Higher Degree by Research Thesis Preparation, Submission and Examination Policy

Responsible Officer
Deputy Vice-Chancellor (Research)

Approved by
Vice-Chancellor

Approved and commenced
January, 2019

Review by
January, 2022

Relevant Legislation, Ordinance, Rule and/or Governance Level Principle
Australian Code for the Responsible Conduct of Research (2018)
Ordinance 8 – Student Complaints
Ordinance 9 Student Discipline
Rule 4 - Rules of Graduate Research
GLP 12 Academic Standards
GLP 13 Quality Management Framework

Responsible Organisational Unit
Division of the Deputy Vice-Chancellor (Research)

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1 Objective

The objective of this Policy is to:

- provide transparent and consistent requirements for the preparation, submission and examination of Higher Degree by Research Theses\(^1\) and
- establish examination processes that provide a timely outcome for Higher Degree by Research Candidates.

2 Scope

This policy applies to all Higher Degree by Research Candidates undertaking a Higher Degree by Research at the University, and to all academic and professional staff members of the University who are involved in the conduct or administration of the thesis examination process. This policy also applies to the Examiners participating in the examination of Higher Degree by Research theses from the University of Tasmania.

3 Policy Provisions

3.1 Principles

A Higher Degree by Research Thesis embodies the results of original research and investigation by a Candidate enrolled in a Higher Degree by Research course. 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.

The University requires that a contribution to knowledge be made through the completion of a higher degree by research. This contribution must be made during Candidature and should not include any work that has been accepted for a Degree

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\(^1\) Throughout this policy the work Thesis means using one or more media, a substantial and intellectually coherent product or product(s) such as a Thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards.
by the University or any degree awarded by a Recognised Tertiary Institution, except by way of background information that is clearly identified.

The Thesis must be the Candidate’s own work. Any contribution by other people, including co-authors of publications, must be clearly stated in the Thesis.

The University recognises that a Thesis or a part of a Thesis may be presented in a variety of formats and media but will incorporate a written component which is situated in an academic discourse. The University accepts the definition of research used by the Commonwealth Department of Innovation, Industry, Science and Research (DIISR).

It is expected that the examination of a Higher Degree by Research Thesis will be conducted by at least two experts in the discipline who are external to the University, independent of the conduct of the research, and without any real or perceived conflict of interest. The only exceptions to these requirements are outlined in the Higher Degree by Research Alternative Examination Format Procedure.

3.2 Requirements for completion of a Higher Degree by Research degree

All Candidates enrolled in a Higher Degree by Research must submit a Thesis for examination in fulfilment of the award for which they are enrolled.

To complete the requirements of a Higher Degree by Research, all Candidates must:

- achieve a pass grade in the examination of the Thesis
- meet any specific degree requirements as stated in the letter of offer and all degree specifications provided in the course and unit handbook
- provide an electronic copy of the final Thesis or Exegesis for deposit in the University Library Open Repository and
- provide an abstract of the thesis to the Graduate Research Office for the Australian Higher Education Graduation Statement (AHEGS).

To be awarded a pass grade, the Thesis for a Doctoral Degree or Professional Doctorate must demonstrate that the Candidate:

- has made an original and substantial contribution to knowledge of the subject in the field
- has a systematic and critical understanding of a substantial and complex body of knowledge at the frontier of a discipline or area of professional practice
- has expert, specialised cognitive, technical and research skills in a discipline area to independently and systematically:
  - engage in critical reflection, synthesis and evaluation
  - develop, adapt and implement research methodologies to extend and redefine existing knowledge or professional practice
  - generate original knowledge and understanding to make a substantial contribution to a discipline or area of professional practice and
- can apply knowledge and skills to demonstrate autonomy, authoritative judgement, adaptability and responsibility as an expert and leading practitioner or scholar.

To be awarded a pass grade, a Thesis for a Masters Degree (Research) must demonstrate that the Candidate:
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- has advanced and integrated understanding of a complex body of knowledge in one or more disciplines or areas of practice
- has expert, specialised cognitive and technical skills in a body of knowledge or practice to independently undertake the following:
  - analyse critically, reflect on and synthesise complex information, problems, concepts and theories
  - research and apply established theories to a body of knowledge or practice
  - interpret and transmit knowledge, skills and ideas to specialist and non-specialist audiences and
- can apply knowledge and skills to demonstrate autonomy, expert judgement, adaptability and responsibility as a practitioner or learner.

