advertise only those areas in which it is willing to accept, and able to support, candidates at either a Master or Doctoral level. In advertising these areas, Deans of faculties accept a responsibility to ensure that reasonable resources are, or will be, available to support a candidate in successfully completing the program.

Admission requirements

- The admission requirements for each higher degree by research and professional doctorate are given in the Schedule for each program within the “Rules for Higher Degrees by Research and Professional Doctorates”.
- An applicant for entry is expected to be able to demonstrate that the admission requirements have been met.

Applications for admission

Making an application

- Applications for admission should be made on the appropriate form approved by the Deputy Vice-Chancellor and available from Student Administration.
- An applicant need only outline the intended area of specialisation at this stage. Details of the research topic for the final thesis are not required until actual candidature.
- The completed application form should be submitted by the applicant to Student Administration.
- Any application which is received initially by a faculty must be forwarded to Student Administration as soon as it is received. This is to ensure that the application is complete and that any necessary additional information or documentation has been obtained.

Processing an application when it is first received

- Student Administration will liaise with the International Office when an application is from an international applicant.
- Student Administration will check that the application is complete in all details and, if necessary, obtain any necessary additional information or documentation such as statements of equivalence for overseas applicants, confirmation of appropriate standards of English proficiency and statements of periods of previous enrolment (for higher degree by research candidates transferring from other institutions).
- Student Administration will allocate an application/student number for the application, record the applicant’s details, create an applicant’s/candidate’s file and place all documentation relating to the application and any subsequent candidature on that file.
- Student Administration will forward a copy of the completed application and any accompanying documentation to the co-ordinator of research training in the relevant faculty.

Considering an application at faculty level

Faculty co-ordinator of research training

- The co-ordinator of research training in the relevant faculty will arrange for initial assessment of the applicant’s eligibility and suitability for admission. The assessment will be based on the written information provided in or with the application form, must include an assessment of the human resources available for adequate and appropriate supervision and of the other resources available/necessary for support of candidature; any confidentiality and/or commercial agreements that may need to be entered into with any sponsors of the candidate’s general area of research or other parties; and, if appropriate, should include the names of a proposed supervisor/s.

- In making an assessment, a faculty's co-ordinator of research training may request and consider any additional information provided either orally or in writing by an applicant. The co-ordinator should ensure that, wherever possible, there is dialogue and consultation with an applicant to clarify any matters. A file note or record of conversation should be made of any discussions with an applicant and should be attached to the application form for future reference.
- The faculty co-ordinator of research training should also discuss with the applicant and with appropriately qualified academic staff the possibilities for supervision within the area of research proposed by the applicant.
- The faculty's co-ordinator of research training will forward the application, together with the initial written assessment and any preliminary contractual documentation, to the Dean of the relevant faculty.

Confidentiality and/or commercial agreements

- Where confidentiality or commercial agreements may need to be entered into, before forwarding the application to the Dean of the relevant faculty, the faculty co-ordinator for research training will consult the Executive Officer: Learning, Teaching and Research who will arrange for preparation of preliminary contractual documentation between the parties.

Dean of faculty

- The Dean of the relevant faculty will review the initial assessment of the applicant's eligibility and, where the initial assessment includes a recommendation to admit the applicant, discuss with the applicant and the proposed supervisor the resources needed to pursue the proposed research (e.g. library, computing, laboratory, technical assistance) and any special requirements of the project such as confidentiality or commercial agreements, access to equipment or support from external sources.
- The Dean of the relevant faculty will consult the applicant and appropriate members of the academic staff before nominating a supervisor or supervisors for a prospective candidate.

Considerations for a Dean in appointing an initial supervisor

- The Dean of the relevant faculty must nominate a supervisor or supervisors and determine who is to be the principal supervisor of the candidate. The Dean of the relevant faculty must ensure that a nominated supervisor is aware of the responsibilities of a supervisor and has agreed to accept these responsibilities with respect to the candidate. (See later Section, Supervisor's Responsibilities to Candidate)
- A candidate's principal (or sole) supervisor must be a member of the academic staff of the faculty in which the candidate is enrolled.
- The principal supervisor will normally have a doctoral higher degree by research or professional doctorate or at least a degree at the same level as that being undertaken by the candidate and in the same broad field, a sound research record, be an active researcher and have previous supervisory experience. If any of these requirements are not met, a co-supervisor or consultant supervisor must be appointed.
- Co-supervisors may be appointed from among other members of academic staff, clinical lecturers or other staff of the University, as approved by the Dean of the relevant faculty. Where the candidate is conducting research in a precinct outside the University, or under other circumstances

approved by the Dean of the relevant faculty and Graduate Studies Sub-committee, a Consultant supervisor who is not a member of staff of this University may also be appointed.

- A panel of supervisors may be appointed, particularly in cases where the proposed research is interdisciplinary. In such cases, one member of the panel who is a member of a relevant area of study will be designated as the principal supervisor. The principal supervisor will be responsible for the co-ordination of supervision of the candidate, and must hold regular and frequent meetings with the candidate, other supervisors or panel.
- In nominating any supervisor, the Dean of the relevant faculty will take into account the number and progress of other candidates under the same supervisor, the experience of the supervisor and the plans of the potential supervisor in respect of leave, teaching or administrative commitments.

Dean's recommendation on the application

- The Dean of the relevant faculty will then decide to admit or not admit the applicant to Stage One: Provisional Candidature. [A Dean cannot admit an applicant to Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature. Only the Graduate Studies Sub-committee, or a person or persons acting with specific delegated authority from the Sub-committee, can admit an applicant to one of these two Stages of candidature. If the Dean wishes to recommend to the Graduate Studies Sub-committee that an applicant be admitted at Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature then documentary evidence must be provided to the Sub-committee to support that recommendation. See also Section 4 – Enrolment/Candidature Stages.]
- In admitting or recommending an applicant, the Dean of the relevant faculty is giving an undertaking that resources are, or will be made available for continued supervision and support of the candidate and that the resources and services for the candidate as specified in the appended Statement on Basic Infrastructural Resources and Services for Higher Degree by Research Candidates will be provided.
- Additional support to a candidate (e.g. a grant to assist a candidate to attend conferences, administrative assistance in preparation of manuscripts for publication) will depend on the level of resources available in the faculty for all of its members.
- The Dean of the relevant faculty will arrange for the Executive Officer: Learning, Teaching and Research to finalise any confidentiality or commercial agreements relating to the application and will append to the application a copy of any final signed agreement in a sealed envelope clearly marked “Confidential agreement – Not to be opened without written permission of Deputy Vice-Chancellor”.
- The Dean of the relevant faculty will advise Student Administration, using the appropriate form approved by the Deputy Vice-Chancellor, of the decision or recommendation made on the application and provide any relevant information which should include:
 - (a) that the applicant is appropriately qualified to enter the program
 - (b) that, within the proposed area of specialisation, there is scope for research work, which is appropriate for the relevant degree both in its depth and duration
 - (c) any condition which should be placed on admission of an applicant, such as pre- or co-enrolment in prescribed courses or the mastery of specific skills. This may include initial enrolment in a Master program with the intent of upgrading to a Doctoral program if performance is satisfactory
 - (d) a broad indication of the program of advanced study and research to be undertaken
 - (e) the candidate's proposed enrolment mode (full-time or part-time)
 - (f) advice of a proposed starting date, as agreed with the applicant

- (g) the proposed supervisor/s appointed by the Dean
 - (h) that adequate facilities and resources are available for support of the candidate and successful completion of the degree
 - (i) the applicant's fee-paying category
 - (j) in the case of a candidate who is transferring from another higher degree by research program or professional doctorate, the stage of candidature (Provisional, Probationary or Confirmed) in which the candidate should be enrolled. (See Section 4, Enrolment/Candidature Stages.)
 - (k) whether a confidentiality or commercial agreement applies to the candidate's research.
- If admission to a program is dependent on the award of a grant either from within the University or from external sources, the Dean of the relevant faculty must advise the applicant, potential supervisor, Student Administration and Deputy Vice-Chancellor of this.

