

## HIGHER DEGREES BY RESEARCH: POLICY AND PROCEDURES

### (THE GOLD BOOK)

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## **PART 7: EXAMINATION OF HIGHER DEGREE BY RESEARCH THESES POLICY**

**Note to users:**

*Revision of Part 7 Higher Degrees by Research: Policy and Procedures (Gold Book) was approved by Academic Board on the 20 July 2009.*

*In accordance with Board resolution, this document came into effect on 16 November 2009.*

*Enquiries relating to this policy should be addressed to [researchpolicy@canberra.edu.au](mailto:researchpolicy@canberra.edu.au) .*

*Forms and procedures relating to thesis submission and examination are available online from the Research Students' Office website: <http://www.canberra.edu.au/research-students/goldbook/appendices> .*

*Enquiries regarding administrative matters should be addressed to [postgrad.research@canberra.edu.au](mailto:postgrad.research@canberra.edu.au) .*

### **A: Introduction**

#### **Purpose**

1. To complete a Higher Degree by Research course, all candidates at the University of Canberra are required to submit a thesis for external examination, with the final outcome determined by the University.
2. This policy outlines the thesis submission requirements, conditions for examination, course completion requirements and the granting and conferral of awards for Higher Degree by Research courses.

#### **Scope**

3. This policy applies to all candidates enrolled in Higher Degree by Research courses, and the staff involved in Higher Degree by Research supervision and administration at the University of Canberra.
4. This policy is designed for use by University of Canberra staff and Higher Degree by Research candidates.
5. This policy does not apply to non-research postgraduate courses.

#### **Relevant legislation**

6. University legislation related to this policy includes:

- (a) *Conferring of Awards Rules 1995*
- (b) *Courses and Awards (Courses of Study) Rules 2005*

## **B: Principles**

7. On completion of the accredited course of study and research, a Higher Degree by Research candidate will submit a thesis setting out that study and research.
  
8. The University understands research to include the creation of knowledge through various creative practices, as well as more traditional academic forms of scholarship. The term ‘thesis’ can refer to the creative product that results from a Higher Degree by Research, as well as traditional written discourse. The University accepts the definition of research used by the Commonwealth Department of Innovation, Industry, Science and Research (DIISR).
  
9. As set out in this policy and the accompanying schedules, in circumstances where the Associate Dean Research is the approving authority for a particular activity, the equivalent authority in a University Research Centre is the Director.
  
10. As set out in this policy and the accompanying schedules, in circumstances where the Chair of the Supervisory Panel is also the Associate Dean Research of the Faculty, or the Director of the University Research Centre, the approving authority must be the Associate Dean Research or Director of another University Faculty or Research Centre.

## **Submission**

11. A candidate must sign a declaration that the thesis does not contain any material published or written by another person except where due reference is made in the text or footnotes. Material produced jointly by a candidate and his/her supervisors or others can only be included in the narrative of the thesis if the candidate was explicitly involved in the original work. Any jointly-produced material in the examination submission must be accompanied by a statement clearly indicating the candidate’s contribution to the research.
  
12. No material or publications presented for examination for any other degree within this or any other institution will be submitted for assessment unless its incorporation in the thesis is declared in a statement.

## **Content and structural requirements for the thesis**

13. The thesis must demonstrate the outcome of a sustained course of supervised research that has produced original findings, and constitutes a coherent and cogent argument communicating the significant aspects of research and writing undertaken for the degree.

14. Subject to permission being obtained from publishers if necessary, the copyright of the thesis is deemed to be vested in the author. The relevant University policy for intellectual property principles as they relate to Higher Degree by Research candidates is the *Policy on Intellectual Property*.

15. The following applies to the length of the thesis:

- (a) A thesis submitted for a Doctor of Philosophy degree should not exceed 100 000 words in length;
- (b) A thesis submitted for a Professional Doctorate degree should not significantly exceed 60 000 words in length;
- (c) A thesis submitted for a Masters by Research degree should not exceed 60 000 words in length.

16. Thesis requirements will in part be dictated by disciplinary requirements and the type of thesis produced. See Schedule One (S1) for the thesis requirements of submissions for examination. See Schedule Five (S5) for the specific guidelines and requirements for the submission of a thesis consisting of published work.

