

Academic regulations for Higher Degrees by Research

These Regulations form part of Research Policy 10 Higher Degrees by Research

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Preamble

Research Degrees Committee is responsible to Academic Board for the conduct of all matters pertaining to Higher Degree by Research (HDR) programs.

Research Degrees Committee is also responsible for the administration of these academic Regulations in accordance with University' s policies.

The relevant Head of School or Institute Director shall appoint Research Degree Coordinators to oversee the quality of all components of the HDR program and monitor the progress of Higher Degree by Research (HDR) students.

Note: The term Division or Institute also refers to the Centre for Regional Engagement.

1. Higher Degree by Research (HDR) programs and Admission Criteria

Higher Degrees by Research programs at University of South Australia are:

- Doctor of Philosophy
- Professional Doctorate by Research, where research shall constitute at least two-thirds of the degree
- Masters Degree by Research.

All international applicants must meet the prescribed [proficiency standards in English language established by Academic Board](#).

In addition to specific candidature prerequisites below, Clause 3 outlines admission criteria and procedures for all HDR applicants.

1.1 Doctor of Philosophy (PhD)

PhD programs provide training and education with the objective of producing graduates with the capacity to conduct research independently at a high level of originality and quality. By the end of the degree program, the PhD student ought to be capable of conceiving, designing and carrying to completion a research program without supervision.

The purpose of the PhD is to advance knowledge and/or the application of knowledge through the preparation of a substantial piece of work which represents a significant contribution to a particular field of study.

The PhD student submits for examination a written thesis (normally a maximum of 80,000 words) or, where indicated in the program documentation, a thesis

which consists of written and artefact components. In this context, an artefact means a product of human creative skill or its application which cannot adequately be described in words, for example a painting, performance or multi-media presentation. An HDR student submitting a thesis with artefact components should refer to [Appendix 2c - Guidelines for the Presentation of Artefact Thesis](#).

1.1.1 PhD admission criteria

An applicant for a place in a Doctor of Philosophy program must satisfy the Research Degrees Committee of competence to undertake a higher degree by research by:

- a.** holding or being eligible to hold from an approved higher education institution an award in an appropriate discipline which is assessed by this University as being equivalent to:
 - i.** an Honours degree or a Bachelors degree with honours of at least class 2a standard; or
 - ii.** an appropriate Masters degree; or

- b.** holding such other qualifications as are acceptable to the Research Degrees Committee - in such cases the applicant must satisfy the Research Degrees Committee of fitness to undertake advanced work on the basis of the standard of achievement in, and the relevance of, previous higher education studies, and professional experience or published research work.

1.2 Jointly Badged PhD

Where UniSA has a signed and approved relationship agreement with an overseas institution and where a joint research project is established between the two institutions, an HDR student may undertake a Jointly Badged PhD. This applies both to UniSA enrolled students who undertake part of their research at an overseas institution and to students enrolled in an overseas institution who undertake a joint research project at UniSA.

The benefits of undertaking a jointly badged PhD include:

- increased international research collaboration between UniSA and particular overseas institutions;
- increased opportunities for HDR students to gain international experience and exposure to different cultural and university environments, as well as to create professional links at an early stage of their career.

A supervisor is to be appointed from each institution, with the nominated supervisor at UniSA being the Principal Supervisor while the student is studying at UniSA.

Any ethics clearances obtained from an overseas institution must also meet Australian standards and have the approval of the appropriate UniSA Ethics and Compliance Committee.

The agreement for a Jointly Badged PhD Program may necessitate negotiation with the overseas institution on a range of issues, including:

- Intellectual Property
- Examination processes
- Language of Submission
- Transcript and parchment.

Students undertaking jointly badged PhD programs must nominate a home institution and the examination will be organised by the home institution. The relationship agreement will take into account the PhD thesis and examination requirements of UniSA, but may include provision for a viva if required by the overseas institution.

A copy of the final thesis will be submitted to each institution. If the language of submission is in a language other than in English, as a minimum, the summary of the thesis shall be provided in English.

The conferral of the award will be by the nominated home institution.

The single parchment issued should contain details of both participating institutions.

1.2.1 Jointly badged PhD admission criteria

An applicant for a place in a jointly badged PhD program must meet the PhD admission criteria of the home institution and pay the appropriate fees applicable to that institution.

PhD students from overseas institutions studying at UniSA must meet the prescribed [proficiency standards in English language established by Academic Board](#).

1.3 Professional Doctorate by Research

The University of South Australia offers two types of Professional Doctorates based on the funding criteria of the Commonwealth Government's Department of Education, Employment and Workplace Relations:

- Professional Doctorate by Research comprises at least two-thirds research and meets scholarly and university standards of research practice. Research Degrees Committee has responsibility for program approval and monitoring. This degree is covered by these Regulations.
- **Coursework Professional Doctorate** in which the research component comprises less than two-thirds of the program. Academic Program Planning and Review Committee has responsibility for program approval and monitoring Coursework Professional Doctorates. A separate policy governs those programs.

The Professional Doctorate by Research is a rigorous program of advanced study and research, designed specifically to meet the needs of industry and professional groups. Professional Doctorate by Research programs foster excellence in professional practice by developing the capacity of individuals to lead the development of knowledge in their professional contexts. The Professional Doctorate by Research encourages close cooperation between the University, industry and profession and provides a framework for the integration of professional expertise and scholarly inquiry.

The coursework component of the Professional Doctorate by Research is designed to build on the HDR student's professional expertise by exposing them to leading and challenging ideas in their fields. The research component of the Professional Doctorate by Research shall direct and inform change in order to benefit the workplace and/or professional context. Supported by expert supervisors, Professional Doctorate by Research students bring the highest level of systematic research knowledge and practice to professional projects.

The Professional Doctorate by Research student submits for examination a body of research work, hereafter known as a thesis. The thesis is as specified in the program approval documentation and may be a dissertation, portfolio of work, exegesis, artefact, published articles or written project, or any combination thereof, as specified for the particular program. Refer to Clause 15.3.2.

1.3.1 Professional Doctorate by Research admission criteria

An applicant for a place in a Professional Doctorate by Research program must satisfy the relevant Dean, Research (or equivalent) of competence to undertake a higher degree by research by:

- a. holding or being eligible to hold from an approved higher education institution an award which is assessed by this University as being equivalent to:
- i. an Honours degree or a Bachelors degree with Honours of at least class 2a standard; or
 - ii. an appropriate Masters degree; or
- b. holding such other qualifications as are acceptable to the Research Degrees Committee - in such cases the applicant must satisfy the Research Degrees Committee of fitness to undertake advanced work on the basis of the standard of achievement in, and the relevance of, previous higher education studies, and professional experience or published refereed work, and
- c. normally, having at least five years experience of practice in their relevant field and normally within the last ten years.

1.4 Masters by Research

Masters by Research programs have the objective of training HDR students in:

- analysing the literature, relevant artefacts and debate in the substantive area of the thesis topic at an advanced level
- research methodology and techniques and in their critical evaluation, appropriate to the field of study, and
- the application of such methodology, by conducting a specified program of research under appropriate supervision.

The Masters by Research student submits for examination a written thesis, or where indicated in the program documentation, a thesis which consists of written and artefact components. In this context, an artefact means a product of human creative skill or its application which cannot adequately be described in words, e.g. a painting, performance or multi-media presentation. An HDR student submitting a thesis with artefact components should refer to [Appendix 2c - Guidelines for the Presentation of Artefact Thesis](#).

1.4.1 Masters by Research admission criteria

An applicant for a place in a Masters by research program must satisfy the Research Degrees Committee of competence to undertake a higher degree by research by:

- a. holding or being eligible to hold from an approved higher education institution an award in an appropriate discipline which is assessed by this University as being equivalent to:

- i. an Honours degree or a Bachelors degree with honours; or
 - ii. a Bachelors degree and a preliminary course of study of honours standard; or
 - iii. an appropriate Masters degree; or
- b. holding such other qualifications as are acceptable to the Research Degrees Committee - in such cases the applicant must satisfy the Committee of fitness to undertake advanced work on the basis of the standard of achievement in, and the relevance of, previous higher education studies, and professional experience or published research work.

2. Research Degree Graduate Qualities

2.1 The University has defined the full range of competencies embedded in the higher degree by research experience in its statement of [Research Degree Graduate Qualities \(see Appendix 4\)](#). These qualities or competencies are considered to be transferable from the research environment to the workplace, whether academic or professional.

2.2 As part of their research training, HDR students are required to participate in Research Support Activities, the bases for which are the processes that develop the seven generic Research Degree Graduate Qualities.

For PhD and Masters by Research students, participation in Research Support Activities is negotiated between the HDR student and supervisors in the Statement of Agreement, taking into account elaboration of the Research Degree Graduate Qualities in terms of the particular needs of the HDR student and the particular field of their research. Participation may be reviewed and modified in subsequent planning and reviews of progress meetings between the HDR student and supervisor.

2.3 For Professional Doctorate by Research commencing students, participation in Research Support Activities is negotiated between the HDR student and the Program Director, taking into account elaboration of the Research Degree Graduate Qualities in terms of the particular needs of the HDR student and the particular field of their research. Participation may be reviewed and modified in subsequent planning and reviews of progress meetings.

2.4 HDR students who commenced their research after 1 January 2004 are required to complete a Final Review of Progress, which provides evidence of achievement and experience in the seven areas of the Research Degree Graduate Qualities. Together, the thesis and the Final Review of Progress

provide information about the totality of individual achievement in the HDR program.

3. Application for admission

3.1 An application for admission to a place in an HDR program shall be made on the prescribed application form and shall include a proposed program of study in the form of a research outline, which should be prepared after consultation with the proposed Principal Supervisor/ Professional Doctorate by Research Program Director. The research outline will include:

- a provisional thesis title,
- a clear statement of the research topic,
- the aim and significance of the research project,
- a brief overview of previous relevant research, and
- a broad plan of action or methodology, and
- where artefacts are to be included, an indication of the relative size and nature of the written and artefact components.

3.2 The relevant Dean, Research (or equivalent) shall recommend to the Research Degrees Committee on admission to a place in the HDR program taking into consideration the following factors:

- the qualifications and experience of the applicant
- whether the proposed program of research conforms to the educational profile and mission of the University
- whether the proposed program of research suits a higher degree by research
- whether the proposed program of research is feasible in terms of the ethics approval required
- an assessment of the existing intellectual property involved in the proposed program of research
- whether adequate supervision, physical and financial resources are available (see [Appendix 3 - Statement of minimum resources for HDR students](#)) for the proposed program of research,
- a commitment by the applicant to work regularly on the approved program of research and to maintain regular contact with the Supervisors and Research Degree Coordinator, and
- in the case of PhD and Masters by Research applicants, a statement of willingness by the Principal Supervisor to supervise the proposed research
- referees' reports.

3.3 The Research Degrees Committee shall approve or reject admission to a place in the HDR program and may set conditions on an offer of admission. An offer of admission comprises a letter from the University of South Australia's Graduate Studies Office, together with an acceptance of offer form for completion

by the applicant. Correspondence from other parties does not constitute an offer of admission.

3.4 The Research Degrees Committee reserves the right not to offer a place.

3.5 The Research Degrees Committee's decision is final and no correspondence will be entered into.

4. Enrolment and re-enrolment

4.1 Initial enrolment

4.1.1 An applicant who accepts an offer of admission to a place in a Higher Degree by Research program shall commence within the time specified in the letter of offer unless a written request for a deferment of enrolment is upheld by the Dean Research (or equivalent)¹ and approved by the Research Degrees Committee (refer Clause 4.9).

4.1.2 Failure to enrol within the specified time subject to 4.1.1 may result in the HDR applicant forfeiting their right to a place.

4.1.3 All HDR students who have gained admission to a place will be enrolled as provisional students and will be subject to the provisions contained in clause 4.3.

4.2 Commencement of degree

4.2.1 The degree commences from the date of initial enrolment, unless otherwise determined by the Research Degrees Committee.

4.2.2 HDR students must comply with the enrolment dates indicated by the University.

4.3 Provisional enrolment and confirmation of candidature

HDR students are enrolled provisionally until the requirements for confirmation of candidature are met.

4.3.1 Within the equivalent of a maximum of six months of commencement in a higher degree by research program:

- PhD and Masters by Research students are required to have their research proposal approved by the relevant Dean, Research (or equivalent) including Head of School (or equivalent) approval for resource allocation to the project (See Clause 5).

- Professional Doctorate by Research students are required to have successfully completed 18 units of the coursework component, approved by the Program Director.

4.3.2 The relevant Dean, Research (or equivalent) will recommend to the Dean of Graduate Studies whether the HDR student has met the requirements for confirmation of candidature and the Dean of Graduate Studies will inform the HDR student whether their candidature is confirmed or rejected.

4.3.3 An HDR student transferring from another higher degree by research must complete the Confirmation of Candidature requirements.

4.3.4 An HDR student who is not able to complete the Confirmation of Candidature requirements within the provisional enrolment timeframe must apply for an extension at least one month in advance to the Dean Research (or equivalent). Any application for extension must be justified and include a supporting statement from the Principal Supervisor and be agreed to by the Dean Research (or equivalent). Normally, an extension will be granted for a maximum of three months.

4.4 Conditions for re-enrolment

Subject to clause 4.3 (Provisional Enrolment and Confirmation of Candidature), an enrolled HDR student shall be re-enrolled in each calendar year following initial enrolment until all components of the degree program have been completed and the thesis is submitted for examination, or the maximum period of allocated candidature is reached, or until suspension or termination of the enrolment by the Research Degrees Committee, whichever comes first.