Periods of previous enrolment counting towards candidature

- If an applicant has previously been enrolled in a research higher degree or professional doctorate at another institution, the Deputy Vice-Chancellor, on the advice of Student Administration, will determine any period of prior enrolment to be counted towards the period of time to complete the candidature at this University.

Admission to candidature

- As indicated previously, a Dean of a faculty can decide to admit or not admit an applicant to Stage One: Provisional Candidature. [A Dean cannot admit an applicant to Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature. Only the Graduate Studies Sub-committee, or a person or persons acting with specific delegated authority from the Sub-committee, can admit an applicant to one of these two Stages of candidature. If a Dean wishes to recommend to the Graduate Studies Sub-committee that an applicant be admitted at Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature then documentary evidence must be provided to the Sub-committee, through Student Administration, to support that recommendation. See also Section 4 – Enrolment/Candidature Stages.]
- Student Administration will enter on the applicant's/candidate's file and records, the decision and date of the decision by the Dean of the relevant Faculty to admit/not admit the applicant; and, if admitted, enter details of the candidature forwarded by the Dean of the relevant faculty and any period of prior enrolment counting towards candidature.
- If the Dean has recommended admission at either Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature, Student Administration will enter on the applicant's/candidate's file and records, the recommendation made and the date of the recommendation and forward copies of the Dean's recommendation and supporting documentation to the Graduate Studies Sub-committee.
- The Director, Student Affairs will officially advise the applicant of the outcome of the application regardless of whether the decision was made by a Dean of a Faculty or by the Graduate Studies Sub-committee.
- In all documentation provided to the applicant in relation to admission to candidature and initial enrolment, the Director, Student Affairs will ensure that there is a clear statement of the stage of candidature in which the candidate will enrol initially. (Also see Section 4 below, Enrolment/Candidature Stages.)
- For each applicant admitted to Stage One: Provisional Candidature, the documentation to be provided to the applicant must include the information that, subject to an appropriate research project, appropriate supervision arrangements and an adequate resource base for the candidature

being defined to the satisfaction of the Graduate Studies Sub-committee, the candidate would normally then be admitted to Stage Two: Probationary Candidature; however, if the Graduate Studies Sub-committee determined that these matters had not been satisfactorily addressed then the candidature and enrolment normally would be terminated.

- As soon as practicable after an applicant has been admitted to Stage One: Provisional Candidature by the Dean of the relevant faculty, Student Administration will advise the proposed supervisor/s, the co-ordinator of research training in the relevant faculty, the Office of the Deputy Vice-Chancellor and the Graduate Studies Sub-committee of the admission, including details of the candidate's name and contact details, application/student number, program of enrolment (e.g. PhD), faculty of enrolment, broad area of research, name of initial supervisor/s, mode of attendance (full-time or part-time), fee-category and proposed commencement date.
- For each applicant admitted to Stage Two: Probationary Candidature, the documentation to be provided to the applicant must include the information that, subject to making satisfactory progress as a probationary candidate, as determined by the Graduate Studies Sub-committee, the candidate would normally then be admitted to Stage Three: Confirmed Candidature; however, if the Graduate Studies Sub-committee determined that the candidate had not made satisfactory progress then the candidature and enrolment normally would be terminated.
- For each applicant admitted to Stage Three: Confirmed Candidature, the documentation to be provided to the applicant must include the information that continued candidature is dependent on satisfactory progress being made and that if the candidate does not make satisfactory progress then the candidature and enrolment normally would be terminated.
- The documentation for an applicant who is effectively transferring from enrolment in another higher degree by research or professional doctorate must include a statement of the amount of time of enrolment in the previous program/s which is to be counted towards completion of the program to which the applicant is being admitted.

4. Enrolment/Candidature Stages

Initial enrolment

- Student Administration will arrange for enrolment in Stage One: Provisional Candidature of an applicant granted admission by a Dean or for enrolment in Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature of an applicant granted admission to one of these two Stages by the Graduate Studies Sub-committee. (See later for a description of Provisional, Probationary and Confirmed candidature.)
- Following completion of initial enrolment, Student Administration will advise the initial supervisor/s, Dean of the relevant faculty, Deputy Vice-Chancellor and Graduate Studies Sub-committee of the actual commencement date of the candidate, stage of candidature, attendance mode (full-time or part-time), fee-category and the date on which the candidate's Provisional/Probationary Candidature (where applicable) is due to conclude.

Form of attendance (full-time or part-time)

- Enrolment should be full-time if the program to be followed will be the main activity of the candidate. It is assumed that full-time candidates will devote at least normal working hours to their work in the program of advanced study and research.
- Full-time candidates may undertake part-time employment to supplement or provide income but the employment must not detract from the candidate's ability to make satisfactory progress in full-time candidature.

- Candidates who have permanent employment involving more than an average of 20 hours a week are advised to enrol in the program on a part-time basis.
- The Director, Student Affairs, in consultation with the relevant Dean, is responsible for ensuring that the candidate is correctly enrolled on a full-time or part-time basis.
- In any case of dispute concerning a decision made by the Director, Student Affairs about the form of attendance of a candidate, the matter will be referred to the Graduate Studies Sub-committee for consideration.

Stages of candidature

Enrolment as a candidate for a research higher degree or a professional doctorate involves three separate and sequential stages of candidature and enrolment. The nature of candidature is different in each stage and there are different expectations and requirements in each stage as outlined below.

Stage One: Provisional candidature

- Normally, a candidate is initially enrolled in Stage One: Provisional Candidature unless the candidate has transferred from another higher degree by research or a professional doctorate and has been admitted to Stage Two: Probationary Candidature or Stage Three: Confirmed Candidature.
- Student Administration will detail on a candidate's file and records the commencement date in Stage One: Provisional Candidature and the anticipated completion date of Stage One: Provisional Candidature, depending on form of attendance.
- Full-time provisional candidates will have eight weeks from the date of first enrolment in which to develop and prepare, in consultation with their supervisor/s, a written outline of their intended research. This should indicate, in general terms, what is to be researched, why it is to be researched and an early indication of how it is proposed to undertake that research.
- Part-time provisional candidates will have 16 weeks from the date of first enrolment in which to develop and prepare, in consultation with their supervisor/s, a written outline of their intended research. This should indicate, in general terms, what is to be researched, why it is to be researched and an early indication of how it is proposed to undertake that research.
- Student Administration will give the candidate, supervisor/s, the co-ordinator of research training and the Dean of the relevant faculty four weeks' notice of the due date for submission of the candidate's written outline of the intended research.
- The principal supervisor of a provisional candidate is responsible for ensuring that the candidate understands the demands of, and expectations for, undertaking the program; is trained in appropriate methods for identifying a research area/issue; introduced to appropriate research skills; and supported in identifying and preparing an outline of an intended area of research.
- The co-ordinator of research training and the Dean of the relevant faculty are responsible for arranging access by the candidate to University and other resources and facilities needed to support the candidate, e.g. work space, computer and communications access.
- The Dean of the relevant faculty is responsible for forwarding to Student Administration, by the due date, the candidate's written outline together with the Dean's advice about whether the candidate should be accepted to the next stage of candidature, the name/s of the candidate's

supervisor/s and a statement about the resources available to support the research. The Dean's written advice will include signed agreement by the nominated supervisor/s.