#### **Format requirements for the thesis**

17. The University has a set of generic formatting requirements for theses<sup>1</sup>. See Schedule Two (S2).

18. It is expected that the Supervisory Panel will provide editorial advice to the candidate.

19. Candidates may use a professional editor in preparing their thesis for submission but must strictly follow the guidelines set out in *The Editing of Research Theses by Professional Editors*<sup>2</sup>. See Schedule Three (S3).

#### **Submission of thesis**

20. A candidate must be enrolled in order to submit a thesis.

21. A candidate must submit a completed *Intent to Submit* form to the Research Students' Office no less than four weeks before the submission of the thesis for examination.

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<sup>1</sup> For research theses incorporating creative production these formatting requirements relate to the exegetical component of the thesis.

<sup>2</sup> A policy developed by the Council of Deans and Directors of Graduate Studies collaboratively with the Council of Australian Societies of Editors

22. A candidate may request that the thesis be submitted without the support of the Chair of the Supervisory Panel. This request must be made in writing to either the Dean or the Associate Dean Research of the relevant Faculty, or the Director of the relevant University Research Centre. A written recommendation will be returned to the candidate:

- (a) if it is recommended that submission proceeds, the author of the recommendation will become the single point of contact for all examination correspondence; or
- (a) if the recommendation does not support submission and the candidate still wishes to proceed, the Deputy Vice-Chancellor (Research) will review all relevant materials and liaise with the candidate from this point forward.

## **Examination**

### **Appointment of examiners**

23. It is the responsibility of the Associate Dean Research to appoint examiners as per the *Academic Delegations Schedule – Higher Degrees by Research (HDR) Students*.

24. The following general principles will apply in the appointment of examiners:

- (a) the Faculty will appoint a minimum of two external examiners in the case of both Doctoral and Masters theses;
- (b) the Chair of the Supervisory Panel will consult the candidate during the process to appoint examiners and will respect any reasonable objections the candidate may have to potential examiners;
- (c) the identity of examiners will not be revealed to candidates before or during the examination process;
- (d) examiners can elect to remain anonymous after the examination process is complete, but are advised that Freedom of Information legislation might limit the effectiveness of this option;
- (e) it is expected that an examiner will hold a research degree at the level sought by the candidate;
- (f) at least one examiner of a thesis should be a member of academic staff at a tertiary institution;
- (g) examiners will normally be active in research/scholarship thus ensuring that their knowledge of the field is current;
- (h) examiners will have expertise in the theoretical framework used by the candidate; and
- (i) examiners will be informed of the requirements and expectations of the University;

### **Conflict of Interest in appointment of examiners**

25. It is essential for a fair and transparent process that there is no Conflict of Interest in the appointment of examiners.

26. The following principles will apply in order to avoid any perceived or real Conflict of Interest:

- (a) a member of the candidate's Supervisory Panel, or a previous member of a candidate's panel will not examine the thesis;
- (b) examiners will have had no significant formal affiliation with the University for three years preceding nomination;
- (c) there must be no evidence of joint publication between the examiner and any member of the Supervisory Panel for three years preceding nomination;
- (d) there must be no evidence of any prior and/or ongoing personal or professional connection between the examiner and the candidate directly related to the thesis or thesis content; and
- (e) there must be no evidence of any prior and/or ongoing personal connection between the examiner and the Supervisory Panel directly related to the thesis or thesis content.

27. Implementation of the principles outlined in Points 23 - 26 is the responsibility of the Associate Dean Research. The Deputy Vice-Chancellor (Research) will be consulted should issue arise around implementation in any appointment processes.

### **Conduct of examination**

28. The University requests that examiners complete the examination and submit their reports within two months of receipt of the thesis.

29. Examiners may make a request via the Research Students' Office to consult with each other or to receive further information from the candidate or the supervisor during the examination process.

30. The candidate or Supervisory Panel will not initiate contact with the examiners during the examination process on matters in direct relation to the thesis examination. All contact will be managed by the Research Students' Office.

31. Examiners of theses are paid honoraria in accordance with Universities Australia's guidelines<sup>3</sup> on amounts set annually for Doctoral and Masters theses.

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<sup>3</sup> Universities Australia's guidelines for fees for external examiners are located on their website: <http://www.universitiesaustralia.edu.au/>

### **Examiners' reports**

32. Examiners' reports must be returned by the examiners directly to the Research Students' Office and not to the Chair of the Supervisory Panel or the candidate.