3.3 Eligibility to submit a Thesis for examination

To be eligible to submit a Thesis for examination, a Candidate undertaking a Higher Degree by Research must have:

- been enrolled in their course for the minimum degree period specified in Clause 11 of Rule 4
- had their candidature confirmed
- be enrolled in the degree for which they are seeking to be examined and
- obtained approval from the Dean of Graduate Research for the thesis to be placed under examination

It is expected that, where possible, Candidates present the final outcomes of the research 3 months prior to submission of the thesis, normally within their Academic Unit of Enrolment in the form of an oral presentation. Where circumstances prevent the candidate presenting the final outcome of the thesis in the manner prescribed, a written report will be accepted in lieu of the presentation.

A Candidate will only be permitted to submit a Thesis for examination before the minimum degree period has passed in exceptional circumstances and with the approval of the Dean of Graduate Research.

A Candidate must notify the Dean of Graduate Research of their intention to submit the Thesis for examination in accordance with the Higher Degree by Research Thesis Preparation, Submission and Examination Procedures. The notification must be provided three calendar months prior to the intended date of submission.

When submitting a Thesis, the Candidate must:

- make all necessary declarations as described in the Section 3.4 of this Policy and the Higher Degree by Research Thesis Preparation, Submission and Examination Procedures and
- prepare the Thesis in accordance with this Policy and Higher Degree by Research Thesis Preparation, Submission and Examination Procedures.

A Thesis may not be submitted for examination if any of the following apply:

- it is substantially similar to a Thesis or work previously examined, or assessed and rejected, unless the Dean of Graduate Research has given approval
- it is substantially similar to a Thesis or work used in whole or in part to acquire any other qualification at a tertiary educational institution anywhere in the world
except where the Thesis is being submitted jointly to the University and another institution for a jointly awarded qualification under a formal conjoint arrangement

- it is substantially similar to a Thesis or work that is under examination or assessment for any other qualification of a tertiary educational institution anywhere in the world, except where the Thesis is being submitted jointly to the University and another institution for a jointly awarded qualification under a formal conjoint arrangement
- the Candidate’s candidature has been terminated
- the appropriate Deed of Assignment of Intellectual Property Rights has not been provided (if required) or
- the appropriate ethics approval has not been given (if required).

Candidates whose candidature has been terminated under Clause 17 of Rule 4 may be eligible under clause 17.8 to apply for readmission to candidature in order to submit their thesis for examination. An application for reinstatement must be made in writing to the Dean of Graduate Research and accompanied by a recommendation from the supervisors, the Graduate Research Coordinator and the Head of Academic Unit and be supported by the Executive Dean. The University is under no obligation to accept a Thesis for examination from a Candidate whose candidature is deemed to have terminated under the conditions set out in Clause 17 of Rule 4.

### 3.4 Thesis Preparation

The format of the Thesis will be decided in consultation with the Primary Supervisor. It must conform to one of the four Thesis formats below and include minimum formatting requirements as approved by the Dean of Graduate Research and set out in the *Guidelines on the Minimum Requirements for Higher Degree by Research Theses*.

The four acceptable Thesis formats include:

1. a written text with conventional chapters presented as typescript or
2. a written text containing a combination of peer reviewed publications, articles undergoing peer-review or revision, and conventional chapters presented as typescript (see Section 3.4.2 of this Policy)
3. a written text containing a combination of peer reviewed publications, and articles undergoing peer-review or revision (see Section 3.4.2 of this Policy)
4. creative, visual or professional practice products (e.g., musical manuscript audio-visual materials, models, designs, computer software, digital material or other non-written material) together with an exegesis, presented as typescript.

Regardless of the format of the Thesis, a Candidate whose research has been published (in whole or in part) prior to submission of the Thesis must upload an electronic copy of the published articles/manuscripts (in pdf format) along with the Thesis.