- Student Administration will enter receipt of the candidate's outline and Dean's statement on the candidate's file and records and forward a copy to the Graduate Studies Sub-committee.
- The outline of intended research will be considered by the Graduate Studies Sub-committee alongside the Dean's advice about whether the candidate should be accepted to the next stage of candidature (Stage Two: Probationary Candidature), the names and credentials of the candidate's supervisors and a statement about the resources available to support the research.
- The Graduate Studies Sub-committee may then either authorise the candidate to continue to Stage Two: Probationary Candidature or resolve that the candidature be terminated. If the Sub-committee resolves that the enrolment is to be terminated it must document its reasons for terminating the candidature.
- In exceptional circumstances only, the Graduate Studies Sub-committee may determine to extend a period of provisional candidature and must document its reasons for making this decision.
- Student Administration will record details of the Graduate Studies Sub-committee's decision on the candidate's file and records, including the dates of completion of Stage One: Provisional Candidature, or termination of candidature or start and end dates of any extension of provisional candidature.
- If approval is given for a candidate to progress to Stage Two: Probationary Candidature, Student Administration will advise the candidate, the candidate's supervisor/s and the co-ordinator of research training and the Dean of the relevant faculty of the Graduate Studies Sub-committee's decision.
- In cases where the Graduate Studies Sub-committee has determined to extend provisional candidature or terminate candidature, the Director, Student Affairs will officially advise the candidate, the candidate's supervisor/s and the co-ordinator of research training and the Dean of the relevant faculty of the decision and include the reasons given by the Sub-committee for the decision. In the event of any extension of provisional candidature, the candidate will be advised in writing that no additional extension of provisional candidature may be granted.

Stage Two: Probationary candidature

- A candidate who satisfactorily completes Stage One: Provisional Candidature is authorised to progress to Stage Two: Probationary Candidature.
- Student Administration will record on the candidate's file and records the commencement date and anticipated completion date of the period of probationary candidature.
- Full-time probationary candidates will have six months, and part-time candidates will have 12 months, from the date on which the candidate was admitted to Stage One: Provisional Candidature to develop and prepare, in consultation with the candidate's supervisor, full details of a research proposal including:
 - (a) an explication of the research issue or problem or question or hypothesis
 - (b) a comprehensive literature review
 - (c) details of the proposed methodology
 - (d) a bibliography
 - (e) proposed timelines for completion of various stages of the research and thesis
 - (f) the names of the supervisor/s

(g) documentary evidence of ethics approvals where applicable (See Section 9, Ethics Approval).

- The candidate is responsible for submitting the research proposal, together with a request to be admitted to Stage Three: Confirmed Candidature, to the Graduate Studies Sub-committee, through the Dean of the relevant faculty.
- The candidate is responsible for consulting widely within the area of study in order to arrive at a suitable choice of topic for research. Wider consultation may be necessary in the case of interdisciplinary programs. The description of the thesis topic must be completed during the probationary candidature.
- The supervisor is responsible for providing regular and frequent guidance and support to the candidate in preparing the research proposal and meeting the time requirements for completion of the research proposal.
- The Dean of the relevant faculty may require the candidate to make a presentation on the research proposal in a seminar before allowing the candidate to make application for confirmation of candidature.
- If a Dean believes that there might be a case to recommend termination of candidature, the Dean must advise the candidate of this in writing, give the candidate the opportunity to make a representation orally or in writing on why the candidature should not be terminated, and take the candidate's representation into account before making any recommendation to the Graduate Studies Sub-committee.
- The Dean of the relevant faculty is responsible for forwarding the research proposal and application to be admitted to Stage Three: Confirmed Candidature to the Graduate Studies Sub-committee, through Student Administration.
- In forwarding the research proposal and application, the Dean of the relevant faculty will include a recommendation, with reasons, to admit the candidate to Stage Three: Confirmed Candidature or extend enrolment in Stage Two: Probationary Candidature for a specified period or terminate the candidature.
- Student Administration will enter details of the candidate's research proposal and application and the Dean's recommendation on the candidate's file and records and forward a copy of the documentation to the Graduate Studies Sub-committee.
- The research proposal and Dean's recommendation will be considered by the Graduate Studies Sub-committee which may then confirm the candidature or extend the probationary candidature. If the Graduate Studies Sub-committee believes that there might be a case to recommend termination of candidature, the Sub-committee will advise the candidate of this, give the candidate the opportunity to make a representation orally or in writing on why the candidature should not be terminated, and take the candidate's representation into account before reaching any decision. If the Sub-committee decides that the probationary candidature is to be extended or terminated it must document the reasons for this decision.
- Student Administration will record details of the Graduate Studies Sub-committee's decision on the candidate's file and records, including the dates of completion of Stage Two: Probationary Candidature or termination of candidature or start and end dates of any extension of probationary candidature.
- If approval is given for a candidate to progress to Stage Three: Confirmed Candidature, Student Administration will advise the candidate, the candidate's supervisor/s and the co-ordinator of

research training and the Dean of the relevant faculty of the Graduate Studies Sub-committee's decision.

- In cases where the Graduate Studies Sub-committee has determined to extend probationary candidature or terminate candidature, the Director, Student Affairs will officially advise the candidate, the candidate's supervisor/s and the co-ordinator of research training and the Dean of the relevant faculty of the decision and include the reasons given by the Sub-committee for the decision. In the event of any extension of probationary candidature, the candidate will be advised in writing that provisional candidature cannot be extended beyond 12 months for a full-time candidate or 24 months for a part-time candidate.

Stage Three: Confirmed Candidature

- If the Sub-committee is satisfied with a full research proposal then the candidate is admitted to Stage Three: Confirmed Candidature.
- During this period of candidature the candidate and supervisor are responsible for ensuring that the candidate makes good progress with the research and thesis with a view to completing the thesis in minimum time.

Variation of form of attendance (full-time or part-time)

- If a candidate wishes to transfer from full-time to part-time enrolment, or vice versa, an application must be made, using the form approved by the Deputy Vice-Chancellor and available from Student Administration. The form will include a section in which the applicant must indicate proposed new dates for submitting either the full research proposal or the Thesis.
- A candidate must not assume that a request for variation of attendance mode will be granted since there are many issues to be considered in an application.
- The Graduate Studies Sub-committee will consider an application for variation of mode of attendance and, in making a decision, will take into account the candidate's reasons for seeking a variation, progress made by the candidate, the candidate's personal circumstances, and any implications arising from the "Rules for Higher Degrees by Research and Professional Doctorates" and the Commonwealth of Australia's Research Training Scheme.
- The Graduate Studies Sub-committee will advise Student Administration of any change to a candidate's enrolment status.
- The Director, Student Affairs will officially advise the candidate, the supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of any approved change to a candidate's enrolment status, the effective date of that change and the revised date by which the candidate is expected to submit either the Research Plan (full research proposal) or Thesis and Student Administration will enter details of any variation of enrolment status on the candidate's file and records.

Suspension of candidature/enrolment

- If a candidate wishes to suspend candidature/enrolment for a period, an application must be made, using the form approved by the Deputy Vice-Chancellor and available from Student Administration. The form will include a section in which the applicant must indicate proposed new dates for submitting either the Research Plan (full research proposal) or the Thesis.