4.4.1 Re-enrolment is subject to approval by the Research Degrees Committee upon recommendation from the relevant Dean, Research (or equivalent) who shall review and report annually on the progress of each of its HDR students (see Clause 8 Monitoring progress).

4.4.2 Where progress is deemed to be unsatisfactory, the Research Degrees Committee may suspend or terminate (See Clauses 10 and 11) the enrolment of an HDR student on a recommendation to that effect by the Dean Research (or equivalent).

4.4.3 No HDR student is required to be enrolled in a study period during which leave of absence has been approved in advance for that whole study period (for this purpose, a study period is defined as either 1 January to 30 June, or 1 July to 31 December).

4.4.4 An HDR student required to undertake major revision of the thesis after examination may be required to be re-enrolled prior to re-examination.

4.5 Duration of enrolment

4.5.1 The normal maximum length of the doctoral program will be 3.5 years full-time equivalent from the initial enrolment date. Research doctorate students are allocated a maximum of four years of full-time equivalent study to complete their degree to allow for examination results and possible resubmission.

4.5.2 From the initial enrolment date, Masters by Research students are allocated a maximum of two years (full-time equivalent) to complete their degree.

4.5.3 The periods of maximum candidature, as outlined in 4.5.1 and 4.5.2, include provisional enrolment, any periods of candidature for any previous higher degree by research prior to transfer, and exclude periods of deferment and leave of absence granted by the Research Degrees Committee.

4.5.4 If the thesis has not been examined within the period of maximum candidature, the HDR student shall be required to show cause to Research Degrees Committee why enrolment should not be deemed to have lapsed and supervision discontinued.

4.5.5 In exceptional circumstances, in order to complete the degree requirements, Research Degrees Committee may approve extra time in addition to the maximum allocated time outlined above, subject to the payment of any applicable tuition fees, availability of supervision and subject to progress being monitored on a prescribed basis by the Dean Research (or equivalent).

4.5.6 Requests to go over the allocated time of candidature must be applied for on the appropriate form. HDR students shall not assume that their request has been approved unless they have been notified by the Graduate Studies Office.

4.5.7 The minimum period which may be approved by the Research Degrees Committee for a Doctoral degree shall normally be not less than eighteen months full-time equivalent for a Doctoral student, or not less than twelve months full-time equivalent for a Masters by Research student. In exceptional circumstances, the period of minimum enrolment may be reduced by the Research Degrees Committee, on a recommendation from the Dean Research (or equivalent).

4.6 Change of load between full-time and part-time enrolment

The following clauses may not apply to international HDR students on an Australian government visa, who may only take limited leave on medical, exceptional or compassionate grounds.

4.6.1 An HDR student may change load from full-time to part-time candidature, or vice versa, provided that the Research Degrees Committee approves a recommendation from the Dean Research (or equivalent) to that effect.

4.6.2 Requests for change of load should be made on the appropriate form. HDR students shall not assume that their request has been approved unless they have been notified by the Graduate Studies Office.

4.7 Change of mode between Internal and External enrolment

The following clauses may not apply to international HDR students on an Australian government visa, who may only take limited leave on medical, exceptional or compassionate grounds.

4.7.1 An HDR student may change mode from internal to external candidature, or vice versa, provided that the Research Degrees Committee approves a recommendation from the Dean Research (or equivalent) to that effect.

4.7.2 Requests for change of mode should be applied for on the appropriate form. HDR students shall not assume that their request has been approved unless they have been notified by the Graduate Studies Office.

4.8 Concurrent enrolment

4.8.1 An HDR student may not enrol in a program leading to the award of another degree at this or another institution while enrolled in an higher degree by research program at this University.

4.8.2 Under exceptional circumstances, an HDR student may be permitted to enrol in a second program that complements the higher degree by research.

4.8.3 The HDR student must make a case to the Dean of Graduate Studies for permission to enrol in a second program, including evidence of academic achievement that indicates that the studies to be undertaken will not impact adversely on the progress of the research degree. The request must have the strong support of the supervisors and the Dean, Research (or equivalent).

4.8.4 Any hours devoted to such concurrent study are to be included within the time allowance for paid employment (see clause 6.7).

4.8.5 In each major review of progress, the supervisors will be required to advise if the concurrent enrolment has impacted adversely on the HDR student's progress in the program. If progress is not satisfactory, approval for concurrent enrolment will be rescinded.

4.8.6 An HDR student may be required to enrol in such complementary courses at this University as may be prescribed by the Research Degrees Committee.

4.9 Deferral of enrolment

The Research Degrees Committee, acting on the recommendation of the relevant Dean, Research (or equivalent), may permit the deferral of initial enrolment (refer clause 4.1) for a period not exceeding twelve months.

4.10 Leave of Absence

All students are entitled to twenty days recreation leave in each full-time equivalent year of enrolment. This is not deemed to be leave of absence for the purpose of calculating consumed candidacy load.

The following clauses may not apply to international HDR students on an Australian government visa, who may only take limited leave on medical, exceptional or compassionate grounds.

4.10.1 The Research Degrees Committee, acting on the advice of the relevant Dean, Research (or equivalent), may permit an HDR student to take leave of absence after enrolling but not within the period of provisional enrolment unless there are exceptional circumstances.

4.10.2 Any type of leave of absence taken during candidature will count towards the total amount of leave. This applies to both full-time and part-time HDR students.

4.10.3 Prior to commencing the leave, a request for leave of absence should be made on the appropriate form. Normally, retrospective leave will not be approved. The HDR student will be notified by the Graduate Studies Office of the outcome of their application.

4.10.4 Normally, leave of absence for reasons other than in 4.10.12 may only be taken for a maximum of six calendar months at any one time.

4.10.5 Normally, leave of absence will not be approved for an HDR student who has exceeded the allocated period of candidature (see clause 4.5).

4.10.6 The total period of the leave of absence accumulated in a given candidature will not normally exceed twelve calendar months. However, if the Research Degrees Committee deems the circumstances to be exceptional, leave in excess of twelve calendar months may be granted.

4.10.7 An HDR student requiring leave in excess of twenty four calendar months must apply to the Dean of Graduate Studies. Any application for this leave must be justified by the HDR student and shall include a supporting statement from the Principal Supervisor and be supported by the Dean Research (or equivalent).

4.10.8 Reasons for leave of absence include medical, adoption, maternity, carer's leave, family leave, personal and financial.

4.10.9 An HDR student is entitled to three months maternity leave during the candidacy. An HDR student holding a University-funded scholarship who has completed twelve months of their award will be entitled to three months paid maternity leave.

4.10.10 An HDR student is entitled to ten days carer's leave in each calendar year. An HDR student holding a University-funded scholarship who has completed twelve months of their award will be entitled to ten days paid carer's leave in each calendar year.

4.10.11 An HDR student whose partner gives birth or adopts is entitled to ten days parental leave. An HDR student holding University-funded scholarships and who has completed twelve months of their award will be entitled to ten days paid parental leave.

4.10.12 In exceptional circumstances, leave of absence of up to twelve calendar months may be granted to an HDR student wishing to enrol for a program leading to the award of another degree or diploma, provided that:

- a. the program is complementary to the HDR student's program of research and
- b. the leave and program are justified by the HDR student and
- c. the leave has the strong support of the Principal Supervisor.

Leave undertaken for this purpose will count towards the total amount of leave to be taken.

(Also see clause 4.8 Concurrent Enrolment)

4.10.13 At the discretion of the Dean of Graduate Studies, an HDR student may be placed on administrative leave for up to six months where progress is being impeded for reasons such as change of supervision or approval of change to the program of research.

4.11 Withdrawal from candidature

An HDR student who wishes to withdraw should immediately complete the appropriate form and submit it to the Principal Supervisor in the first instance.

4.12 Transfer to another higher degree by research

4.12.1 An HDR student may be permitted to transfer or upgrade to a different HDR program provided that the criteria for admission have been met and the Research Degrees Committee approves a recommendation from the Dean Research (or equivalent). The recommendation must:

- a. state that the relevant areas agree to the transfer and that the appropriate resources are available to enable the student to complete the degree;
- b. include a review of the research proposal.

If approved, the period of enrolment (excluding periods of deferral and leaves of absence) will be counted towards the new degree.

4.12.2 An HDR student who wishes to transfer or upgrade should apply on the appropriate form. HDR students shall not assume that their request has been approved unless they have been notified by the Graduate Studies Office.

4.13 Studying away from the University

This section does not apply to HDR transnational, offshore or Jointly Badged PhD students.

4.13.1 In all cases where an HDR student is studying away from the University to pursue research overseas or interstate for more than six weeks at any one time, the student must obtain written permission from the Dean of Graduate Studies.

4.13.2 International HDR students are required to ensure their proposed arrangements to study away from the University do not conflict with their visa requirements.

4.13.3 Requests to study away from the University, either overseas or interstate, must have a supporting statement from both the supervisor and the Dean Research (or equivalent). This statement will include arrangements for supervision.

4.13.4 Normally, a request to study away from the University within the first six months of full-time equivalent enrolment will not be supported.

4.13.5 Normally, the maximum period of study away from the University will be six months.

4.13.6 An HDR student may include recreational travel during their time of study away but approval must be obtained prior to travel.

4.13.7 An HDR student cannot use the length of time spent overseas as a reason for either an extension of candidacy or scholarship.

4.13.8 Any HDR student permitted to study away from the University must comply with the requirements of the overseas institution, undertake appropriate health and vaccination advice, consult regularly the Australian Government's travel advisory and ensure appropriate insurance cover is held.

5. Research proposal

A research proposal must be approved by the Dean Research (or equivalent) before an PhD or Masters by Research student can proceed with the research program and move from provisional to confirmed candidature.

5.1 The structure and terminology of the research proposal may vary between different HDR programs. The form and content of the research proposal will be as specified by the Division/Institute/School for the relevant program.

5.2 Within the research proposal, the HDR student should explain how the Research Degree Graduate Qualities will be developed during the program. (See Appendix 1 for [Guidelines for the preparation of research proposals](#) and Appendix 4, [Research Degree Graduate Qualities](#))

5.3 The research proposal must be submitted with a statement of project-specific resources required for completion of the research program, as identified by the HDR student and supervisors and endorsed by the Head of School (or equivalent).

5.4 Unless an extension has been granted:

- PhD and Masters by Research students must develop and submit for review a comprehensive Research Proposal before the expiration of six months full-time study (or twelve months part-time study).

- Professional Doctorate by Research students must have their research proposal developed and approved before the commencement of the research component of the degree.

5.5 An HDR student who transfers between higher degrees by research programs must have their research proposal reviewed by the Dean Research (or equivalent).

5.6 The Dean Research (or equivalent) will establish a panel to review each HDR student's research proposal and will establish guidelines for the composition of the panel. A panel meeting may occur face-to-face, by teleconference or by email.

5.7 Each HDR student must present their Research Proposal to the review panel and include the statement of approved resources.

5.8 The Panel will advise the Dean Research (or equivalent) that:

- a. the research proposal should be accepted and that the requested project specific resources (as outlined in Appendix 3, [Statement of minimum resources for HDR students](#)) are available for the conduct of the research, or
- b. the HDR student should be required to undertake amendments for the proposal to be accepted, or
- c. the research proposal should not be approved and the HDR student should be suspended (refer clause 10).

5.9 On the advice of the panel, the Dean Research (or equivalent) will formally advise the HDR student of acceptance or otherwise of the research proposal. Where necessary, the panel chair will provide written feedback from the panel to the HDR student and the Dean Research (or equivalent).

5.10 Based on the acceptance or rejection of the research proposal, the Dean Research (or equivalent) will recommend to the Dean of Graduate Studies:

- a. that the HDR student's research proposal has been approved and that candidacy should be confirmed, or
- b. that revisions are required, or
- c. that the HDR student's research proposal has been rejected and that enrolment should be suspended. In the event that the HDR student's research

proposal is not considered acceptable and it is not approved within the time allowed, the student may have their enrolment suspended or terminated (see clauses 10 and 11).

5.11 In accordance with clause 4.3.2, the Dean of Graduate Studies will inform the HDR student of the Dean Research's (or equivalent) recommendation regarding confirmation of candidature.

6. Programs of research

6.1 An HDR student shall undertake a program of research under supervision in order to complete a thesis for examination.

6.2 The primary role of each full-time PhD and Masters by Research student is to work on their thesis and for all HDR students, to complete the degree within the maximum allocated time of enrolment.

6.3 An HDR student commencing after 1 January 2004 will enter into a formal Statement of Agreement with the supervisors regarding the completion of the research. This Agreement will:

- document the expectations of the HDR student and supervisors for their responsibilities in the relationship, and
- outline the Research Support Activities to be undertaken for the individual research project.

6.4 An HDR student studying on campus is required to attend the Orientation Session and is also expected to participate in the on campus Research Support Activities. An HDR student studying off campus is required to watch the Orientation DVD and participate in online Research Support Activities.

6.5 The research and study shall be carried out either within the University or within an industrial, commercial, government, educational, research or other organisation approved by the Dean Research (or equivalent). The University will not require an HDR student to undertake employment at the institution.

6.6 If a Professional Doctorate by Research student is to complete a prescribed practical component in their program, normally the student shall be monitored by University staff who are recognised by the relevant Division/Institute as providing leadership in the relevant professional field. In the event that a student is supervised by professional leaders external to the University and approved by the

Division, the Professional Doctorate by Research Program Director shall be responsible for monitoring the student's progress.