### 3.4.1 Word Limits of the Thesis

The Thesis should not exceed the word limit stipulated in the course specifications in the University handbook. If a word limit is not specified the maximum word limit below will apply. Word limits are inclusive of footnotes but exclusive of tables, maps, bibliographies, datasets and appendices.
### Degree Type | Maximum Word Limit
--- | ---
Masters Degree (Research) | 50,000
- Thesis
- Exegesis: 10,000-20,000
Doctoral Degree | 100,000
- Thesis
- Exegesis: 20,000-50,000
Professional Doctorates | 60,000-80,000

A Thesis that exceeds the specified word limit will only be accepted for examination if prior approval has been granted by the Dean of Graduate Research and if the nominated examiners have agreed to examine the over-length Thesis.

#### 3.4.2 Including Publications in a Thesis

The University encourages all Higher Degree by Research Candidates to publish the results of their research during candidature. A Candidate's Thesis may include relevant papers (including conference presentations) which have been published, accepted, submitted or prepared for publication. The papers should be included in accordance with University Guidelines for Incorporating Publications into a Higher Degree by Research Thesis. The research upon which the papers are based must have been undertaken during the Candidate’s period of candidature.

Any paper/s incorporated into a Thesis must constitute an essential part of a coherent and integral body of work rather than a separate component. The body of work must be focused on a single research project and a set of related questions or propositions. Publications that contribute to the HERDC should be clearly identified.

Where the Candidate has co-authored published papers that are included in the body of the text or the appendix, in whole or in part, a statement of authorship outlining the Candidate’s contribution to the published work should be prepared (for each published paper) and kept in the Academic Unit. Ideally each statement should be prepared at the time the paper is written. This statement should provide details of the proportionate authorship of each of the co-authors and should be signed by all co-authors (electronic signatures and email in lieu of signature will be accepted). The statement should be footnoted in the relevant sections of the Thesis.

A further statement should be prepared by the Candidate’s Primary Supervisor, for inclusion in the Thesis, attesting to the contribution of the Candidate and the co-authors, and referring to statement(s) held on file. It should comprise a list of the published papers, identify the contributions of each author and be signed by the supervisor(s).

Candidates and Supervisors should review the University Authorship of Research Policy when preparing their respective statements.

#### 3.4.3 Language of the Thesis

The Thesis shall be written in English and reach a satisfactory level of scholarly presentation. In exceptional circumstances the Dean of Graduate Research may give approval for the Thesis to be written in another language. Lack of proficiency in English language is not an exceptional circumstance. Approval must be sought at the time of applying for Higher Degree by Research candidature, for submission of a Thesis written in a language other than English. Where approval is given by the Dean
of Graduate Research, the Thesis submitted for examination must contain an extended abstract in English that includes an introduction, chapter outline and conclusion. The extended abstract should be within the following word limits:

- 5,000-10,000 words for Doctoral Degrees
- 2,500-5,000 words for Masters Degrees (Research).

The language of a Thesis for a conjoint or cotutelle awarded Doctoral Degree must be written in a language of one of the awarding institutions:

- the language of the Thesis must be agreed upon at the commencement of the degree and
- where the language of the awarding institutions is different, the Thesis must include a summary of 5000 – 10 000 words comprised of an introduction, brief chapter outline and conclusion in the language of the partner institution.

3.4.4 Editing the Thesis

Primary responsibility for editing a Thesis lies with the Candidate. It is expected that the Supervisors will provide their Candidate with editorial advice relating to: matters of substance and structure; language (including matters of clarity, voice and tone, grammar, spelling and punctuation, specialised and foreign material); and use of illustrations and tables. They may, but are not required to, assist with copyediting and proofreading. This type of advice is covered in Standards C (‘Substance and structure’), D (‘Language and illustrations’) and E (‘Completeness and consistency’) of The Australian Standards for Editing Practice (ASEP).

Professional editorial intervention should be restricted to copyediting and proofreading. This type of advice is covered in Standards D and E of ASEP.

In relation to matters of substance and structure (Standard C), the professional editor may draw attention to problems, but should not provide solutions. Examples may be offered in order to guide the Candidate in resolving problems.

Material for editing or proofreading should be submitted to the editor in electronic or hard copy (although if an individual academic institution has a preference on editing format, this should be followed). If the Thesis is to be edited electronically, the editor and Candidate need to agree on the process by which the Candidate will check each suggested change before accepting it. The editor should keep on record all marked-up versions of the work.

