

Faculty of Education,
Health and Professional Studies



*Research
Guide*

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Acknowledgements

This is the fourth edition of this publication. Many people have contributed to its revision and we thank them all.

The Faculty is committed to providing first class supervision to all of its Higher Degree Research Students. Most of you will be part-time, off-campus candidates and this creates problems of isolation, conflicting demands of family, work and research. Take heart, your supervisors are well aware of these issues – indeed, many have gained their own post-graduate qualifications in the same way.

Since the first Guide was produced in 1992, graduate students in the Faculty of Education, Health and Professional Studies have found its advice and direction invaluable in preparing their research. The Faculty Research & Research Training Committee hopes that the current edition will prove just as useful.

Best wishes

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Preface

Entry into various Research Masters or Doctoral programs is governed by the regulations of these awards. Consult The University of New England Handbook and/or specific Directories provided, or seek advice from Research Services.

The purpose of this booklet is to provide information and guidance for Professional Doctorate and Masters Honours candidates about how to:

- prepare themselves for the research process;
- develop a research proposal;
- present their research;
- submit their research for examination.

Candidates should also consult the following guides and policies which are also available on the web:

- UNE Referencing Guide — <http://www.une.edu.au/tlc/referencing.pdf>
- Quality Supervision: A Handbook for Postgraduate Research Students and Supervisors - http://www.une.edu.au/research-services/pg_res_handbook.PDF

as well as

- specific documents prepared by each School, eg Annual Reports

NB: Throughout this publication web sites have been provided for students to access current information. If you are unable to access any of these sites for 'policy documents, guides or forms', please contact either your supervisor or Research Services who can arrange for hard copies to be sent.

Research Guide

Section 1 — All about Supervision

Getting started

Getting started means thinking about a research project, searching the UNE web sites for possible supervisors/schools and sending in your enrolment forms.

PhD, other Doctoral and Research Masters applications are processed through the Research Doctoral Committee; the applications are then sent to relevant Schools so that supervisors or pro tem supervisors may be assigned to help you in your work.

Pro tem supervision

At the beginning of candidature in some Doctoral and Research Masters awards, a pro tem supervisor will be assigned to you, based on a match between your field of proposed research as stated in the application for candidature, and the pro tem supervisor's research interests. A pro tem supervisor oversees the interests of the student during course work and/or may participate in the process of formulating the research, as well as the whole supervision process.

However, students may well change the direction of their research as they become familiar with their field of study. This is a very common occurrence. Such changes can mean that a different or additional supervisor or supervisors would be more appropriate. You should therefore feel free to discuss with your pro tem supervisor possible changes in supervision if you feel the direction of your research interest has significantly changed.

All research students should also be aware that the opportunity may exist for them to arrange special reading units with their supervisor (or another academic). Such units allow you to explore a special area of interest in some depth. Indeed, most EdD, DHSM and Research Masters candidates will be required to undertake some units in order to enhance their research proposals.

Supervisors

In line with UNE Policy, all research students will have access to two supervisors. The Principal Supervisor will be primarily responsible for maintaining records and guiding progress. For a more detailed outline of supervisors' responsibilities, see the Faculty Policy on *Supervision of Postgraduate Students* in Appendix 1. This policy is in line with the UNE policy on Quality Supervision available at: http://www.une.edu.au/research-services/pg_res_handbook.PDF

Visit the Faculty, Schools' and Centres' web sites. They will help you to identify potential supervisors.

The range of research topics staff members may supervise is dependent on the relationship of your topic to their own research expertise. A further consideration is the size of the supervision load carried by individual staff members. You should note that staff members are engaged in their own research projects as well as teaching responsibilities. We encourage students to discuss the possibility of collaborative work on staff projects to produce research if there is genuinely mutual interest in the same topic/area.

The success of your research depends in the first instance on you – your commitment, planning and diligence – but it also depends on your supervisors who must be equally committed and diligent.

What are the responsibilities of supervisors?

The supervisor will:

- have established expertise in the student's area of research;
- advise the student on the suitability of the topic and on the standard of work required;
- identify any shortcomings and direct appropriate alternative action where required;
- maintain close and regular contact;
- require written work on a pre-arranged and agreed schedule;
- return work to the student within a four week period following receipt of work in line with the Faculty's policy on postgraduate supervision (however, if this is not possible it is imperative that the supervisor inform the student of the delay and give a time when the work will be returned);
- monitor performance;
- report to School Research Committees, relevant central committees and Heads of School on progress;
- comment on drafts of research;
- advise relevant Research Committees and Head of School when a student is ready for examination and submit the form about submission;
- suggest names of suitable examiners to the Head of School;
- work with the student to amend the thesis if that is required;
- inform the Head of School when the thesis has been amended in line with examiners' comments should this be required.

How much time will your supervisors provide? Obviously this will vary among projects, supervisors and students. However, the answer is 'sufficient' if the following occur:

- a *pro tem* supervisor is allocated when an offer of enrolment is made. Prior to enrolment in the research component it may be necessary to meet, discuss the broad domain of the proposed study and get to know one another, but your supervisor will not set regular meetings until you have enrolled in the research component of the award;
- your first task will be to design the research proposal. During this time your supervisors will be in regular contact with you to resolve difficulties of definition, design, methods or analysis. These will be regular, scheduled contacts;
- a proposal is agreed in collaboration with your supervisors and the relevant committees, and the Ethics Committee approval has been gained. You will now negotiate a plan for regular contact between yourself and your supervisors. This is where your supervisors will provide attention to drafts, early findings, analysis problems/issues and putting together the final product.

Remember:

All research students complete six monthly progress reports. You should discuss these with your supervisors prior to submission.

What happens if I have problems?

Few projects proceed without problems. When you have a problem, contact your supervisors. Sometimes students blame themselves when the project doesn't progress as planned – sometimes they try to hide, disappear into the never-never of cyber space. This is not useful! Your supervisors cannot help if they don't know what the problems are. The 'real world' will not always be kind to your carefully crafted and fully approved research proposal. Authorities to access records or people are sometimes withdrawn, subjects or client groups refuse to participate or disappear, sample size evaporates, colleagues or University staff go on leave, computer programs fail to run, etc. The list of possible difficulties is endless, and not all of them are foreseeable. However frustrating, these problems are not as important in research training as the ways in which you overcome them. Ongoing contact with your supervisor is the way to make progress.

Supervisor(s)/student relationships should be based on mutual trust and respect. You must be able to trust your supervisors to provide you with timely, appropriate advice – your supervisors must be able to trust you to work ethically, reliably and productively.

If you find yourself unhappy with your supervision, in the first instance contact your supervisors and discuss the problem. It is much better to address this early rather than to leave it and hope that it will disappear. If you are uncomfortable about raising the issue with your supervisors, contact the Head of School. Application to change your supervisor should be made to the Head of the relevant School. Please consult *Quality Supervision: A Handbook for Postgraduate Research Students and Supervisors* - http://www.une.edu.au/research-services/pg_res_handbook.PDF as well as the UNE Grievance Mediation Policy and Procedures <http://www.une.edu.au/eo/publications/revgmpol.html> for detailed grievance procedures.

What are your responsibilities?

You should:

- read *'Quality Supervision: A Handbook for Postgraduate Research Students and Supervisors'* - http://www.une.edu.au/research-services/pg_res_handbook.PDF which regulates Higher Degree supervision;
- read the University regulations in the Handbook or relevant Directory;
- initiate contact with your supervisors;
- attend the Post Graduate Induction Program (PGIP) conducted by the Faculty in March/April each year or, if unable to do so, access the PGIP web site and work through the program;
- discuss required help with your supervisors and develop an agreed plan of action;
- keep appointments with your supervisors;
- undertake suggested work;
- take the initiative in raising problems and sharing responsibility in finding solutions;
- maintain progress of work according to stages agreed with supervisor;
- provide six monthly formal progress reports;
- prepare and submit final copies of the research in accordance with preparation and submission requirements.

You are expected to do independent work, even if working as part of a team, to report on this work independently and to follow good research practices.

You will also be expected to report on the research, in both written and oral formats, to the School(s) in which you are studying. The oral presentation of the study will normally occur at a Research Residential School. Attendance at least once per year whilst enrolled in a research degree is a compulsory requirement in a number of schools.

Communicating with your supervisor

The primary means of communication between off-campus students and supervisors is via phone, fax, email and even mail. On-campus part-time and full-time students should contact their supervisors personally. Note that there may be residential requirements for students during their research candidature and you should check these requirements with your supervisor.

For those who have a course work component in their award, it is advisable to meet with your *pro tem* supervisor early to discuss your program and to begin preliminary discussions about possible topics and/or approaches. Your supervisor will then want to meet with you each time you are on campus and keep in contact with you while away from the campus. Consequently supervisors expect to work out a plan of contact/timetable of progress with each student. This plan must include at least monthly contact and clear benchmarks against which progress will be assessed.

Facilities and support

The Faculty fully acknowledges its responsibility for supporting research students with appropriate facilities and funds for their research. Consequently the Faculty will ensure that:

- (a) facilities in line with those set out in **Appendix 3** are available to all students while they are on campus. These facilities are in accord with the minimal standards advocated by the University. Please note that it will not generally be possible to provide such facilities to individual students during Residential Schools because of the pressure of numbers.
- (b) all candidates have access, through their Schools, to annual research funds such as:
 - \$500 for full-time Doctorate and Masters students by research
 - \$250 for part-time Doctorate and Masters students by research

You are eligible for these funds only once you have enrolled in the research component of your degree. Funds are normally not available until April each year.