33. The examiner's report consists of two parts:

- (a) Part One: a recommendation of result and summary judgements on the thesis; and
- (b) Part Two: an extended report providing in-depth comments and recommendations including any changes the examiner recommends should be made to the thesis.

34. In Part One of the report, an examiner will provide an assessment selected from five recommendations:

- Recommendation A: that the candidate be awarded the degree; or
- Recommendation B: that the candidate be awarded the degree subject to amendments to the thesis of an editorial nature only, as specified in the report; or
- Recommendation C: that the candidate be awarded the degree subject to revisions to the thesis as specified in the report; or
- Recommendation D: that the candidate be required to resubmit the thesis in revised form for examination after a specified period of study/and or research, the nature of which is specified in the report; or
- Recommendation E: that the candidate not be awarded the degree

35. Before making a recommendation on the thesis, an examiner of a Doctoral thesis may recommend that a candidate be examined orally. The Deputy Vice-Chancellor (Research) will make the final determination as to whether an oral examination will be conducted based on this recommendation.

### **Examination Outcomes**

36. The Research Students' Office will forward a copy of the examiners' reports to the candidate and Chair of the Supervisory Panel. The candidate and Chair will review the reports and respond as outlined in Schedule Four (S4.1). The response required is determined by the nature of the examiners' recommendations.

37. It is the responsibility of the Associate Dean Research to review all material and inform the University of the final recommendation for the thesis. The types of recommendations that can be made by the Associate Dean Research are outlined in Schedule Four (S4.2).

## **Completion of Examination Process and Award**

38. The final result for a thesis examination will be either an ungraded pass or a fail result.
39. To confirm the award of a Higher Degree by Research:
- (a) all academic and administrative requirements of the Higher Degree by Research course must be met;
  - (b) Academic Board must grant the degree to the candidate; and
  - (c) Academic Board must recommend that University Council admit the candidate to the appropriate award.
40. A recommendation for the non-award of a Higher Degree by Research must be endorsed by the Deputy Vice-Chancellor (Research) before the result will be finalised.

## **Appeal against an examination result**

41. An appeal against an examination result must be made in writing to the Deputy Vice-Chancellor (Research) within two months of the candidate being advised of the result.
42. An appeal may be lodged *only* against a decision not to award a Higher Degree by Research or a decision not to allow a thesis to be revised and resubmitted for a second and final examination.
43. Appeals are permitted on procedural grounds only:
- (a) procedural irregularities in the conduct of the examination that may have had an effect on the outcome;
  - (b) documentable evidence of prejudice or of bias on the part of one or more of the examiners; and/or
  - (c) failure to consult the candidate about the choice of examiners.

## **Retention of theses by the University**

44. The following applies to the retention of theses by the University:
- (a) the candidate will lodge a bound copy, a single-sided loose leaf copy and an electronic copy of the thesis for which a Higher Degree by Research has been awarded with the Research Students' Office upon completion of the examination process (as per Schedule Two (S2.4));
  - (b) restricted access to a thesis will be considered by the Associate Dean Research upon the request of the candidate or the Chair of the Supervisory Panel prior to submission and agreed to only in compelling circumstances;

- (c) where access or usage of a thesis is restricted, a statement of the conditions must be attached to the thesis;
- (d) the Library will make the thesis available for access after the initial period of restriction has expired unless a written request is received for an extension; and
- (e) A copy of the thesis retained by the University will be available for loan to approved borrowers at the University Library.

### **Conferral of award**

45. The following applies to the conferral of Higher Degree by Research awards:

- (a) a Higher Degree by Research award will be granted by Academic Board to a candidate who has been certified as meeting the requirements of the particular academic course;
- (b) upon the request of Academic Board, Council will admit the graduand to the named award, subject to the graduand's compliance with the Statutes and Rules of the University;
- (c) Higher Degree by Research awards may be conferred either at a graduation ceremony or in absentia;
- (d) a graduand may begin to use the appropriate title only after the award has been conferred; and
- (e) a Higher Degree by Research graduand who is conferred in absentia in order to begin to use the appropriate title will be invited to attend the subsequent graduation ceremony.