6.7 The Research Degrees Committee recommends that full-time HDR students do not undertake paid employment for more than eight hours per week or for a total of the equivalent of eight hours per week over a twelve month period.

7. Supervision requirements

7.1 Appointment of Supervisors

The requirements, authorities and procedures for the appointment of postgraduate research supervisors are outlined in [Policy RES 18 Register of Current Higher Degree by Research Supervisors](#).

7.1.1 Supervisors are appointed on the basis that their research expertise is appropriate to the research outline indicated in the application.

7.1.2 At the time of application, the relevant Dean Research (or equivalent) is responsible for ensuring that each PhD and Masters by Research student has a Principal Supervisor appointed.

7.1.3 For Professional Doctorate by Research students, supervisors will be appointed at either the commencement of the degree or prior to the commencement of the research component. The requirements will be as specified in the appropriate professional doctorate program information.

7.1.4 Unless co- or panel supervision is required, each HDR student shall have at least two supervisors appointed, one of whom shall be nominated as a Principal Supervisor and one as an Associate Supervisor.

7.1.5 A person external to the University appointed as Principal Supervisor to an HDR student must be accepted as an Adjunct to the University and must be a member of the Register of Current Higher Degree by Research Supervisors.

7.1.6 When a research proposal is approved, the Division/ Institute shall ensure that resources, including supervision, are available for the research project in line with the University's [Statement of minimum resources for HDR students](#).

7.2 Co-Supervision or panel supervision

7.2.1 Where appropriate, co-supervision may be established for an HDR student in lieu of a principal and associate supervisor. Co-supervision occurs where two

academic staff members share responsibility for the principal supervision of an HDR student. Co-supervision may be preferred in instances where expertise is desired in more than one research area and where the research is cross-disciplinary.

7.2.2 Co-Supervisors must be members of the University's Register of Current Higher Degree by Research Supervisors.

7.2.3 For administrative purposes, the co-supervisor employed by the School or Institute in which the HDR student is enrolled is recorded as the Principal Supervisor and is preferred as the signatory for forms. Other co-supervisors will be recorded as 'co- supervisor'.

7.3 Duties of Supervisors

Supervisors shall carry out the duties and responsibilities as set out in the [Code of Good Practice: Research degree management and supervision](#) and in Research Policy 18, [Register of Current Higher Degree by Research Supervisors](#).

7.4 Changes to supervisory arrangements

7.4.1 In the event that the designated Principal Supervisor is unable to supervise the HDR student effectively for a period of six weeks or more, the Dean Research (or equivalent) in consultation with the Research Degree Coordinator, Head of School/Institute Director and HDR student shall nominate a replacement supervisor for approval by the Research Degrees Committee, using the appropriate form.

7.4.2 In the event that the research proposal requires a change in supervision for its approval to occur, the Dean, Research, in conjunction with the HDR student, Research Degree Coordinator and Head of School/Institute Director, shall nominate a replacement supervisor for approval by the Research Degrees Committee.

7.4.3 Where an HDR student wishes to change the focus of the research after the research proposal is accepted and which requires a change in supervision, the student shall make application to the Dean Research (or equivalent) to vary the research. In these circumstances, the University reserves the right to decline the proposed change of focus.

8. Monitoring progress

8.1 Planning, Review and Report of Progress

8.1.1 An HDR student must make satisfactory progress in the research to obtain approval for re-enrolment in the program.

8.1.2 Professional Doctorate by Research students must also make satisfactory progress during the coursework component to obtain approval for re-enrolment in the program.

8.1.3 An HDR student shall have the right to discuss any matter pertaining to the progress of the candidature with the Principal Supervisor, the Research Degree Coordinator or the relevant Dean, Research (or equivalent), as appropriate, to resolve any impediment to that progress.

8.1.4 Each HDR student, Principal Supervisor and Research Degree Coordinator must undertake at least two documented planning and review sessions each year (for Professional Doctorate by Research students, this occurs in the research component of the program only). These will be known as the minor review and major review respectively. These reviews are the basis on which re-enrolment or otherwise is recommended.

8.1.5 For HDR students commencing after 1 January 2004, the Statement of Agreement shall inform the review of progress. For continuing HDR students, the previous planning and review documents will be the basis of the review.

8.1.6 Failure by an HDR student to undertake the minor and major reviews may result in suspension or termination of the candidature (see clauses 10 and 11).

8.2 Procedures

The planning, review and report of progress shall be conducted in accordance with the following procedures:

8.2.1 It is the HDR student's responsibility to arrange separate times to discuss progress with supervisors and, if required, the Research Degree Coordinator. These meetings may occur face-to-face, by telephone or by email. It is recommended that the HDR student and supervisor retain copies of the completed review forms.

8.2.2 The purpose of such discussions is to review the HDR student's progress over the previous six months and to discuss a plan of work for the coming six months. Supervisors other than the Principal Supervisor should also be involved in this process.

8.2.3 As a requirement of the major review, or more often if deemed necessary, the HDR student and Principal Supervisor shall submit to the Research Degree Coordinator a completed major review form, including a written report of the progress made towards the stated objectives of the program of study and research.

8.2.4 The Research Degree Coordinator may require an interview with the HDR student and Principal Supervisor in order to discuss progress or resolve any issues of concern raised in a review.

8.2.5 The Research Degree Coordinator shall add any appropriate comments to the report and then forward it to the Dean Research (or equivalent).

8.2.6 After considering such reports, the Dean Research (or equivalent) shall review each HDR student's progress and shall report to the Research Degrees Committee at least annually, on whether:

- a.** the HDR student's academic progress is deemed to be satisfactory and if the student is to be re-enrolled;
- b.** any scholarship held by the student should be continued in line with the scholarship conditions;
- c.** the enrolment is to be subject to the student meeting specified research milestones and timelines agreed with the Supervisor, and/or subject to additional reviews of progress;
- d.** the process through which specific problems and concerns relating to an HDR student's progress, and the actions taken to address them, are officially recorded;
- e.** any fundamental changes are required in the program of study or research;
- f.** a grievance case involving the HDR student has been presented to the Dean Research (or equivalent), whether or not this has been resolved, and details of action(s) taken.

8.2.7 Where there are concerns about the progress of an HDR student the Dean Research (or equivalent) shall provide a copy of the complete report of progress to the HDR student and inform them in writing of the requirements necessary to make satisfactory progress. The HDR student may be required to undertake additional reviews and report of progress.

8.2.8 An HDR student shall have the right to discuss a review report and the comments by the Principal Supervisor with the Dean Research (or equivalent).

8.2.9 In the event that a problem which is impeding progress is not resolved through the review procedure, the HDR student has the right to submit a case to the Dean of Graduate Studies for investigation.

9. Unsatisfactory progress

9.1 Unsatisfactory progress is defined to be where, in the opinion of the Dean Research, the HDR student:

- a.** has failed to provide a Research Proposal within the required time;
- b.** the Research Proposal is deemed not to be acceptable on academic grounds;
- c.** has failed to obtain the appropriate ethics and safety clearances for the conduct of the research;
- d.** has failed to meet agreed timelines and milestones;
- e.** is absent without approved leave for more than six months;
- f.** has failed to submit their research for examination within the prescribed time;
- g.** has failed to otherwise comply with the Policy, Procedures or Regulations of the University.

9.2 The Dean, Research, upon receipt of a review of progress, or at any other time, can review an HDR student's progress, taking into account the recommendations of the supervisors and the Research Degree Coordinator.

9.3 If the Dean, Research deems that progress is unsatisfactory (refer clause 9.1), they may allow an HDR student to continue subject to such conditions as they wish to impose. The Dean, Research is to inform the HDR student in writing of the conditions and the timelines.

9.4 If conditions established in clause 9.3 are not met in the required time and progress continues to be deemed unsatisfactory, the Dean, Research may

recommend to the Dean of Graduate Studies that the HDR student's enrolment be suspended or terminated (refer clauses 10 and 11).

10. Suspension

10.1 If an HDR student's progress in the program is considered by the Dean, Research to be unsatisfactory, the HDR student's enrolment may be suspended pending approval from the Research Degrees Committee.

10.2 The Dean, Research will advise the HDR student of the reasons that the suspension has been recommended and appropriate action required to have their enrolment re-instated.

10.3 An HDR student who is suspended may appeal to the Dean of Graduate Studies to be reinstated.

10.4 An HDR student whose candidacy is suspended will have a notation marked on the transcript in accordance with clauses 19.3 and 19.4 of these Regulations.

11. Termination of candidature

11.1 If the Dean, Research considers an HDR student's academic progress to be unsatisfactory and not likely to result in the student being able to complete the thesis in a timely manner, the Dean, Research may recommend to the Divisional Research Management Committee that the HDR student's enrolment be terminated (also see clause 19.2).

11.2 Procedures Division/Institute Inquiry

11.2.1 Upon the making of a recommendation under clause 11.1, the Dean, Research, as Chair of the Division Research Management Degrees Committee, will establish a panel of at least three University's academic staff members from the discipline area and who are members of the University's Register of Current Higher Degree by Research Supervisors. The panel will consider the HDR student's academic progress and whether there are any grounds for termination of enrolment.

11.2.2 The Dean, Research will write to the HDR student notifying him/her of the Division/Institute inquiry under clause 11.2.1. The letter from the Dean, Research must, at a minimum:

- detail the reasons that the HDR student's progress has become the subject of an inquiry
- advise of the membership of the panel appointed under clause 11.2.1
- advise the timing of the panel's meeting
- provide information on the procedures for termination of enrolment, and
- advise the HDR student of their right to present a case at the panel meeting, either in person, via telephone or videoconference, or by production of documentation, as to why the student should be allowed to continue with the degree.

11.2.3 The HDR student will have twenty working days from the date of despatch of the letter under clause 11.2.2 to advise their intention to attend the Division/Institute inquiry.

11.2.4 The HDR student is entitled to invite a UniLife nominee, or any staff member or student nominee of the University, to be present at the panel meeting.

11.2.5 The panel meeting will proceed on the scheduled date regardless of whether or not the HDR student has responded in accordance with clause 11.2.3 or fails to attend at the scheduled time.

11.2.6 Within ten working days of the panel meeting, the panel's recommendation will be made available to the Divisional Research Management Committee.

11.2.7 Within ten working days of the meeting, the Dean, Research will notify the HDR student, in writing, of the Divisional Research Management Committee's decision. If the recommendation is to proceed with termination of enrolment, the letter under this clause will include a detailed description of why the student's progress has been found to be unsatisfactory and outlining the process for termination of enrolment. Research Degrees Committee Termination Panel

11.2.8 If the Divisional Research Management Committee recommends that the HDR student's enrolment be terminated, the Dean, Research, will make a recommendation to the Dean of Graduate Studies and include detailed reasons as to why the HDR student's progress has been found to be unsatisfactory, together with a copy of the relevant correspondence with the student.

11.2.9 Upon receipt of a recommendation under clause 11.2.8, the Dean of Graduate Studies and Executive Officer of the Research Degrees Committee will consider all documentation relating to the recommendation and ensure that due process has been followed.

11.2.10 If the Dean of Graduate Studies determines that the HDR student's enrolment should be terminated, the Dean of Graduate Studies shall, within ten

working days, notify the HDR student in writing of the decision to terminate enrolment and the grounds upon which the decision is based.

11.2.11 For the purposes of considering the documentation under clause 11.2.9, the Dean of Graduate Studies and Executive Officer of the Research Degrees Committee may appoint a Termination Panel, comprising at least five academic members of RDC.

11.2.12 The Executive Officer of the Research Degrees Committee or the Termination Panel as appropriate will give the HDR student twenty working day's notice and invite the student to meet with the members in order to present a case as to why the enrolment should not be terminated. The HDR student may be assisted or represented at the Research Degree Committee's inquiry by a UniLife Representative or nominee or any staff member or student nominee of the University. The Principal Supervisor of the HDR student may also be invited to attend, but they may not serve as a member of the formal inquiry panel

11.2.13 The Termination Panel inquiry will proceed regardless of whether the HDR student responds to the RDC Executive Officer or attends at the scheduled time.

11.2.14 The Chair of any Termination Panel appointed under clause 11.2.11 will make a recommendation on the outcome of the inquiry with the HDR student to the full Research Degrees Committee.

11.2.15 Within ten working days of the Termination Panel recommendation, the Dean of Graduate Studies shall notify the HDR student of the outcome of the inquiry. Where a recommendation that enrolment be terminated is accepted by the Research Degrees Committee, the HDR student shall be notified of the grounds for the recommendation.

11.2.16 An HDR student may appeal against the decision of the Dean of Graduate Studies or the Research Degrees Committee to terminate the enrolment (see Appeals process, clause 11.3).

11.2.17 An HDR student whose enrolment is terminated will have a notation marked on his/her transcript in accordance with clause 19.2 of these Regulations.

11.3 Appeals process

11.3.1 If an HDR student wishes to appeal against the final determination of the Dean of Graduate Studies or the Research Degrees Committee, the appeal

should be lodged with the Dean of Graduate Studies within twenty working days of the date of despatch of the notification from the Dean of Graduate Studies.

11.3.2 The appeal will be heard by a Special Appeals Committee, which is a sub-committee of University Council (convened with the following membership:

- The current chair of the Student Appeals Committee;
- Three senior University academic staff members listed on the University's Register of Current Higher Degree by Research Supervisors, nominated by the relevant Pro Vice Chancellor and endorsed by Research Degrees Committee;
- One student representative nominated by UniLife.

