

# Academic regulations for the degree of Doctor of Philosophy (by Portfolio of Publications)

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These regulations form part of [Research Policy 10 Higher Degrees by Research](#).

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## Definitions

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

The term Institute refers to the Ian Wark Research Institute and to the Institute for Telecommunications Research.

Divisional Research Management Committee (DRMC) means the Research or Research Degrees Management Committee established by the Division, Institute or CRE.

The term Dean, Research also refers to their equivalents in Divisions, Institutes and CRE.

The term Research Degrees Coordinator also refers to their equivalents, including Research Education: Portfolio Leaders and Program Directors: Professional Doctorate (Research).

## **1. Preamble**

**1.1** Research Degrees Committee is responsible to Academic Board for the conduct of all matters pertaining to Higher Degrees by Research programs. The Committee is also responsible for the administration of these Academic Regulations in accordance with the University's policies.

**1.2** These Regulations specify the general conditions for the award of Doctor of Philosophy (PhD) (by Portfolio of Publications). The PhD (by Portfolio of Publications) enables the degree of PhD to be awarded to HDR students on the basis of their original and substantial scholarly contribution to knowledge as demonstrated in publications.

**1.3** 'Publications' in this program can include written texts such as books, articles in journals, conference papers and substantial commissioned research reports. It can also include work which does not take the form of written text, such as productions, exhibitions, designs or performance of a literary or creative work appropriate to the HDR student's discipline or medium presented as a durable visual record. Whatever form the published work takes it is necessary that it should, at the very least, have been accessible within the public domain and have undergone a refereed or substantive peer review process.

**1.4** The purpose of the program is to allow formal recognition of established researchers and/or scholars who: a. do not already hold a PhD qualification b. have substantial international standing in their respective fields on the basis of their ongoing record of academic publication (work), and c. for whom enrolment in the existing 'standard' PhD (by thesis) program would be inappropriate.

**1.5** The thesis to be presented for examination will consist of: a. a portfolio of refereed publications (as defined above) based on original research and b. a substantive integrating written component.

**1.6** The substantive integrating written component is to set out: a. an argument linking the papers together into a coherent theme and b. the way the publications submitted represent an advance in knowledge in the HDR student's discipline or field, or c. the application of new knowledge or critical inquiry in original ways, or d. new expressions of knowledge or critical creative insight.

**1.7** The integrating written component must also contain a substantial theoretical component relevant to the HDR student's discipline or field. There is no stipulated word length as what is appropriate will vary with the nature of the submitted work and the HDR student's discipline or field. Any additional research to be undertaken should only be directed towards the development of the integrating theme.

**1.8** The total submission must be at a standard appropriate for the award of the degree of PhD.

**1.9** Previous association with the University is not required.

## **2. The degree and admission criteria**

**2.1** The degree will be awarded to an HDR student who, through published work of which the HDR student is either sole author or joint author, has made a significant original scholarly contribution to

knowledge and demonstrated a capacity for independent research, as judged by independent experts applying appropriate international standards.

**2.2** The published work may be based on or manifested in rigorous experimental, theoretical, creative, empirical and/or design inquiry. The standard for the degree will be the same as that required for the degree of Doctor of Philosophy at University of South Australia.

### **2.3 Admission criteria**

**2.3.1** An applicant for admission to candidature for the PhD (by Portfolio of Publications) degree must satisfy the Research Degrees Committee that they:

**a.** are an established researcher and/or scholar, and

**b.** hold or are 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

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

**2.3.2** An applicant who has already been awarded a PhD will not be admitted to the degree.

**2.3.3** An applicant who is pursuing, or who has previously pursued within the previous three years, a program of research under the University's Doctoral Degrees Policy, or an equivalent at another Australian or overseas university, will not be admitted to candidature.

## **3. Research Degree Graduate Qualities**

**3.1** 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.

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

**3.3** Participation in Research Education 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.

**3.4** All HDR students 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 doctoral program.

#### **4. Application for admission**

**4.1** An application for admission to candidature shall be made on the prescribed application form and shall include a research statement, prepared in negotiation with the proposed Principal Supervisor. The research statement should be prepared in accordance with the guidelines appended to these Regulations ([Appendix 1](#)).

**4.2** In order to demonstrate the applicant is an established researcher, the application must also include the following: a. a copy of the applicant's curriculum vitae b. in chronological order, copies of the publications the contents of which are intended for inclusion in the thesis together with appropriate proof of peer review, eg DEEWR requirements or internal UniSA publication guidelines. The published work intended to be included in the thesis shall not normally be more than 10 years old at the time of application and must have been published in English, or if not, a certified translation must be supplied c. a statement that published works or the contents have not been included in any other work leading to an academic award d. a statement making clear the extent of the applicant's contribution to each jointly authored publication. All authors for each jointly authored publication must sign a declaration that demonstrates the percentage of their contribution for each publication e. a statement and evidence to enable assessment of ethical acceptance.