### **Other related documents**

- *Academic Delegations Schedule – Higher Degree by Research (HDR) Students*
- *Policy on Intellectual Property*
- *Admission to Higher Degree by Research Courses Policy*
- *Supervision of Higher Degree by Research Candidates Policy*
- *Progress of Higher Degree by Research Candidates Policy (pending)*

## **Schedule One (S1) – Thesis Requirements for HDR Examination Submissions**

### **S1.1 Masters by Research Thesis**

The results of the research in a Masters by Research course are presented as a thesis or its equivalent in another medium.

The Masters thesis should demonstrate that the candidate is conversant with well-known and well-tried techniques of research and has the ability to make logical and considered judgements. The level of competence displayed should be that which would be adequate for applied research or for the more routine types of pure research.

A Masters degree thesis will be assessed in examination using the following criteria:

- (a) displays a sound knowledge of the field of the thesis including recent contributions to that field;
- (b) demonstrates analytical and critical evaluation skills of a high order;
- (c) includes a substantial critical review of the field;
- (d) includes an original contribution in the form of a contribution to knowledge or a new presentation of existing knowledge;
- (e) contains material suitable for publication either in its own right or in part; and
- (f) is well-ordered and satisfactory in its literary presentation.

### **S1.2 Masters by Research Thesis Incorporating Creative Production**

In some Masters courses, the product of the research is in a form other than written discourse, such as a creative work.

When the research product is likely to involve an installation, exhibition or performance, examination arrangements should be fully resolved when the project is approved. These matters should be discussed and clarified at the time of admission, to ensure that the project is appropriate for the degree and that resource implications (such as the cost of bringing examiners to Canberra) are understood and accepted by the Faculty and the candidate.

A Masters thesis may incorporate creative production where this is appropriate within the terms of the project. The following principles apply:

- (a) the creative component must be prepared during the period of candidature;
- (b) where a creative thesis is produced, the candidate will also provide an exegetical component of at least 10 000 words that operates in a symbiotic relationship with the creative work;
- (c) the exegesis and creative work may be integrated; and
- (d) the academic rigour of the exegesis is critical to determining whether the thesis meets the requirements of the research degree.

At the Masters level, the creative thesis is expected to show evidence that the candidate is fluent in creative practice and in the theoretical discourse of the area. The creative component will:

- (a) demonstrate a sophisticated and innovative approach to the medium; and
- (b) demonstrate strong technical and professional qualities.

The exegesis will:

- (a) provide a theoretical foundation which complements and grounds the creative work;  
and
- (b) analyse, critically annotate, and/or reflect on the creative component.

A Masters by Research thesis incorporating creative production will be assessed in examination using the following criteria:

- (a) displays a sound knowledge of the field of the thesis including recent contributions to that field;
- (b) demonstrates analytical and creative skills of a high order;
- (c) includes an original contribution in the form of a contribution to knowledge and creative practice, or a new presentation of existing knowledge;
- (d) contains material suitable for publication or exhibition either in its own right or in part;
- (e) demonstrates that the creative and exegetical components are in a symbiotic relationship, in so far as the theory informs practice and vice versa; and
- (f) is well ordered and satisfactory in its presentation.

### **S1.3 Professional Doctorate by Research Thesis**

The results of the creative professional work or research in a Professional Doctorate by Research course shall be presented as a thesis or its equivalent in another medium.

If the results of the creative professional work or research are presented in a medium other than a thesis, the candidate shall also provide an exegesis which:

- (a) explains the contextual and theoretical underpinning of the creative work; and
- (b) analyses its content and/or offers reflection on its relevance in professional practice.

The following principles apply to the structural and content requirements of a Professional Doctorate thesis or its equivalent in another medium:

- (a) it must demonstrate a knowledge and understanding of its area of investigation comparable to a PhD;
- (b) it must afford evidence of originality shown by creative work, either the discovery of new knowledge or the application of independent critical thinking to an existing body of knowledge; and
- (c) It is expected to make a distinct contribution to the improvement of professional practice or policy.

The Professional Doctorate thesis should demonstrate:

- (a) the candidate's ability to conceive, execute and prepare to publication standard a scholarly piece of research on advanced theory or practice in a field of study covered by the research;
- (b) the candidate's thorough understanding of the state of knowledge in the field of enquiry and the relationship of the research to the broader aspects of the field of study; and
- (c) the candidate's technical capacity in the field of research.

A Professional Doctorate by Research thesis will be assessed in examination using the following criteria:

- (a) makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
- (b) affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical thinking;
- (c) contains a substantial amount of material suitable for publication; and
- (d) is well ordered and satisfactory in its literary presentation.

