

The University of New England

**Quality in
Research Higher Degrees**

A Handbook for Higher Degree Research

Students and Supervisors

2007 Edition

Disclaimer: All information contained in this booklet was correct at the time of publication.

FOREWORD

This publication has been compiled particularly to aid students engaged in higher degree research programs (doctorates and research masters of greater than 66% research component) and their supervisors. One of its principal objectives is to ensure that both these parties receive optimal support throughout the course of the candidature in a research environment that results in top quality research and learning.

Popularly called 'the Gold Book', it was first developed at UNE in 1994 as part of the University's commitment to quality assurance. An integral part of this commitment is maintaining high standards in dealing with higher degree research (HDR) training and ensuring that the final outcomes of candidature are highly satisfactory for all concerned.

The University of New England (UNE) recognises the significant contribution that HDR students and their supervisors make in ensuring and maintaining a vibrant academic, research-led community. It also recognises that information on policies, practices and procedures that uphold quality HDR training and management must be accessible to and easily understood by students and supervisors. The Gold Book is designed specifically with these latter concerns in mind.

Importantly, the Gold Book has been created to help research students and their supervisors develop a successful and rewarding research relationship, to point to ways of identifying and resolving any problems that might arise during candidature, and to provide a framework that facilitates timely and successful completion of the thesis.

In the end, it is a high standard of excellence in learning, research and supervision that the University aims to achieve. We hope that the information provided here will help to achieve these aims.



Professor Kay Harman
Dean of Graduate Studies
September 2007

ABBREVIATIONS

AEC	Animal Ethics Committee
APA	Australian Postgraduate Award
ARC	Australian Research Council
AVCC	Australian Vice-Chancellors' Committee (reorganised and renamed Universities Australia in 2007)
AQF	Australian Qualifications Framework
DEST	Commonwealth Department of Education, Science and Training
DHSM	Doctor of Health Service Management
EdD	Doctor of Education
HDR	Higher Degree Research – HDR degrees include postgraduate degrees with a research component of >66%, e.g. PhD, EdD, DHSM, Masters (Research)
HDRC	Higher Degree Research (HDR) Committee (formerly Doctoral Committee)
HECS	Higher Education Contribution Scheme
HoS	Head of School
HREC	Human Research Ethics Committee
IP	Intellectual Property
IPRS	Endeavour International Postgraduate Research Scholarship
NHMRC	National Health & Medical Research Council
PhD	Doctor of Philosophy
RAO	Responsible Academic Officer
UNE	The University of New England
UNERA	The University of New England Postgraduate Research Assistanceship scholarship

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1.0 INTRODUCTION

1.1 What the Gold Book Offers

Offered here is important information from ‘woe to go’ during HDR candidature on such matters as programs available, induction processes, support services available, policies guiding HDR candidature and resources that are available. Further, it outlines clearly the specific responsibilities of both students and supervisors and offers information on thesis or portfolio presentation and examination procedures.

1.2 Sources of Information in the Gold Book

The information provided is aligned largely with the *Australian Code for the Responsible Conduct of Research* (Australian Government, National Health and Medical Research Council, Australian Research Council and Universities Australia, 2007), the *UNE Code of Conduct for Research* (see Appendix B) and the *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students* (The National Code, DEST 2007). The *Australian Code for the Responsible Conduct of Research* now provides the key basis upon which the University draws its practice in all areas of research.

1.3 Location of Relevant Information

1.3.1 All policies, forms and rules relevant to HDR candidature are accessible on the Research Services website: <http://www.une.edu.au/research-services/forms/>. In addition, the current *UNE Handbook* contains all the rules and other matters pertaining to HDR awards and these can be accessed at <http://www.une.edu.au/studentcentre/handbook/>.