- Candidates and supervisors should note that during any period of suspension all entitlements that a candidate would normally have as an enrolled candidate at the University cease, including supervision by staff and access to and use of University space, facilities and services.
- Candidates who intend to make application for suspension of candidature should ensure that suitable arrangements are made to ensure the storage and security of any research data, including electronic data, during any periods of suspension granted.
- Periods of suspension from candidature do not count towards time taken to complete a stage of candidature or the program and are not taken into account in calculating the maximum period of candidature.
- A candidate must not assume that a request for suspension from candidature will be granted since there are many issues to be considered in an application.
- The Graduate Studies Sub-committee will consider an application for suspension of candidature and, in making a decision, will take into account the candidate's reasons for seeking the suspension, progress made by the candidate, the candidate's personal circumstances and any implications arising from the "Rules for Higher Degrees by Research and Professional Doctorates" and the Commonwealth of Australia's Research Training Scheme.
- The Graduate Studies Sub-committee will advise Student Administration of any change to a candidate's enrolment status.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of any approved change to a candidate's enrolment status, the commencement and concluding dates for any period of suspension granted and the revised date by which the candidate is expected to submit either the Research Plan (full research proposal) or Thesis.
- Student Administration will record details of any period of suspension granted and effect the necessary changes to the candidate's enrolment status.

Concurrent enrolment

- A candidate for a higher degree by research or professional doctorate cannot be enrolled concurrently as a candidate in any other degree program at this or any other tertiary institution, unless this is approved by the Graduate Studies Sub-committee.
- If concurrent enrolment is approved, the supervisor, co-ordinator of research training and the Dean of the relevant faculty and the Graduate Studies Sub-committee must have a clear understanding of the extent of the work being done by the candidate for both programs in which the candidate is enrolled.
- A Doctoral candidate may be permitted, however, to undertake a period of study at another tertiary institution if the proposed studies are a necessary and integral part of the candidate's research program. In such cases, access of the candidate to facilities at the other institution and supervision within that institution, must be arranged through the supervisor and be approved in advance by the Dean of the relevant faculty and the Graduate Studies Sub-committee.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee, and Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

Transfer of candidature

Transfer from Master degree by research to Doctor of Philosophy

- A candidate for a Master degree by research in this University who wishes to apply for approval to transfer to candidature for a Doctor of Philosophy should obtain the appropriate form, approved by the Deputy Vice-Chancellor, from Student Administration and submit the completed form to Student Administration.
- Student Administration will forward a copy of the completed form to the candidate's supervisor and Dean of the relevant faculty and seek their recommendation on the application.
- The supervisor and Dean of the relevant faculty will forward a joint written recommendation to Student Administration on the application.
- Student Administration will forward a copy of the application and recommendations to the Graduate Studies Sub-committee for consideration.
- A candidate who transfers from a Master by research program to the Doctor of Philosophy will be deemed to have commenced candidature in the Doctor of Philosophy from the time of admission to candidature in the Master by research program.
- A candidate who transfers from a Master by research program to the Doctor of Philosophy may be required by the Graduate Studies Sub-committee to complete a revised research proposal.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee.
- Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

Transfer from Doctor of Philosophy to Doctor of Business Administration

- A candidate for the Doctor of Philosophy in this University who wishes to apply for approval to transfer to candidature for a Doctor of Business Administration should obtain the appropriate form, approved by the Deputy Vice-Chancellor, from Student Administration and submit the completed form to Student Administration.
- Student Administration will forward a copy of the completed form to the candidate's supervisor and the Dean of the relevant faculty and seek their recommendation on the application.
- The supervisor and Dean of the relevant faculty will forward a joint written recommendation to Student Administration on the application.
- Student Administration will forward a copy of the application and recommendations to the Graduate Studies Sub-committee for consideration.
- A candidate who receives approval to transfer from the Doctor of Philosophy to the Doctor of Business Administration program will be deemed to have commenced candidature in the Doctor of Business Administration from the time of admission to candidature in the Doctor of Philosophy program.

- Student Administration will advise the candidate, supervisor/s and Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee, effect any change of enrolment and enter appropriate details in the candidate's file and records.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee.
- Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

Transfer from Doctor of Philosophy to Master degree by research

- A candidate for the Doctor of Philosophy in this University who wishes to apply for approval to transfer to candidature for a Master degree by research should obtain the appropriate form, approved by the Deputy Vice-Chancellor, from Student Administration and submit the completed form to Student Administration.
- Student Administration will forward a copy of the completed form to the candidate's supervisor and the Dean of the relevant faculty and seek their recommendation on the application.
- The supervisor and Dean of the relevant faculty will forward a joint written recommendation to Student Administration on the application.
- Student Administration will forward a copy of the application and recommendations to the Graduate Studies Sub-committee for consideration.
- A candidate who receives approval to transfer from the Doctor of Philosophy to a Master by research program will be deemed to have commenced candidature in the Master by research program from the time of admission to candidature in the Doctor of Philosophy program.
- Student Administration will advise the candidate, supervisor/s and Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee, effect any change of enrolment and enter appropriate details in the candidate's file and records.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee.
- Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

5. Candidate's Responsibility to the Supervisor

Note: This section should be read in conjunction with the separate document, "Responsibilities of Supervisors and Candidates for Higher Degrees by Research".

- The nature of a candidate's supervision may vary according to different fields of research and disciplines; however, the following general principles apply:
- The candidate should:
 - (a) discuss with the supervisor the type of guidance and comment the candidate would find most helpful

- (b) negotiate a schedule of meetings with the supervisor and maintain that schedule
- (c) accept the responsibility for raising with the supervisor any problems or difficulties, including, for example, issues related to meeting the requirements of provisional and probationary candidature, progress with the research and thesis, and supervision
- (d) maintain the progress of the work as required for provisional and probationary candidature and as documented in the Research Plan (full research proposal) approved by the Graduate Studies Sub-committee (The Research Plan may be amended as the work progresses but this must be reported to the Graduate Studies Sub-committee in Progress Reports.)
- (e) present written material (reports, drafts and outlines) by submission dates and in sufficient time for the supervisor to consider, comment on, and discuss the work with the candidate before that work proceeds further and in order that the supervisor has sufficient lead time for preparation of the six monthly supervisor's progress report
- (f) consult the supervisor in deciding when the thesis is ready for submission.

6. Supervisor's Responsibility to the Candidate

Note: This section should be read in conjunction with the separate document, "Responsibilities of Supervisors and Candidates for Higher Degrees by Research".

- The nature of supervision may vary according to different fields of research and disciplines; however, the following general principles apply:
- The supervisor should:
 - (a) give guidance about the nature of the research, the expected standard of performance, work requirements and completion times for provisional and probationary candidature, and advice on the planning of the research program, sources of information, attendance at programs where appropriate and any techniques in which the candidate needs to become proficient
 - (b) maintain regular and frequent contact with the candidate, according to an agreed timetable
 - (c) be accessible to the candidate, within reason, at other times
 - (d) give detailed advice on the timing of various stages of the Research Plan (full research proposal)
 - (e) ensure that progress of the candidate is sufficiently well monitored through such means as submission of written material, the giving of seminars and the presentation of papers at appropriate meetings. In particular, the supervisor may arrange for the candidate to present and define the Research Plan (full research proposal) to the faculty of enrolment or other forum
 - (f) constructively criticise the work of the candidate, ensuring such criticism is available to the candidate in reasonable time after submission or presentation of the work
 - (g) ensure the candidate is made quickly aware of any perceived inadequacies in the work as it proceeds, and discuss with the candidate ways in which those inadequacies may be addressed
 - (h) maintain an up-to-date and comprehensive file on the candidate's work and progress for purposes of monitoring and guiding the candidate's work and providing timely feedback
 - (i) where appropriate, advise the candidate of the requirements for ethics approval of research involving humans and animals and guide and supervise the candidate's preparation of applications for ethics approval
 - (j) inform the candidate of, and encourage attendance at, any induction or research training programs available (for example, library and research skills.)
 - (k) when the thesis is nearly ready for examination, consult the Dean of the relevant faculty concerning possible examiners for the thesis in order that the Dean may make appropriate recommendations to the Graduate Studies Sub-committee for appointment of examiners.