### **S1.4 Doctor of Philosophy (PhD) Thesis**

A PhD thesis:

- (a) must make a distinct and significant contribution to knowledge or understanding in the area of the research and/or to the application of knowledge to the analysis of problems in the study area; and
- (b) must afford evidence of originality shown by the discovery of new knowledge and/or by the exercise of independent critical thinking.

The PhD thesis should demonstrate:

- (a) the candidate's ability to conceive, execute and prepare to publication standard a scholarly piece of research on advanced theory or practice in a field of study covered by the research;
- (b) the candidate's thorough understanding of the state of knowledge in the field of enquiry and the relationship of the research to the broader aspects of the field of study; and
- (c) the candidate's technical capacity in the field of research.

A PhD thesis will be assessed in examination using the following criteria:

- (a) makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
- (b) affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical thinking;
- (c) contains a substantial amount of material suitable for publication; and
- (d) is well ordered and satisfactory in its literary presentation.

## **S1.5 Doctor of Philosophy (PhD) Thesis Incorporating Creative Production**

In some PhD courses, the product of the research is in a form other than a thesis, such as a creative work.

When the research product is likely to involve an installation, exhibition or performance, examination arrangements should be fully resolved when the project is approved as per guidelines for the Masters by Research thesis incorporating creative production in Schedule One (S1.2).

The following principles apply with regard to the PhD thesis incorporating creative production:

- (a) the creative component must be prepared during the period of candidature;
- (b) where a creative thesis is produced, the candidate will also provide an exegetical component of at least 30 000 words that operates in a symbiotic relationship with the creative work;
- (c) the exegesis and creative work may be integrated; and
- (d) the academic rigour of the exegesis is critical to determining whether the thesis meets the requirements of the research degree.

At the PhD level, in accordance with University policy, candidates will give evidence of an original contribution to knowledge and/or practice.

A PhD thesis incorporating creative production will be assessed in examination using the following criteria:

- (a) makes a distinct and significant contribution to knowledge or understanding in the area with which it deals and/or to the application of knowledge to the analysis of problems in the study area;
- (b) affords evidence of originality shown either by the discovery of new knowledge or by the exercise of independent critical and creative thinking;
- (c) contains a substantial amount of material suitable for publication and/or exhibition;
- (d) demonstrates that the creative and exegetical components are in a symbiotic relationship, in so far as the theory informs practice and vice versa; and
- (e) is well ordered and satisfactory in its presentation.

## Schedule Two (S2) – Formatting Requirements for a Thesis

### S2.1 Format of Thesis

**Theses are important documents, and their format must reflect this importance through a high standard of typography, visual presentation, permanence and convenience of handling and storage.**

The criteria below refer principally to typescript materials. Candidates seeking to use other means of communicating their work should consult their Supervisory Panel and the Associate Dean Research of their Faculty.

### S2.2 Formatting requirements

#### *S2.2.1 Text Format for Submission for Examination*

- (a) The thesis should be typed on International Standard Organisation (ISO) A4 size paper. If diagrams, maps, tables and similar presentations do not fit readily on this sheet size, ISO B4 size may be used. (When the thesis is bound, sheets of B4 size should be folded and bound so as to open out at the top and the right.)
- (b) Typing should be spaced either double or space-and-a-half with the exceptions of quotations, footnotes and bibliographies, which may be single-spaced. Candidates may determine the spacing appropriate to appendices.
- (c) The body of the text should preferably be in a serif font such as ‘Times’ font size 12 with footnotes in size 9.
- (d) Duplicating must be by a method giving a clear and permanent copy.
- (e) The thesis should be submitted single-sided. Margins should be 2.5 cm on all sides.
- (f) All pages must be numbered, and the main body of the thesis must be consecutively numbered throughout. Preliminary pages (for example, the title page, statement of originality, table of contents and abstract) that precede the main text should be numbered with lower case roman numerals beginning with one (i).

#### *S2.2.2 Thesis Format for Submission for Examination*

- (a) The title page should identify the work as a thesis submitted for the [name of degree] of the University of Canberra, the candidate’s name, the full title of the thesis and the month and year of submission.
- (b) The second page should contain an abstract of the work, usually in the order of 250-500 words.