1.3.2 Students and supervisors should become familiar with:

- the *Australian Code for the Responsible Conduct of Research* (2007) at (<http://www.nhmrc.gov.au/publications/synopses/files/r39.pdf>)
- the *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students* (The National Code 2007) which outlines benefits and assistance available for students as well as requirements for entry to HDR programs (http://www.dest.gov.au/sectors/international_education/publications_resources/other_publications_resources/esos_national_code/)
- the *UNE Policy on English Language Requirements for Admission* (<http://www.une.edu.au/imp/apply/englishreq.php>)
- the current *UNE Handbook* which contains all courses, rules and policies governing HDR candidature (<http://www.une.edu.au/studentcentre/handbook/>)
- the Council of Deans and Directors of Graduate Studies (DDoGS) website which contains valuable downloadable documents on important HDR issues (<http://www.ddogs.edu.au/cgi-bin/index.pl>)

1.3.3 Other resources available to HDR students are materials that are provided by Schools or Faculties at induction sessions (on campus or on-line) or postgraduate conferences. Research and postgraduate support guides are also available in Faculties for student reference.

1.4 Important Higher Degree Research Committees

- 1.4.1 The HDR Committee, a committee of the Academic Board and chaired by the Dean of Graduate Studies, oversees administration of HDR programs and research training and provides advice to the Academic Board on all HDR policy matters. It also liaises closely with the Academic Board Research Committee on all policy matters. Both these committees report to the Academic Board.
- 1.4.2 The Academic Board is the principal decision making body of the University on academic matters. It is responsible for developing and coordinating the work of the Faculties and other academic units, encouraging high quality scholarship and research, and advising the Vice-Chancellor and Council on matters of teaching, scholarship and research within the University.

1.5 Position of the Dean of Graduate Studies

- 1.5.1 The person responsible for overall HDR training and management is the Dean of Graduate Studies (DoGS) within the Office of the Deputy Vice-Chancellor (Research). The DoGS has a special responsibility to provide *support and guidance to research students and supervisors when required*. The DoGS' office is located in Research Services on the top floor of the Lamble building (email: dogs@une.edu.au; phone: 02 67 73 5099).

2.0 GETTING STARTED: HIGHER DEGREE RESEARCH PROGRAMS AND THEIR ADMISSION REQUIREMENTS

2.1 Doctoral Degrees

- 2.1.1 HECS fee exemptions are available to eligible (non-fee paying domestic) students enrolled in the PhD and other doctoral awards that comprise greater than a 66% research component.
- 2.1.2 Doctoral degrees provide supervised training and education, producing graduates with the capacity to conduct research independently at a high level of originality and quality. By the end of candidature students ought to be capable of independently conceiving, designing and carrying to completion a research program or project. The research should uncover new knowledge either by the discovery of new facts, the formulation of theories, the development of new interpretive arguments/frameworks, innovative critical analysis, and/or the innovative re-interpretation of known data and established ideas.
- 2.1.3 The thesis of the doctoral award should be well written and reveal an independence of thought and approach, a deep knowledge of the field of study and make a substantive original contribution to knowledge.

2.2 Research Masters Degrees

- 2.2.1 A Masters Research Degree is a supervised research degree with a minimum research content, usually by thesis, of 66%. Any Masters degree that has less than 66% research component is classified as a coursework Masters. Listings of research and coursework masters degrees can be found in Appendix A.

- 2.2.2 Details of course information are available from Faculty web pages (<http://www.une.edu.au/about/faculties/>) or from the Student Centre (02 6773 4444).
- 2.2.3 HECS fee exemptions may be available to eligible students enrolled in Masters Research degrees. To date all UNE masters research students have received a HECS exemption. Enquiries regarding HECS should be directed to either the HECS Officer (02 6773 3048) or Research Services (02 6773 2398).
- 2.2.4 A research masters thesis should exhibit a thorough understanding of the field investigated, display competence in the chosen field through judicious selection and application of methods to yield fruitful results, demonstrate the capacity to evaluate these results and to present well written work.
- 2.2.5 Masters Research students are eligible to apply for postgraduate scholarships (see Section 9.1).