The supervisors must oversee the process and monitor professional proof reading on an individual basis.

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 ASEP, should be printed as part of the list of acknowledgements or other prefatory matter.

Only in rare circumstances will the Dean of Graduate Research approve a claim for proof reading against a scholarship Thesis allowance. Claims for proof reading undertaken by a partner or relative of the Candidate will not be approved and Candidates will be required to disclose to the Dean of Graduate Research whether there is any personal or professional relationship with the proof reader before any claim can be considered.
3.5 Data Management

All research data and primary materials collected as part of Higher Degree by Research conducted at the University must be stored, retained, made available for use and reuse, and disposed of, according to legal, statutory, ethical and funding bodies’ requirements as per the University Management of Research Data Policy.

3.6 Thesis Submission

The Thesis must be submitted in electronic format as per the Examination Procedures. Where a performance forms part of the examination, that performance must be recorded. Where an exhibition forms part of the examination all artefacts must be retained by the candidate until a final outcome of examination has been determined.

A Candidate must include and sign the following declarations in the front matter of the thesis:

- Declaration of originality
- Statement of authority of access
- Statement regarding published work contained within the thesis (where applicable)
- Statement of co-authorship (where applicable)
- Statement of ethical conduct (where applicable)

Candidates should refer to the Higher Degrees by Research Thesis Preparation Guidelines, when preparing these statements and declarations.

The Head of Academic Unit, on advice from the GRC, must certify in writing (via iGRad) that the thesis meets University Higher Degree by Research Thesis Preparation Requirements and is suitable for submission.

The Head of Academic Unit, on advice from the Primary Supervisor, must be satisfied that the required statements and declarations made by the candidate in the front matter of the Thesis are true and correct.

Provided a Candidate has signed a declaration of originality and met all other requirements as stated in section 3.2 and 3.3 of this Policy, a Candidate can submit the Thesis despite advice from the Head of Academic Unit that it is not suitable for submission as per the Higher Degree by Research Thesis Preparation, Submission and Examination Procedure.

3.7 Nomination and Appointment of Examiners

A Higher Degree by Research Thesis must normally be examined by two examiners in line with the Examination Procedures.

Examiners are appointed by the Dean of Graduate Research following advice and a recommendation provided by the Head of Academic Unit and must include at least one examiner of international standing.

In addition, all examiners must be

- external to and independent of the University (ie no affiliation with the University for 5 years)
• have appropriate qualifications, expertise, and experience in the examining of higher degree by research Thesis at this level
• national and/or international experts in the Higher Degree by Research Thesis field in the field of research, relevant high-quality research publications, and whose assessment will be respected nationally and internationally and
• independent of the Candidate and free from conflict of interest as per Section 3.8 of this Policy.

At least one examiner will normally hold an academic appointment.

Candidates should not be involved in the process of examiner nomination. The identity of potential, nominated or confirmed examiners must not be released to the Candidate. The Candidate should be advised that they can request that certain examiners not be appointed as per the Higher Degree by Research Thesis Preparation, Submission and Examination Procedures.

Subject to any exceptions outlined in the Higher Degree by Research Alternative Examination Format Procedure, the identity of the examiners must not be revealed to the Candidate before or during the examination process. The identity of the examiners will be revealed to the Candidate at the conclusion of the examination process, after all corrections have been completed and approved by the Dean of Graduate Research.

All examiners will be informed of the requirements and expectations of the University.

Examiners of a Thesis are paid honoraria in accordance with Universities Australia’s guidelines on amounts set annually for Doctoral and Masters Theses.

3.8 Conflict of Interest

The nomination and selection of examiners is based on the principle that the Candidate receives an impartial examination by high quality examiners in the field of research.

An examiner must not be involved in the examination of a Higher Degree by Research Thesis if there is an actual or perceived conflict of interest between the examiner and various parties, including the Candidate, the Supervisor, the University, the subject matter itself or another examiner.

Any potential or perceived conflict of interest must be declared by the Head of Academic Unit, the Supervisors and the Candidate with reference to the University’s Conflict of Interest in the Appointment of Examiners Guidelines.