Further, you should check the UNE web site to find out about University-wide scholarships, as well as scholarships and bursaries which are advertised nationally. The site address is: <http://www.une.edu.au/research-services/schol.html>

- (c) all candidates have access to advanced research training and advice, either through specific research methodology units or through expert advice and support from academic staff who are not on the supervisory team but who have expertise in specific skills, eg sophisticated statistical analysis, use of particular computer software packages;
- (d) all candidates (and interested staff) have access to training in the use of particular computer software packages (e.g. NUD*IST, SPSS, Endnote);
- (e) there is a pool of computer software from which candidates may borrow programs appropriate to their data analysis processes.

Intellectual property

The Faculty recognises that collaboration between supervisors and candidate is essential to the successful completion of the student's research project. The Faculty further confirms that it is the supervisors' responsibility to guide and direct the candidate's research and to encourage candidates to publish papers and to present at conferences. Under these circumstances all materials generated by the research remain the candidates' property and there is no obligation for candidates to publish jointly with their supervisor(s). At other times, supervisors and candidates may collaborate on a specific aspect of emerging trends in the candidates' research. In these cases, when supervisors contribute significantly to the analysis of data and the writing of paper(s), joint authorship is appropriate.

There will, however, be situations when the candidate's research forms a segment of a much wider project which is being carried out by the supervisor. In this case, supervisors and candidates will, in collaboration with the Head of School and in compliance with University policy, develop a contract which clearly sets out the parameters of the candidate's research within the larger project, the level of support and funding provided by the wider project and the candidate's and supervisor's responsibilities in relation to authorship and publication of data. In all such cases, it is imperative that the collaborative arrangement does not jeopardise the requirements of the higher degree. Candidates and supervisors should consult *Quality Supervision: A Handbook for Research Students and Supervisors* (http://www.une.edu.au/research-services/pg_res_handbook.PDF) as well as *The University of New England's Policy on Intellectual Property* which is also available on the web (<http://www.une.edu.au/rmo/policies/res/intellprop.pdf>) for further information. The Intellectual Property Registration Form is available from: http://www.une.edu.au/research-services/ip/register_ip_form.doc

Grievance procedures

The Faculty recognises that the supervision process may not always run smoothly. It consequently endorses existing Faculty and University Grievance Procedures (<http://www.une.edu.au/eoo/publications/revgmpol.html>). The intent of such policies is to prevent deterioration of relations between the candidate, supervisor(s), School or Faculty which will inhibit successful completion of the research project.

At the School level, all Schools will ensure that:

- (a) any difficulties related to supervision are identified and resolved at an early stage **where possible**;
- (b) avenues for grievance airing, mediation and resolution are publicised. If it is impossible for the supervisor and candidate to resolve their differences, the first point of intervention and mediation will be the Postgraduate Coordinator and the Head of School;
- (c) guidelines on ethical and safety awareness are publicised, and candidates are made fully aware of them and adhere to them.

Should it prove impossible for the dispute to be settled at School level, the matter may be referred to the Associate Dean (Research) or Executive Dean of the Faculty, the Pro Vice-Chancellor (Research and Development) or the Equity Office.

Please note: If you have a grievance, make it known. Don't sweep it under the carpet and hope it will go away. The sooner we deal with a problem, the sooner it will be resolved.

Expected academic progress

It is important that you complete your research and gain your degree in a timely fashion. This will ensure that your research is current, that the supervision process remains stable and it will enable the Faculty to provide the research support necessary.

Consequently the Faculty has adopted, as a minimum framework for satisfactory progress, the following general, full-time equivalent guidelines.

- (a) Doctoral Research Candidates (normally three years full-time equivalent)
 - by the end of the first year of candidature will have delivered a School seminar on the proposed research program and will have produced an identifiable piece of work (such as a major literature review, a detailed methodology, or another output relevant to the specific research discipline) which can be critically assessed by the supervisors;
 - by the end of the second year of candidature will have produced a substantial piece of writing beyond that submitted in the first year and will have completed the data collection process;
 - by the middle of the third year of candidature will have completed the final draft of the thesis for submission.
- (b) Masters Research Candidates (based on two years full-time equivalent — note that some Masters degrees are one and a half years full-time equivalent maximum)
 - by the end of the first semester **of enrolment in the thesis component of the degree** will have delivered a School seminar on the proposed research program and will have produced an identifiable piece of work (such as a literature review, clear methodology, or another output relevant to the specific research discipline) which can be critically assessed by the supervisors;
 - by the end of the second semester **of enrolment in the thesis component of the degree** will have produced a piece of writing beyond that submitted in the first semester and/or will be well underway with the data collection process;
 - by the end of the third semester **of enrolment in the thesis component of the degree** will be nearing completion of a first draft of the thesis and/or the data collection period with a view to undertaking revision and refinement of the written work in the final semester of candidature.

Good time management skills are needed for good progress. You risk running out of time if:

- your proposal building stage or ethics approval has major setbacks;
- your data collection takes more time than estimated; or
- your analysis/writing phase is disrupted.

It is vital that you keep working consistently and diligently. Major 'life' setbacks happen to us all, but please keep your supervisors informed of any situation which interrupts progress!

Examination

The Faculty supports rigorous examination to ensure that candidates have satisfied requirement for their degrees.

As of 2006, the examination process for all Doctoral and Masters Honours theses will be carried out through the University Research Doctoral Committee. Schools will have the following responsibilities:

In the case of Doctoral candidates:

- (a) at least three months before the submission of the thesis, supervisors will consult with candidates about a range of examiners who have expertise in the candidate's discipline/substantive area, have empathy with the candidate's theoretical and methodological paradigms and are themselves active in research/scholarship;

- (b) supervisors will confer with Heads of School and select four appropriate external examiners;
- (c) Heads of School or nominee will contact prospective examiners and establish whether they are willing to examine and whether they will be able to complete the examination within a time limit of no more than two months. They will also compile a short CV of the examiners' most recent research and publications;
- (d) Heads of School will forward the list of examiners and their research/publications record to the Research Doctoral Committee for approval no later than one month before submission of the thesis.
- (e) The Research Doctoral Committee will review examiners reports and make appropriate recommendations as to whether the degree be awarded, whether minor or major revisions are necessary, or whether the degree not be awarded.

For Research Masters candidates, the following procedures will apply:

- (a) at least three months before the submission of the thesis, supervisors will consult with candidates about a range of examiners who have expertise in the candidate's discipline/substantive area, have empathy with the candidate's theoretical and methodological paradigms and are themselves active in research/scholarship;
- (b) supervisors will confer with Heads of School and select three appropriate examiners, at least two of whom are external to UNE;
- (c) Heads of School or nominee will contact prospective examiners and establish whether they are willing to examine and whether they will be able to complete the examination within a time limit of no more than two months. They will also compile a short CV of the examiners' most recent research and publications;
- (d) Heads of School will forward the list of examiners and their research/publications record to the Research Doctoral Committee for approval no later than one month before submission of the thesis;
- (e) The Research Doctoral Committee will meet, and where appropriate, the results of both the thesis and course work components of the degrees will be graded as HD, D, C, P or Fail.

Appeals

The Faculty fully endorses the University Appeals procedures. Appeals will be heard on procedural grounds only. Appeals may be made to the Academic Board against decisions of the Research Doctoral Committee.

Candidates may also seek redress through established University appeals mechanisms beyond the Faculty -

<http://www.une.edu.au/rmo/policies/acad/studappeals.pdf>

Section 2 — Research Proposal

Selecting a research topic

There are a number of ways to go about this:

- (a) you can select from an on-going research project in an area of interest to you, and find out whether there are aspects of that research project that are available to you to use for your research. To help you get an impression of the types of projects that are being conducted, you should consult the following web site: Research within the Faculty of Education, Health and Professional Studies - <http://fehps.une.edu.au/f/r/>
- (b) choose a research topic that interests you and will sustain your interest. Remember – you will be “married” to this project for a number of years – so choose wisely!

Researching the background of the topic

To be able to set up your own project and define your research foci, you need to know what others have done in the area before you – you need to comprehensively review the literature. A literature review is a critical evaluation, not just a summary of the research of others in the area. Appendix 2 offers suggestions for a systematic approach to such a critical evaluation. Remember to structure your reviews carefully – make good use of EndNote to ensure that your referencing is rigorous and you are able to track your resources. At the end of the process (which for full-time students would be expected in three months, and for part-time students in six months) you should have a clear idea of what your project is going to be and how it fits into the body of knowledge that exists already.

Writing and submitting the proposal

Researching the background to your topic, and your literature review will enable you to develop your research questions. Your research questions will determine the kind of methodology you will be following, which in turn will influence how you will analyse your data – all of these processes need to be identified and explored in your research proposal. The research proposal sets out exactly what you intend to do in the research project. A well prepared proposal enables the supervisor and the relevant committees to fully appreciate the dimensions of the project, to provide specific guidance and to review the arrangements for supervision. It also enables you to avoid unnecessary difficulties should there be a change of supervisor during the course of the project.

You will be expected to present a seminar based on your research proposal so that you can gain extra informal feedback on it. In some schools this is mandatory.

The proposal will usually consist of the following sections.

Title

The title may be tentative at this stage but having a working title which indicates the focus of the study, will help keep you on track.