2.3 Upgrading from a Masters Research Degree to a Doctoral Degree

Note: The process described below highlights upgrading in terms of a PhD. Other higher research degrees generally follow the same path. For non-PhD degrees students will need to check with Research Services the exact requirements for these courses.

- 2.3.1 A masters research degree student may apply for admission to the PhD degree. Rule 2.3.3 in the PhD rules is particularly pertinent (<http://www.une.edu.au/policies/pdf/phdrules/pdf>)
- 2.3.2 To consider eligibility for an upgrade, the HDR Committee will wish to see explicit evidence of refereed research publications by the student or reviews of at least two thesis chapters. The reviews will be carried out by two reviewers, one who may be internal and one who must be external to the University. Reviewers should not have had any direct involvement with the student's research project.
- 2.3.3 The reviewers are required to report on two key questions:
 - i) Does the student exhibit sufficient ability to develop the research to the level required; and
 - ii) Does the research project exhibit the necessary characteristics for development into a HDR thesis?
- 2.3.4 Inquiries regarding upgrading from a Masters Research degree to a PhD, EdD, DHSM or other higher degree by research should be made to Research Services on (02) 6773 2398.

2.4 PhD – 3 Year Program

- 2.4.1 This is the standard pathway to a PhD for students with the necessary research qualifications. The PhD should be completed within 3 years full-time or 6 years part-time. The rules for the PhD program can be accessed on <http://www.une.edu.au/policies/pdf/phdrules.pdf>
- 2.4.2 If a candidate's Principal Supervisor or the relevant Head of School submits a report of unsatisfactory progress to the Committee, or if the candidate fails to satisfactorily complete prescribed work, the Committee shall invite the

candidate in writing to 'show cause' why the candidature should not be terminated. If the candidate does not respond to the invitation by 20 working days of receiving the invitation or the candidate's response is deemed unsatisfactory by the Committee, the Committee shall terminate the candidature.

2.5 PhD – 4 Year Program (first year is a Foundation Year)

- 2.5.1 The Four-Year PhD Program is only available to international students. Such students will be required to demonstrate their capacity to pay full tuition fees for the period of candidature.
- 2.5.2 The four-year PhD program involves completing a Doctoral Foundation year which will provide additional preparation before progressing to the three-year PhD program. Details of what this year involves can be found in Rule 2.3.4 of the PhD rules.
- 2.5.3 The Foundation Year takes one year full-time, or 2 years part-time.
- 2.5.4 To progress to the 3 year program, the minimum level of pass by the candidate in any unit during the Doctoral Foundation Year shall be Credit. The minimum level of pass in the research component of the Doctoral Foundation year is a Distinction. The average of all components undertaken in the Doctoral Foundation year must be a minimum of Distinction.
- 2.5.5 If a student does not meet the minimum level required for 3 year entry, they may be eligible for a Graduate Diploma or a Graduate Certificate.
- 2.5.6 If a candidate's Principal Supervisor or the relevant Head of School submits a report of unsatisfactory progress to the Committee, or if the candidate fails to satisfactorily complete prescribed coursework, the Committee shall invite the candidate to 'show cause' why the candidature should not be terminated. If the candidate does not respond to the invitation by the stated date or the candidate's response is deemed unsatisfactory by the Committee, the Committee shall terminate the candidature (PhD Rule 4).
- 2.5.7 Generally, students in the Foundation Year are ineligible for postgraduate scholarships. Once a student has successfully completed the Foundation Year they may apply for postgraduate scholarships (see Section 10.1 for further information).
- 2.5.8 The rules and processes for other HDR degrees are similar to those for the PhD.

2.6 Admission Requirements for International Students

- 2.6.1 Overseas students ought to ensure that their proficiency in English is sufficient for entry. The rules governing admission requirements are in the *UNE Handbook* (<http://www.une.edu.au/studentcentre/handbook/>) and the *UNE Policy on English Language Requirements for Admission*.
- 2.6.2 All applications are assessed under the Australian Qualifications Framework (AQF) and the *UNE Policy on English Language Requirements for Admission*.