- (c) The wording contained in Form B (Certificate of Authorship of Thesis), must be bound into the thesis copies, preferably as the third page and signed by both the candidate and the Chair of the Supervisory Panel.
- (d) The work should have a table of contents at the beginning and a list of references used at the end.
- (e) An acknowledgment of assistance and advice received should be included in the prefatory comments.
- (f) Calculation of thesis length may exclude footnotes, bibliography, tables and appendices, etc. Footnotes should not be unnecessarily long, and appendices should be limited to material necessary to support the main argument of the thesis.
- (g) Any publications, papers or work (or summaries of such), or creative research products, for which advanced standing was granted, should be identified by reference or by inclusion in the thesis as appendices.
- (h) Advice on bibliographical standards may be given by the supervisory panel or the Faculty or University Research Centre responsible for the course of study. It is essential that a thesis provides accurate and consistent acknowledgment of sources.
- (i) The University seeks simplicity and directness of writing style, and expects a high standard of proofreading and editing from the candidate of spelling, grammar, sentence structure and consistent forms of referencing to be evident in work submitted for examination.

### **S2.3 Submission Requirements for Examination**

- (a) A thesis will be presented for examination in a soft cover, *securely* bound in such a way that it will lie flat when opened (eg spiral binding). Presentation in a loose leaf binder is not acceptable.
- (b) Arranging and paying for binding of the thesis is the responsibility of the candidate.
- (c) When a thesis is presented in a form substantially different from normal, it is the responsibility of the candidate to ensure that it is suitably and securely packaged.
- (d) Where a written thesis is accompanied by supplementary non-print material such as three dimensional objects, sound/video recordings, computer disks, paintings, maps, plans, etc, the supplementary material will need to be reproduced in a form suitable for storage and retrieval purposes and must be suitably packaged. Photographic representation, photo reduction, microforms, etc should be used where appropriate. Candidates should seek the advice of their Supervisory Panel in all such cases.

## S2.4 Completion

- (a) At the completion of the examination process the candidate will submit two double-sided **hardbound** copies, one **single-sided unbound** copy of the final thesis (all incorporating all required corrections and amendments) and an **electronic copy** of the final thesis to the Research Students' Office for University records. Candidates are also expected to give **bound copies** of the final thesis to their supervisors. The bound thesis is to be lettered on the spine with the title (suitably abbreviated if necessary) followed by the initials of the candidate's given names then surname in full and year thesis submitted. The lettering should run lengthwise from the top.
- (b) The electronic version of the final thesis, in addition to the printed copies, may be submitted to the Research Students' Office in pdf format.
- (c) The University of Canberra participates in the Australian Digital Thesis (ADT) database program and encourages candidates to make their thesis available in this way. The ADT program website is <http://adt.caul.edu.au> (The Library will load the theses onto the ADT web site. Candidates need to submit the Form C (Retention and Use of the Thesis by the University) to authorise the Library to add the thesis to the database.)

Candidates are also advised to refer to any specific formatting requirements of their Faculty or University Research Centre.

## Schedule Three (S3): The Editing of Research Theses by Professional Editors

*A policy<sup>4</sup> developed by the Council of Deans and Directors of Graduate Studies collaboratively with the Council of Australian Societies of Editors<sup>5</sup> & adopted by the University Research Committee of the University of Canberra.*

### S3.1 Background

Professional editors need to be clear about the extent and nature of help they offer in the editing of research students' theses and dissertations. Academic supervisors of research students also need to be clear about the role of the professional editor as well as their own editorial role. This policy has been developed primarily to give guidance to professional editors. It also provides a guide for academic supervisors. This document has been developed with close attention to the current *Australian Standards for Editing Practice (ASEP)*. Academic supervisors are encouraged to become familiar with this very useful publication.

### S3.2 Proof-reading and Editing of Research Theses and Dissertations

It is expected that the **academic supervisors** of research higher degree students will provide editorial advice to their students. This type of advice is covered in Standards C, D and E of *ASEP*:

- Standard C, Substance and Structure
- Standard D, Language and Illustrations
- Standard E, Completeness and Consistency.

Students may use a **professional editor** in preparing their thesis for submission, but they should discuss this with their principal supervisor and provide the editor with a copy of this policy before they commence work. Professional editorial intervention should be restricted to:

- Standard D
- Standard E

Where a professional editor provides advice on matters of structure (Standard C), exemplars only should be given.