7. Change of Supervisor

- A candidate or supervisor may make a written request, through the Dean of the relevant faculty, to the Graduate Studies Sub-committee for a change of supervisor. If the Dean of the relevant faculty is the supervisor and the request is from a candidate, the candidate may choose to forward the request to the Deputy Vice-Chancellor.
- It is strongly recommended that, before making a formal request, the candidate or supervisor discuss the matter in the first instance with the Dean of the relevant faculty or, if the Dean is the supervisor, with the Deputy Vice-Chancellor or the Deputy Vice-Chancellor's nominee on the matter.
- A Dean of a faculty may make a written request to the Graduate Studies Sub-committee to change the supervisor of a candidate's research work and thesis, giving reasons for the request. Where possible and practicable, a Dean must first discuss the matter with the candidate, the current and proposed supervisor/s and advise them of the intention to request a change of supervisor before submitting the request.
- In cases where the Dean of the relevant faculty is the supervisor of the candidate, the Deputy Vice-Chancellor may make a request to the Graduate Studies Sub-committee to change the supervisor of a candidate's research work and thesis, giving reasons for the request. Normally, the Deputy Vice-Chancellor, or the Deputy Vice-Chancellor's nominee on the matter, would first discuss the matter with the candidate and the supervisor and advise them of the intention to request a change of supervisor before submitting the request.
- Requests for a change of supervisor should be based on reasonable grounds, such as personality clash, change of direction of the research project, change in workload or workplace of the supervisor, foreseen extended illness of a supervisor.
- The Dean of the relevant faculty (or Deputy Vice-chancellor) will forward the request, together with a recommendation on the request and, where appropriate, the name/s of the proposed replacement supervisor/s, to Student Administration who will enter details of the request on the candidate's file and records and forward a copy of the request and recommendation to Graduate Studies Sub-committee for consideration.
- Student Administration will enter on the candidate's file and records the decision/s made by the Graduate Studies Sub-committee and formally advise the candidate, original supervisor, any replacement supervisor and co-ordinator of research training and the Dean of the relevant faculty of the decision/s.

8. Dean's Responsibilities in Relation to Candidate

- The Dean of the relevant faculty must maintain an overseer role, ensuring that the candidate's progress is satisfactory, that the supervisor is providing adequate training, support and guidance to the candidate, that appropriate resources are available to the candidate and that the candidate is reasonably informed regarding the resources and facilities available as a candidate within and, where appropriate beyond, the faculty.
- The Dean of the relevant faculty or the Dean's delegate (usually the faculty's co-ordinator of research training) will be responsible for ensuring that six monthly progress reports are prepared by each of the candidate and the supervisor; that any problems indicated in either report are addressed and, where possible resolved; and monitoring the candidate's overall performance and progress to ensure that the candidate is being adequately assisted within the faculty to meet the

requirements of provisional and probationary candidature and complete the thesis with minimum delay.

- If the Dean of the relevant faculty is the candidate's supervisor, responsibility for overseeing the candidature and supervision should be undertaken by the co-ordinator of research training within the faculty.

9. Ethics Approval for Candidate's Research

- It is both a national and a University requirement that research projects which involve humans or animals receive ethics approval before the research commences.
- Under the requirements for ethics approval of research, a student or candidate cannot be the principal researcher for research projects requiring ethics approval and cannot be responsible for the overall ethical conduct of that research. For ethics approval, the principal supervisor is regarded as the principal researcher and has the responsibility for the ethical conduct of the candidate's research.
- Nonetheless, as part of the research training of a candidate, the candidate is responsible for preparing and drafting applications and associated documentation for ethics approval.
- The supervisor is responsible for ensuring that the candidate is aware of and understands the relevant ethics requirements; for providing training, guidance and support to the candidate in preparing an application for ethics approval; and for ensuring that the final application is as well presented as possible so as to avoid any unnecessary delay in ethics approval.
- In general, applications for ethics approval should not be submitted by the candidate's supervisor to an ethics committee until the Graduate Studies Sub-committee has approved the research proposal submitted for progression from Stage Two: Probationary Candidature to Stage Three: Confirmed Candidature.
- Research projects that involve the use of recombinant DNA, biologically hazardous materials, chemically hazardous materials, carcinogens, teratogens, radioisotopes, ionising radiation and non-ionising radiation, or which involve other recognisable hazards must be given clearance by the University Safety Officer and might need to be referred to the University's Institutional Biosafety Committee. These clearances should be arranged by the candidate through the supervisor.

10. Reports on Progress

- Candidates, supervisors and Deans of the relevant faculties are required to make six monthly progress reports on a candidate's progress and the different requirements for each are outlined below.
- As indicated below, Student Administration will be responsible for forwarding copies of the completed reports to the Graduate Studies Sub-committee. Student Administration should forward the Sub-committee copies of progress reports on a candidate as a set comprising all three completed reports – candidate, supervisor, Dean of the relevant faculty.

Candidate's Progress Reports

- By 30 April and 31 October in each year of confirmed candidature, a progress report from each confirmed candidate must be submitted to the Graduate Studies Sub-committee, through Student Administration, using the reporting form approved by the Deputy Vice-Chancellor.

- By no later than six weeks before the due date for Progress Reports, Student Administration will forward to a confirmed candidate the progress reporting form and advice of the due date for return of the completed form.
- The candidate will be expected to report on:
 - (a) the extent of progress in terms of the approved Research Plan (full research proposal)
 - (b) the extent of interaction with the supervisor, in terms of the agreed program of consultation
 - (c) any factors which are affecting the progress of work adversely or otherwise
 - (d) anticipated completion date, and any reasons for change of that anticipated date from previous predictions in earlier reports.
- Student Administration will file the original report and enter the date of receipt on the candidate's file and records and forward a copy to the Dean of the relevant faculty and, subsequently, to the Graduate Studies Sub-committee.
- Where the Dean of the relevant faculty is the candidate's supervisor, a copy of the candidate's progress report should be forwarded to the Deputy Vice-Chancellor, instead of the Dean.

Supervisor's Progress Reports

- By 30 April and 31 October in each year of a confirmed candidate's enrolment, the candidate's principal supervisor must submit a report on the candidate's progress to the Graduate Studies Sub-committee, through the Dean of the relevant faculty, using the reporting form approved by the Deputy Vice-Chancellor.
- By no later than six weeks before the due date for Progress Reports, Student Administration will forward to a supervisor of a confirmed candidate the supervisor's progress reporting form and advice that the completed form should be submitted to the Dean of the relevant faculty within four weeks. A copy of the advice will be forwarded to the Dean of the relevant faculty.
- The supervisor will be expected to report on:
 - (a) the extent of progress in terms of the approved Research Plan (full research proposal)
 - (b) the extent of interaction with the candidate, in terms of the agreed program of consultation
 - (c) any factors which are affecting the progress of the work adversely or otherwise
 - (d) anticipated completion date, and any reason for change of that anticipated date from previous predictions in earlier reports.
- The supervisor will ensure that the candidate has had an opportunity to read and discuss the supervisor's comments before submitting the report to the Dean of the relevant faculty.
- Where the Dean of the relevant faculty is the candidate's supervisor, the supervisor's progress report should be forwarded to the Deputy Vice-Chancellor.
- A supervisor may choose to submit additional progress reports on a candidate at any other time with a view to assisting the Graduate Studies Sub-committee in assessing a candidate's progress.

Dean's Progress Reports

- By 30 April and 31 October in each year of a confirmed candidate's enrolment, a Dean must submit a Dean's progress report on each candidate in the faculty to the Graduate Studies Sub-committee, through Student Administration, using the reporting form approved by the Deputy Vice-Chancellor, except where a Dean is a candidate's supervisor.