Introduction

- (i) Statement of the problem
 - establish the purpose of the study;
 - summarise the variables or issues to be examined and the research questions which will be asked.
- (ii) Context of the problem
 - identify the context and background of the study;
 - refer to the important literature relevant to the problem and cite key references dealing with each of the variables/issues in the problem;
 - indicate how the proposed study relates to other research and the contribution it may make to gaps in existing knowledge.
- (iii) Statement of the research question(s) or hypothesis(es)
 - research questions/hypotheses must grow out of the relevant literature ie. the body of knowledge which already exists about your area of research interest;
 - they should be stated clearly and concisely - they will help to focus your research and give it direction;
 - care should be taken here to judge whether the questions are 'manageable' and worthwhile.
- (iv) Assumptions, limitations and delimitations
 - identify any assumptions made in the study;
 - indicate awareness of its limitations and delimitations.
- (v) Significance of the problem
 - indicate the relevance, value or potential significance of the problem to be studied or the hypothesised findings to practice and theory in your discipline.

Research methods involved

- design to be used;
- methods used to collect data and justification for selection;
- participants involved (if any);
- tasks (if any) to be assigned to participants;
- data gathering instruments to be used (if any);
- analysis to be used;
- time line for the whole project.

Chapter outline

This should include a listing of proposed chapters, giving chapter headings and providing either subheadings or clear and concise statements of the contents of each chapter.

Special requirements

If the proposed study requires permission or any special arrangements with e.g., schools or hospitals, or any particular requirements for it to be undertaken successfully, these should be indicated.

Possible difficulties

If you foresee difficulties, for example, in entering the research field or in analysis completion, this section should outline these. Your proposal should also include:

A time frame - A detailed budget (if applicable) - Bibliography and references

Note: Your supervisor will be able to show you examples of past proposals.

Ethical issues and permission to conduct research

All researchers must be concerned with ethical issues. Ethical issues include provision for anonymity/confidentiality where appropriate, informing participants of the broad goals of your research and your identity, ensuring appropriate and reasonable demands on subjects/respondents and providing useful feedback to participants in research. In all research it is essential to be sensitive to cultural mores. The University has developed strict ethical guidelines which must be followed in **all** research conducted with UNE support.

You need to keep the following issues in mind when completing the form:

- What are the ethical and political sensitivities involved in researching this matter?
- What information do the participants in my research need in order to be sufficiently informed to give consent to participate?
- What conflicts of interest could possibly occur while I am conducting this research?
- In evaluating your application the Committee is primarily concerned with the welfare of the participants involved. All risks to the participants, however unlikely, have to be addressed.
- The majority of the Committee is not acquainted with education/health jargon. Consequently it is important to explain all processes/procedures in simple terms.

In case of doubt you can arrange a discussion with the Coordinator of the Human Research Ethics Committee, on 02 6773 3449, or talk to your supervisor. **Always** discuss your application with your supervisor. That person is legally responsible for your work and should always be your first port of call.

The Ethics Committee application and an example of an informed consent form are available on the public server of the University computer system. The web site address is as follows:

http://www.une.edu.au/research-services/ethics/hrec_pages/index.html

REMEMBER: AN APPROVAL FROM THE ETHICS COMMITTEE MUST BE OBTAINED BEFORE THE DATA COLLECTION CAN BEGIN.

The meeting dates for the Ethics Committee are therefore crucial in the planning of your research timetable. The dates by which applications should be submitted and the Committee meeting dates can be obtained from the following web site http://www.une.edu.au/research-services/ethics/hrec_pages/index.html

Also note that you may have to obtain approval from several ethics committees:

- If your research takes place within a health service setting you will require approval of the ethics committee(s) of the relevant Area Health Service(s), as well as that of the University.
- Similar approvals have to be gained to carry out research in schools. In New South Wales government schools, for example, this means submitting a formal application. Normally this involves obtaining approval from the DET as well as participating schools. Lead-time can be substantial.
- If you are intending to work with Indigenous Australians you will also have to gain written support/approval from appropriate community organisations before you submit your ethics approval application.

Section 3 — Thesis Preparation

What is a thesis?

A thesis is a sustained and systematic piece of research that incorporates a logical line of argument, is supported by evidence which may be based upon analysis of data and contains argument relevant to the examination of a particular topic or hypothesis (or set of hypotheses). It should reflect a high level of theoretical conceptualisation. A thesis is usually divided into coherent sections or chapters that link together in a logical manner. Each chapter should contribute to the advancement of the argument and when taken together all chapters form an integrated whole. A writer endeavours to maintain and present the argument in a clear, precise, and consistent manner. Judgement, logical presentation, and sound interpretation are vital in research. It is neither possible nor desirable to avoid subjectivity, but it is essential to present the evidence supporting the argument logically and in detail.

The thesis should embody something original. Originality may lie in the discovery or collection of material never before used; or it may lie in a new approach to material that has been used previously. Whatever the approach, the thesis is expected to add something new to our understanding of the particular problem studied. It is to be a disciplined investigation, not a mere compilation of the work of others. Theses may focus on professional issues, at the Doctoral level they will be expected to ask and attempt to answer questions not previously addressed.

For those of you who undertake course work in your award, it is usual to begin to work on your thesis at the time when you are still completing unit requirements. Thesis only students will, of course, begin immediately.

Section 4 — Thesis Structure

Style of writing

The writing that you have completed for your course work could, in many ways, be considered as the apprenticeship necessary for the writing of the thesis. It is for this and other reasons that assessors of essays will have given you considerable feedback upon your writing as well as on the content of your essays. You will need to pay attention to your style of writing and the way you organise what you have written. Cultivate clarity of argument and precision of expression. If a word or phrase or sentence or paragraph is obscure, work on it until it is crystal clear. To this end a good dictionary, a thesaurus and a dictionary of synonyms and antonyms are helpful. Academic writing should be in clear, precise language.

A good style is partly a matter of precision in the choice of words, care in punctuation and skill in constructing sentences; it is partly a matter of taste. You should avoid the use of sexist language (see Miller & Swift 1980); the University's *Referencing Guide* is helpful in this regard.

Each thesis has its own structural peculiarity. Since theses do vary in structure — in chapter organisation and chapter contents — the most appropriate structure for any particular thesis will be developed in consultation with your supervisor. As with many other aspects of thesis writing, it will also be useful to consult some guidelines – so, consult theses held in your School and the Dixson Library. We suggest that what follows is a 'typical' thesis structure for an empirical study. Remember, consult your supervisor about how to organise your thesis. As a general guide, however, keep the following structure in mind.

Preliminaries

This is the place for the specification of your thesis (as necessary) in the following order:

- (i) Certification;
- (ii) Title page;
- (iii) Acknowledgments;
- (iv) Preface (if any);
- (v) Table of Contents;
- (vi) List of Tables;
- (vii) List of Figures;
- (viii) Abstract.

Custom and practice is for pagination to be in small roman numerals in this section.

Chapter 1 — Introduction

The introduction is concerned with identifying the problem or purpose of the study. The introductory chapter should state the nature of the problem that you are investigating, how this fits into the current research on this topic, and how you intend to go about answering it.

The subheadings of this chapter may include the following:

- (i) Context of the problem;
- (ii) Statement of the problem;
- (iii) Statement of the hypothesis or research questions;
- (iv) Significance of the problem and hypotheses or research questions;
- (v) Assumptions, limitations and delimitations;
- (vi) Definitions of terms.

Chapter 2 — Literature

In the thesis the review of related literature must be tightly organised. It should not be a loosely related supplement or an uncritical listing of others' results. In other words, you should organise the previous findings so that the reader can see why your study is important and that it is worthwhile and justifiable or, if your research arises from practice, where the literature does not provide adequate answers but does provide indicators towards fruitful investigation. Include only references relevant to the problem statement and/or the hypotheses that surround it. Use sub-headings to facilitate organisation and meaning. Summarise the conclusions or trends evident from the literature reviewed under each sub-heading and relate them to the thesis problem and hypotheses or research questions/objectives. (See Appendix 2 for a process to follow to develop a literature review.)

The purpose of the review is to fit the particular study into a framework, which enables the reader to see its importance and relationship to other studies' theoretical/conceptual frameworks and to provide a basis for the research questions.

Chapter 3 — Methodology

In this chapter, describe your research materials and data sources, explain and justify how you collected your data, what your methodological framework was, why these methods were seen as appropriate and how your data were analysed e.g., ethno methodological analysis of video taped scenes, showing how members of the scene construct the particular scene; interactional or ethogenic analysis of the accounts people make about the topic being researched; survey of students by using a questionnaire and analysing it using multivariate statistical procedures; development of a theoretical model from existing literature.

Sub-headings in this chapter may include the following:

- (ii) Description of research design;
- (ii) Sampling procedures (where appropriate); or
- (iii) Selection of participants;
- (iv) Data gathering instruments and/or procedures;
- (v) Analytical procedures;
- (vi) Securing informed consent/ethical issues.

In some theses the methodology and data analysis are best presented and illustrated in the course of discussing the data. However, it is always useful to set out clearly the approach taken and to demonstrate your understanding of the intellectual positions and research traditions that inform your research. This chapter assures your reader about the quality of the data and the analytical procedures.

Chapters 4, 5 — Analysis of data

These chapters include the presentation and analysis of the data, through presentation of text and/or tables, and/or graphs and figures.

The presentation of qualitative data is much more dependent upon your ability to convey the richness of the study and so the textual material, including the judicious use of direct quotes, etc, is crucial.

Always relate your analysis to your research questions and beyond to relevant literature.

Chapter 6 — Summary and conclusions

This chapter is about what you now know as a result of your research and what still needs to be done. It may include recommendations.

It may include the following headings:

- (i) Restatement of the problem;
- (ii) Summary description of procedures (briefly stated);
- (iii) Major findings and how these relate to your research questions;
- (iv) Conclusions;
- (v) Recommendations for further investigation.