3.9 Chair of Examiners

A Chair of Examiners will be appointed by the Head of Academic Unit to act as an independent Chair throughout the examination process of a Candidate’s Thesis. Where the Head of Academic Unit is also a Supervisor of the Candidate, the relevant Executive Dean will appoint the Chair of Examiners.

The Chair of Examiners will be identified at the time a Candidate notifies the University of their intention to submit their Thesis and must:

• be a senior academic staff member of the University
• must hold a degree of a level equivalent to or greater than the one for which the Thesis is being examined
be familiar with the research discipline represented in the Candidate’s Thesis, or in the case of a multi-disciplinary thesis be familiar with part of the research discipline represented by the Thesis

• not be a current or former member of the Supervisory Team and

• be otherwise free from conflict of interest.

3.9.1 Duties of the Chair of Examiners

The Chair of Examiners will be responsible for:

• providing a recommendation to the Graduate Research Office on the Examiners’ reports
• ensuring that the Candidate has made the changes requested by the Examiner(s) or has defended on academic grounds the absence of a change
• convening and chairing a research committee of review process, where applicable and
• convening and chairing a Viva Voce process, where applicable.

In the conduct of their duties, the Chair of Examiners is expected to confer with the Candidate’s Supervisory Team and to confine any judgements on the Candidate’s Thesis corrections to those raised by the Examiner(s) in their reports.

3.10 Examination of Thesis

The Graduate Research Office is responsible for administering the examination of all Doctoral Degrees and Masters Degrees (Research) under the direction of the Dean of Graduate Research.

Each thesis will be examined by two independent examiners as described in the Examination Procedures.

Each examiner is required to individually and independently assess the merit of the Thesis and prepare a written report to assist the Candidate and to make a recommendation to the Dean of Graduate Research in a format and within the time frame prescribed in the Examination Procedures.

Thesis content will remain confidential during the examination period and the University reserves the right to request examiners to sign a Non-Disclosure Agreement if deemed necessary.

When both reports have been received from the Examiners, the Graduate Research Office shall send de-identified copies of the Examiners' recommendation form and reports to the Chair of Examiners. The Chair of Examiners must consult with the Supervisor(s) and submit comments and a recommendation on the examination outcome to the Dean of Graduate Research.

At each stage the Dean of Graduate Research shall consider the recommendations of the Examiners and the Chair of Examiners before determining how to proceed to the next stage.

Where the Thesis is to be revised taking account of the comments of Examiners, the reports and recommendations shall remain confidential until the Chair of Examiner’s recommendation has been considered and approved by the Dean of Graduate Research.
3.10.1 Replacement examiner if report not received

The Graduate Research Office shall contact any examiner who has not submitted their examiner’s report by the end of the eighth week after despatch of the thesis, advising that it will be necessary to proceed to the appointment of a replacement examiner if the report is not received within a further two weeks.

The Graduate Research Office shall seek advice from the Chair of Examiners as to whom should act as a replacement examiner in the event of an examiner failing to deliver a report (this will normally be the nominated reserve examiner). If necessary, the Dean of Graduate Research shall appoint a further qualified examiner on the recommendation of the Chair of Examiners who shall have carried out the same consultative procedures as applied to the initial appointment of examiners.

Where an examiner has failed to respond to the final reminder to submit their report and a copy of the thesis has been dispatched to the replacement examiner, any report subsequently received from the examiner who has been replaced shall not be considered in determining the result of the candidature.

3.10.2 Examination of jointly awarded degrees

A Candidate undertaking a jointly awarded degree will be expected to meet the examination requirements of the University and that of the partner university as set out in the relevant Memorandum of Understanding (or equivalent) and the Candidate Agreement.

Any additional examination requirements, such as participation in a Viva Voce, which is an oral examination or defence of the Thesis, will be agreed between the University and the partner university prior to issuing an offer of candidature.

3.10.3 Viva Voce

The University recognises that some disciplines consider Viva Voce to be an integral part of the Higher Degree by Research journey.

The Dean of Graduate Research, the Primary Supervisor or Candidate may request the inclusion of a Viva Voce in the Candidate’s examination process. Where the Dean of Graduate Research requests the inclusion of a Viva Voce, the costs will be covered centrally. The costs for all other Viva Voce must be covered by the College, Faculty or Institute.