- 2.6.3 Admission requirements for entry into the University's HDR programs must comply with the *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students* (The National Code, DEST 2007)

2.7 Probationary Candidature

- 2.7.1 In some cases, an offer of admission to PhD candidature is probationary for a period not normally exceeding 12 months. This may occur where an applicant does not satisfy the requirements for three year entry but provides a strong and substantiated case from the Head of School supplying evidence of the applicant's level of research experience, exhibited in concrete research outputs.
- 2.7.2 Before completion of the probationary period, the Committee shall seek a Confirmation of Candidature report from the Confirmation of Candidature Panel as to how the candidature should proceed (see Section 4.4).
- 2.7.3 Probationary candidature allows the progress of the candidate to be reviewed on a regular basis during the probationary period. After the period expires, the Committee can either confirm the candidate's status, or terminate the candidature. Before the latter step is taken, the candidate concerned would be given an opportunity to 'show cause' why this should not be done.

3.0 COMMENCING STUDENTS: RESPONSIBILITIES OF STUDENTS AND SUPERVISORS

3.1 First Contact

- 3.1.1 Prospective students can source information from the UNE School web pages. An application form can be obtained from the Research Services web page (<http://www.une.edu.au/research-services/forms/>). Details on the application process can be obtained by contacting the staff in Research Services (phone: 02 67 73 2398).
- 3.1.2 A student who wishes to accept an offer of candidature from the University must notify the University of their acceptance and enrol, following the instructions in the letter and attached information package.
- 3.1.3 The next action for a student is to make contact with their nominated Principal Supervisor and go through the "Student/Supervisor Checklist" (Appendix D) and complete the "Agreement Between Postgraduate Research Student and Supervisors" (Appendix F). The student and supervisor need to sign the forms and each should keep a copy. The originals should be forwarded to Research Services *within 6 weeks of commencement of candidature*.

3.2 Student/Supervisor – Record of Meetings

- 3.2.1 Once a student commences candidature it is important that both the student and supervisor keep to the contact arrangements agreed upon in the original meeting. If change to the arrangement occurs a record should be kept. Both the student and supervisor should have a copy of the same information. The same should occur in relation to notes being kept of any other matters of relevance discussed at a student / supervisor meeting.

3.3 Orientation and Induction

- 3.2.1 Faculties and schools offer induction programs for students. Compulsory online training modules for newly enrolled HDR students will also be offered by the University.
- 3.2.2 In addition, postgrads@une offer induction sessions twice a year, usually in March and October.

3.4 Students with English as a Second Language

- 3.4.1 If English is a second language for a research student this may cause some difficulties, especially at the commencement of candidature. If students are experiencing difficulties these should be discussed between the student and Principal Supervisor, to explore available sources of support.
- 3.4.2 One resource is International Marketing and Pathways (IMP) and English Language and International Services (ELIS, see Section 10.5). Structured programs are available to assist student' proficiency in English. Other assistance can be obtained through the Academic Skills Office or the Dixson Library.
- 3.4.3 Contacts for a range of support services are provided in Appendix E.

4.0 STUDENTS' ROLES AND RESPONSIBILITIES DURING CANDIDATURE

4.1 General Responsibilities

- 4.1.1 Students have responsibilities. When the enrolment form is signed, they are signing an agreement to be bound by the rules, regulations and policies of the University. They need to become familiar with the University's regulations concerning the award for which they are undertaking research, and the standards acceptable for that degree.
- 4.1.2 The following are some of the regular items for which students are responsible:
 - checking their UNE email accounts frequently (the University has developed a UNE email account for every HDR student);
 - notifying Research Services of any change in contact details. Failure to notify where they can be contacted means that the University is unable to keep in contact; and
 - being responsive when sending in progress report forms and re-enrolment forms. Those students, who do not send the required information will have their candidature terminated. This will require students to make a re-application for admission and pay a late enrolment administration fee (currently \$100).
- 4.1.3 Students should also conform to acceptable standards of behaviour and respect the rights and responsibilities of all University employees and fellow students. Candidates should:
 - accede to reasonable requests by their supervisors and senior academic staff with respect to the conduct of their research, the scheduling of

meetings with their supervisors, the provision of written reports and the scheduling of seminars;

- accede to reasonable requests by academic and technical staff;
- comply with the University's Occupational Health and Safety Policy and the requirements, if relevant, of the University's Human Research Ethics Committee and the Animal Ethics Committee;
- use University equipment only as directed by suitably qualified technical staff; and
- co-operate with fellow students in the use of University facilities.