**4.3** Dean, Research. An application for admission shall be assessed by the Examinations and HDR Academic Quality Panel of Research Degrees Committee. The following factors will be taken into consideration when assessing the application:

- a. the qualifications and experience of the applicant
- b. the detailed research statement submitted by the applicant which may include any additional research required (see [Appendix 1](#)). Any additional research should only be directed towards the development of the integrating theme
- c. a statement of willingness by the Principal Supervisor to supervise the proposed program
- d. the suitability of the proposed program of study and the research topic for a PhD degree
- e. whether the proposed program of study conforms to the University's research profile and mission of the University
- f. whether adequate supervision and physical and financial resources are available
- g. a commitment by the applicant to work regularly on the approved program of study and to maintain regular contact with the supervisor(s) and Research Degree Coordinator
- h. the assessment of ethical considerations and
- i. the assessment of intellectual property considerations.

**4.4** The Examinations and HDR Academic Quality Panel shall consider the submission and where, in the opinion of the panel the applicant: a. satisfies the entry requirements, and b. has a substantial record

of ongoing research and publications, and c. has submitted a portfolio that is prima facie worthy of examination for a PhD by Portfolio, notwithstanding the requirement for a substantive written component as described in Section 16.3 it shall make recommendation on admission and may set conditions on an offer of admission.

**4.5** Any admissions shall be reported to Research Degrees Committee.

**4.6** The Dean of Graduate Studies will have responsibility to ensure that the members of the Examinations and HDR Academic Quality Panel are independent of the applicant.

**4.7** The Research Degrees Committee reserves the right to seek referees' reports.

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

**4.9** A tuition fee may apply for undertaking this degree.

## **5. Enrolment and re-enrolment**

**5.1** An applicant will be required to enrol and pay all charges.

### **5.2 Initial enrolment**

**5.2.1** An applicant who accepts an offer of admission to candidature for a Doctor of Philosophy (by Portfolio of Publications) degree shall commence within the time specified in the letter of offer unless a written request for a deferment of enrolment is recommended by the Dean, Research and approved by the Dean of Graduate Studies.

**5.2.2** Failure to enrol within the specified time subject to clause 5.2.1 may result in a HDR student forfeiting their right to a place.

### **5.3 Commencement of Candidature**

**5.3.1** Candidature will commence from the date of initial enrolment, unless otherwise determined by the Research Degrees Committee.

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

### **5.4 Statement of Agreement and Welcome Checklist**

Within one month of commencement, all supervisors and HDR students must agree to the mutual expectations and obligations outlined in the [Welcome Checklist and Statement of Agreement](#).

### **5.5 Conditions for re-enrolment**

**5.5.1** An enrolled HDR student shall be re-enrolled in each calendar year following initial enrolment until the thesis has been 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.

**5.5.2** Re-enrolment is subject to approval by the Research Degrees Committee upon recommendation from the relevant Dean, Research, who shall review and report annually on the progress of each of its HDR students.

**5.5.3** Where progress is deemed to be unsatisfactory, the Research Degrees Committee may suspend or terminate the enrolment of a HDR student on a recommendation to that effect by the Dean, Research.

**5.5.4** Where a HDR student has not been re-enrolled due to the student failing to submit a Major Review of Progress (see Clause 8 Monitoring progress), the student may be administratively withdrawn (see Clause 12).

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

## **5.6 Duration of enrolment**

**5.6.1** Enrolment in the program can be on a full time or part time basis. The normal maximum length of enrolment will be the equivalent of 3.5 years for full time enrolment. Doctoral HDR students are allocated a maximum of four years of full-time equivalent study to complete the degree and to allow for examination results.

**5.6.2** The minimum period of enrolment will be twelve months.

**5.6.3** The period of maximum candidature as outlined in 5.6.1 excludes periods of deferment and leave of absence granted by the Research Degrees Committee (refer to clauses 5.10 and 5.11).

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

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

## **5.7 Change of Load between Full-time and Part-time enrolment**

The following clauses may not apply to international HDR students on an Australian government student visa, which normally has the requirement of full-time study.

**5.7.1** A 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 to that effect.

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

## **5.8 Change of Mode between Internal and External enrolment**

The following clauses may not apply to international HDR students on an Australian government student visa, which normally requires on-campus study.