Section 5 — The Portfolio in the 'new EdD at UNE'

Introduction

The portfolio is a significant part of the 'new EdD at UNE' from 2002. This revamped program was developed using the conceptualisation of Lee, Green & Brennan (2000). It requires that Professional Doctorate work be focussed in the intersection of the workplace, the profession and academe. The UNE EdD is a research award in which *professional* research is situated, i.e. taking into account the realities of people in professional workplaces, and their relationships, real time, actual funding and so on. Importantly, the research has to be rigorous. As such the research undertaken in the UNE EdD is almost certainly done on a part-time basis in the candidate's workplace with a view to making improvements. Action research may well be the most appropriate form of research process for the 'new EdD at UNE'.

Reasons for the portfolio

The Professional Doctorate necessarily culminates in a product which, almost exclusively, is in written form. Though a thesis is possible, the form of the output we prefer is the *portfolio*. The reasons for developing a portfolio are:

- It is consistent with the Lee *et al* model since a variety of audiences is possible as documents with different stakeholders can be included;

- The portfolio allows professionals opportunities to address a series of research questions across their professional responsibilities;
- Such questions can be addressed and answers found within reasonable time requirements of busy professionals who want to act on results. Pragmatically from a program point of view, we have accepted advice from colleagues in the field that the portfolio is more conducive to the kinds of demands of busy professionals who address many researchable questions each year;
- Coherence can be achieved through the development of a paper which 'links' the research projects undertaken; and
- A traditional dissertation is usually too inflexible with respect to genre, narrowness and time taken to complete.

Some of the thinking associated with these reasons

As Nelson & San Miguel (2000) have pointed out, the key issues are audience, the linked concept of genre and so writing style. In *our* program, audience is the primary consideration in relation to a written product in the 'new EdD at UNE'. Using the Lee *et al* model, there are *three*, not one, major audiences for Professional Doctoral writing: co-workers and other stakeholders (in education, for example, school communities); other professionals; and academics. Each audience requires its own genre and style. Thus the portfolio of a Professional Doctorate might contain writing for all three primary audiences (and potentially others). For example, the UNE EdD portfolio might contain a videotape of a professional development exercise at a school site directly related to the research. From research undertaken, it might contain a paper presented at a professional meeting, a copy of a newsletter to parents outlining the research and developments in the school as well as a formal (academic) write-up of the research.

Within the portfolio configuration, shorter projects directly related to professional interests can be investigated. This approach recognises variety in the nature of a professional's work (Hatton 1988). Consequently, in education a portfolio might contain a study in school-community relations, another on the impact of a professional development exercise and yet another on improving communication within the school. This same approach also provides the busy professional with research results in a more timely fashion since the projects undertaken are manageable and to be completed in times consistent with the needs of the workplace. Furthermore the results can be depended upon because the research is not only situated but also because at doctoral level it is demanding. In short, the rigour of academe will be built into the research process.

Not only will the rigour of the projects be evident but coherence of the portfolio itself is an important issue. The portfolio so far described runs the risk of being rather like a smorgasbord. Coherence of the portfolio is to be attained through a 'linking paper', as suggested from research by Maxwell & Vine (1998). This linking paper sets out the nature of professional work and situates the specific research projects undertaken within that framework. It will contain the thesis of the portfolio – line of argument – which binds its elements together (Walker 1998).

Portfolio features

The following features, then, of the 'new EdD at UNE' portfolio are evident:

- There will be several, perhaps, three, rigorous research projects;
- Each project will contain writing which shows the variety of ways in which the research was undertaken in the professional workplace and impacted on stakeholders; and
- A linking paper which sets out the nature of professional work at the site and situates the specific research projects undertaken within that framework.

Processes to achieve the portfolio

The coursework units relating to the profession and the workplace are considered to be the main vehicle through which the linking paper is developed. The main outcome of the *Professional Portfolio* unit will be a proposal which is 'defended'. The idea of defence here means a presentation to colleagues and peers at a compulsory residential school. We take the view that it is better to receive critique early in a supportive environment rather than find out too late that a project has 'holes' or is not feasible. Normally students will develop the research design of their projects through the *Advanced Research Methods* unit. All candidates will have access to an on-line bulletin board as a support mechanism for their learning and research.

Each candidate will have a principal supervisor from acceptance into candidature. There has been considerable debate about Professional Doctoral 'supervision' in the literature (eg Brennan 1995). In the 'new EdD at UNE' your supervisor will certainly be more a collaborative colleague. This directly follows from the model of Lee *et al* in which academic knowledge is not privileged over professional knowledge. You and your supervisor will bring relevant knowledge and experience to the research. In the case of the academic, the expertise is likely to be rigour as exemplified in research design and methodology. In the case of the candidate, it is likely to be knowledge of the professional workplace, for example. At UNE it is possible that, while the principal supervisor will remain the same, co-supervisors may change as the research projects change. It is possible that co-supervisors may be taken from outside of UNE.

Portfolio examination

Examination will be as stringent as for the PhD. Three examiners, usually external to the University, will be appointed. It is highly likely that at least one of the examiners will be a highly regarded professional in the field. The criteria for examination of the EdD in dissertation format have been agreed to by the UNE Academic Board. They are:

- Significance of the research problem to the practice of education and the clarity with which it is stated;
- Competence in identifying and reviewing the relevant theoretical and research literature;
- Adequacy of conceptualisation and of the development of research questions/hypotheses;
- Quality of the basic research design: plausibility, parsimony and elegance;
- Appropriateness of identification, collection and analysis of relevant evidence;
- Expertise with which findings are interpreted in terms of theory, implications for practice, and needs for further research;
- Quality and clarity of writing and presentation.

It is highly likely that the criteria for the portfolio will mirror these, with the addition of a criterion relating to the 'linking paper'. There may be some changes in the above criteria in order to identify the importance of making a difference in the professional workplace site. We will inform you of these in due course.

Section 6 — Documentation and presentation

Full documentation of the sources of quotations and ideas is essential. It enables the reader to follow up the sources of ideas, interpretations and information and it makes it clear when you are drawing conclusions from the evidence presented. Failure to document or cite adequately and fully is to ignore scholarly conventions and may mean that you may not receive full recognition for originality or may be accused of plagiarism. Your attention is drawn to *The University of New England Policy on Plagiarism and Improper Conduct* (Download from: <http://www.une.edu.au/rmo/policies/acad/plagiarismpolicy.pdf>). Documentation should be used not only to provide the source of a direct quotation but also to give the source for any information, ideas or interpretation that you have used and placed in your own words. You waste many hours at the conclusion of your writing if bibliographic records, including page numbers for direct quotes, have not been kept scrupulously.

Format, design, and typographical layout constitute an integral part of a thesis. Consistency, for example in citations and in the references, is vital. Faulty, inconsistent or inaccurate references are often regarded as an indication of mediocre, if not inferior, work in the manuscript as a whole (Hansford & Maxwell 1993). Inconsistencies of spelling and capitalisation, in the use of quotation marks, margins, headings and page numbering, detract from the quality of the work done. Inconsistency, even in minor details, will harm an otherwise authoritative text. The responsibility for attention to such detail rests squarely on you. It is a good idea to peruse other recent theses to get a good picture of the kinds of presentation decisions that previous students have made.

Citation

The University's *Referencing Guide* is an essential aid for you to have (Download it from <http://www.une.edu.au/tlc/referencing.pdf>). No doubt you will have used it for essay writing. Most supervisors within the Faculty require the use of the Author-date system of citation, others the traditional system. Consult your supervisor. In relation to punctuation of citations and references, many alternatives exist even within each system. In consultation with your supervisor choose one and then be consistent.

Whenever you use another person's work (a fact, an idea, an argument), you must acknowledge your source in the text. There are several ways of doing this but one of the most common, and the one used in this Faculty, is a name and date system, the **Harvard System**. You write the name of the author (or authors) in the text, followed by the date of publication in brackets. For example, 'Smith (1988) found that...' Or 'recent research by Smith and Brown (1990) has demonstrated that...'

If you use direct quotes, you must also supply the page number. Indent the quotation if it is longer than a line or two. For example:

Minority groups such as homosexuals, intravenous drug users, prostitutes and prisoners are targets for the imposition of public health laws and policies that may be both restrictive and discriminatory.

(Landsell 1991:61)

This may also be expressed as:

Landsell (1991:61) argues that: 'minority groups such as homosexuals, intravenous drug users, prostitutes and prisoners are targets for the imposition of public health laws and policies that may be both restrictive and discriminatory.'

Remember that it is not necessary to use a direct quote in order to reference another's work. In fact, keep quotes to a minimum as they disrupt the flow of your work. Only quote where you feel you could not improve on the choice or order of words used. Discuss any quotations used. What is their purpose in your paper?

Tables and graphs should also be referenced with the author's name, date of publication and page number. As with quotes, you should discuss in your paper any material presented in this way. Do not assume that tables or graphs speak for themselves.

Full publication details of the books and articles you have referred to in your paper should appear in a reference list at the end. Materials are arranged alphabetically by author's name.

Some of your writing may require the use of reports published by Commonwealth and State government departments or by non-governmental voluntary organisations. In these cases, the author is usually the department or organisation itself. Occasionally, an individual is named as the author of a report, in which case their name should be used. For example: Commonwealth Department of Health. 1987. *Statistics on Drug Abuse in Australia, March 1987*, Australian Government Publishing Service, Canberra.

Tupling, H. 1988. *Review of Educational Materials Available for Heart Disease Prevention Projects*, NSW Department of Health, Health Promotion Unit.