A Viva Voce examination is required for some conjoint and cotutelle Doctoral degrees conducted where the partner university has a requirement for Viva Voce.

If a Viva Voce is to occur as part of the examination process and form a component of the Examiner’s report, the Chair of Examiners organises the Candidate’s Viva Voce as per the Examination Procedures.

The agreement of the Candidate, the Head of Academic Unit, Executive Dean and the Dean of Graduate Research must be obtained before proceeding with the inclusion of a Viva Voce as part of the Thesis examination.

In all instances the Viva Voce does not replace the submission and examination of a written Thesis.
Candidates, Supervisors and Graduate Research Coordinators should refer to the Higher Degree by Research Alternative Examination Format Procedure for more information about requirements for the inclusion of a Viva Voce in the examination process.

3.10.4 Content of the Examiner’s Report

The Examiner’s Report shall include the recommendation that the degree:

(a) be awarded or

(b) be awarded provided that the minor revisions and textual changes identified in my report are undertaken to the satisfaction of the Chair of Examiners or

(c) be awarded provided that the substantial revisions recommended in my report are undertaken to the satisfaction of a research committee of review convened by the Chair of Examiners or

(d) be not yet awarded but that the Candidate be permitted to revise the Thesis in response to the examiners’ reports and submit it for re-examination or

(e) Doctoral Degree and Professional Doctoral Candidates only:
   (i) not be awarded but the appropriate degree of Master be awarded or
   (ii) not be awarded but the Candidate be permitted to revise the Thesis and resubmit it for the degree of Master or

(f) not be awarded and the Candidate not be permitted to resubmit the Thesis for the degree

An examiner who makes the recommendation:

(a) should highlight the strengths of the Thesis in the written report or

(b) must state clearly the specific corrections that the Candidate should make or

(c) must clearly state the corrections that the Candidate should make and must state clearly the areas within the Thesis that must be addressed or

(d), (e) or (f) must state clearly the weaknesses and major shortcomings of the Thesis which led to that recommendation.

3.10.5 Corrections without re-examination

If the Dean of Graduate Research determines to accept a recommendation from the Chair of Examiners that the degree be awarded provided that substantial revisions are made to the Thesis, the Chair of Examiners shall:

• set a date by which the revised Thesis must be submitted and
• establish an internal committee of review to consider the corrections to the Thesis.
The Candidate shall be provided with de-identified copies of the reports of the examiners for use during the revision.

The Chair of Examiners shall submit a recommendation to the Dean of Graduate Research on the composition of the committee of review. The committee of review will normally be comprised of the Chair of Examiners, the Graduate Research Coordinator (where not already acting as Chair of Examiners) an internal member of the Academic Unit or Discipline, and at least one other disinterested person, from within the College, Faculty or Institute with expertise in the field of research in question. The Candidate’s Primary Supervisor will act as consultant to the committee.

The Chair of Examiners shall convene and chair the committee of review and report the committee’s recommendation to the Dean of Graduate Research.

3.10.6 Re-examination

If the Dean of Graduate Research determines that the Thesis is to be revised and re-examined, a date shall be set by which the revised Thesis must be submitted. The Candidate shall be provided with de-identified copies of the reports from the examiners for use whilst revising the Thesis.

Each examiner shall select one of the following recommendations for inclusion with the report on the re-examination.

That the degree:

(a) be awarded

(b) be awarded provided that the passages and textual errors identified in the report are revised or corrected to the satisfaction of the Chair of Examiners

(c) not be awarded but the appropriate degree of master be awarded (in the case of doctoral Candidates only) or

(d) not be awarded.

An examiner who makes the recommendation

(a) should highlight the strengths of the Thesis in the written report or

(b) must state clearly the specific corrections that the Candidate should make or

(c) or

(d) must state clearly the weaknesses and major shortcomings of the Thesis which led to that recommendation.