**5.8.1** 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 to that effect.

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

### **5.9 Concurrent Enrolment**

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

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

**5.9.3** 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, the Research Degree Coordinator, and the Dean, Research

**5.9.4** Any hours devoted to such concurrent study are to be included within the time allowance for paid employment.

**5.9.5** 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.

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

### **5.10 Deferral of enrolment**

The Research Degrees Committee, acting on the advice of the relevant Dean, Research, may permit the deferral of the initial enrolment (refer clause 5.2) for a period not exceeding twelve months.

### **5.11 Leave of Absence**

All HDR 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 student visa, who may only take limited leave on medical, exceptional or compassionate grounds.

**5.11.1** The Research Degrees Committee, acting on the advice of the relevant Dean, Research, may permit an HDR student to take leave of absence after enrolling but not within the first six months of enrolment unless there are exceptional circumstances.

**5.11.2** 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.

**5.11.3** 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.

**5.11.4** Normally, leave of absence for reasons other than in 5.11.12 may only be taken for a maximum of six calendar months at any one time.

**5.11.5** Normally, leave of absence will not be approved for an HDR student who has exceeded the allocated period of candidature (see clause 5.6).

**5.11.6** 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.

**5.11.7** A 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.

**5.11.8** Reasons for leave of absence include medical, adoption, maternity, carer's leave, family leave, compulsory community service, personal and financial.

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

**5.11.10** An HDR student is entitled to ten days carer's leave in each calendar year. A 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.

**5.11.11** A 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.

**5.11.12** 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, the Research Degree Coordinator, and the Dean, Research. Leave undertaken for this purpose will count towards the total amount of leave to be taken. (Also see clause 5.9 Concurrent Enrolment)

**5.11.13** 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.

## **5.12 Studying away from the University**

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

**5.12.1** 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 HDR student must obtain written permission from the Dean of Graduate Studies.

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

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

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

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

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

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

**5.12.8** A 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.

### **5.13 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.

## **6. The program of study and research**

### **6.1 Program of Research**

**6.1.1** An HDR student shall normally undertake a program under supervision in order to complete a thesis for examination, based on a portfolio of publications (see section 16.3).

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

**6.1.3** A commencing HDR student 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 Education Support Activities to be undertaken for the individual research project.

**6.1.4** An HDR student studying on campus is required to attend compulsory Orientation Sessions and is also expected to participate in the on campus [Research Education Support Activities](#). An HDR student studying off campus is required to view the online Induction material and participate in online [Research Education Support Activities](#).

**6.1.5** During the Doctor of Philosophy (by Portfolio of Publications) program, an HDR student may be required to study courses and pass such examinations as the Research Degrees Committee may prescribe on the recommendation of the Dean Research and the Principal Supervisor.

**6.1.6** 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. The University will not require an HDR student to undertake employment at the institution.

**6.1.7** 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.

## **6.2 Research Statement**

HDR students must have their research statement approved prior to commencement of candidature (see clause 4.1.2).

See [Appendix 1](#) for Guidelines on the preparation of Research Statements.

## **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 8 Register of Postgraduate Research Degree 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 is responsible for ensuring that each HDR student has a Principal Supervisor appointed.

**7.1.3** 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.

**7.1.4** 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 Postgraduate Research Degree Supervisors.

**7.1.5** The Division/ Institute shall ensure that resources, including supervision, are available for the research project in line with Appendix 3 [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 a 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 Postgraduate Research Degree 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 8, [Register of Postgraduate Research Degree Supervisors](#).

### **7.4 Changes to supervisory arrangements**

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 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.

## **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** 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, as appropriate, to resolve any impediment to that progress.

**8.1.3** Each HDR student, Principal Supervisor and Research Degree Coordinator must undertake at least two documented planning and review sessions each year. 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.

**8.1.4** Failure by an HDR student to undertake the minor and major reviews may result in suspension or termination of the candidature or the administrative withdrawal of that student from the program (see clauses 10,11 and 12).

### **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.

**8.2.6** After considering such reports, the Dean, Research 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 HDR student is to be re-enrolled;
- b. any scholarship held should be continued in line with the scholarship conditions;
- c. the enrolment is to be subject to the HDR 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 a 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, whether or not this has been resolved, and details of action(s) taken.

**8.2.7** Where there are concerns about the progress of HDR student the Dean, Research 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** A HDR student shall have the right to discuss a review report and the comments by the Principal Supervisor with the Research Degrees Coordinator and the Dean, Research.

**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, (or equivalent), the HDR student:

- a. has failed to meet agreed timelines and milestones;
- b. is absent without approved leave for more than six months;
- c. has failed to submit their research for examination within the prescribed time; d. 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 a 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 a 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** A HDR student who is suspended may appeal to the Dean of Graduate Studies to be reinstated.