Material for editing or proofreading should be submitted in hard copy. In electronic copy it is too easy for the student to accept editorial suggestions without thinking about their implications.

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<sup>4</sup> This document can be accessed at <http://www.ddogs.edu.au/>

<sup>5</sup> The Australian Standards for Editing Practice is available on the following website: [www.case-editors.org](http://www.case-editors.org)

When a thesis has had the benefit of professional editorial advice, of any form, the name of the editor and a brief description of the service rendered, in terms of *Australian Standards for Editing Practice*, should be printed as part of the list of acknowledgements or other prefatory matter. If the professional editor's current or former area of academic specialisation is similar to that of the candidate, this too should be stated in the prefatory matter of the thesis.

## **Schedule Four (S4): Examination Outcomes**

### **S4.1 Receipt of Examiners' Reports**

If both examiners have recommended the award of the degree and this is not subject to amendments to the thesis (Recommendation A), then the reports are forwarded immediately to the Associate Dean Research by the Research Students' Office.

If either examiner has provided a recommendation that is *not* Recommendation A, the candidate will consult with the Chair of the Supervisory Panel to prepare responses. Responses must be submitted to the Research Students' Office no later than three weeks from the candidate's receipt of the reports.

Delays in the completion of the examination process due to a late response to the examiners' reports are the responsibility of the candidate and Chair of the Supervisory Panel.

### **S4.2 Recommendations**

In all cases, the Associate Dean Research will consider the examiners' reports, and the candidate's and Chair's responses if applicable, and will make a final recommendation on the examination outcome to the Research Students' Office.

#### ***Faculty/Centre Recommendation A***

If both examiners recommend the award of the degree, and this is not subject to amendments to the thesis (Recommendation A), the Associate Dean Research should also recommend the award of the degree.

#### ***Faculty/Centre Recommendation B***

If the Associate Dean Research recommends the award of the degree subject to the completion of editorial amendments only to the thesis (Recommendation B), the following applies:

- (a) the time limit for editorial amendments is two months from the date the candidate and Chair are advised of the Faculty/Centre's recommendation and specific amendments to be made; and
- (b) the Chair will advise the Research Students' Office when amendments have been completed and a revised copy of the thesis will be provided to the Research Students' Office.

#### ***Faculty/Centre Recommendation C***

If the Associate Dean Research recommends the award of the degree subject to revisions to the thesis as specified in the report/s (Recommendation C), the following applies:

- (a) the time limit for revisions to the thesis as specified by the Associate Dean Research is six months from the date the candidate and Chair are advised of the Faculty/Centre's recommendation;

- (b) the Chair will advise the Research Students' Office when revisions have been completed and provide a copy of the revised thesis; and
- (c) the Associate Dean Research will ensure that appropriate revisions have been made and, if so, recommend the award of the degree.

***Faculty/Centre Recommendation D***

If one or both examiners have recommended that the candidate be required to revise and resubmit the thesis for examination (Recommendation D), determination of the outcome of the examination will be the responsibility of the Deputy Vice-Chancellor (Research).

The Deputy Vice-Chancellor (Research) will be provided with the thesis, all examiners' reports and the candidate's and the Chair's responses.

The Deputy Vice-Chancellor (Research) will convene a meeting with the Associate Dean Research and Chair to assist in determining the examination outcome.

The Deputy Vice-Chancellor (Research) may recommend any of the examination outcomes outlined in Schedule Four (S4.2). The Deputy Vice-Chancellor (Research) may also recommend that another external examiner be appointed to examine the thesis.

If the Deputy Vice-Chancellor (Research) recommends that the candidate revise and resubmit the thesis for examination, the following guidelines apply:

- (a) the time limit to revise and resubmit the thesis is twelve months from the date the candidate and Chair of the Supervisory Panel are advised of the Deputy Vice-Chancellor's (Research) recommendation;
- (b) a candidate who undertakes to revise and resubmit is normally required to re-enrol for the expected duration of the revision process;
- (c) a thesis may be submitted for re-examination only once and must be accompanied by:
  - a. a statement from the candidate outlining substantive changes made; and
  - b. if applicable, an explanation of why recommendations for change have not been accepted;
- (d) every reasonable effort will be made to ensure that a resubmitted thesis is examined by the original examiners;
- (e) each examiner will receive a copy of all the original reports, a statement from the candidate outlining substantive changes made and, if applicable, an explanation of why recommendations for change that have not been accepted; and
- (f) when the thesis is resubmitted, the procedures for its examination will be in accordance with Points 28 to 37 of the *Examinations of Higher Degree by Research Theses Policy* (with the exception being the option to revise and resubmit for a second time).