3.10.7 Revised Thesis must be resubmitted within prescribed time

If the outcome of the examination is that the candidate must revise and re-submit the thesis for examination (d or e in Section 3.8.1 of this Policy), the Candidate must do so within the time period granted by the Dean of Graduate Research. If the Candidate fails to resubmit within the prescribed time (or any extensions to that time period granted by the Dean of Graduate Research) termination proceedings will be initiated as per clause 17 of Rule 4, Rules of Graduate Research.
3.10.8 Outcome of Examination

The Dean of Graduate Research shall consider the recommendations of the examiners and the Chair of Examiners before determining whether the Candidate has satisfied the requirements for the award of the degree. The Candidate will be deemed to have satisfied the requirements of the award under Clause 19 of Rule 4;

- if the majority of Examiners award an a, b or c, as defined in Section 3.8.1 of this Policy and
- where a Viva Voce is required, the Viva Voce Examination Committee confirms the Degree should be awarded and
- that outcome is confirmed by the Dean of Graduate Research after the completion of the examination or any re-examination process and
- all conditions of candidature have been met (if applicable).

3.11 Misconduct

The University is committed to upholding its obligations under the *Australian Code for the Responsible Conduct of Research* (2018). The University is also committed to high standards of professional conduct in all activities, and holds its commitment and responsibilities to candidates as being of paramount importance. Likewise, it holds expectations about the responsibilities candidates have as they pursue their research training within the special environment the University offers.

3.11.1 Academic Misconduct

The University Guide to Academic Integrity for Students details the expectations of scholarship and defines academic dishonesty. Breaches of academic integrity resulting in allegations of academic misconduct will be investigated according to the procedures in *Ordinance No 9 – Student Discipline*, section 3.1.

3.11.2 Research Misconduct

The definition of research misconduct and the process for submitting an allegation of research misconduct are detailed in the University’s *Managing Allegation of Research Misconduct Procedure*. Where the preliminary assessment of an allegation of research misconduct involving:

- a Higher Degree by Research student determines that further investigation is warranted, the investigation will be conducted in accordance with *Ordinance 9 – Student Discipline*
- a supervisor (s) determines that further investigation is warranted, the investigation will be conducted in accordance with the University Staff Agreement.

3.12 Submission of final copies of Thesis

After a Thesis has been examined and corrections to the Thesis have been made and approved (if required), the Candidate shall submit to the Graduate Research Office, an electronic copy of the entire Thesis for upload into the University Library Open Repository in accordance with the Examination Procedures.

Access to the digital Thesis will be subject to the conditions of access contained in the Thesis in accordance with Examination Procedure. You must identify copyright material and other content in your Thesis which you do not have the right to make
publicly accessible for proprietary or legal reasons. This may include for example third party owned images, data compilations or substantial amounts of text such as published articles.

The University will make your Thesis publicly accessible online UNLESS you as the author request that the University restrict access as per the Examinations Procedures. Access cannot be restricted for more than 2 years without prior approval from the Dean of Graduate Research.

3.13 Complaints, grievances and resolving difficulties

3.13.1 General

Where possible, candidates should work with their supervisor(s) to resolve difficulties as soon as they arise during their candidature.

Where a Candidate has been unable to resolve a problem(s) with their supervisor(s), they should continue to seek to resolve the problem(s) by working with the following people in the order presented:

1 Graduate Research Coordinator
2 Head of Academic Unit
3 Executive Dean

If a Candidate is still unable to resolve the problem(s) they can make a formal complaint under Ordinance 8 – Student Complaints through the Dean of Graduate Research following the procedure outline on the student complaints website.

3.13.2 Prevention of Inappropriate Behaviour, Harassment and Discrimination

The University is committed to the provision of a working, research and learning environment that is free from harassment and unlawful discrimination, and a culture where all members of the University community are treated with dignity, courtesy and respect. The University Behaviour Policy outlines these commitments and expectations. Behaviour Contact Officers (BCO’s) are appointed and trained under this policy to provide a first point of contact for persons wishing to discuss how to have a complaint dealt with in accordance with University policy and procedures. For more information refer to the University Behaviour Policy and Procedure.

4 Responsibilities

4.1 The Dean of Graduate Research is responsible for:

- ensuring that the University maintains appropriate standards in relation to Higher Degree by Research thesis examination.

4.2 Executive Deans are responsible for:

- the strategic management of College financial, supervision, and infrastructure resources as per the Academic Structures Policy, Delegations Policy and Schedules;
4.3 Heads of Academic Unit are responsible to Executive Deans for:

- the administration of the Academic Unit including planning, budget, strategy, human resources and performance as per the Academic Structures Policy, Delegations Policy and Schedules.