**10.4** A 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 enrolment**

**11.1** If the Dean, Research considers 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 (or equivalent) 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 (or equivalent), 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 Research Degree 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 and 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 HDR 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 (or equivalent) 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 Degree's 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 the a UniLife Representative or nominee or any staff member or student nominee of the University. The Principal Supervisor 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** A HDR student may appeal against the decision of the Dean of Graduate Studies or the Research Degrees Committee's to terminate the enrolment (see Appeals process, clause 11.3).

**11.2.17** A 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 a HDR student wishes to appeal against the final determination of the Dean of Graduate Studies, 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 Research Degree 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 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 Notice**

A 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 on the content of the thesis. The summary will be forwarded to the examiners when they are invited to examine the thesis. (Also refer to Section 17.2 Appointment of Examiners.)

### **16.2 Originality and Eligibility of Work**

Refer to Appendix 5, [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 with the approval of the Research Degrees Committee during the period of the candidature.

**16.2.2** Work that 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** A 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.

### **16.3 Content of Thesis**

**16.3.1** The thesis will consist of:

a. a portfolio of refereed publications (as defined in the Preamble) based on original research and,

**b.** a substantive integrating written component.

**16.3.2** The substantive integrating written component is to set out:

**a.** an argument linking the papers together into a coherent theme and

**b.** the way the publications submitted represent an advance in knowledge in the HDR student's discipline or field, or

**c.** the application of new knowledge or critical inquiry in original ways, or

**d.** new expressions of knowledge or critical creative insight.

**16.3.3** The total submission must be at a standard appropriate for the award of the degree of PhD.

**16.3.4** The integrating written component must also contain a substantial theoretical component relevant to the HDR student's discipline or field. There is no stipulated word length, as what is appropriate will vary with the nature of the submitted work and the HDR student's discipline or field. Any additional research should only be directed towards the development of the integrating theme.

**16.3.5** The publications must have been subjected to peer review. There is no minimum number of publications specified. It is expected that for the majority of publications, the applicant will be the sole or first named author. The publications submitted should follow a coherent theme and be of a sufficient number for the body of work to constitute a substantial and original contribution to knowledge.

**16.3.6** The submission will not include unpublished work, review articles, newspaper articles, articles in non-refereed professional journals, work that had already been submitted successfully or unsuccessfully for the award of a degree at any university, or works where the applicant's role was that of editor.

**16.3.7** 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.

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

## **16.4 Form of Thesis for Examination**

**16.4.1** The thesis submitted to the Research Degrees Committee 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 Appendix 2).

**16.4.2** The thesis may be presented for examination in either printed or electronic forms (Refer Appendix 2 for Guidelines on the preparation of theses). The thesis in electronic form can be submitted only where there is agreement of the examiner to review an electronic version.

**16.4.3** When the HDR student submits the thesis for examination, the Principal Supervisor shall provide a statement to the Research Degrees Committee, through the Dean, Research, setting out:

a. that the integrating component was written by the HDR student,

b. that the thesis is properly presented and is worthy of examination, and

c. 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 also be countersigned by the Research Degrees Coordinator.

**16.4.4** The HDR student shall state clearly and fully the extent of any collaboration and shall identify the parts of the thesis that are not the result of the HDR student's own work.

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

## **17. Examination of the thesis**

### **17.1 Confidentiality**

**17.1.1** Subject to section 17.1.3, anonymity must be maintained during the examination process, but normally all examiners' reports will be made available to HDR students, 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 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 supervisor and/or the HDR student with the examiners involved.

### **17.2 Appointment of Examiners**

**17.2.1** Upon receiving a notice from an HDR student of intention to submit a thesis the Dean, Research, shall appoint two examiners external to the University. A reserve examiner will also be appointed 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** Examiners shall:

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

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

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

**17.2.7** 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.

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

### **17.3 Criteria for Examination**

Examiners shall examine the thesis principally in terms of the following criteria:

- a. The HDR student's capacity to demonstrate independent critical analysis and original thought
- b. The HDR student's ability to demonstrate a comprehensive and detailed knowledge of the literature and theoretical understandings relevant to the field of study
- c. The HDR student's capacity to design and 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 HDR student's ability to review critically their own work in relation to the relevant existing knowledge and demonstrate (and supported in the integrating component) a clear and sustained contribution to the discipline area
- f. The quality of artefacts, if any, including:
  - i. the conceptual understanding of the relevant field,
  - ii. the ideas and/or imagination demonstrated,
  - iii. the technical competence,

- iv. the resolution of the artefacts,
- v. 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:

- a. Pass forthwith
- b. Pass following minor corrections, certified by the Dean, Research
- c. Fail

**17.4.2** The nature of the submission does not permit major revision and re-examination.

**17.4.3** 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**

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

#### **17.6 Specified Amendments**

In the case of a thesis that has been assessed as passed following minor corrections, the revised thesis shall be submitted to the Research Degrees Committee within three months of the notification of the need for revision. 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 Failed Thesis and Appeal**

A thesis that has been failed may not be resubmitted for the award of a PhD degree and the candidacy will be terminated, except as provided below.