- By no later than six weeks before the due date for Progress Reports, Student Administration will forward to the relevant Dean of faculty or the Deputy Vice-Chancellor (if a Dean is the particular candidate's supervisor) a progress reporting form for each confirmed candidate enrolled in the relevant faculty and advice of the due date for return of the completed form, together with advice that the supervisor's progress report is to be forwarded at the same time.
- Student Administration will also forward to the Dean of the relevant faculty, or the Deputy Vice-Chancellor if the Dean is the supervisor of a candidate in the faculty, a copy of the candidate's progress report as soon as practicable after it is received.
- The Dean of the relevant faculty, or Deputy Vice-Chancellor or person nominated to act as the Dean of the relevant faculty for the purpose of preparing a Dean's Progress Report on a candidate, will be expected to comment in general terms on the candidate's progress and likely completion date, and may include comment on the relationship between the candidate and supervisor, resource issues or other matters of relevance and any recommendations.
- The Dean of the relevant faculty should consider the progress reports submitted by each candidate and supervisor, discuss these with the candidate and supervisor and advise the candidate and supervisor of any recommendations that the Dean intends to make to the Graduate Studies Sub-committee concerning the candidature.
- The Dean of the relevant faculty, or Deputy Vice-Chancellor or person nominated to act as the Dean of the relevant faculty for the purpose of preparing a Dean's Progress Report on a candidate, should not disclose to a supervisor or candidate any exact adverse comment made about supervision or a supervisor or a candidate in the progress reports made by a candidate or supervisor. Instead, discretion should be exercised and any concerns raised about candidature or supervision should be discussed in a general way with the candidate and supervisor with a view to identifying ways to overcome any perceived difficulties and making any recommendations to the Graduate Studies Sub-committee.
- The Dean should then complete the Dean's progress report.
- Where the Dean of the relevant faculty is a candidate's supervisor, the Deputy Vice-Chancellor or a person nominated to act as the Dean of the relevant faculty for the purpose of preparing a Dean's Progress Report on that candidate, will complete the progress report after having read and considered the separate progress reports from the candidate and the supervisor.
- The Dean of the relevant faculty, or Deputy Vice-Chancellor or person nominated to act as the Dean of the relevant faculty for the purpose of preparing a Dean's Progress Report on a candidate, will forward the Dean's report and recommendations, together with the supervisor's report, to Student Administration.
- Student Administration will file the original Dean's and supervisor's progress reports and enter the date of receipt on the candidate's file and records and forward a complete set of three progress reports on the candidate to the Graduate Studies Sub-committee.

Graduate Studies Sub-committee's consideration of progress reports

- The Graduate Studies Sub-committee will assess the information in the progress reports and may make specific comments or recommendations to the Dean of the relevant faculty, the supervisor and the candidate on matters relating to progress.

- If the candidate's progress is considered to be unsatisfactory, the Committee may require the candidate, supervisor and Dean of the relevant faculty to meet and determine a plan of action to remedy the situation.
- A further report on progress may then be called after a reasonable period, and if problems have not been resolved, the Sub-committee may impose conditions on continued candidature or if it believes that there might be a case to recommend termination of candidature, the Sub-committee will advise the candidate of this in writing, give the candidate the opportunity to make a representation orally or in writing on why the candidature should not be terminated, and take the candidate's representation into account before reaching any decision. If the Sub-committee decides that conditions are to be placed on continued candidature or that the candidature is to be terminated it must document the reasons for this decision.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee.
- Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

11. Unsatisfactory Progress

- From time to time, cases of unsatisfactory progress may arise.
- A candidate may not be satisfied with his or her progress and this dissatisfaction must be made known, in the first instance, to the supervisor and then to the Dean of the relevant faculty or, if the Dean is the supervisor, to the co-ordinator of research training in the faculty.
- A supervisor who is not satisfied with the progress of a candidate should first advise the candidate in writing of the cause of the dissatisfaction and if no improvement is obvious within a reasonable time (two [2] months is suggested) should notify the Dean of the relevant faculty in writing, with a copy of the notice to the candidate. If the Dean is the supervisor, the Dean should notify the co-ordinator of research training in the faculty.
- If subsequent consultation and advice does not result in progress towards resolution of the issue, the Dean of the relevant faculty (or, if the Dean is the supervisor, the co-ordinator of research training in the relevant faculty) must advise the Graduate Studies Sub-committee of the problem, through the Deputy Vice-Chancellor, with copies to the supervisor and the candidate. The Dean of the relevant faculty (or, if the Dean is the supervisor, the co-ordinator of research training in the relevant faculty) must also forward to the Sub-committee sufficient documentation from the supervisor and Dean/co-ordinator of research training of the relevant faculty to demonstrate that a case for possible unsatisfactory progress exists.
- If there is no progress towards resolution of the issue, again within reasonable time, the Graduate Studies Sub-committee may, after consultation with the Dean/co-ordinator of research training of the relevant faculty, impose certain conditions on the candidate or if it believes that there might be a case to recommend termination of candidature, the Sub-committee will advise the candidate of this, give the candidate the opportunity to make a representation orally or in writing on why the candidature should not be terminated, and take the candidate's representation into account before reaching any decision.
- The Committee will review all the information available, including written or oral presentations from the candidate, the supervisor and the Dean/co-ordinator of research training of the relevant faculty and make a decision on the matter.

- If the Sub-committee decides that conditions are to be placed on continued candidature or that the candidature is to be terminated it must document the reasons for this decision.
- The Director, Student Affairs will officially advise the candidate, supervisor/s and co-ordinator of research training and the Dean of the relevant faculty of the decision made by the Graduate Studies Sub-committee.
- Student Administration will effect any change of enrolment and enter appropriate details in the candidate's file and records.

12. Appeal against Termination of Candidature

Policy and procedures for appeal against termination of candidature are currently in preparation and will be included in these guidelines as soon as they are approved.

13. The Thesis: Preparation, Submission, Examination, Copyright and Intellectual Property

Notice of intention to submit thesis

- It is the candidate's responsibility to notify the supervisor and the Director, Student Affairs in writing of intent to submit the thesis, at least two months before the anticipated submission date.

Appointment of examiners

- On receiving advice of intent to submit a thesis, the supervisor and Dean of the relevant faculty should consult to recommend names for the appointment of examiners for the thesis. Where the Dean is the supervisor, the Dean should consult the co-ordinator of research training in the faculty for this purpose.
- The candidate may advise the supervisor and the Dean of the relevant faculty of names of persons who might not be appropriate examiners and who, preferably, should not be appointed, and the Dean of the relevant faculty will take this advice into account when recommending examiners to the Graduate Studies Sub-committee.
- The Dean of the relevant faculty will advise the Sub-committee of a candidate's objections to any person recommended by the Dean of the relevant faculty for appointment as an examiner.
- The supervisor and/or the Dean of the relevant faculty should determine the availability of persons recommended for appointment as examiners, before recommending their appointment.
- The Dean of the relevant faculty will then advise the Graduate Studies Sub-committee in writing, through Student Administration, of the following information in making a recommendation for appointment of thesis examiners:
 - (a) Student number of candidate
 - (b) Program in which candidate is enrolled
 - (a) Name of faculty
 - (b) Names of Supervisor/s
 - (c) Title of thesis
 - (d) Abstract or overview of the thesis
 - (e) For each recommended examiner:
 - (i) Title and full name
 - (ii) Current position title (if any)
 - (iii) Current organisation (if any)