The Special Appeals Committee will consider relevant reports and any further written submissions from:

- The student lodging the appeal;
- The Principal Supervisor;
- The relevant Head of School/Director of Institute;
- The Chair of the Divisional Research Degrees Management Committee which recommended the decision, i.e. the Dean, Research;
- The Dean of Graduate Studies;
- Persons considered relevant to the case.

The Special Appeals Committee would then invite the following people to attend the hearing(s):

- The HDR student lodging the appeal. Where the student is unable to attend the hearing but wishes to participate, they may do so through teleconferencing, Voice over Internet Protocol, or video conference;
- A staff member responsible for the original decision which is under appeal. This may be the Principal Supervisor, the relevant Dean, Research, the relevant Head of School/Director of Institute, the relevant Pro Vice Chancellor or nominee, or the Dean of Graduate Studies.

The HDR student may be assisted or represented by a UniLife Representative or nominee.

11.3 .3 The decision of the Special Appeals Committee will be final.

12. Administrative withdrawal

Where an HDR student has failed to submit a Major Review of Progress (see Clause 8 Monitoring progress) or has failed to maintain contact with the supervisor for more than 6 months, the student may be administratively withdrawn.

The Dean, Research will advise the HDR student that they are at risk of being administratively withdrawn if they do not complete a Major Review of Progress or make contact with the supervisor within a reasonable timeframe.

All reasonable attempts should be made to contact the student. If the student is unable to be contacted or does not respond within a reasonable timeframe, they are to be administratively withdrawn.

An HDR student who is administratively withdrawn may appeal to the Dean of Graduate Studies to be reinstated.

An HDR student who is administratively withdrawn will have a notation marked on the transcript in accordance with clause 19.6 of these Regulations.

13. Responsible Conduct of Research: Research Integrity

UniSA has implemented a governance framework for the responsible conduct of research that includes Section 3 of the [Australian Code for the Responsible Conduct of Research](#) : Supervision of Research Students.

All HDR students and supervisors are required to comply with the [Australian Code for the Responsible Conduct of Research](#) (Australian Code), the [National Statement on Ethical Conduct in Human Research 2007](#) (National Statement) and the [Australian Code of Practice for the Care and Use of Animals for Scientific Purposes](#) and adhere to high standards of research integrity and honesty at all times. The responsibilities of students and supervisors are outlined in the [Code of Good Practice: Research Degrees Management and Supervision](#).

14. Research misconduct

14.1 Research misconduct does not include honest differences in judgement in management of the research project, and may not include honest errors that are minor or unintentional.

14.2 A complaint or allegation may result in a finding of research misconduct if it involves all or some of the following:

- a breach of the Australian Code
- intent and deliberation, recklessness or gross and persistent negligence
- serious consequences, such as false information on the public record, or adverse effects on research participants, animals or the environment.

14.3 Research misconduct usually occurs when the action is deliberate. It may occur at a personal level, research project level or as a failure to comply with regulatory requirements. Examples of research misconduct under these categories include:

a. at a personal level

- deception in proposing, carrying out or reporting the results of research;
- falsification or misrepresentation of application information, ethics or research proposals or academic records;
- failure to identify and declare serious conflicts of interest;
- willful concealment or facilitation of research misconduct by others;
- breach of the examination procedures, e.g. contacting the examiner, specified in sections 16 and 17 of the Academic Regulations.

b. at research project level

- presentation or collection of data that has been copied, plagiarised, falsified, fabricated or in other ways obtained improperly;
- inclusion of material in individual work that has involved significant assistance from another person, where its inclusion is not permitted by the other person.

c. breaching rules that govern research

- conducting research without ethics approval as required by the [National Statement on Ethical Conduct in Human Research](#) and the [Australian Code of Practice for the Care and Use of Animals for Scientific Purposes](#);
- plagiarism (see 14.4 below);
- failure to comply with the University's [Authorship policy](#).

14.4 Plagiarism is a specific form and serious act of misconduct. It is the use of another person's words or ideas as if they were one's own. It may occur as a result of lack of understanding and/or inexperience about the correct way to acknowledge and reference sources. It may result from poor academic practice, which may include poor note taking, careless downloading of material or failure to take sufficient care in meeting the required standards. It may also occur as a deliberate misuse of the work of others with the intent to deceive. It may include, but is not restricted to:

a. using another person's ideas work, product or research data without acknowledgment;

b. arranging for someone else to undertake all or part of a piece of work and presenting that work as one's own.

14.5 Use of text comparison software

- a. As part of the University's procedures for identifying instances of plagiarism, any work that is submitted by an HDR student may be subjected to testing using text comparison software. It is a condition of enrolment in a research degree program that HDR students give their consent to this process.
- b. As part of the Statement of Agreement with the supervisor, the HDR student is required to sign the following statement appearing within the Agreement:

The HDR student authorises any written material submitted to be tested by the University for plagiarism, using text comparison software. This involves the University or its contractor copying work submitted by the HDR student and storing it on a database to be used in future to test work submitted by others.

14.6 Allegations of research misconduct will require specific action by supervisors and responsible officers of UniSA, the procedures for which are outlined in Appendix 5 attached to these regulations.

15. Grievance procedures

All grievances and complaints by HDR students not covered under these Regulations should be dealt with under University Policy C-17.3 [Policy and Procedures for the Resolution of Student Grievances](#). The Dean, Research shall report any grievance or complaint made by an HDR student on the major review form.

16. The thesis

Each HDR student must submit a body of research work for examination. This is known as a thesis.

16.1 Content and form of thesis

16.1.1 The thesis is the material form of a sustained program of research that has produced original findings. The thesis may comprise either:

- a. a written text comprised of conventional chapters presented as typescript; or

b. a written text containing a combination of peer reviewed publications and conventional chapters presented as typescript (Thesis Containing Published Research); or

c. creative or visual works together with an exegesis (artefact thesis).

16.1.2 The thesis may be presented for examination in either printed or electronic form. A thesis in electronic form can be submitted only where there is agreement of the examiner to review an electronic version. See Appendices 2 for [Guidelines for the presentation of written thesis or exegesis, Theses Containing Published Research and Artefact](#) for additional advice on the preparation of theses.

Guidelines for the presentation of the thesis, or exegesis

16.1.3 The HDR student shall submit a thesis for examination to the Research Degrees Committee that shall:

a. meet the University's requirements for research integrity;

b. be an accurate account of the research program;

c. be assessable according to examination criteria;

d. conform with the appropriate guidelines for presentation (see Appendices [2a](#), [2b](#) and [2c](#)).

16.1.4 The submission of a non-standard thesis will require the approval of the Dean, Research before being presented for examination.

16.2 Originality and eligibility

Refer to [Appendix 5](#) for Research integrity.

16.2.1 The work on which the thesis is based shall be the original work of the HDR student normally carried out during the period of the enrolment in the higher degree by research program and with the approval of the Research Degrees Committee.

16.2.2 Work which has been submitted for any other academic award may not be submitted as the main content of the thesis. Where the main content of the thesis consists of any significant extension or elaboration of the HDR student's earlier work, that portion referring to previous work must be clearly indicated. Work undertaken as part of any qualifying program approved by the Research Degrees

Committee may be taken into account as part of the work for the degree for which that program qualified.

16.2.3 An HDR student shall normally make a formal presentation of the thesis to a Division/Institute/ School/ Research Centre seminar prior to the commencement of the examination process.

16.2.4 An HDR student must preface the thesis with a signed statement affirming that:

- a.** to the best of their knowledge, the thesis contains no material written by another person except where due reference is made in the text of the thesis;
- b.** that the material in the thesis has not been the basis of the award of any other degree or diploma except where due reference is made in the text of the thesis;
- c.** all substantive contributions by others to the work presented in the thesis, including jointly-authored publications, must be clearly acknowledged.

16.2.5 When the HDR student submits the thesis for examination, the Principal Supervisor and the Research Degree Coordinator shall provide a statement to the Research Degrees Committee, through the Dean, Research verifying:

- a.** the extent to which the work, that is data collection, data analysis, and writing of the thesis, was carried out by the HDR student and, if an editor was used, the extent of the involvement of the editor;
- b.** the authorship of the thesis to the best of their knowledge;
- c.** whether the thesis is properly presented and is worthy of examination; and
- d.** that the research has been conducted in a responsible manner and in agreement with approved research policies for human research ethics, animal ethics, or other research policies appropriate to the nature of the research. This last statement should be countersigned by the Research Degree Coordinator.

16.2.6 If the Principal Supervisor is unable to advise that, in their opinion, the submission is prima facie worthy of examination, the Dean, Research will offer the student the opportunity to withdraw the submission before examination, or for the student to make a case to the Dean of Graduate Studies for the examination to proceed.

16.3 Coursework and practice components of Professional Doctorates by Research

16.3.1 A Professional Doctorate by Research student shall undertake the assessment for the prescribed coursework and/or practice in accordance with the program approval and review processes as recommended by Research Degrees Committee and approved by Academic Board.

16.3.2 The coursework and practice components shall be graded in accordance with the [University's Assessment Policies and Procedures Manual](#).

16.4 Notice

An HDR student shall give the Dean, Research not less than one month's notice in writing of intention to submit a thesis for examination and, at the same time, an electronic summary of not more than 500 words regarding the content of the thesis. The notice should indicate if the HDR student is to present artefacts within the thesis or is to present a thesis containing publications. The summary will be forwarded to the examiners when they are invited to examine the thesis. (Also refer to clause 17.2 Appointment of examiners.)

17. Examination of the thesis

Regulations relating to examination may be varied only where a Jointly Badged PhD agreement exists (see clause 1.2)

17.1 Confidentiality

17.1.1 Subject to clause 17.1.3, anonymity must be maintained during the examination process, but normally all reports of examiners will be made available to the HDR student, unless indicated otherwise by the examiner.

17.1.2 An HDR student has the right to be consulted about the choice of examiners, but does not have the right to nominate or veto the selection of examiners.

17.1.3 Unless agreed by the Dean of Graduate Studies, during the examination process no dialogue about the examination is to be conducted by the supervisors and/or the HDR student with the examiners involved.

17.2 Appointment of examiners

17.2.1 Upon receiving notice from an HDR student of intention to submit the thesis for examination the Dean, Research, shall appoint:

- For the Doctor of Philosophy program and the Professional Doctorate by Research program, two examiners external to the University.
- For the Masters by Research degree program, two examiners, at least one of whom must be external to the University. If it is deemed necessary to appoint an internal examiner, justification shall be provided to the Research Degrees Committee.
- A reserve examiner, for appointment in the event that one of the appointed examiners fails to return the examination report within the required time.

17.2.2 Any supervisor of the HDR student may not be appointed as an examiner of that HDR student's thesis.

17.2.3 Where artefacts are included with the thesis, the same two people shall examine both the written component and the artefact(s).

17.2.4 For HDR students who commenced prior to 26 April 2002 (the effective date for the change to two examiners), the Division Research Management Committee may make a recommendation to Research Degrees Committee for three examiners to be appointed. In these cases, the three examiners' reports will be treated of equal value.

17.2.5 Examiners shall:

- a. hold a research degree at the level they are examining, or have equivalent professional experience;
- b. be of high academic standing and have an international profile in the student's research field;
- c. wherever possible, have recent research activity in that field;
- d. have the capacity to arrive at an independent assessment of the thesis;
- e. have knowledge about the standards expected for the thesis/research work/artefact;
- f. not have given any substantive advice on the research (except in the case of a resubmitted thesis); and
- g. not had or have a close personal relationship with the student or supervisors.

17.2.6 It is expected that the thesis will be examined by at least one examiner from an overseas university or overseas research organisation.

17.2.7 Following Divisional approval of examiners, the Graduate Studies Office will confirm the examiners' availability and despatch the thesis to them for assessment.

17.2.8 Where an examiner fails to return an assessment within the required time of receiving a thesis for examination, the Dean, Research may appoint another examiner.

17.2.9 Arrangement for the examination of artefacts will be made by the School in conjunction with the Graduate Studies Office.

17.3 Criteria for examination

17.3.1 Doctor of Philosophy degree: Examiners shall examine the HDR student's thesis according to the following criteria:

- a. Capacity to demonstrate critical analysis and original thought in all aspects of the study;
- b. Ability to demonstrate a comprehensive and detailed knowledge of the literature and theoretical understandings relevant to the field of study;
- c. Capacity to apply appropriate research methodologies;
- d. The extent to which the thesis makes a significant original contribution to knowledge and/or the application of knowledge within the field of study;
- e. The quality of the presentation of the thesis, including:
 - the clarity of expression
 - the accuracy and appropriateness of presentation of results
 - the quality and relevance of illustrative material (such as graphs, tables, illustrations)
 - the relevance and accuracy of citations, references, etc and
 - the development of a coherent argument where relevant to the field of study.
- f. The quality of artefacts, if any, including:
 - the conceptual understanding of the relevant field
 - the ideas and/or imagination demonstrated
 - the technical competence
 - the resolution of the artefacts and
 - the complexity and difficulty demonstrated, and
- g. The worthiness of the thesis for publication in any appropriate form.

17.3.2 Professional Doctorate by Research degree: Examiners shall examine the thesis according to the HDR student's capacity to:

- a.** Demonstrate a significant and original contribution to knowledge about professional practice and a contribution to knowledge of fact and/or theory;
- b.** Demonstrate a critical appreciation of the literature relevant to the research project;
- c.** Capacity to design a well designed and structured investigation (or set of investigations);
- d.** Present information in a manner consistent with the relevant discipline(s);
- e.** Demonstrate a critical appraisal of their own work relative to that of others;
- f.** Present evidence of independent and critical thought;
- g.** The quality of the presentation of the thesis, including:
 - the clarity of expression,
 - the accuracy and appropriateness of presentation of results,
 - the quality and relevance of illustrative material (such as graphs, tables, illustrations)
 - the relevance and accuracy of citations, references, etc and
 - the development of a coherent argument where relevant to the field of study, and
- h.** The worthiness of the thesis for publication in any appropriate form.