**17.7.1** 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.

**17.7.2** 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 HDR 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).

**17.7.3** 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 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 (3), or any other matter referred by Research Degrees Committee.

**18.3** 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.

### **18.4 Procedures**

**18.4.1** 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.

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

### **18.5 Appointment of an adjudicator**

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

**18.5.2** 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.

**18.5.3** The following material is sent to the adjudicator:

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

**18.5.4** 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;
- b. erred in their judgement of the thesis; and/or
- c. assessed the thesis at the appropriate level (see clause 17.3).

## **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 a HDR student has submitted for examination and failed as indicated in the assessments given by the examiners. An appeal may also have been heard. No reinstatement is permitted.

**19.2 T - Terminated.** This notation is to be used where a 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 a HDR student's thesis has been examined and revisions 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 HDR student failing to withdraw, maintaining contact with the supervisors or does not make satisfactory progress. Within three years, the HDR 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 C20](#). 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** The University is a member of Australian Research Online (ARO) which incorporates the Australasian Digital Theses (ADT) program. HDR students are required to submit a digital copy of their thesis into ARO via the University's institutional repository, UniSA Research Archive via a deposit form on the Library's website.

**22.2.5** In order to protect intellectual property rights, a 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 statements for the degree of Doctor of Philosophy (by Portfolio of Publications)**

HDR students for admission to the Degree of Doctor of Philosophy (by Portfolio of Publications) shall develop, and subsequently maintain, a comprehensive Research Statement. A Research Statement is designed to provide a structure and time frame for a HDR student's research program and can be used to assess the HDR student's progress at times of review. It will also be used to assess the ethical acceptability of research conducted prior to candidature. Any additional research to be undertaken should be negotiated with the principal supervisor and clearly specified in the statement, and it should only be directed to the development of the integrated theme. The statement should contain the following sections, and should normally be between 10 to 20 pages in total length.

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

This section should typically include the following details:

- a.** A thematic overview that serves to make clear how the individual publications can be converted into an integrated whole, namely the thesis.
- b.** Introduction in which the HDR student states the nature of the topic, why it is considered important and how the research contributes to its solution. This section should also include a proposed thesis title.
- c.** Review of relevant research and theory, an integrated statement that affords some explanation of why the literature cited is important to the research the HDR student proposes to present.
- d.** The Research Topic (or Hypothesis). (The research topic should be clearly stated and provide clear indication of the focus of the research).

- e. Subsidiary Issues, which like the research topic, may be stated in hypothesis form (where relevant).
- f. Any additional research required to complement the integrative theme of the research.

## **2. Research Methodology**

If additional research is to be undertaken, this section should typically include the following:

- a. A description of the theoretical or conceptual framework employed
- b. Details of analytical techniques and research design used to undertake the research project
- c. Timetable or Project Plan for completing the thesis
- d. A statement that ethical and other clearances will be obtained.

## **3. Table of Contents**

## **4. Bibliography**

# **Appendix 2: Guidelines for the presentation of the thesis**

## **(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. The exegesis accompanying an artefact thesis is normally a maximum of 20,000 for a doctoral thesis.

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.

## 1. 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 Academic Regulation 14.2.5).
- The Principal Supervisor must ensure that one additional copy of the thesis is retained in the school during the examination process.

## 2. 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 cd rom (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 14.2.5).
- 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:

- title of the thesis in full;
- the names and degrees of the HDR student;
- the name of the school, division and university associated with the work;
- the date when submitted for the degree and
- the name of the degree for which the thesis is being submitted.

2. a **table of contents**

3. a **list of figures**

4. a **list of tables**

5. 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;

6. a **summary** in not more than 500 words;

7. a **signed declaration** stating

*I declare that:*

*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;*

*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.*

8. an **acknowledgment** of any help given or work carried out by other people or organisations, including the University of South Australia

9. the **main text**

10. **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)

11. **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 22.3 and 22.3.

**NOTE:** APPENDICES 3, 4 AND 5 - See [Academic Regulations for Higher Degrees by Research](#)