It may be appropriate to use newspaper articles, but these articles do not have the same standing as articles in academic journals, as journalists do not usually reference their work. Most academic journals have a system of peer review, where people knowledgeable in the relevant subject check articles before they are published. This is not the case with newspapers, but they may still be useful if, for example, you want to look at how information is selected and presented to the public. Newspaper articles should be referenced thus:

Garcia, L.M. 1991. 'Schools to require proof of immunity', *Sydney Morning Herald*, 18 April, p. 3.

If an author has referred to another person's article, book or report and you want to use the data it apparently contains, you should go to the original work and read it for yourself. You cannot know if the second author has been accurate. In rare circumstances only, you can refer to the original work by writing, for example, Smith (1982, cited in Brown 1987:6). However, such references must be kept to a minimum, since you cannot vouch for their authenticity. If the original work is not available in the library, it is preferable not to rely on the data in question.

Be clear and consistent in the way you reference, so that readers may find the work to consult for themselves. If you are unsure, always consult the *UNE Referencing Guide*; if still unclear, consult your supervisor.

Materials

The thesis should be typewritten and printed on plain, white, A4 size paper. Black print is to be used. The guide for assessing the acceptability of material printed from a word processor or computer is legibility. If the type is unbroken and easy to read, it is acceptable.

Margins

A left-hand margin of approximately at least 30 mm allows adequate space for binding. Other margins should be a minimum of 13 mm in size.

Typing

The text material should be typed with double or one and a half spacing between the lines. The latter is the more common. The items of the reference list and bibliography, the footnotes and indented quotations may be single spaced, but larger spacing should be used between separate footnotes and between individual references. At least twelve point font size is usual and typical fonts chosen are Times, Palatino, Chicago and Bookman, but the choice is yours.

Three or four spaces are allowed between a chapter heading and the text below it. Centred headings and illustrations are set off with three or four spaces above and below, to make them stand out from the text. The first line of each paragraph may be indented five spaces, but this is not essential.

Single spacing is generally used to present quoted material of four or more typewritten lines. Every line of such single spaced quoted material should be indented five spaces on the left (and also on the right if desired). Such indented quotations do not need to be placed within quotation marks. Shorter quotations do not need to be single spaced or indented, but need to be placed within quotation marks. Single quotation marks are used for quotations within quotations.

Tables are labelled in numerical order within each chapter and this plus the table title is centred above the table. In similar fashion, figures are labelled and titled but these are placed below the figure itself.

It is advisable to have your thesis typed on a word processor so that re-drafting is facilitated and the final proofing is not so arduous. Be sure to regularly back up your work.

The security of your work is another consideration at the drafting and presentation stage. Many students keep an additional copy (paper and disk) of their work at a place other than their normal work place and update these as their work progresses.

Pagination

Beginning with the first page of Chapter 1, pages are to be numbered consecutively in Arabic numerals. Small Roman numerals should be used for all preceding pages (for specification of these, see below Thesis), with the exception of the title page, which is unnumbered.

Proof reading

Examiners expect that you have done them the courtesy of proof-reading the thesis. Therefore allow yourself adequate time to go through the manuscript word by word, line by line and page by page, ensuring that all typographical and other errors are removed. Use of the spell check will help pick up most typographical errors (except wrong words that are spelled correctly). Many candidates proofread poorly because they do not plan properly and are rushed for time at the end. Do it yourself; then do it with another person; then, if possible, get a third person to proof-read it once more. You will still find errors, but at least most will have been eliminated.

Many examiners check references and quotations to see whether they are accurate. Some examiners can be extremely searching, so be warned. Check these things before your original copy is duplicated.

Appendices

Attachments such as interview schedules, questionnaires, maps or photographs should either be appended at the end of the thesis in clearly labelled Appendices or submitted separately in their own binding.

Binding

You are expected to submit three (3) softbound copies and one (1) unbound copy of a Doctoral thesis and three (3) copies of a Masters Honours thesis (two (2) bound and one (1) unbound) for examination. This is apart from the copies you would normally send to your supervisors. Although there is no cost saving to you there is an environmental as well as a University cost saving if your work is photocopied both sides. We recommend this practice but would advise you to be sure that your margin widths (left hand side for odd page numbers, right hand side for even page numbers) meet the requirement for binding. Documents which do not meet the prescribed standards, which are specified below, will be rejected. Specifically, documents which are bound by being spiralled on their spine are not acceptable.

Soft bound

The following specification, which will be intelligible to your binder, is the minimum acceptable standard:

A sheet of cover stock no less than 230 gsm, front and back; pages knocked level and glued, 'stab bound' (e.g., drilled and hand sewn); a strip of book cloth with approximately 2 cm overlap pasted on the spine, trimmed when dry.

Documents less than 2.5 cm may be stapled instead of being 'stab bound'.

Hard bound

It is advisable not to have your thesis hard bound until the examiners have passed it. The following specification, which will be intelligible to your binder, is the minimum acceptable standard:

Thesis to be sewn, and end papers attached, using 110 gsm white paper. Cover boards no less than 2700ums to be used front and back, then case made with buckram or similar. Lettering should be on the spine in gold and should run from top to bottom with the following information in this order:

- your initials and surname; and
- correct abbreviation of degree title, e.g., PhD, EdD or MEd (Hons), and year of submission.

Please note that once your thesis has been accepted you are required to provide one loose leaf copy, in pristine condition, to the Library.

UNE Printery

You may be interested to know that the University offers an efficient, reasonably priced photocopying and bindery service. If you wish to take advantage of this service then you should send your thesis direct to the Administrative Assistant, Printery, The University of New England, ARMIDALE, 2351. Telephone: (02) 6773 2907 Fax: (02) 6773 3380. You should provide the Printery with the following information:

1. The number of photocopies required.
2. The number of copies to be bound.
3. Whether binding is to be hard cover or soft cover. For hard binding, the preferred colour of the hard binding and the specific lettering to be placed on the spine (your initials and surname, abbreviation of degree title — e.g., MEd (Hons) — and year of submission). For soft binding there are no special requirements.
4. The disbursement of the copies (nominate to whom they are to be sent).

As payment must be received at the time the work is submitted, it would be advisable for you to contact the Printery to receive a quote. If you intend to use the UNE Printery you should plan for your work to arrive at least a fortnight prior to your submission date as the Printery has to take each job in order of arrival.

Length

PhD theses should not exceed 100,000 words without special permission from the Research Doctoral Committee. Masters and Professional Doctorate research will be shorter. While the field of investigation is the important determining factor influencing the length of a thesis, the majority of students tend to produce theses which are too long. Length itself is not a positive quality and may make for greater difficulty in interpretation. If examiners find it difficult to pick out the wood from the trees they will attribute this to your lack of ability rather than their own. Examiners are more likely to be irritated than impressed by verbosity and inordinate length. However, for example, it is suggested that a 48 credit point Masters Honours thesis should be about 40,000–50,000 words. This is a rough guide. It is imperative that you take guidance from your supervisor on the length of your thesis.

Submission

Remember: all awards have specific periods of candidature, which are set out in the letter offering enrolment. Obviously there are provisions for extensions of candidature for those in difficult circumstances. However, it is important that you keep the following in mind:

- (i) the submission of a thesis over the examination and holiday period causes difficulties for staff for obvious reasons. If you wish to graduate at the beginning of the year you must submit the thesis by the end of September in the preceding year;
- (ii) you must re-enrol for each semester in which you are undertaking the thesis, except where the thesis has been submitted prior to the first day of semester in any given year.

It is in your interest to discuss with your supervisor the likely date of submission of the thesis so that examiners can be arranged well in advance. This is normally done through your supervisor. In the case of a Doctoral thesis, Research Services advise that due to difficulty in contacting potential examiners overseas, it is essential that the names of examiners are proposed to the Research Doctoral Committee three months before the thesis is submitted.

Order of presentation

The following indicates the recommended sequence of components of the thesis as presented for examination:

- Certificate of originality;
- Title page;
- Acknowledgments (if any);
- Preface (if any);
- Abstract;
- Table of contents;
- List of tables (if any);
- List of figures (if any);
- List of Acronyms (if any);
- Introduction (if separate from Chapter 1);
- Chapters or presentation in sequence;
- Bibliography;
- Appendix or appendices (if any).

Your supervisor will advise you on the need for a Preface and Introduction as well as other aspects of the presentation of the thesis.

Certificate

On each copy of the thesis you are required to sign the following certificate which must preface the thesis:

I certify that I am the sole author and that the substance of this thesis has not already been submitted for any degree and is not being currently submitted for any other degrees.

I certify that to the best of my knowledge that any help received in preparing this thesis, and all sources used, have been acknowledged in this thesis.

Signature

Title page

The title page must show:

- (i) the title;
- (ii) your full name, together with degrees and university of origin;
- (iii) the following statement —
 - EITHER (where your work is being examined by thesis only);
'A thesis submitted for the degree of (name of the degree) of The University of New England';
 - OR (where your work is being examined by thesis and course work);
'A thesis submitted in partial fulfillment of the requirements of the degree of (name the degree) of The University of New England'.
- (iv) the month and year of submission.

Abstract

The thesis must contain an abstract, or summary, of approximately 300 words. This summary is normally the first text read by the examiner. It is therefore very important in conveying an impression of the thesis and what has been achieved, and should be given a much greater share of time and thought than its size would indicate. It should be simple and direct with no frills. It should state simply and directly the objectives, what was done and the new knowledge contributed.

Right of access

After submitting your thesis you will be sent a Right of Access to Thesis form. This is required by the University Librarian. The form allows the author to restrict access to the thesis for certain purposes/reasons. Upon receiving this form, please complete and return it as soon as possible.

Section 7 — Thesis or Portfolio Examination

On receipt of the research product, the Administrative Officer records the submission in the University's central student database. You are sent an acknowledgment of receipt of the thesis, a Right of Access form (see above) and an Awarding of Degree form. Three external examiners for Doctoral research and two examiners for a Masters thesis (at least one of whom is not a member of staff of The University of New England) will be appointed.