***Faculty/Centre Recommendation E***

If one or both examiners have recommended that the candidate not be awarded the degree (Recommendation E), determination of the outcome of the examination will be the responsibility of the Deputy Vice-Chancellor (Research).

The Deputy Vice-Chancellor (Research) will be provided with the thesis, all examiners' reports and the candidate's and Chair's responses.

The Pro Vice-Chancellor will convene a meeting with the Associate Dean Research and Chair to assist in determining the examination outcome.

The Deputy Vice-Chancellor (Research) may recommend any of the examination outcomes outlined in Schedule Four (S4.2). The Deputy Vice-Chancellor (Research) may also recommend that another external examiner be appointed to examine the thesis.

If the Deputy Vice-Chancellor (Research) determines that the degree not be awarded and/or that the candidate should not be allowed to present for the degree again, a recommendation to Academic Board to that effect will be made.

## **Schedule Five (S5): Guidelines for the Submission of a Thesis by Published Works**

*[Please note that the guidelines provided in Schedule Five (S5) refer to the submission of a thesis consisting of works published during the period of candidature by a candidate enrolled in the Doctor of Philosophy course. They do not apply to candidates enrolled in the Doctor of Philosophy (by Publication) course. For thesis requirements of the Doctor of Philosophy (by Publication), please refer to the Doctor of Philosophy (by Publication) Policy.]*

The main content of a PhD thesis may consist of published material (e.g. a series of journal articles), provided it is presented in suitable form for inclusion in the thesis and meets the following requirements. With agreement of the supervisory panel, a candidate enrolled in the Doctor of Philosophy course may elect to submit the thesis in this form.

A PhD thesis consisting of published work must meet the following requirements:

1. The articles or other published material must be prepared during the period of candidature (not prior to admission or used as part of the basis for admission).
2. The papers should be of a standard suitable for immediate submission to a peer-reviewed journal. In many cases, it is anticipated that the candidate would have submitted these papers to a journal at the time of submission of the thesis, and that some may be in print, in press or accepted for publication at the time of submission. (Where the papers are not submitted or where they have been submitted but not yet accepted for publication, the examiners of the thesis will consider whether the papers submitted in the thesis are of a standard suitable for immediate submission to a peer-reviewed journal. If a paper has been accepted for publication, or is in press or in print, the examiners should focus only on the quality of the research therein and how the work fits into the broader context of the overall thesis. Structural and editorial issues need not be considered.)
3. Peer-reviewed book chapters are acceptable, provided that they have been formally accepted for publication, in press or in print at the time of submission of the thesis.
4. Where one or more of the submitted papers are co-authored, they collectively should be preceded by a clear statement of the intellectual contribution of the candidate to the submitted papers. The contribution would need to be very substantial overall. Special attention should be paid to articles where the candidate is not the senior author.

The body of the thesis should comprise:

- (a) a title page, an abstract of the entire thesis work (including the submitted papers), table of contents, list of figures, list of tables and acknowledgements;
- (b) an introduction where the aims, scope and objectives of the work are presented with sufficient background for the examiners to appreciate the significance of the aims and objectives;

- (c) a literature review, so that the work can be seen in the broader context of the discipline area to which it contributes and to establish the significance of the work;
- (d) a synopsis, where the individual contributions of the papers presented by the candidate are integrated to demonstrate clearly the original contribution of the candidate to the discipline; and
- (e) literature cited.

Candidates are advised that the synopsis in particular is expected to be of a very high standard, and that its quality will have a special and important influence on the outcome of the examination. It is not meant to be a general discussion, nor should it be a repetition or summary of the discussion sections of the submitted papers.

The synopsis should not normally exceed 15,000 words. No new data or results should be included in this component, though results or data presented in the attached papers may be reworked or integrated with results and data from literature in order to develop argument presented in the synopsis. Whereas the submitted papers may have other contributors as authors, this component of the thesis must be solely the work of the candidate.

Where a PhD thesis is submitted in the form of published work, examiners of the thesis will be provided with the University guidelines above.