17.3.3 Masters by Research degree: Examiners shall examine the thesis to determine:

- a.** The HDR student's ability to demonstrate an appropriate knowledge of the literature, artefacts and theoretical understandings relevant to the field of study;
- b.** The HDR student's capacity to demonstrate critical analysis in applying research approaches and, where appropriate, interpreting results;
- c.** The extent to which the thesis makes a contribution to knowledge and/or the application of knowledge within the field of study;
- d.** The quality of the presentation of the written component, including:

- the clarity of expression
 - the accuracy and appropriateness of presentation of results
 - the quality and relevance of illustrative material (such as graphs, tables, illustrations)
 - the relevance and accuracy of citations, references, etc and
 - the development of a coherent argument where relevant to the field of study, and
- e. The quality of artefacts, if any, including:
- the conceptual understanding of the relevant field
 - the ideas and/or imagination demonstrated
 - the technical competence
 - the resolution of the artefacts
 - the complexity and difficulty demonstrated.

17.4 Examiners' reports

17.4.1 The examiners shall independently assess the thesis and recommend to the Research Degrees Committee one of the following assessments:

1. Pass forthwith.
2. Pass, following minor corrections (including typographical errors) being completed and certified by the Dean Research.
3. Pass, following major corrections
 - a. I delegate authority to the University's Research Degrees Committee or nominee the responsibility of being satisfied that the amendments have been made in line with the examiners' reports, OR
 - b. I would like to see the thesis again in order to be satisfied that the amendments have been made in line with my recommendation.
4. Revise and resubmit for re-examination (by the same examiners where possible) after a period of further research.
5. For PhD examinations only, I consider the thesis is not of PhD standard, but is worthy of the awarding of a Masters by Research degree following any corrections indicated in my report. I delegate to the Research Degrees Committee or nominee the responsibility of being satisfied that the corrections have been made.
6. Fail.

17.4.2 On receipt of all examiners' reports, the Graduate Studies Office will despatch the reports to the Principal Supervisor and HDR student, copied to the Research Degree Coordinator and Dean, Research.

17.5 Passed thesis - assessment option 1

17.5.1 Where a thesis has been assessed as passed forthwith, the final thesis shall be submitted to the Research Degrees Committee within four weeks of the notification of the examination outcome. The submission will be accompanied by a statement that is signed by the Principal Supervisor and the Dean Research, each confirming that the thesis is satisfactory for the award of the degree.

17.5.2 If a case is made by the HDR student and the Supervisor that amendments cannot be completed satisfactorily within the four weeks submission deadline, the Dean of Graduate Studies may grant an extension.

17.6 Minor corrections - assessment option 2

17.6.1 In the case that a thesis has been assessed as passed following minor corrections, the revised thesis shall be submitted to the Research Degrees Committee within six weeks of the notification to the student of the requirement for revision.

17.6.2 The submission will be accompanied by a statement that is signed by the Principal Supervisor and the Dean, Research, each confirming that the revisions have been made, or addressed, and that the thesis is satisfactory for the award of the degree.

17.6.3 If a case is made by the HDR student and the Supervisor that amendments cannot be completed satisfactorily within the six weeks submission deadline, the Dean of Graduate Studies may grant an extension.

17.7 Amendment - assessment options 3(a) and 3(b)

17.7.1 Where a thesis has been assessed as passed following major corrections, the revised thesis will be submitted to Research Degrees Committee within three months of the notification of the need for revision.

17.7.2 The submission will be accompanied by a statement that is signed by the Principal Supervisor, one other person nominated by the Dean, Research and the Dean, Research, each confirming that the revisions have been made and that the thesis is satisfactory for the award of the degree.

17.7.3 In the case where an examiner has recommended assessment option 3(b), the amendments to the thesis will be reviewed by the examiner before the final submission is considered by Research Degrees Committee.

17.7.4 If a case is made by the HDR student and the Supervisor that amendments cannot be completed satisfactorily within the three months submission deadline, the Dean of Graduate Studies may grant an extension.

17.8 Re-submission and re-examination - assessment option 4

17.8.1 Where a thesis is to be re-submitted for examination after major revision:

- a. the thesis may be submitted once only in the revised form;
- b. the written component should be submitted to the Graduate Studies Office normally within six months of the notification to the student of the requirement for revision;
- c. the submission will be accompanied by a statement signed by the Principal Supervisor, one other person nominated by the Dean Research and the Dean Research , each confirming that the required revisions have been made and that the thesis is worthy of re-examination;
- d. re-examination of the written component of the thesis will be arranged by the Graduate Studies Office;
- e. re-examination of artefacts will be conducted within the relevant school in conjunction with Dean of Graduate Studies, and the results forwarded to the Research Degrees Committee;
- f. normally, the same examiner(s) will be appointed;
- g. the examiner(s) may recommend only that the thesis be:
 - i. passed forthwith, or
 - ii. passed with specified amendments required but the award process may proceed, or
 - iii. failed.

17.8.2 The HDR student may be required to re-enrol.

17.8.3 If a case is made by the HDR student and the Supervisor that amendments cannot be completed satisfactorily within the six months submission deadline, the Dean of Graduate Studies may grant an extension.

17.8.4 A thesis which is not submitted within the prescribed time will, in the absence of evidence of extenuating circumstances, be deemed to have failed.

17.9 For PhD examinations only, awarding a Masters Degree by Research - assessment option 5

17.9.1 In the case of a thesis which has been assessed as not of PhD standard, but worthy of awarding a Masters by Research degree following any corrections indicated in the examiners' reports, the revised thesis will be submitted to Research Degrees Committee within three months of the notification of the need for revision.

17.9.2 The submission will be accompanied by a statement signed by the Principal Supervisor, one other person nominated by the Dean, Research and the Dean, Research, each confirming that the revisions have been made and that the thesis is satisfactory for the award of a Masters by Research degree.

17.9.3 If a case is made by the HDR student and the Supervisor that amendments cannot be completed satisfactorily within the three months submission deadline, the Dean of Graduate Studies may grant an extension.

17.10 Failed thesis and appeal - assessment option 6

17.10.1 Where both examiners recommend that the thesis be failed, the Examinations and HDR Academic Quality Panel shall deem the thesis to have failed.

17.10.2 Where one examiner recommends that the thesis be failed and the other recommends that the thesis be passed (or passed with corrections or amendments or revised and re-submitted), normally the Examinations and HDR Academic Quality Panel will recommend the appointment of a third examiner or an adjudicator and a final result will then be determined by the Examinations and HDR Academic Quality Panel.

17.10.3 A thesis which has been failed may not be resubmitted for the award of the degree and the enrolment will be terminated, except as provided in clause 17.11.

17.11 Appeal

17.11.1 An HDR student may submit an appeal to the Examinations and HDR Academic Quality Panel (refer to Clause 18) to have the thesis re-examined once only, provided that evidence is submitted to the satisfaction of Examinations and HDR Academic Quality Panel that any of the examiners:

- a. was unqualified to examine the work; or
- b. substantially misinterpreted the work; or
- c. was prejudiced or biased in the assessment of the thesis.

17.11.2 Examinations and HDR Academic Quality Panel will determine whether the appeal should be upheld or rejected and, if upheld, shall appoint new examiners. If the appeal is not upheld, the student may within twenty days lodge an appeal with the Dean of Graduate Studies for the appeal to be heard by the Special Appeals Committee (see Clause 11.3.2 for details of the constitution of the Special Appeals Committee).

17.11.3 The decision of the Special Appeals Committee will be final.

18. Examinations and HDR Academic Quality Panel

18.1 Research Degrees Committee will establish an Examinations and HDR Academic Quality Panel. Membership will comprise the Dean of Graduate Studies and the Deans, Research from each Division/Institute. The minimum attendance for a quorum is the Dean of Graduate Studies plus 50% of the Deans, Research.

18.2 The purpose of the Examinations and HDR Academic Quality Panel is to reconcile conflicting examiners' reports involving assessment option (4) or lower result, or any other matter referred by Research Degrees Committee.

18.3 Normally, combinations of assessment options 1, 2 and 3 will be decided by the Dean, Research, however the Dean, Research may refer any matter relating to a higher degree by research examination to the Examinations and HDR Academic Quality Panel for advice.

18.4 Within six weeks of receipt of the examiners' reports, the Principal Supervisor will provide to the Dean, Research documentation and a recommendation as to the proposed course of action. All examiners' reports are to be taken into account when preparing a recommendation.

18.5 Procedures

18.5.1 The Examinations and HDR Academic Quality Panel may determine that:

- a. dialogue be conducted with all or any one of the examiners, or between the examiners;
- b. another examiner be appointed;
- c. the examiner's advice be overridden;
- d. an independent adjudicator be appointed; or
- e. any other action as deemed appropriate.

18.5.2 The Examinations and HDR Academic Quality Panel will send a written report to the Dean, Research and Principal Supervisor for action.

18.6 Appointment of an adjudicator

18.6.1 Where an independent adjudicator is required, the Research Degrees Committee will appoint the adjudicator, normally who will be external to the University.

18.6.2 The adjudicator is not an additional examiner, but a judge requested to pronounce on the relative soundness, correctness and appropriateness of the initial two examiners' recommendations.

18.6.3 The following material is sent to the adjudicator:

- a. Original thesis;
- b. Examiners' reports (anonymised);
- c. Rejoinder from the student and supervisor; and
- d. Criteria for examination.

18.6.4 The adjudicator shall evaluate the above material and advise the Examinations and HDR Academic Quality Panel about whether the examiners have:

- a. fully grasped the substance of the HDR student's thesis/research work;
- b. erred in their judgement of the thesis; and/or assessed the thesis at the appropriate level (see clause 17.4).

19. Final grades and transcript notations for non-enrolled HDR students

The following gradings and transcript notations will apply, depending on the circumstances of each individual non-enrolled HDR student and as determined by the Dean, Research and the Dean of Graduate Studies.

19.1 F - Failed. This notation is to be used where an HDR student has:

- submitted for examination and failed as indicated in the assessments given by the examiners, or
- completed revisions, been re-examined and the result is still judged to be a failure.

An appeal may also have been heard. No reinstatement is permitted.

19.2 T - Terminated. This notation is to be used where an HDR student's progress has been deemed to be unsatisfactory in accordance with the Academic Regulations, that is milestones have been established (including revisions to thesis after examination) and have not been met. No reinstatement is permitted.

19.3 SE - Suspended - examined, but examination process not completed. May apply for reinstatement. This notation may be used where an HDR student's thesis has been examined and revisions (minor or major) are required, but the HDR student chooses not to complete. Within three years, the HDR student may seek reinstatement and be re-admitted if appropriate support is available.

19.4 SNE - Suspended - not examined. May apply for reinstatement. The HDR student has not completed the requirements for the award of the degree. This notation is to be used where the enrolment lapses prior to the examination process due to the student failing to make satisfactory progress. Within three years, the student may seek reinstatement and be re-admitted if appropriate support is available.

19.5 WD - Withdrawn. HDR student formally withdrew from the program. Within three years, the HDR student may seek reinstatement and be re-admitted if appropriate support is available.

19.6 WADM - Administratively Withdrawn. No Major Review - Research. The HDR student has not completed the requirements for the award of the degree. This notation is to be used where the enrolment lapses prior to the examination process due to the student failing to complete a Major Review of Progress and/or

failing to maintain contact with the supervisor. Within three years, the student may seek reinstatement and be re-admitted if appropriate support is available.

20. Reinstatement/re-admission

20.1 An HDR student whose enrolment was suspended may apply to the Dean of Graduate Studies for reinstatement, provided they have had less than three years absence and will continue their previous research project.

20.2 An application is required to be supported by the Principal Supervisor; Research Degree Coordinator, Dean, Research and Head of School/Institute Director.

20.3 The Principal Supervisor of a reinstated HDR student will be required to establish milestones with the HDR student to ensure completion within the required timeframe and the Dean, Research will be required to agree to these milestones and to monitor progress against milestones.

20.4 Reinstatement will be allowed only once.

21. Eligibility for the degree

21.1 If the Research Degrees Committee is of the opinion that an HDR student has satisfied the requirements for the award of the degree, it shall certify to Council that the HDR student is eligible to be admitted to the degree.

21.2 In their final year, the HDR student shall document evidence of achievement and experience in the seven areas of the Research Degree Graduate Qualities in their final review of progress.

22. Intellectual property

22.1 University Provisions

The University provisions relating to intellectual property are contained in the [University Activities Policy](#). The Statement of Agreement Form outlines the considerations that require the completion of the Student Participation/Intellectual Property Agreement. Copyright in all theses shall remain the property of the HDR student.

22.2 Lodgement of the thesis with University Library

22.2.1 Two copies of the final version of the thesis, amended if necessary must be sent to Dean of Graduate Studies for lodgement with the University Library (1 copy) and in the Division or such other place(s) as the Research Degrees Committee considers appropriate (1 copy).

22.2.2 The final version should include an appropriate record of artefacts, eg photographs, video recording.

22.2.3 Wherever possible, the final version should be in print format

22.2.4 HDR students are required to submit a digital copy of their thesis into the University's institutional repository, UniSA Research Archive, via the deposit form on the [Depositing Digital Theses](#) webpage. Theses submitted to the repository are included in the National Library of Australia's Trove service (incorporating Australian Research Online and the Australian Digital Theses program).