A letter and a copy of the thesis/portfolio is sent to each examiner, together with advice concerning weighting regulations, general regulations (which both depend on your year of entry to the program) and the examiner's recommendation form.

In no circumstances should you be aware of the details of your examiners, at the examination stage. It is required that the principal supervisor and/or Head of School approach a potential examiner, and briefly discuss informally with him or her, whether he or she will have time to examine the research, and whether he or she feels that his or her expertise is appropriate for the examination. You must not attempt to contact an examiner at any time during this stage of your candidature.

It is highly likely, in the case of the Portfolio in the EdD, that at least one of the examiners will be a highly regarded professional in the field. The criteria for examination are:

- Significance of the research problem to the practice of education and the clarity with which it is stated;
- Competence in identifying and reviewing the relevant theoretical and research literature;
- Adequacy of conceptualisation and of the development of research questions/hypotheses;
- Quality of the basic research design: plausibility, parsimony and elegance;
- Appropriateness of identification, collection and analysis of relevant evidence;
- Expertise with which findings are interpreted in terms of theory, implications for practice, and needs for further research;
- Quality and clarity of writing and presentation.

Examiners normally require at least two months to read the thesis and to prepare their reports. When their reports are returned, the Research Doctoral Committee evaluates them. Your research may require some corrections or even alterations. The extent of these is conveyed to you in a letter and you attend to them with the support of your supervisor. You may also be sent a copy of the examiners' reports which may, or may not, be anonymous. Examiners will have been asked to indicate clearly whether or not their names may be revealed to the candidate. The University respects their right to withhold their name, in which case they are referred to simply as 'Examiner A or Examiner B' etc. The Committee formulates a result for the thesis and will recommend to the Academic Board the award of the degree (at the appropriate level if applicable) or it will recommend resubmission or Failure.

The thesis should be submitted no later than the last week in September in the year before you expect to graduate. If you miss graduation you can, however, obtain a letter from the Administrative Officer indicating that you have met the requirements for the degree. Please note that research submitted prior to March 31 or August 31 will not incur HECS charges for that semester. However if you do not submit before the first day of Semester I or Semester II you will need to formally re-enrol in that semester.

What happens when examiners don't agree?

It does happen that examiners do not always agree on their evaluation of a piece of research. The Research Doctoral Committee will initially ask the examiners to consult — in most cases this will lead to a unanimous decision. If it does not, then the Research Doctoral Committee may appoint an independent adjudicator to assess the examiners' reports and to make a recommendation to the Committee.

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Appendix 1: Supervision of Postgraduate Students

1. Guiding Principles for Supervision

To ensure high quality supervision the following principles guide the supervision policy adopted in the Faculty of Education, Health and Professional Studies:

- (a) an openness with respect to all procedures and the roles of individuals within these procedures;
- (b) a collaborative approach to the supervision process in which all candidates will have access to two supervisors;
- (c) an inter-school approach to supervision when the **topic** selected for investigation indicates that such an approach is warranted.

In addition, the Faculty is committed to ensuring that students are provided with every opportunity to complete research programs within the prescribed periods of candidature. These periods are contained within the award rules and are also specified in letters offering enrolment.

2. Admission to Candidature and Early Orientation

Admission to candidature in relation to some Doctoral and all Research Masters students is the responsibility of the Faculty and its Schools. The University, through the Research Services, PhD Studies Office holds the responsibility for PhD students.

2.1 Responsibilities of the Faculty

In order to attract, select and expeditiously enrol appropriately qualified and prepared candidates, and ensure that their candidature is supervised by the most appropriate staff, the Faculty will:

- (a) accurately represent its research interests, experience, facilities and capabilities via School, Faculty and individual web sites.
- (b) ask prospective candidates to provide sufficient information about themselves for initial screening to be carried out consistent with the requirements for admission published in the University *Handbook*. This information should include:
 - details of their past academic achievements, externally examined theses and dissertations, publications, and professional experience;
 - other evidence of their ability to undertake a research higher degree, including competence in English (or the approved language of study and presentation for the degree);
 - suggestions for research topics or topic areas, and a target time for completion of the degree.
- (c) acknowledge receipt of each application, and either process the application promptly, or advise applicants when it will be processed and decisions made;
- (d) forward applications to relevant Schools for perusal and allocation of supervisors;
- (e) be prepared to seek further advice, if necessary, on the applicant's experience and abilities to complete the candidature;
- (f) in consultation with the School, apply clearly defined conditions of probationary candidature if there are any substantial doubts about a candidate's ability to make good progress in the degree. The conditions of probationary candidature will specify the means by which progress will be monitored and reported to both the candidate and the Faculty. At the end of 12 months in the case of full-time candidates and 24 months in the case of part-time candidates, probationary candidature should be either terminated or converted to non-probationary status;
- (g) ensure that all candidates are provided with information about relevant University and Faculty documents, e.g. University's *Policy on Quality and Standards in Research Higher Degrees and Code of Conduct in Research and Research Management Policies*.

2.2 Responsibilities of Schools

Schools will ensure that:

- (a) applications are processed promptly;
- (b) requirements for admission are met and only those candidates who have demonstrated an ability to undertake sustained research consistent with the requirements of the course are accepted;
- (c) the proposed research project is appropriate to the requirements of the relevant award;
- (d) appropriate supervision is available;
- (e) where appropriate, a well qualified member of staff is appointed to act as the candidate's *pro tem* supervisor who will guide the student's progress while undertaking course work.

Responsibility for **Orientation** of new candidates falls on the Faculty and relevant Schools.

2.3 Postgraduate Orientation

At the Faculty level, the Faculty Research & Research Training Committee conducts a compulsory Postgraduate Induction Program (PGIP) in March/April each year. This orientation provides opportunities for new candidates to:

- (a) become familiar with the principles and practice of research via workshops and discussions;
- (b) learn from those students who are progressed in their research;
- (c) begin to network with other postgraduate students, even if they are external to the University;
- (d) meet with their supervisors and begin dialogue about prospective research projects;
- (e) mix socially with staff and existing students; and
- (f) be informed about the support offered by the various facilities such as the Library, computer centres and the postgraduate centre.

To facilitate early contacts, Schools will extend the Faculty's PGIP by involving new and continuing students in School-based induction programs.

3. Supervision

The Faculty of Education, Health and Professional Studies is committed to providing students with the best supervision possible. To ensure best practice:

- (a) the Faculty recognises that positive collaboration between student and supervisor is essential if candidates are to engage in productive research. Consequently students have the right to propose a supervisor (or supervisors) of their choice. Such proposals will normally be supported by the respective Schools, although decisions will be influenced by the existing supervisory loads of prospective supervisors and their plans for study and/or long service leave.

However, it is the ultimate responsibility of the Head of School, in collaboration with School Research Committees **and in consultation with the potential supervisor**, to appoint skilled supervisors whose expertise matches the student's research interests;

- (b) each student will normally be assigned two supervisors (of whom one will be designated principal supervisor), who are skilled and knowledgeable in the general area of the proposed research, and who expect to be available to supervise for the anticipated duration of the research program;
- (c) supervisors will be required to attend a variety of professional development opportunities conducted through Schools to maintain and develop their skills;
- (d) all supervisors will have achieved at least the level of award being sought by the candidate or in other ways have shown that they are competent to supervise at the required level.

In cases where a co-supervisor has not been appointed and in the event of a sole supervisor's absence from the University for one month or more, the School will provide adequate substitute supervision, and inform the candidates of arrangements in advance and invite comment upon them.

In line with these principles, Schools will ensure that:

- (a) in consultation with candidates, and on the basis that the supervisors possess relevant expertise, and are able to provide sufficient time, guidance, and commitment to the research higher degree candidate, two supervisors are normally appointed to each candidate;
- (b) there is some supervisory backup within the School or Faculty;
- (c) the School provides staff development and co-supervision arrangements to assist inexperienced staff;
- (d) staff's supervisory load is taken into account in allocating workloads and Heads of School will ensure that members of staff do not supervise so many candidates that their ability to supervise effectively or to fulfil other academic duties is diminished or impaired;
- (e) a Postgraduate Coordinator is appointed within each School Research Committee.