4.2 Specific Responsibilities

4.2.1 Once students have enrolled, they must contact their nominated Principal Supervisor and arrange a suitable time to discuss the formal induction and Confirmation of Candidature processes in their School. Supervisors will be required to sign off when the student has undergone the process. For details of Confirmation of Candidature, see Section 4.4.

4.2.2 Students are also required to:

- 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;
- ensure that all administrative requirements of the University, such as re-enrolling each year, providing six monthly progress reports, and conforming to procedures for variations of conditions of candidature, are met;
- attend the University in person for those periods specified by the controlling committee or at times agreed with the supervisors;
- complete satisfactorily 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;
- take initiative in raising problems or difficulties with the supervisors or the Head of School, and share responsibility for seeking solutions. Supervisors cannot anticipate every difficulty that candidates might encounter, and they should be quick to raise problems (including any of a personal nature which might interfere with research progress);
- maintain the progress of the work in accordance with stages agreed with the supervisors, including the presentation of required written material in sufficient time to allow for comments and discussion before proceeding to the next stage. This may include explanations of proposed methodology, literature reviews, and other such working papers early in the candidature as well as draft chapters at later stages, and attend to revisions and corrections of such written materials as advised by the supervisor/s;
- 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;
- conduct their research in line with the University's Occupational Health and Safety Policy and the requirements, and, if relevant, with the

University's Human Research Ethics Committee and Animal Ethics Committee;

- avoidance plagiarism at all costs;
- 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 up to 15 years is suggested);
- 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. These include the standard of presentation, acknowledgment of all significant assistance received, and relevant certification; and
- accept sole responsibility for the academic quality of the submitted thesis and for its eventual success or failure.

4.3 Specific Responsibilities of International Students

What follows are responsibilities outlined in the *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2007* (<http://aei.dest.gov.au/AEI/ESOS/NationalCodeOfPractice2007/default.htm>). The *National Code* is a set of nationally consistent standards that registered providers now use to protect overseas students and delivery of their courses during their candidature.

- 4.3.1 After they are enrolled, students need to have a signed, written agreement between the University and the student that includes course, conditions of enrolment, money payable and refund conditions.
- 4.3.2 Students must notify the University of any change of address while enrolled.
- 4.3.3 Students need to be aware of the support services offered by the University and policies and procedures that would assist them in case of any unforeseen or difficult circumstances arising during candidature (see Appendix E).
- 4.3.4 Students need to ensure that they are familiar with the appropriate complaints and appeals processes, and independent bodies and/or an external mediator available to help them if necessary. Where notification of intent to suspend or cancel candidature is made by the University, the student has only 20 working days to access the internal appeals and complaints process.
- 4.3.5 Students need to be aware that the University will only extend students' candidature in exceptional circumstances (see Sections 7.1 and 7.2).
- 4.3.6 Students need to be aware too, that extending, suspending or terminating their candidature is likely to affect their visa conditions.
- 4.3.7 Where students are not making satisfactory progress, they will be advised in writing by their Supervisor or Course Coordinator that they are 'at risk' and will be counselled to undergo specific requirements to address the problem/s identified.