22.2.5 In order to protect intellectual property rights, an HDR student may restrict access to the thesis (refer to clause 22.3).

22.3 Availability and/or restriction on circulation/electronic access of thesis

22.3.1 The HDR student, as author, will be asked to consent in writing to the print thesis being made available for loan or copying and to full text access to the digital thesis. The Dean of Graduate Studies will insert the aforementioned notice of consent into the copy deposited in the Library which will become available for loan, copying or electronic access, except where a restriction is imposed by Research Degrees Committee, as provided for in clause 22.3.2.

22.3.2 Where written consent to the print thesis being made available for loan or copying is not given by the author, the Research Degrees Committee may restrict the circulation and copying of the thesis. Where written consent to the digital thesis is not given by the author, the Research Degrees Committee may restrict full text access to the digital thesis.

22.3.3 If the Research Degrees Committee approves a restriction on circulation or copying, the print thesis will, in any case, become available for loan two years after the thesis has been deposited with the University, or such longer period as may be approved by the Research Degrees Committee. If the Research Degrees Committee approves a restriction on access to the full text of the digital thesis, the thesis will, in any case, become available under open access conditions two

years after the thesis has been deposited with the University, or such longer period as may be approved by the Research Degrees Committee.

23. Quality control

From time to time the Research Degrees Committee will audit these Regulations and their implementation.

Appendix 1: Guidelines for the preparation of research proposals

Before the expiration of six months full-time study, the candidate must develop, and subsequently maintain, a comprehensive Research Proposal. A Research Proposal is designed to provide a structure and time frame for a candidate's research program and can be used to assess the candidate's progress at times of review. The proposal should contain the following sections, and should normally be between 10 to 20 pages in total length. The Research Proposal should indicate how the candidate intends, in performing the research project, to elaborate the Research Degree Graduate Qualities. [Obtain information on the qualities](#)

1. Statement of the Research Topic and Rationale for the Research

This section should typically include the following details:

- a)** Introduction in which the candidate states the nature of the topic, why it is considered important and how the research will contribute to its solution. This section should also include a proposed thesis title, and the ratio of written to artefact components, where relevant. The proposed artefact(s) should be of a nature agreed with the Supervisor and Research Degrees Coordinator.
- b)** Review of relevant research and theory, an integrated statement that affords some explanation of why the literature and artefacts cited are important to the research the candidate proposes to undertake;
- c)** The Research Topic (or Hypothesis). (The research topic should be clearly stated and provide clear indication of the focus of the research project);
- d)** Subsidiary Issues, which like the research topic may be stated in hypothesis form (where relevant).

2. Research Methodology

This section should typically include the following details:

- a) A description of the theoretical or conceptual framework to be employed;
- b) Details of analytical techniques and research design to be used to undertake the research project;
- c) Timetable or Project Plan for undertaking the research and completing the thesis, including gaining ethics approval and timelines for writing up the thesis.

3. Trial Table of Contents

This section should normally comprise 1 or 2 pages and has the advantages of indicating to the reader the dimensions of the topic, and providing the candidate with a provisional organisational framework.

4. Brief Bibliography

The chief advantages are that it enables the Supervisor to form an opinion of the quality of the sources available and to suggest any useful references which may have been overlooked. Work on a preliminary bibliography, which may include an artefact review, provides the foundation for the more comprehensive listing which will be incorporated in the final thesis.

Appendix 2a: Guidelines for the presentation of the thesis, or exegesis (to accompany an artefact thesis - see appendix 2c)

*Note: **Professional Doctorate students** submit a body of research work for examination. Research work is as specified in the program approval documentation and means any combination of a thesis, dissertation, portfolio of work, exegesis, artefact, published articles or written project, as specified for the particular program information. The research work submitted for examination may be known as a thesis, portfolio or folio. HDR students submitting for examination should check with their Supervisor and/or Program Director as to the requirements in that particular program. Any work presented for examination must follow these guidelines.*

(a) The Thesis

For detailed information on the content and form of the thesis and requirements for submission, refer to [Section 16](#) of the Academic Regulations.

Before the research work is submitted for examination, the HDR student, with the advice of their supervisor, should ensure that a very high standard of scholarly presentation has been achieved. This includes ensuring that:

- the use of academic language at a level appropriate to journal publication in the discipline;
- the thesis is free of typographical and grammatical errors;
- illustrative material is presented at a level of reproduction that enables examiners to assess all aspects of the work;
- extraneous material does not detract from the presentation of the findings and the argument;
- the research work has a title that gives an appropriately clear description of its content and an Abstract or Summary that gives a clear and accurate account of its main arguments, methodology and scope. (National Guidelines, Deans of Graduate Studies, April 2004).

(b) Length of thesis

Normally, a doctoral thesis shall comprise 80,000 words, and a Masters thesis shall comprise 40,000 words. The exegesis accompanying an artefact thesis is normally a maximum of 20,000 for a doctoral thesis and 10,000 words for a Masters degree.

If length limits have been exceeded, notification of the length and number of volumes is to be advised, so that examiners can be informed of the length of the thesis before they accept nomination. (National College of Deans and Directors of Graduate Studies Guidelines April 2004)

(c) Presentation of the thesis

Theses may be presented in either electronic or printed form, depending on the agreement of the examiner as to their preferred medium in which to assess the thesis. The electronic format normally should be in the software compatible for the examiner's computer.

HDR students presenting non-standard theses will need to obtain the prior approval of the Supervisor and the Division/Institute Research Management Committee (or equivalent) before being lodged for examination. Advice supporting the submission of non-standard theses is to be provided to the Graduate Studies Office at the time of lodgement.

Four copies of the thesis in either form or a mixture of forms must be presented for examination. One copy is to be retained in the school and the other three copies are to be forwarded to Dean of Graduate Studies for despatch to examiners.

i. **Printed version**

- A thesis normally shall be printed using a **12 pitch font on A4** bond paper. The thesis normally shall be **printed on both sides** of the paper with **1.5 spacing** and with quality printing.
- **Quotations**, footnotes and end notes should generally be printed in single spacing.
- **Footnotes** should be clearly separated from the text by a black line.
- **Other forms of presentation** may be allowed if the Dean of Graduate Studies approves, but bond paper should be used. Work previously published, if submitted, may be good quality copies of the published work, including full publication details. Material presented should comply with legislative requirements, such as copyright and intellectual property requirements
- **Margins** should be not less than 3.5cm on the left-hand side of the page to allow for binding and between 1.5cm and 2cm on the other three sides.
- AN HDR student submitting a **thesis for examination** is required to present three securely soft- or hard-cover heat bound copies of the thesis, that is sheets cannot be removed or added without evidence of tampering. No strip-bound or spiral-bound thesis will be accepted for examination. The **name** of the HDR student is to appear on the spine of the thesis.
- AN HDR student is also required to submit an **electronic copy** of the summary.
- These are to be accompanied by a **statement from the Principal Supervisor** to the Research Degrees Committee as specified in the relevant Academic Regulations (refer to Academic Regulation 16.2.5).
- The Principal Supervisor must ensure that one additional copy of the thesis is retained in the school during the examination process.

ii. **Electronic version**

- An HDR student submitting a thesis for examination is required to present the required number of copies of the thesis on CD, clearly labelled with:
 - the HDR student's name,
 - the name of the degree and
 - title of the thesis, together with an
 - electronic copy of the summary.
- Theses submitted on CD will normally be in Adobe Acrobat format (.pdf) on a CD readable by a Windows based computer. For documents that require specialist software to view them (such as web pages or Multimedia presentations) the CD should contain all software, appropriately licensed, to enable the reader to access the files. Relevant instructions for the marker should be included on the CD in this case.
- The CD must be clearly labelled, contain full citations, a list of the software/hardware required to run programs on the CDrom and information on the segments contained in the CDrom (such as video clips).
- These are to be accompanied by a statement from the Principal Supervisor to the Research Degrees Committee as specified in the relevant Academic Regulations (refer Academic Regulation 16.2.5).

- The Principal Supervisor must ensure that one additional copy of the thesis is retained in the school during the examination process.

(d) Content

The thesis should incorporate in the following order:

1. a **title page** giving the:
 2. title of the thesis in full;
 3. the names and degrees of the HDR student;
 4. the name of the school, division and university associated with the work;
 5. the date when submitted for the degree and
 6. the name of the degree for which the thesis is being submitted.
7. a **table of contents**
8. a **list of figures**
9. a **list of tables**
10. a **glossary and/or table of abbreviations**
Glossary of uncommon terms and general abbreviations used throughout the text.
List all abbreviations except those in widespread use;
11. a **summary** in not more than 500 words;
12. a **signed declaration** stating
I declare that:
 13. *this thesis presents work carried out by myself and does not incorporate without acknowledgment any material previously submitted for a degree or diploma in any university;*
 14. *to the best of my knowledge it does not contain any materials previously published or written by another person except where due reference is made in the text; and all substantive contributions by others to the work presented, including jointly authored publications, is clearly acknowledged.*
15. an **acknowledgment** of any help given or work carried out by other people or organisations, including the University of South Australia
16. the **main text**
17. **bibliography/references** should be cited following a protocol used by a major international journal in the HDR student's area of study or as determined by the Division Research Management Committee (or equivalent)
18. **appendices** if any.

Notes:

1. **Numbering of pages** - title page bears no number; sections (ii)-(viii) are numbered with small Roman numerals (bottom centre); main text onwards is numbered with Arabic numbers (bottom centre).
2. **Units** used in the thesis must accord with the system of international units (SI, Le Systeme International D'Unites).

(e) Figures and Tables

Figures of high quality should be drawn, photographed or securely mounted on A4 size paper and inserted in the appropriate place in the text.

Diagrams and figures are to be labelled using a computer based graphics drawing program in a font that matches the main text. The legend should be placed beneath the figure.

Tables should be inserted in the appropriate place in the text, except that lengthy or bulky tables should appear as an appendix. The legend should be placed above the table.

Where the figure or table fills the whole A4 page, the legend should be placed on the left-hand (verso) page. Verso pages are to be prepared with a right-hand side margin not less than 3.5cm to allow for binding and 1.5cm on the other three sides.

Diagrams, maps, tables, etc exceeding A4 size, should be folded so as to read as a right-hand page when open.

(f) Binding

The final three copies of the thesis must be sewn and bound with dark cloth on stiff covers. The examination copy may be presented in soft cover and heat bound, but must be secure, ie sheets cannot be removed or added without evidence of tampering.

On the spine of the final copies of the thesis should be given, in gold lettering of suitable size, normally reading from top to the bottom, the HDR student's family name and title of the thesis, abbreviated if necessary. Where the width of the spine allows, the lettering may be placed horizontally, with the title of the thesis near the top of the spine and the HDR student's family name near the middle.

When published papers are submitted as evidence, they should normally be bound near the back of the thesis as an appendix. In the case of published papers of unusual size, it may be desirable to bind them in a separate volume. If they have been bound by the publisher it is desirable to keep them in a special case made and lettered to simulate a bound volume of the thesis.

Supplementary material such as computer disks, folded maps and other large folded sheets may be placed in a pocket inside the back cover of the bound thesis. Any material which cannot readily be kept in a pocket should be placed in a special case made and lettered to simulate a bound volume of the thesis.

A supplementary case or additional volume of a thesis should be distinguished by a volume number but should otherwise be uniform with the first part of the thesis in respect to colour, lettering and, as far as possible, size.

(g) Lodgement with the University Library

Refer to clauses [22.2](#) and [22.3](#).

Appendix 2b: Guidelines for the presentation of a thesis containing published research (see clause 16.1)

Note: UniSA also has a Degree of Doctor of Philosophy (by Portfolio of Publications) where a person is admitted to that degree on the basis of a prior significant publications record. The content of the PhD by Portfolio of Publications is outlined in an appendix attached to the [Academic Regulations for the Degree of Doctor of Philosophy \(by Portfolio of Publications\)](#).

These guidelines relate only to Higher Degree by Research students who present a thesis which includes publications written as part of the requirements for the Higher Degree by Research.

The University of South Australia has introduced the provision whereby theses containing published work, produced, published, or accepted for publication during the period of candidature may be submitted for examination.

The thesis is to include a combination of publications and conventional chapters. The model permits the inclusion of **one or more** published works, however, the body of work presented in the thesis must represent that which reaches the standard for theses in each disciplinary area. A thesis presented purely by publications would typically include **at least 2-3** published works depending on the convention for each discipline and depending on the quality of the work and the international standing of the publication outlet.

The publication(s) included in a thesis containing published research must be part of an integrated project such that the publication(s) presented in the thesis constitute elements of a connected whole.

The decision regarding submitting a thesis in this format is to be made in consultation with research supervisor(s) and should occur early in the candidacy, as there are a number of issues which will influence that decision.