4.4 Graduate Research Coordinators are responsible to the Head of Academic Unit for:

- coordinating the nomination of examiners and examination processes as per section 3.2.4 of the Higher Degree by Research Graduate Research Coordination Policy.

5 Definitions and Acronyms

<table>
<thead>
<tr>
<th>Term/Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Academic Unit</td>
<td>Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.</td>
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<tr>
<td>AQF</td>
<td>Australian Qualifications Framework.</td>
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<tr>
<td>Committee of Review</td>
<td>An internal committee convened by the Chair of Examiners, as per section 3.10.4 of this Policy, to review the corrections to a thesis where the outcome of examination is a grade of C.</td>
</tr>
<tr>
<td>CMP</td>
<td>Candidature Management Plan.</td>
</tr>
<tr>
<td>College</td>
<td>Means (a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure (b) the University College</td>
</tr>
<tr>
<td>Dean of Graduate Research</td>
<td>The Dean of Graduate Research is the person who has responsibility for: (a) establishing the academic framework for research training at the University; and (b) for working with Faculties and Institutes to ensure the University maintains appropriate standards for research training at the University (including admission, appropriate infrastructure, supervision and examination).</td>
</tr>
<tr>
<td>Examination Procedure</td>
<td>Higher Degree by Research Thesis Preparation, Submission and Examination Procedure.</td>
</tr>
<tr>
<td>Executive Dean</td>
<td>Means: (a) the Executive Dean of the relevant College, or (b) in relation to the University College, the Principal of the University College</td>
</tr>
<tr>
<td>Exegesis</td>
<td>A critical interpretation or explication of text, a project or creative work. The Exegesis has a critical part to play in contextualising the research project in the field of enquiry. The exegesis outlines the reasoning behind the research and</td>
</tr>
</tbody>
</table>
the underpinning methodology thus explicating the nature and conduct of the research that has underpinned the creation of the performances.

Graduate Research Coordinator
An academic staff member who oversees Candidature supervision within an Academic Unit in consultation with the Head of Academic Unit.

Head of Academic Unit
Means the head of the relevant Academic Unit

Maximum Degree Period
The maximum period within which a Thesis must be submitted.

Performance
A performance as part of an examination includes both musical and theatrical performances.

Primary Supervisor
The Supervisor who is primarily responsible for ensuring that all administrative and regulatory requirements prescribed for Candidates are met.

Rule 4
Rule 4: Rules of Graduate Research.

Thesis
Using one or more media, a substantial and intellectually coherent product or product(s) such as a Thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards.

Viva Voce
A Viva Voce is an oral defence of the thesis/exegesis before the thesis Examiners. A Viva Voce is used to clarify aspects of the written thesis and to explore the candidate’s knowledge of their field.

6 Supporting Documentation
- Rule 4: Rules of Graduate Research
- Higher Degree by Research Thesis Preparation, Submission and Examination Procedure
- Higher Degree by Research Alternative Examination Format Procedure
- Management of Research Data Policy
- Management of Research Data Procedure
- Authorship of Research Policy
- Authorship of Research Procedure
- Guidelines for Incorporating Publications into a Higher Degree by Research Thesis
- Conflict of Interest in the Appointment of Examiners Guidelines
- Higher Degrees by Research Thesis Preparation Guidelines
- Academic Structures Policy
- Delegations Policy and Schedules

7 Acknowledgements
This policy has been developed with reference to the DDOGs Principles of Graduate Research and the Australian Qualifications Framework.
Higher Degree by Research policies and procedures from a range of Australian universities were reviewed and related policy documents from the following universities are gratefully acknowledged:

- University of Canberra
- Macquarie University
- University of Melbourne
- RMIT
- University of New South Wales

8 Versioning

| Former Version(s) | Version 1 – *Higher Degree by Research Thesis Preparation, Submission and Examination Policy*; approved January, 2015, amended in December 2016 to incorporate Colleges.
|                  | Version 2 – *Higher Degree by Research Thesis Preparation, Submission and Examination Policy*, approved January 2015, amended in December 2017 to reflect College structure and nomenclature.  