4.4 Confirmation of Candidature

- 4.4.1 The University requires all doctoral students commencing candidature from 1 January 2007 to undertake Confirmation of Candidature. For doctoral

programs of three years duration, progress will be assessed 6 months after enrolment for full-time students and 12 months after enrolment for part-time students. For students in four year programs, assessment will be carried out 12 months after enrolment for full-time students and at the 24 month period for part-time students after work on their thesis or portfolio has begun. The policy with accompanying documents can be readily accessed from <http://www.une.edu.au/research-services/forms/>

4.4.2 In order for candidature to be confirmed the following tasks or milestones must normally be met by candidates. Candidates are required to have:

1. a detailed research proposal presented and formally approved by the Principal Supervisor within the first 6 months of candidature for full-time students and within the first 12 months for part-time students;
2. completed a first-stage literature review or an annotated bibliography if not included in proposal;
3. applied for ethics approval where relevant;
4. passed safety course where required;
5. completed successfully any required coursework units;
6. completed other approved development activities needed – e.g. statistics, academic writing, courses in intellectual property and electronic literacy including use of electronic databases; and
7. presented their progress to date at an interview with the Confirmation Panel (an interview in the absence of the Principal Supervisor will also be available to students).

4.4.3 A Confirmation Panel will be set up for each candidate comprising the Principal Supervisor, Head of School or nominee, and the Chair of the Faculty Research and Research Training Committee who will act as Chair. A report from this Panel recommending whether or not the student's candidature is to be confirmed, will be forwarded to the relevant Executive Dean, the student and the Dean of Graduate Studies. Where unfavourable reports are received, the student may wish to activate the appeals process in the policy.

4.4.4 Research masters students will soon be required to go through a similar formal confirmation process. However, before the policy is implemented, they will be required to present a seminar on their research, which is most often made during the first year of candidature in the case of fulltime students, or in the second year in the case of part-time students.

4.5 Progress Reporting

4.5.1 Schools formally monitor the progress of their students. This occurs every 6 months of candidature. This formal process does not mean that students and supervisors should not otherwise be in regular contact or wait until the report is prepared before raising issues with each other.

4.5.2 The progress reports, which are accessible online, provide an opportunity to record progress and any concerns that affect or impede submission of a completed thesis by the required date. These reports are signed off by the Dean of Graduate Studies who contacts supervisors if problems that require immediate resolution are indicated on the report. Supervisors are required to indicate what intervention strategies have been put in place. Completed reports are kept on the relevant student file.

- 4.5.3 Submitting regular progress reports is a requirement of the University and doing so must be taken seriously. The reports will be referred to when applications for extensions or suspensions are submitted.
- 4.5.4 Within six months of submission, students are sent a 'Submission Date Drawing Near' letter from the Dean of Graduate Studies to express the hope that good progress is being made on thesis writing and that they will be able to submit their thesis for examination by the due date. The letter also requests that students inform Research Services immediately if unforeseen circumstances will prevent a timely completion.
- 4.5.5 Lack of progress has specific consequences. If the HDR Committee receives a report from the Principal Supervisor, who, following consultation with Co-supervisor(s) and the Head of School, recommends that the student's work is unsatisfactory, the Committee may resolve that the student be invited to 'show cause' why their candidature should not be terminated. In cases of dispute between any supervisor and a candidate, due consideration will be given to the views of both parties. Specific instances of this situation for doctoral students are provided in the PhD rules (Rule 4 (v)). For students in doctoral programs, the recommendation from the Principal Supervisor may incorporate the suggestion that the candidate be admitted to candidature in an appropriate masters degree.

4.6 Enrolment in Coursework Units

- 4.6.1 If their supervisors agree, students may attend, at no cost, informal lectures or tuition in an advanced unit (or units) of coursework, usually in the first year of PhD candidature. Permission of the coordinator of the unit concerned, agreement of the Head of the School concerned, and agreement of the HDR Committee are required.
- 4.6.2 Sometimes, as in the case of 4-year PhD candidates or the EdD Qualifying program, formal enrolment in an advanced level unit or units is required. There are currently two ways of doing this:
- (i) Where a unit is part of the conditions of PhD candidature, the candidate undertakes to complete the assessment requirements of the unit. Failure in a unit or units may lead to unsatisfactory progress, whereby the student may subsequently have to 'show cause' why candidature should not be terminated.
 - (ii) The candidate may enrol in the unit (or units) as "non-degree" courses. A supplementary fee set by the University might need to be paid. After examination, the unit (or units) are recorded as non-degree units on the candidate's academic record.
- 4.6.3 Students must ensure that any formal enrolment is agreed between themselves and their supervisors. A letter must be forwarded to the HDR Committee, including the written agreements of the Principal Supervisor and Head of School. ***The letter must state whether the units will be part of the conditions of candidature.*** Students must also complete an enrolment form with all unit details as required.