Published research

The requirements for publications included in a Thesis Containing Published Research are:

- Each publication must be peer reviewed and recognised for the University's publication collection.
- Each publication must be published or accepted for publication pending revisions for publication in significant journals, books and/or conference proceedings relevant to the discipline. The Dean of Research (or equivalent) will have a list of journals and conferences that meet the University's requirement for ranked journals and conferences in the relevant Field of Research.
- Conference papers published in conference proceedings and book chapters can only be included where there is evidence of peer review of the full work.
- For publications that have been accepted for publication pending revisions, the Principal Supervisor must provide written confirmation that revisions required by referees and/or the editor have been made. This confirmation must be incorporated in an appendix to the thesis.
- The candidate must be the first or principal author of any co-authored publications included in the thesis.
- Each co-authored publication included in the thesis must be accompanied by a statement by the candidate describing the contribution of each author to each publication. The statements must be signed by each author and incorporated in an appendix to the thesis.
- The subject matter of the publications must be closely related and form a cohesive narrative.
- The publications must be compliant with Copyright law and intellectual property requirements.
- Where copyright has been assigned to the publisher, permission will need to be sought to reproduce the work in the print and digital versions of the thesis. It is the candidate's responsibility to obtain permission to reproduce the work in the thesis. Permission statements from publishers must be included as an appendix to the thesis.
- Publications published, accepted, or submitted for publication prior to commencing the degree, either at UniSA or at another university, must not be included in the thesis.

Format of the thesis

In addition to the Guidelines in Appendix 2a, the thesis must also include:

a. Introductory contextual statement:

- i. indicating that the thesis is submitted as a Thesis Containing Published Research in accordance with UniSA Academic Regulations for Higher Degrees by Research Clause 16.1.1.b;
- ii. describing the overall aims, objectives and significance of the study;
- iii. explaining how published works included in the body of the thesis are critically placed in the context of the appropriate field of study and in the context of the thesis as a whole;
- iv. indicating the contribution of each author to the publication(s).

b. The body of the thesis should include content that provides literature review, methodology, results and discussion. The appropriate format for the body of the thesis will depend on the convention for each discipline. Students are encouraged to discuss the proposed structure of their thesis with their supervisor to ensure it represents the best structure in the context of their work and in the context of the conventions of the discipline area.

c. General summary:

To integrate and reconcile the various results contained in the thesis publications and relevant chapters, and to present the most significant findings of the thesis and discuss future directions of the work.

d. Bibliography

e. Appended statements as required for published research (refer section on Published Research)

Publication(s) may be reformatted to simplify production and enhance the presentation and clarity of the thesis. Reformatted papers must contain reference to the full citation of the published paper.

Appendix 2c: Guidelines for the presentation of an artefact thesis

These guidelines for the examination of artefact-based theses are based on the understanding that you will have thoroughly discussed the issue of appropriate examination with your Principal and Associate Supervisors and the School's Research Degrees Coordinator **before** submitting your thesis for examination.

A 'thesis' is a directed argument supported by evidence derived from the candidate's research, ranging from academic library or 'field' sources and data to reflective practice in the studio. It is vital therefore that the thesis establish a clear relationship between all its constitutive components - written and artefact.

'Artefact' is used here to mean physical objects forming part of your thesis. Submission of theses by artefact requires a first-hand viewing of the artefact in all cases. Artefacts will vary widely according to the field but may include: works of art and design; video and film; management policies and plans; curriculum documents and other resource documents.

For visual art and design HDR students, the written component of an artefact-based thesis is termed the 'exegesis', defined in the Shorter Oxford English Dictionary as being an: 'explanation, exposition, or interpretation' (see below).

Exactly the same conventions mentioned for conventional written theses apply to the exegesis.

For visual art and design candidates, where the exegesis is submitted in conventional printed form, **it must include a durable visual record of the artefacts submitted for examination** - either as images included within the body of text, or as a separate insert bound within the exegesis as a CDrom of digital images and/or series of 35mm photographic transparencies. Where the exegesis is submitted in electronic form **it must include digital images of the artefacts submitted**.

Artefact theses require a 500-word 'abstract' (summarising the argument outlined in the thesis) in electronic form. The abstract should also be included in the exegesis submitted for examination.

For further information on written thesis presentation see the [Guidelines for the presentation of the thesis, or exegesis](#) - Appendix 2a of the Academic Regulations for HDR Programs.

The main school at UniSA in which students undertake artefact-based theses is the School of Art, Architecture and Design, and 'artefact' generally means 'art' or 'design' work for the purposes of Master of Visual Art, Master of Design (Art), and PhD by Major Studio Project degrees in that school. The following guidelines for presenting and examining artefact theses have been prepared by the School of Art, Architecture and Design. Other schools may develop guidelines for artefact theses in their own academic context.

Guidelines for thesis examiners on the relation between studio and theory for candidates for the awards of Master of Visual Arts (Major Studio Project), Master of Design (Art), & PhD Visual Art (Major Studio Project) - School of Art, Architecture and Design

Regulations for the research degrees of Master of Visual Arts (Major Studio Project), Master of Design (Art), and PhD Visual Art (Major Studio Project) provide for submission of a thesis in the form of art or design works ('artefacts'), supported by written exegesis. This reflects the understanding that artefacts are as important as writing in advancing the 'argument' of the thesis, with each component forming a part, or proposition of the whole.

1. General expectations

Submission expectations for Master of Visual Arts (Major Studio Project) and Master of Design (Art) artefact theses:

- A substantial, coherent and resolved body of artefacts (art or design works) developed for final submission (but not necessarily for public exhibition)
- An exegesis of not less than 10,000 words advancing a 'thesis' (argument in support of a proposition) and providing a critical context for the contribution to be made through the studio work

The normal written Masters thesis comprises 40,000 words. A body of artefacts, in conjunction with the 10,000 word exegesis, needs to be seen as equivalent (with commensurate expectations as to quality of argument). Notwithstanding length, it is imperative HDR students understand the significance of the exegesis in examiners' minds in providing a sophisticated, well written, thoroughly researched and rigorously argued case in support of the overall 'thesis'. For their part, examiners are entitled to question or take issue with any and all aspects of the thesis presented for examination - whether artefacts or written.²

Expectations for PhD by Major Studio Project theses:

- A substantial, coherent and resolved body of works developed for final submission and public exhibition and making a significant contribution to the field of research.
- An exegesis of no less than 20,000 words providing a critical context for the contribution to be made through the studio work.

The normal written PhD thesis comprises 80,000 words. A body of artefacts, in conjunction with the 20,000 word exegesis, needs to be seen as equivalent (with commensurate expectations as to quality of argument). Notwithstanding length, it is imperative HDR students understand the significance of the exegesis in examiners' minds in providing a sophisticated, well written, thoroughly researched and rigorously argued case in support of the overall 'thesis'. For their part, examiners are entitled to question or take issue with any and all aspects of the thesis presented for examination - whether artefacts or written.²

2. The body of artefacts

Artefacts should form a **substantial, coherent, highly resolved** body of works, judged in terms of scope, scale and **originality**. These three terms can usefully be defined as follows:

Substantial: a body of works equivalent to a significant solo exhibition - for example only, at Masters level this might perhaps mean eight to ten major paintings or sculptures (though this would obviously depend on the nature of the idea informing the work, as well as upon considerations such as scale, materials and processes employed). Other media, such as performance, installation or video, will require a different yardstick.

Coherent: articulating a common thread or theme or proposition as outlined in both the proposal (not available to examiners) and exegesis (available to examiners).

Highly resolved: consistent and considered, technically, aesthetically, formally, conceptually.

Original: making a significant contribution to knowledge in the particular area of research nominated for investigation in the proposal and as developed in the exegesis.

HDR students must understand that in assessing the artefacts, examiners look for attributes such as:

- Formal invention
- Expressive facility
- Technical skill and understanding
- Conceptual relevance and rigour
- Capacity for self-critical learning
- Capacity for innovation

3. The exegesis

It is important to note that while the **minimum** length of the written document is set at 10,000 words and 20,000 words for Masters and PhD respectively, HDR students **may** elect to develop a more substantial document. However this will be an exception and will require approval by the HDR student's supervisors and the School's research proposal approval panel at the outset of study - on the basis of a strong argument established in the research degree proposal. In any case, the length of the exegesis is less important than the strength of the argument it advances and the quality of the research which underpins it.

Given that a 10,000 word or 20,000 word exegesis will be the norm, the emphasis within the thesis is upon development of a substantial, coherent and highly resolved body of art works (the 'artefacts') – the proposition underpinning

which will be supported by the exegesis. The writing should not be allowed to overwhelm studio work.

The relationship between written and artefact components should be complementary, clearly articulated, and specific in relating the art works produced to the sorts of theoretical, social, cultural and historical considerations appropriate to providing a critical and informed account of the research itself.

The exegesis should demonstrate:

- an articulation of the proposition or question underpinning and guiding the research;
- a clearly structured argument in support of the proposition;
- a sound understanding of the appropriate methodology for conducting the research (both through the writing and through studio production of artefacts);
- a thorough knowledge and appropriately critical understanding of art and design artefacts relevant to the candidate's nominated area of research;
- a sound understanding of the significant critical and theoretical references relevant to the nominated research topic (philosophical, literary, historical, sociological, etc);
- logical and specific links to the artefacts produced during the research;
- an indication of the contribution to knowledge (in the topic area) made by the artefacts (and writing).

The exegesis should **not** include:

- lengthy and/or overly subjective reporting on the production of the artefacts
- extended descriptions of (or claims for) the completed artefacts.

Note: while examiners have relatively clear expectations as to the role and significance of the exegesis in outlining the terms of the research investigation, the form of the writing itself is not fixed. With the approval of their supervisors, candidates are encouraged to consider creative approaches to developing a form for the writing which might complement the artefacts themselves. If this approach is adopted, candidates must still ensure the expectations outlined above are met.

4. Preparing the artefacts for submission for examination

It would be inadvisable to generalise about the process to be followed in preparing artefacts for examination because of the potentially enormous variety of forms and media available. A few things however need to be stressed.

The **first** is to ensure that the links made between the research and the artefacts are indeed evident in the artefacts themselves. To achieve this it may help you

(and your supervisors) to write up abstracts of each artefact, emphasising the aim of the artefact and its distinguishing features.

The **second** is to ensure that each artefact goes through a process of design, preparation, drafting, editing and consultation, and received substantial feedback from your supervisors before the final artefact is made ready for submission.

On the whole HDR students should present the **outcomes** of the research for examination, rather than the artefacts produced along the way (unless a strong argument can be made for inclusion of such work).

Appendix 3: Statement of minimum resources for higher degrees by research students

Revised statement approved by Academic Board 24 February 2005. Endorsed by Senior Management Group on 15 October 2003; approved by Academic Board on 28 November 2003

Preamble

The University of South Australia (UniSA) has Higher Degree by Research (HDR) students studying full-time or part-time, on-campus or externally in a range of locations in Australia and offshore, and 'transnationally' through industry partners in a number of locations. HDR students at UniSA are expected to produce work of a very high standard and require facilities of an equivalent standard with which to do this. All HDR students should be able to undertake educational activities with the University in an environment [promoting the principles of equity and social justice](#) and [free of unlawful discrimination, harassment, bullying and victimisation](#). Divisions and Institutes receive annual funding from the University's budget and other sources to provide resources and facilities for HDR students. The University funds come from revenue from international student fees and from funds allocated by the Commonwealth Government's Research Training Scheme (RTS).

Approval of resources will occur in two stages: in signing the Recommendation Form, the University agrees to fund basic facilities and resources for that HDR student, access to which is agreed upon in the Welcome meeting; in signing the Confirmation of Candidature form, the University agrees to fund the negotiated project specific resources for that HDR student.

Postgraduate Research Degree Supervisor expertise and time

The most important resource that UniSA provides to HDR students is the expertise and time of the supervisor. Supervisors are required to be familiar with the [Code of Good Practice: Research Degrees Management and Supervision](#) and to adhere to its principles. Under [Research Policy 18, Register of Current Higher Degree by Research Supervisors](#), supervisors must remain aware of current supervisory practices and policy environment by participating in supervisor development programs provided by the University.

University research resources

The University will provide the following resources to all HDR students:

- access to a strong and supportive research culture where they will be supported by a critical mass of researchers, address significant research questions, and witness high calibre research 'leadership' in action;
- access to information resources and Library services relevant to the research process, including: scholarly electronic and print collections, inter-library loans, a digital research repository, support and advice on research data management, on campus and on-line information skills workshops and access to expert advice from professional librarians;
- copyright advice about rights and responsibilities on issues which might arise through the use of third party copyrighted works;
- advice about Intellectual Property and Commercialisation;
- access to Research Education Support Activities (RESA) Online; online workshops and resources provided by and through UniSA and the Australian Technology Network's e-Grad School;
- [Research Education Support Activities \(RESA\)](#) on campus workshops and resources.

Division/Institute/School Research resources

In signing the Recommendation Form to accept an HDR student, the Head of School/Institute Director and Divisional Dean: Research/Chair of Research Management Committee commits the area to provide the following basic facilities and resources that HDR students can access while completing their degree. Access will be negotiated in the Welcome meeting and reviewed as needed. [Research Degree Coordinators](#) can provide further explanation of this statement.

On campus students

On campus HDR students will be provided with the following facilities, available 24 hours a day, subject to safety requirements. Access will be negotiated with each student taking into account their needs, including any disability-related services, and preferred mode of study. Part-time HDR students shall have pro rata access to the same facilities as full-time HDR students negotiated on a case-by-case basis. For full-time on campus students, resources shall include:

- appropriate office facilities including a workstation compliant with Occupational Health, Safety and Welfare (OHS&W) requirements;
- appropriate access to UniSA Information Technology (IT) facilities and computing resources including a desktop computer, Microsoft Office software, email and internet access consistent with staff standards;
- appropriate access to a photocopier and computer printing facilities;
- access to a telephone for local calls for research purposes;
- secure storage for research materials appropriate to the research area. technical and IT support;
- maintenance allowance of at least \$300 per annum to cover expenses associated with photocopying and printing costs, postage, fax, phone calls, stationery, binding and other services required to produce draft copies of the thesis. The allowances can be claimed on the appropriate form and receipts/explanation must be provided;
- at least \$800 available to each HDR student for the purpose of delivering paper/s, preferably refereed, at conferences during their enrolment and preferably on an annual basis. Consultation with the supervisor is required to determine the choice of conference;
- where HDR students do not hold scholarships, an allowance of \$200 for the production and binding of the final copy of the thesis.