4. Conduct of Supervisors

It is the responsibility of **all supervisors** to:

- (a) be familiar with the rules governing candidature, and the standards acceptable for the degree;
- (b) be familiar with current research in the disciplinary areas relevant to the topic of the supervised research;
- (c) maintain effective, regular, **at least monthly** contact, if possible with the candidate, by means appropriate to the location of the research, mode of candidature (on-campus or off-campus), experience of the candidate, and local alternative support (e.g. whether or not the candidate belongs to a research group outside the University). Early in the candidature, the supervisors and candidate should negotiate and agree to the means by which contact will be maintained, and the frequency and nature of contact. Supervisors should monitor, by maintaining a log, their adherence to this agreed (but not rigidly inflexible) schedule of contact and ensure that it meets University or Faculty requirements;
- (d) request written work from the candidate in consultation with the other supervisor/s on a pre-arranged, regular and agreed basis and return such work with constructive criticism **within one month** or less as appropriate; comment critically and constructively and in reasonable time on the content and the drafts of the thesis; and recognise that the best supervision requires that research higher degree candidates begin writing early in their candidature;
- (e) provide feedback from such monitoring to the candidate and the other supervisor/s promptly, and advise the candidate of any modifications to the agreed schedule of work that are suggested by the monitoring. The monitoring and feedback should be designed to enable candidate(s) to pace their progress and achieve a quality of research commensurate with successful completion of the degree in an appropriate time;
- (f) ensure that the candidate is **made aware** of inadequate progress or of standards of work below that generally expected, identify the problems in consultation with the candidate and the other supervisor(s) **or an appropriate intermediary such as the Postgraduate Coordinator**, and suggest ways of addressing them;
- (g) ensure that the candidate is adequately trained in safe working practices relevant to the field of research and adheres to the University's Occupational Health and Safety Policy;
- (h) ensure that the candidate **understands and complies with** ethical practices as laid down in University policy and as appropriate to the particular discipline and relevant profession, and as specified by the University's Human Research Ethics Committee and Animal Ethics Committee;
- (i) encourage the candidate to prepare papers for publication or for presentation at conferences during the course of their candidature;
- (j) ensure that agreement is reached between the candidate and the supervisors concerning authorship of publications and acknowledgment of contributions during and after candidature;

- (k) be alert to personal and emotional problems that beset the candidate, without being unduly intrusive, and be acquainted with the **student support services** care available in the University;
- (l) conduct all aspects of supervision in accordance with equal opportunity principles, in an atmosphere free of threat or harassment, and with sensitivity to diversity;
- (m) be prepared to relinquish supervision if, in the opinion of the Head of the responsible School, it would be in the best interests of successful candidature;
- (n) co-operate with the Head of School in finding alternative supervision, and make available to any appointed alternative or additional supervisors all records on supervision of the candidate and of progress in the candidature;
- (o) meet the University's requirements for supervision, namely to hold a research higher degree at least equivalent to that being supervised or otherwise to have demonstrated competency to supervise at that level, and to have demonstrable current involvement in research. If a supervisor has no previous experience of supervision, then co-supervision with an experienced supervisor is required.

It is the particular responsibility of **principal supervisors** to:

- (a) guide the candidate towards effective conduct of the research and candidature, by discussing with the candidate:
 - the nature and standard of research appropriate to the degree;
 - the choice of an appropriate research topic;
 - the time, assistance, funds and material resources available for the research, and means for acquiring these;
 - the planning of an effective program for research, analysis, writing and preparation.
- (b) maintain effective, regular contact with the co-supervisor/s to discuss and monitor the candidate's progress and coordinate communication between the supervisors and the candidate;
- (c) maintain communication with the Head of School, the School's Postgraduate Coordinator and/or Research Committee as appropriate, on all matters relating to the candidate's work and rate of progress;
- (d) report, as required, to the controlling committee on the candidate's progress and on any difficulties encountered in the candidature and supervision. Such reports must be discussed with the candidate and the other supervisor/s before submission;
- (e) make a recommendation concerning candidates' requests for variations of their conditions of candidature (such as change of enrolment status, requests for suspension or extension of candidature, permission to conduct fieldwork, etc) before a submission is made to the relevant controlling committee through the Head of School and/or the School's Postgraduate Coordinator;
- (f) keep records of the candidate's work, accounts of progress, and problems in candidature adequate for another supervisor to take over supervision if necessary;
- (g) comment promptly and constructively on the content and presentation of the final draft of the thesis in consultation with the co-supervisor/s; and, at the time of submission, certify (if in their opinion this is so) that the thesis is properly presented, conforms to Regulations, and is fit for examination;
- (h) advise the candidate, if in their opinion further work seems necessary, against submission of the thesis at this stage, without forbidding the candidate to submit the thesis. If a thesis is submitted against the advice of the principal supervisor, that person is entitled to forward a report to the controlling committee detailing their concerns about the thesis. Such a report will be made available to the candidate but not to the appointed examiners;
- (i) give thought to the suitability and availability of a potential field of examiners at least 3 months before the thesis is submitted, in consultation with the candidate and the co-supervisor/s, and advise the Head of School of the names and credentials of suitable examiners.

It is the particular responsibility of **co-supervisors** to:

- (a) maintain an agreed level of communication with the candidate and the principal supervisor which enables effective supervision;
- (b) provide an agreed level of support for the candidate and principal supervisor through input on the effective conduct of the candidature, such as: the planning of an effective program for research, analysis, writing and thesis preparation; the time, assistance, funds and material resources available for the research, and means for acquiring these; the provision of complementary academic expertise, such as in specialised knowledge of a particular technique or sub-area of study;
- (c) act automatically as the principal supervisor in the event of that person's absence from the University for any reason (except where the co-supervisor is an Honorary Associate of the University and a replacement supervisor must be appointed).

5. Conduct of Candidates

It is the responsibility of the candidate to:

- (a) become familiar with the University's regulations concerning the award for which they are undertaking research, and the standards acceptable for that degree;
- (b) play an informed part in the process of the selection and appointment of the supervisors;
- (c) develop, in consultation with the supervisors, a research plan, a preliminary thesis structure and a timetable for completion of the work by not later than six (6) months (full-time equivalent) after the commencement of candidature or the commencement of the thesis component of the award; this research plan should include specific goals for the research, their timing and sequence, the methodology being applied, and milestones to be achieved against which progress can be measured;
- (d) maintain communication with the supervisors throughout the candidature; discuss with the supervisors, both in the initial stages of research and through an agreed schedule of meetings (or agreed equivalent communication), the topic of research, the methodology and other details of the research program, and the types of help considered most useful. Scheduled meetings (or equivalent communication for off-campus candidates) should take place at least **every month**, with further meetings at more frequent intervals as required by either the candidate or the supervisor/s;
- (e) attend the University in person for those periods specified by the controlling committee at times agreed with the supervisors;
- (f) ensure that all administrative requirements of the University, such as re-enrolling each year, providing annual progress reports, conforming to procedures for variations of conditions of candidature, and conforming to OH & S requirements, are met;
- (g) satisfactorily complete any coursework units or other work additional to the thesis as required by the controlling committee on the recommendation of the supervisors and the Head of School, which may include English language studies;
- (h) take the initiative in raising relevant problems or difficulties with the supervisors, the **Postgraduate Coordinator** or the Head of School, and share responsibility for seeking solutions; candidates should be aware that supervisors cannot anticipate every difficulty that they might encounter, and they should be quick to raise problems (including any of a personal nature which might interfere with research progress) as they occur;
- (i) maintain the progress of the work in accordance with stages agreed with the supervisors, including in particular the presentation of required written material in sufficient time to allow for comments and discussion before proceeding to the next stage; such written materials should include explanations of proposed methodology, literature reviews, and other such working papers early in the candidature as well as draft chapters at later stages, all prepared according to an explicit (though not rigidly inflexible) research plan and timetable agreed at the start of the period of candidature by both the candidate and the supervisors; and attend to revisions and corrections of such written materials as advised by the supervisor/s;
- (j) discuss with the supervisors at regular meetings progress towards, and any impediments to maintaining, the research plan and timetable agreed at the start of the period of candidature;
- (k) provide formal reports at least annually to the relevant controlling committee, at times and in the format prescribed by those committees;
- (l) become familiar with and adopt at all times safe working practices appropriate to the field of research, and adhere to ethical practices appropriate to the discipline, including the avoidance of plagiarism. Candidates must conduct their research in line with the University's Occupational Health and Safety Policy and the requirements, if relevant, of the University's Human Research Ethics Committee and Animal Ethics Committee;
- (m) ensure that original data are recorded in a durable and appropriately referenced form and are stored safely for a period appropriate to the discipline but in any case not less than five (5) years from the date of final thesis submission (for specific types of research such as clinical research, storage up to 15 years is suggested);
- (n) accept responsibility for submitting on time the final copies of the thesis or dissertation, for its content, and for ensuring that it is in accord with the University's requirements for the award being sought; these requirements include the standard of presentation, acknowledgment of all significant assistance received, relevant certification **and future access/readership**;
- (o) accept sole responsibility for the academic quality of the submitted thesis and for its eventual success or failure;
- (p) conform to acceptable standards of behaviour in relation to interaction with fellow students and staff.

6. Reporting Progress

Apart from the regular interchange of information, progress reports and written submissions, all candidates are expected to formally report on their research. These formal reports may take place at the Faculty's Research Day, School Research-in-Progress Seminars, set Residential schools **or at conferences**. It is expected that candidates:

- (a) make at least three presentations in the case of Doctoral candidates and two in the case of Masters candidates based upon their own research, of which one, on the proposed research program, should be during the first year of candidature before substantial collection of data; and, where possible
- (b) participate in seminars, presentations and other events organised by the candidate's School to promote intellectual interaction among research higher degree candidates.

Appendix 2: Literature Review Guidelines

A literature review involves the critical analysis of existing knowledge. It qualifies the researcher as having some expertise in the topic of his/her choice. It helps the researcher to identify what he/she does not know. It assists in identifying gaps in theory and knowledge.

Purpose of a literature review (i.e., how critical is it?)

- To place your research within the context of the general body of knowledge (i.e., where does your research fit in the picture?);
- To build on existing knowledge and to prevent you from reinventing the wheel;
- To bring the reader up-to-date with other research that has been done in the area; in particular, identifying areas of general agreement and disagreement;
- To assist you in:
 - defining your research questions and justifying putting time, energy, resources into your topic. This includes convincing other people of the need to involve them in your study;
 - selecting an appropriate population/sample research group/community.

Scope of the literature review

- Should be based on the expectations of your supervisor and examiners;
- Should be realistic given time constraints;
- Should be reasonable given the resources available;
- Stop when you have satisfied yourself that you have brought the reader up-to-date with previous, relevant research in the area; and addressed all the areas in which you need assistance e.g., question identification, sample selection, research design etc;
- The review of literature should only focus upon those studies that have direct relevance to the present study and include up-to-date references;
- Should be a succinct summation of references to recent work rather than a litany of previous research;
- The comprehensive bibliographic function can best be served by a bibliography at the end of the report i.e., in addition to your list of references.