- (iv) Mail address
 - (v) Telephone contact number (business hours)
 - (vi) Facsimile contact number
 - (vii) E-mail address
 - (viii) Qualifications including awarding institutions and year of award
 - (ix) Summary of academic employment history in reverse chronological order including position titles, organisations, years of employment, outline of expertise/responsibilities relevant to the thesis
 - (x) List of five (5) relevant publications by the proposed examiner
 - (xi) Where relevant, summary of non-academic employment history in reverse chronological order including position titles, organisations, years of employment, outline of expertise/responsibilities relevant to the thesis
 - (xii) Where relevant, listing of professional organisation memberships, fellowships, affiliations, adjunct positions etc
 - (xiii) Paragraph summarising the appropriateness of the examiner for the particular thesis
 - (xiv) A statement that, to the best of the supervisor's knowledge, the recommended examiner is not related to or does not know the candidate in a capacity that it is likely to call into question the objectivity of the examiner.
- The Graduate Studies Sub-committee will assess the suitability of the examiners recommended by the supervisor and the Dean of the relevant faculty and when it is satisfied that recommended examiners are suitable it will appoint three examiners for a thesis, two of whom must be external to the University and none of whom can be a supervisor of the candidate. The Dean of the faculty concerned will not normally be appointed as an examiner for the submitted thesis.
 - Student Administration will contact each appointed examiner, seek the agreement of the appointed examiners to act as examiners and advise the examiners of the requirements in examining the thesis.
 - The name of any examiner appointed will not be released to the candidate until the examination process is complete and the candidate is notified of the result of the examination and only if an examiner agrees to release of his or her name to the candidate.
 - Normally, the examiner's reports will not be released to the candidate or supervisor until the examination process is complete and only if an examiner agrees to this release. However, in cases where the Graduate Studies Sub-committee decides that a thesis should be amended or corrected or rewritten as recommended by any examiners, the reports from the examiners concerned will be made available to the candidate and the supervisor for that purpose and the name of the examiner will be withheld until the examination process is complete.

Preparation of the thesis

Note: The thesis must meet the requirements detailed in Rules 8 and 11 of the Rules for Higher Degrees by Research and Professional Doctorates and it is essential that candidates and supervisors refer to, and follow, those requirements.

- The submitted thesis should indicate that the candidate has satisfied the aims of the particular program. Responsibility for the general organisation and composition of the thesis rests with the candidate, who must discuss it with, and note the comments of, the supervisor. The supervisor must see the thesis in final form and content prior to submission.
- In general:
 - the thesis must be written in English

- the thesis should be of a form consistent with the normal publication requirements of the discipline. This will require that references be correct and cited in a consistent and accepted manner
- errors in spelling or of a typographical or syntactical nature should not occur.

Acceptability of thesis

- The supervisor is required to submit to the Graduate Studies Sub-committee a statement concerning the acceptability of the thesis for examination. This statement is to accompany the thesis at submission and will include an attestation that:
 - (a) the thesis is the candidate's own work, taking into account normal candidate-supervisor relations; and
 - (b) any work done in collaboration with other researchers, or carried out in other institutions, has been acknowledged within the thesis and in the candidate's certification of authenticity and/or collaboration (see later in this document); and
 - (c) no part of the work has been examined for credit towards any other award; and
 - (d) the thesis is worthy of examination in relation to its academic content, structure and layout; and
 - (e) the thesis adheres to the conventions of written English.

Attestation that the thesis warrants examination

- If a supervisor does not attest that a thesis is acceptable for examination, the Graduate Studies Sub-committee will decide whether or not to have it sent for examination after giving the candidate the opportunity to request that the thesis be sent for examination notwithstanding the lack of the supervisor's statement, and that no part of the work has been examined for credit towards any other award.

Certification of authenticity and/or collaboration

- The thesis, when submitted by the candidate, must contain a statement by the candidate, and endorsed by the supervisor, indicating that the contents of the thesis relate to the candidate's own work, taking into account normal candidate-supervisor relations.
- If any of the work has been done in collaboration with other researchers, or carried out in other institutions, this should be clearly indicated in this statement. It is recognised that collaboration is not necessarily a disadvantage to successful submission of the thesis in satisfaction of the candidate's program.

Dispatch of thesis for examination

- Following receipt of certification that a thesis warrants examination (or a decision by the Graduate Studies Sub-committee that a thesis warrants examination) the Director, Student Affairs will forward copies of the thesis and other relevant information to the appointed examiners as soon as possible (within 10 working days) after submission of the thesis, again providing advice to the each examiner of the University's requirements for examination of the thesis.
- Refer to sub-section, Examination and consideration of examiners' reports, below.

Public access to a thesis

- The thesis and its public availability are a necessary part of the higher degree by research process, and normal library access should be allowed unless there are significant reasons for not making the thesis available. The University wishes to encourage collaborative and contract research with

private or public organisations outside the University and accepts that in order to do so, it may, in exceptional cases, be necessary to restrict access to some theses for a short period of time following submission. (This would normally be for no more than 12 months in order, for example, to allow for a fully protected patent.)

- The candidate or supervisor may make application to the Graduate Studies Sub-committee for approval of restriction of access for a limited period, generally not exceeding 12 months.

Examination and consideration of examiners' reports

- Examiners will be requested to submit a report, within two months of receiving a thesis, on the suitability of the thesis in fulfilling the requirements of the degree for which the candidate is enrolled.
- The Director, Student Affairs will contact any examiner not meeting this deadline, to determine if there is any problem, which is delaying the examination, and requesting a final report within one further month. If no report is forthcoming after that time, the candidate will be informed of the delay and the Graduate Studies Sub-committee will consider the advisability of nominating a substitute examiner.
- Examiners will be requested to report on the content and form of the thesis in detail. They will be specifically requested to make a recommendation under one of the following categories:
 - (a) recommend admission to the appropriate degree without further work on the thesis
 - (b) recommend admission to the appropriate degree, and invite the candidate to make corrections or amendments to the thesis
 - (c) recommend admission to the appropriate degree subject to correction or supplementation of the thesis to the satisfaction of the Dean of the relevant faculty and the supervisor/s
 - (d) recommend revision of the thesis along certain lines and resubmission of the thesis within twelve months to the same panel of examiners as long as they are still available. The amendments recommended may include:
 - (i) rewriting of designated parts or the whole of the thesis
 - (ii) the inclusion of the results of additional work to be done by the candidate
 - (iii) satisfactory completion of an oral or written examination on the subject matter related to the thesis
 - (iv) any other amendment recommended by the examiners
 - (e) recommend failure of the candidate and non-award of the degree for which the candidate was enrolled. In the case of making this recommendation for a thesis for a Doctor of Philosophy, the examiners may make a further recommendation that the thesis meets the requirements for the candidate to be awarded a higher degree by research at Master level.
- The Graduate Studies Sub-committee will consider the reports of the appointed examiners and will make a decision which may include any of the options suggested by the examiners.
- In the event of a re-examination where there has to be a change to the examining panel, the new examiners will only be informed that the thesis is being submitted for re-examination. Neither the names of the previous examiners nor the content of their reports will be released to the new examiners unless some form of adjudication procedure becomes necessary.

- In some circumstances, the Graduate Studies Sub-committee may recommend an adjudication procedure, perhaps involving the appointment of an additional examiner, as arbiter, in order to resolve conflict in the recommendations of individual examiners.
- The Graduate Studies Sub-committee must eventually resolve to recommend to the Academic Board that the candidate either be admitted to the degree or not or, in the case of a candidate for a Doctor of Philosophy, to a specified higher degree by research at Master level.
- Student Administration will enter on the candidate's file and records the details relating to recommendation/s made by the Graduate Studies Sub-committee, and any subsequent actions, with respect to the examination of the thesis.
- Normally, Student Administration will advise the candidate, supervisor and co-ordinator of research training and the Dean of the relevant faculty of the Graduate Studies Sub-committee's recommendation concerning the result of examination of the thesis as soon as practicable after the recommendation has been made.
- The Academic Board will consider the Sub-committee's recommendation and decide whether to admit the candidate to the award or, in the case of a candidate for a Doctor of Philosophy, to a specified higher degree by research at Master level.
- As soon as possible after the Academic Board's decision on whether to admit the candidate to the award has been made, the Director, Student Affairs will formally advise the candidate, supervisor and co-ordinator of research training and the Dean of the relevant faculty of the decision and also advise the thesis examiners of the final outcome.
- Student Administration will enter the date of admission/non-admission to the award on the candidate's file and records and provide the candidate's principal supervisor with a copy of the final thesis.