External students

Where HDR students study off campus such that they relinquish direct access to study facilities, the University will provide them with resources outlined below.

Part-time external HDR students shall have pro rata access to the same facilities as full-time external HDR students, negotiated on a case-by-case basis. For full-time external students, resources shall include:

- technical and IT support;
- library assistance via phone or online, electronic document delivery to desktop and postal delivery of loan items and documents;
- maintenance allowance of at least \$500 per annum (details as per on campus students, above);
- at least \$800 available to each HDR student for the purpose of delivering paper/s, preferably refereed, at conferences during their enrolment and preferably on an annual basis. Consultation with the supervisor is required to determine the choice of conference;
- where HDR students do not hold scholarships, an allowance of \$200 for the production and binding of the final copy of the thesis.

Transnational students

Where students study offshore through a partner institution, the provision of the following resources is dependent on the agreement signed between the offshore partner and the University in relation to resources, establishment of program fees and fee split. Part-time transnational HDR students shall have pro rata access to the same facilities as full-time transnational HDR students, negotiated on a case-by-case basis. Having considered the terms of the agreement and the agreed

upon fees for each transnational research degree program, transnational students shall have access to:

- partner institution libraries that enable HDR students to access research material most appropriate for their area of research as well as phone and online assistance and electronic document delivery to desktop from the UniSA Library;
- financial support as negotiated with their supervisor to deliver conference paper/s, preferably refereed, during the course of their candidature.

The Local Program Management Partner (LPMP) is expected to provide a team of professional managers to work closely with UniSA for the local promotion and management of UniSA programs. Its responsibilities include providing the following local administrative and management support:

- a program manager who co-ordinates, administers and manages the program locally;
- publication of updates (newsletters) to guide and direct the progress of the program in accordance with UniSA requirements;
- provision of facilities for information sessions, commencement and induction seminars, coursework seminars, research seminars, supervisor and student meetings, etc;
- collection of assignments, draft research papers and thesis for onward transmission to UniSA;
- internet/email facilities for students who do not have direct access to email facilities;
- facilitation and co-ordination of communications between UniSA administration and academic staff and students;
- formation of research groups for students of similar research interests (if appropriate);
- collection of program fees and remitting the same to UniSA as per contract;
- attending to students' administrative requests which need only local action, within 24 hours;
- providing regular feedback to UniSA on the progress of the program through course evaluations.

Project specific resources

The University recognises that each HDR student may require specific equipment, e-research infrastructure, laboratory or studio space and funds adequate for the completion of the research program. Expenses may include travel arising from field work, experiments and data collection and the cost of consumables.

These project specific costs are to be identified by the HDR student and supervisor during the preparation of the research proposal. Where the student's project is a subset of the supervisor's funded research project, such costs could be allocated from the project's budget. Costs must be presented and negotiated

with the Head of School/Institute Director prior to [confirmation of candidacy](#). Should a change of proposal prove necessary, resources may be renegotiated between the HDR student, the Supervisor and the Head of School/Institute Director.

Review: Research Degrees Committee, in conjunction with the appropriate areas of the University, will review this statement on a regular basis.

Please note: The resources listed above are only available to currently enrolled higher degree by research students and do not include those on leave/suspension from the program. The amounts listed in this policy are minima and Divisions/ Schools/ Institutes may develop specific policies in relation to, for example, attendance at national and/or international conferences. Students should check this with the relevant Dean, Research.

Appendix 5: Research integrity

Procedures in cases of alleged research misconduct

Note 1: Any possible breach of examination procedures will be dealt with initially by the Research Degrees Committee's Formal Inquiry Panel.

Note 2: Where an external party, including an examiner or an academic from another university, has concerns that the action of an HDR student may involve research misconduct, the issue will proceed straight to a formal inquiry.

Note 3: if an HDR student is also employed by the University the processes identified in Clause 46 - Misconduct/Serious Misconduct, specifically 46.6 - Research Misconduct, of the Academic and Professional Staff Collective Agreement 2006 (the Agreement) may need to be followed.

1. Initial inquiry

1.1 Where a staff member or another HDR student has concerns that the action of an HDR student may involve research misconduct, they will first discuss the issue with the appropriate Research Degree Coordinator.

1.2 To determine whether the case should proceed to an initial inquiry, information or material from the HDR student may be requested by the Research Degrees Coordinator. This may include an electronic version of a publication,

thesis chapter or the full thesis in the case of an allegation of plagiarism for submission to a text-comparison software program.

1.3 If the Research Degree Coordinator believes the issue warrants further explanation, the Principal Supervisor will notify the HDR student within 5 working days, detailing their concerns and requesting that the HDR student attend a meeting with the supervisor and Research Degree Coordinator to discuss the matter. The meeting should occur within 20 days of the initial notification. Where the HDR student is unable to attend the meeting in person, the discussion may occur via teleconference, Voice Over Internet Protocol, or video conference.

1.4 The HDR student and supervisor may each elect to invite a UniLife nominee, or any staff member or student nominee of the University, to be present at this meeting, or to participate in the teleconference, Voice Over Internet Protocol, or video conference discussion.

1.5 If the HDR student chooses not to participate in the discussion, the Research Degree Coordinator will advise the Dean, Research, to initiate a formal inquiry, and provide their record of the initial inquiry.

1.6 Possible outcomes of the initial inquiry:

a. If, as a result of the discussion with the HDR student and the supervisor(s), the Research Degree Coordinator determines that no research misconduct was involved, no further action will be taken and no record of the discussion will be entered in the HDR student's file.

b. If, as a result of this discussion with the HDR student and supervisor(s), the Research Degree Coordinator determines that the action of the HDR student involved research misconduct and there is evidence of this, the Research Degree Coordinator will provide academic counselling to the HDR student and may decide on a further course of action, including:

i. ask the HDR student to undertake further research, and if necessary re-submit the work, or

ii. proceeding to a formal inquiry.

1.7 If, as a result of this discussion with the HDR student and supervisor(s), the Research Degree Coordinator determines a formal inquiry is appropriate, or if the HDR student does not agree with the course of action proposed by the Research Degree Coordinator, then the Research Degree Coordinator will advise the

appropriate Dean, Research to initiate a formal inquiry, and provide their record of the initial inquiry.

1.8 Upon advice from the Research Degree Coordinator that the case is to go to a formal inquiry, the Dean, Research will, within 10 working days, provide a report to the HDR student, the supervisor(s) and the Dean of Graduate Studies. The Dean of Graduate Studies will record the case in the HDR student's file.

2. Formal inquiry

2.1 Upon receipt of advice from an external party or the Graduate Studies Office following an external allegation of research misconduct, or from the Research Degree Coordinator following an initial inquiry, the Dean, Research will review the case and the evidence provided to determine whether the case should proceed to formal inquiry. The Dean, Research will ensure that all processes have been complied with.

2.2 In the case of an allegation of research misconduct by an examiner, the Dean of Graduate Studies will advise the HDR student that the examination process has halted pending an investigation. The Dean of Graduate Studies will request that both examiners cease examination pending the investigation.

2.3 To determine whether the case should proceed to a formal inquiry, The Dean, Research may request further information or material from the HDR student, This may include an electronic version of a publication, thesis chapter or the full thesis in the case of an allegation of plagiarism for submission to a text-comparison software program.

2.4 The case will be considered by the Research Degree Committee's Formal Inquiry Panel In addition to the members of the Formal Inquiry Panel, up to two other senior research staff members from the discipline area may be co-opted to the Panel. The Panel will also invite the President of UniLife or nominee to attend and may invite the staff member who originally raised the allegation of research misconduct at the initial inquiry, but they may not serve as a member of the formal inquiry panel.

2.5 The Chair will write to the HDR student providing details of the alleged misconduct and inviting the HDR student to attend or, if unable to attend (in person or via teleconference, Voice over Internet Protocol, or video conference) to provide evidence to the formal inquiry panel regarding the allegation. The letter to the HDR student must include a copy of this regulation and copies of all information and documents to be considered at the inquiry. The student may be assisted or represented at the inquiry by UniLife or nominee or any staff member

or student nominee of the University. The meeting should occur within twenty days of the initial notification.

2.6 The formal inquiry may proceed whether or not the HDR student responds or attends.

2.7 Options available to the Formal Inquiry Panel:

a. where the formal inquiry concludes that the action of the student does not constitute research misconduct as defined above, no further action will be taken and any record of the investigation will be removed from the HDR student's file. The HDR student may be permitted to undertake further research, if necessary, and re-submit the work. The Dean of Graduate Studies will notify the HDR student by registered mail within ten working days of the decision of the formal inquiry panel, including the student's right to appeal.

b. where the formal inquiry concludes that the action of the student was an example of research misconduct, the Panel will determine an appropriate outcome. The Dean of Graduate Studies will notify the HDR student by registered mail within ten working days of the decision. A copy of these procedures and notification of the HDR student's right to appeal must be included.

c. In the case of either a. or b. above, and where the research misconduct was identified by an external party, the Dean of Graduate Studies shall advise the external party of the outcome of the Formal Inquiry in writing.

2.8 Outcomes may include:

a. Failure in the course (if part of a professional doctorate) and/or program; or

b. Suspension from the University for a period not exceeding three years; or

c. Another outcome appropriate to the case but with an impact less serious than termination of candidature, or

d. Termination of candidature.

3. Appeals against outcomes of a formal inquiry

3.1 The HDR student has the right of appeal against the decision of the formal inquiry.

3.2 The HDR student may appeal in writing to the Dean of Graduate Studies within twenty working days of the date of dispatch of the notification of the

outcome. The Dean of Graduate Studies will collect relevant documentation, including the records of prior inquiries and forward this, together with the appeal to the Special Appeals Committee for final resolution (see Clause 11.3.2 of these Regulations for details of the Committee's membership and procedures).

3.3 The HDR student may continue in the program of study pending the outcome of an appeal, or be granted leave of absence from the program. Should their appeal be denied, their enrolment may be amended or terminated, depending on the outcome determined.

3.4 The decision of the Special Appeals Committee shall be final.

4. Recording information about research misconduct

4.1 The University will store data about research misconduct and breaches of examination procedures in the HDR student's file. The data will be stored for a minimum period of 7 years from the date of the last incident recorded.

4.2 No data will be recorded where following an informal inquiry involving the HDR student, it is determined that no research misconduct occurred.

4.3 All Deans, Research and the Dean of Graduate Studies will have access to any data stored in the HDR student file, for consideration when determining whether the action of that HDR student was research misconduct, and if so in determining the appropriate outcome.

4.4 Where an HDR student has breached an examination procedure that does not constitute research misconduct, the following information will be recorded in the HDR student's file:

- a.** details of the student, the program and the examination; and
- b.** the type of breach;
- c.** the counselling provided to the HDR student.

4.5 Where the Dean, Research determines research misconduct occurred, a record of the case will be forwarded to the Dean of Graduate Studies. The Dean of Graduate Studies will record the case in the HDR student's file. The record will consist of:

- a.** details of the student, the program and the research work;
- b.** the type of research misconduct;
- c.** the factors taken into consideration;

d. the evidence or other material on which the findings were based;

e. the outcome and the reasons for its determination; and **f.** the student's agreement to the specified outcome.

4.6 Where a case is referred to a Dean, Research or the Dean of Graduate Studies, they will have access to the data stored regarding the initial inquiry relating to that case, and to any other cases recorded against that HDR student, in order to assist in the determination.

4.7 Where, as a result of an informal inquiry, the panel concludes that the action of the HDR student does not constitute research misconduct, any record of that investigation will be removed from the HDR student's file.

4.8 Where, as a result of an informal inquiry, the panel concludes that the evidence in the case is sufficient to proceed they will ensure that a record is retained in the HDR student's file to indicate whether the case was referred to a formal inquiry panel, or the HDR student allowed to re-submit work, and the factors taken into consideration in making that decision.

4.9 Where a formal inquiry panel is constituted, the Panel, through the Chair, will have access to the data stored regarding the initial inquiry relating to that case, and to any other cases recorded against that HDR student, in order to assist in their determination. The Panel will add a record of their determination to the HDR student's file, including:

a. the factors taken into consideration in determining an outcome;

b. the evidence or other material on which the findings were based;

c. the outcome and the reasons for its determination.

4.10 Where an HDR student appeals the outcome of a formal inquiry, the [Special Appeals Committee](#) through the Chair, will have access to the data stored regarding the initial inquiry and formal inquiry relating to that case, and to any other cases recorded against that HDR student, in order to assist in the determination.

¹ "Or equivalent" means Divisional Dean Research Education or Chair of Institute Research Management Committee where the Institute sits outside the Divisional structure.

² Notwithstanding length, it is imperative HDR students understand the significance of the exegesis in examiners' minds in providing a sophisticated, well written, thoroughly researched and rigorously argued case in support of the overall 'thesis'. For their part, examiners are entitled to question or take issue with any and all aspects of the thesis presented for examination - whether artefacts or written.

³ School, Centre or Institute should inform the Library of the HDR student' s proposed research area if it lies outside the University's designated research priorities, so arrangements can be made to support access to relevant information resources.