Sources of information

- **Texts/books** — a good place to begin. Look for theories, previous relevant research (3 to 10 years as a crude guide) and professional guidelines (which have been peer reviewed);
- **Journal articles** — put considerable energy into chasing up relevant journal articles. Look for research that supports/contradicts theories, raises questions, what's happening now, areas for further research, methodology, discussion, limitations; Question what you read!
- **Published reports** — whether these are in the area of government policy or are focused on particular departments and authorities, look for external issues impacting on the problem, recent findings, clinical practice issues;
- **Other** — Australian Bureau of Statistics data bulletins etc, unpublished reports;
- **Other theses** — Much innovative thinking is contained in theses which really represent some of the most recent primary research in a particular area — so learn from them. Such reviews will also ensure that you are really examining your topic from a fresh and original point of view;
- **What to look for?**
 - Research question development;
 - Unexpected findings;
 - Populations that have not been studied;
 - Characteristics which have been studied;
 - Suggestions for future research;
 - Factors impacting on the problem;
 - A theory that explains the problem you are intending to explore;
 - Conflicting theories.

Practical hints

- When to call a halt to your initial literature review:
 - Time constraints;
 - The generation of many reasonable questions.

- **When do you know you have a researchable question:**
 - 'So-what' test each question: i.e., is it worth doing?
 - Will the information generated make a difference?
 - How will it benefit those being researched, other academics, etc?
 - What will be the implications for the participants and other researchers?
 - Which questions are in greater need of answers?
 - Can I research this question in the time available?
 - Do I have the resources (\$, expertise) to research this question adequately?
 - Who will be the people with whom I will have to consult to gain the information I need?
 - Do I have a good way of gathering information to describe differences in concepts and characteristics?
 - How will I get from my question to the answer?
 - Am I really fired up about this question?

- **When you have a researchable question you will be able to:**
 - Develop a suitable research design and justify it;
 - Identify useful approaches to analysing and reporting your data;
 - Discuss your results;
 - Draw conclusions;
 - Discuss the limitations of your methodology;
 - Recommend changes in practice and/or areas for further research.

Appendix 3: Policy for Postgraduate Student Office Accommodation and Equipment¹

Please note: These standards are constantly being revised. What follows are standards which were part of UNE Research Policy as of 22/03/04. Please consult the Research Services website for updates.

Principles

- 1.1. This policy applies to all academic units (Faculties, Schools, Centres and Institutes) and is the minimum standard to be applied.
- 1.2. The provision of minimum facilities for postgraduate research students is intended to provide a high quality and productive education environment with the greatest opportunity for quality outcomes and experience.
- 1.3. Areas that are unable to comply with the provision of the minimum standards in full are required to annually document what additional provision needs to be available or what actions are being taken to comply with the policy. This documentation is to be collected as part of an audit process administered by the Research Committee of the Academic Board and will be included in the budgetary process for the provision of funds to address the needs. This process will be considered as part of UNE's Quality Assurance and Risk Management processes.
- 1.4. All new students and supervisors will be provided with a copy of the policy. The document will be included in the induction package for new students. The policy can also be accessed electronically from: <http://www.une.edu.au/rmo/policies/res/minstandards.pdf>
- 1.5. Where additional resources/facilities above the minimum are available within an academic unit or particular discipline area, students are to be supplied with written information detailing policies regarding access to and the distribution of such funds/facilities.

¹ includes PhD; Professional Doctorates with research component of not less than two-thirds (66%); and Research Masters with research component of not less than two-thirds (66%)

- 1.6. Part time and/or off-campus students must be provided with suitable work facilities when on campus, and appropriate access to research funds, on a pro rata basis.
- 1.7. The facilities provided and the conduct of the program must comply with the University's policies on Occupational Health and Safety and Equal Employment Opportunity.

Minimum facilities

Workspace

- 2.1. Appropriate on-campus workspace is to be available on an individual basis for PhD students wherever possible. The maximum number of PhD, Professional Doctorate or Research Masters students to share an office is two, unless space arrangements can comfortably accommodate more than two².
- 2.2. Laboratory access, individual bench space and access to relevant equipment in laboratory-based disciplines is to be provided where necessary to the research project.
- 2.3. 24 hour access to the relevant building(s)/room(s) with own keys.

Office Equipment

All offices occupied by full-time on-campus postgraduate research students³ are to be equipped with:

- 2.4. One desk and an ergonomically appropriate chair per student.
- 2.5. One telephone with voicemail or answering machine per office. Free local access will be permitted on phones.
- 2.6. One computer per student adequate for accessing:
 - World Wide Web⁴;
 - an e-mail account;
 - UNE supported word processing software, e.g. currently licensed version of Word;
 - a relevant statistics package, capacity to process languages other than English, or other commonly related research software, if required; and
 - access to ITS support.
- 2.7. Photocopier and printer access at School/Centre/Institute level with the minimum level as prescribed by the Faculty Research & Research Training Committee.
- 2.8. Controlled fax access as determined by the Head of School or Director of a Research Centre/Institute.
- 2.9. Telephone and computer data connection points.
- 2.10. A minimum of 2 linear metres of bookshelf per student.
- 2.11. One lockable filing cabinet (minimum 2 drawers) per student. A key for the filing cabinet is to be held by the student and a spare held securely by the School's Administrative Assistant.
- 2.12. Access to School stationery, such as University letterheads, where necessary for research-related purposes.
- 2.13. Mail box, an on-campus mailing address and mail out facilities.
- 2.14. Access to a tearoom and washroom.

Library

- 2.15. Core library holdings or electronic access to support the research topic should be held in the University Library and/or School/Centre/Institute.
- 2.16. Free document delivery/inter-library loans within defined written limits set by the School/Centre/Institute and authorised by the principal supervisor, taking into account the research projects and disciplines. A copy of the School/Centre/Policy is to be provided to the student on commencement.

² Each School will reserve at least one-fully equipped workstation, as specified above, for externally enrolled postgraduate research students visiting the campus. Alternatively, the School will ensure that adequate space is reserved for such students in appropriate venues such as the Postgraduate Centre or the Computer Lab

³ These minimum standards should be appropriately adhered to for part-time internal postgraduates, but on a timeshared basis or by other arrangements, as arranged by the School/Centre/Institute

⁴ "Internet usage by staff and research students will be rationed by charging cost centres 13 cents per MB downloaded by staff and research students. ITD will provide detailed information to cost centre Heads on usage by individual users" (from ITD Policy on Charging for Internet Services, <http://www.une.edu.au/rmo/policies/it/ChargingInternetServices.htm>).

Grant Funding

- 2.17. A minimum of \$500 per annum for each full-time student (pro rata for a part-time student) is to be available for a variety of research-related expenses, e.g. fieldwork, conferences, additional library services, photocopying in excess of the prescribed Faculty standard (Item 2.7 above), thesis preparation, or any other expense which may be substantiated as a legitimate research or research-related cost.
- 2.18. The student research grant is to be held by the School in an account for postgraduate research students. Approval for expenditure is by endorsement by Principal Supervisor and Head of School. Unexpended funds are not available to be carried forward without the written approval of the Head of School and only for a specific research-related purpose, where the accumulation of funds would enable access to activities or facilities that would not otherwise be possible without the carry-forward.

Student Resources and Induction

- 2.19. A School-based awareness programme is to be provided for all postgraduate research students. The awareness programme will advise students, in an orientation and in writing, of the relevant School policies, practices and procedures concerning the conduct of research and a research degree. The orientation/induction can be self-guided, on-line. Participation in such a programme is mandatory for all students within the first 6 months of commencement of candidature in the interests of quality and safety.
- 2.20. Postgraduate student representation is available on all relevant School and Faculty policy-making bodies.
- 2.21. Students are to be provided with copies of *Quality Supervision: A Handbook for Postgraduate Research Students and Supervisors* ("gold book") and other appropriate documents covering intellectual property, University ethics procedures, etc. by the School upon commencement of candidature. The latest version of this document is accessible at http://www.une.edu.au/research-services/pg_res_handbook.pdf
- 2.22. Upon enrolment, students are to be advised of the University dispute resolution procedures, as contained in the Quality and Standards in Research Higher Degrees and Code of Conduct ("gold book"), which is provided upon enrolment. The latest version of this document is accessible at <http://www.une.edu.au/rmo/policies/res/goldbook.pdf>.
- 2.23. Upon commencement of candidature, the School is to provide the student with the name and contact details of the nominated staff member of that School with the overall responsibility for postgraduate research students.
- 2.24. Upon commencement of candidature, the School is to provide the student with details of the School's Research Committee, including role and function and contact details of the postgraduate student representative on that Committee.

3. Reporting

- 3.1 Each Head of School/Centre/Institute with current postgraduate students will report annually to the Academic Board's Research Committee regarding compliance with this policy.
- 3.2 Where there is any area where the School/Centre/Institute is not complying then the report will include:
 - i) A description of the areas of non-compliance and a strategy and timeframe developed to address the areas of non-compliance;
 - ii) Any request for support required to bring the School to compliance with the policy; and
 - iii) Where compliance cannot be achieved, e.g. due to physical constraints, any request for exemption from compliance with specific provisions.

4. Complaint Handling Process

- 4.1 Any complaint about the facilities being provided for postgraduate students in a particular case shall be addressed, in the first instance, to the Head of the relevant School/Centre/Institute and, if unresolved, should be forwarded to the Dean of the relevant Faculty who will make the final determination.

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