Library copy of thesis

- The candidate is required to provide the University Library with an electronic copy of the final thesis and should liaise with the supervisor in arranging for this.
- Conferral of the degree is contingent upon the Library receiving an electronic copy of the final thesis.
- The Library will print and bind a hard copy of the thesis, catalogue the thesis and display the bound copy in its collection.

Copyright for the thesis

- The copyright for the thesis remains with the candidate.
- The University, however, is of the view that important contributions to knowledge are effective only when suitably available for reference and consideration. The University therefore reserves the right to allow free access to the copy of the thesis retained by the Library, subject to the short-term restrictions arising from possible commercial application of the work described in the thesis. In some cases, all or part of the thesis might have to be further restricted because of the nature of the material. Consultation or reference to that copy will be under the normal academic custom relating to research, that is, anyone wishing to reproduce or otherwise use the contents of the thesis will do so only with the permission of the author and in circumstances where full recognition is given to the work of the author.

Intellectual property rights

Candidates and supervisors should refer to the current Policy on Intellectual Property approved by the University Council for all matters relating to intellectual property rights.

14. Use of formal title of Doctor

A candidate for the award of Doctor of Philosophy or Doctor of Business Administration will be entitled to use the title of “Dr” from the time that the Academic Board admits the candidate to the award. The award will be formally conferred on the candidate in person or *in absentia* at an award conferring ceremony of the University or by special resolution of the Council of the University of the Sunshine Coast.

**[Approved, subject to review by March 2002: Deputy Vice-Chancellor, 5 September 2001.
Amended and approved by Deputy Vice-Chancellor 14 December 2001.]**

Appendix 1: Glossary of terms

“**Candidate**” means a person enrolled for a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Candidature**” means that period of time in which a person is a candidate for a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Confirmed candidature**” means that period of a person’s candidature, approved by the Graduate Studies Sub-committee, following a period of Provisional Candidature and a period of Probationary Candidature in a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Degree**” means the degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates for which a person is, or proposes to be, a candidate.

“**Enrolled**” means that a person has been made an offer of admission to a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates; and has been admitted to candidature; and has paid any required current program fees; and has his or her name entered on the University’s Roll of Students; and is not currently on a period of suspension from candidature; and has not withdrawn as an enrolled student or had his or her candidature terminated by the Graduate Studies Sub-committee or submitted the thesis for award of the degree for which the person was a candidate.

“**Exegesis**” means a critical explanation of a text, where the text is normally an art work or in non-written form.

“**Faculty**” means the faculty in which a candidate is carrying out the program of study and research for a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Faculty co-ordinator of research training**” means the person nominated by the Dean of a faculty to be responsible for co-ordinating and overseeing research training for candidates for a higher degree by research or professional doctorate within that faculty.

“**Probationary candidature**” means that period of a person’s candidature following a period of Provisional Candidature and prior to any period of Confirmed Candidature in a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Professional doctorate**” means a degree of Doctor other than the Doctor of Philosophy and the Doctor of Letters.

“**Program**” means the approved study and research to be undertaken by the candidate during candidature.

“**Provisional candidature**” means that period of a person’s candidature which commences once the person has become a candidate and prior to any period of Probationary Candidature in a degree listed in Schedule A to the Rules for Higher Degrees by Research and Professional Doctorates.

“**Research Plan**” means a detailed proposal for the study and research to be undertaken by a candidate, including an explication of the subject matter of the research, a literature review, the methodology to be used, supervisory arrangements and time lines for completion.

“**Student Administration**” means the University entity with responsibility for officially enrolling a candidate.

“Supervisor” means the person or persons appointed by the Dean or Graduate Studies Subcommittee to be the principal supervisor/s of a candidate.

“Thesis” means a written dissertation which embodies the result of an original investigation or design or other original research undertaken by a candidate during candidature, and which is written in English; accompanied by an abstract of approximately 300 words describing its content; and is typed, bound or presented in the manner required as appropriate for the thesis. A thesis must not contain as its main content any work or material for which an award was previously conferred by any higher education institution.

Appendix 2: Statement on Basic Infrastructural Resources and Services for Higher Degree by Research Candidates

The following is a list of basic infrastructural resources and services available to all higher degree by research candidates enrolled and undertaking research at the University of the Sunshine Coast.

Access to study/research space

Each candidate is entitled to be provided with the following by the Faculty in which he/she is enrolled:

- A secure study/research work space, separate from any common teaching spaces such as laboratories or preparation rooms
- For candidates undertaking scientific research, access to bench/laboratory/preparation space for pre-approved study/research work including space for secure storage of research items, as approved by the Dean of the Faculty of Science.

Access to basic equipment and facilities

Each candidate is entitled to be provided with the following by the Faculty in which he/she is enrolled or by the University as appropriate:

- A desk, preferably with lockable drawers, and a chair
- At least two drawers in a lockable filing cabinet
- At least one metre of shelving or at least 1.5 square metres of built storage space
- Shared access (with one or a small number of other candidate/s or with one or a small number of staff) to a dedicated desktop computer with standard desktop applications and any special software applications, subject to University policies and availability within the University
- For candidates with confirmed special needs, access to the University's adaptive technology centre and/or modified computer and adaptive technology desktop applications, depending on availability within the University
- Access to Faculty-based and centralised photocopying facilities for research and study purposes, subject to any limitations on cost-free copying which might be set from time to time by the Faculty or Library or University
- Basic stationery/study supplies for study/research purposes, for example paper, pens, computer discs, with limitations on amounts as determined by the Faculty
- Access to a telephone with STD access for research-related calls, with limitations on calls as determined from time to time by the Faculty and University policy
- Access to University vehicles for pre-approved field work and research, subject to availability.

Access to information technology facilities and services

Each candidate is entitled to be provided with the following by the University:

- An individual e-mail account
- Access to the University network, including internet access for research purposes, remote access via the student intranet and 100 Mb of storage space
- Access to computer printing facilities located within the Faculty and Reprographics
- Access to computer scanning and CD burning facilities within the Faculty and Information Services, subject to copyright legislation
- Access to IT help desk and IT training/tutorials, depending on availability
- For candidates with confirmed special needs, access to support in use of adaptive technologies
- Other information technology services as documented in the IT Services Student Handbook.

Access to Library facilities and services

Each candidate is entitled to be provided with the following by the University:

- Access to a maximum of 50 individual interlibrary loans or on-line document deliveries per year, subject to availability
- On-line access to the Library catalogue and University-owned databases
- On-line access to a maximum of 50 searches of commercial fee-based databases per year, subject to availability
- Access to reciprocal borrowing from other university libraries in Australia, subject to agreements entered into by the University (fees may apply in some instances)
- Access to Library training/tutorials and reference assistance, depending on availability
- Other library services as documented in the Postgraduate Guide to the Library.

Other

Depending on the availability of financial resources within the Faculty at the time, a candidate may be eligible to apply for financial support for attendance or preparation of material or papers for presentation of research findings at conferences.

**[Appendix approved: Deputy Vice-Chancellor, 30 August 2001.
Amended and approved by Deputy Vice-Chancellor 6 September 2002.]**