4.7 Studying Another Degree Concurrently with a Research Degree

- 4.7.1 Generally approval will not be given for a student to enrol concurrently in another degree during their HDR candidature. This applies equally to concurrent degrees either at UNE or another institution.
- 4.7.2 There have been rare exceptions to the rule. Should a person wish to make a case for concurrent enrolment, a written application to the Head of School (in the case of Research Masters students) or the HDR Committee (in the case of all other higher research degrees) is required.
- 4.7.3 If a student considers they have a valid reason for concurrent enrolment, the appropriate first step is to discuss the matter with the Course Co-ordinator in the School or the Research Degrees & Scholarships Officer in the Research Services Office (phone: 02 6773 3745).

4.8 Studying as an Internal Student

- 4.8.1 Internal students have direct access many support services and information. Appended to this document are the policy outlining Minimum Facilities Appendix C) and Support Services (Appendix E).
- 4.8.2 Some Schools have compulsory attendance requirements at meetings or training sessions. In other cases these may be discretionary. Students should discuss these matters with their Principal Supervisor as part of their orientation.

4.9 Studying as an External Student

- 4.9.1 Studying as an external student has its own challenges, notably the distance between a student and their supervisors. There are pressures on time and inevitable pressures on family and relationships when studying from home. The Internet, phone and e-mail help to keep students in regular contact with their supervisors. It is the responsibility of students to maintain regular contact with the University.
- 4.9.2 Requirements to attend residential schools vary between courses and schools. It is the responsibility of students to check if units have compulsory or mandatory requirements to attend a residential school. In the laboratory-based sciences, students must attend a compulsory training course before they are permitted to enter a laboratory. PhD students are free to negotiate appropriate periods of attendance with their supervisors.
- 4.9.3 Conditions of Candidature under Part V of the PhD rules state that PhD students are required to spend periods of face-to-face consultation with their supervisors for **a minimum of 54 days** during the period of their candidature (<http://www.une.edu.au/policies/pdf/phdrules.pdf>).

4.10 Change of Mode/Status of Study

- 4.10.1 During candidature it is possible for students to change their mode/status of study. This relates to:
 - (a) changing from internal to external candidature or vice versa, or
 - (b) changing from full-time candidature to part-time, or vice versa.

- 4.10.2 After gaining approval from their Principal Supervisor and Head of School, students must notify the Secretary of the HDR Committee in writing. The written endorsements of their Principal Supervisor and Head of School are necessary in support of their application.

4.11 Change in Thesis Title/Research Topic

- 4.11.1 To change a thesis title a student needs the supervisors' written approval and forward the written notice to the Research Services Office for the central University records. Approval from the HDR Committee is not required.
- 4.11.2 If a change of direction of research topic has the approval of a student's supervisors and Head of School, and does not require a change of supervision arrangements or it is unlikely there will be a subsequent application for an extension of period of candidature, then approval from the HDR Committee is not required.
- 4.11.3 If, however, there is a substantial change in the direction of the research, and/or a change of supervisor, and/or a likelihood that the proposed change will lead to a subsequent application for an extension of the period of candidature, then the HDR Committee's permission is required. In this case, a student must write an explanatory letter and have it endorsed by their Principal Supervisor and Head of School before submitting it to the Committee.

4.12 Fieldwork and Research Overseas

- 4.12.1 Candidates sometimes need to spend a period (or periods) of time away from their usual place of residence/study, for fieldwork or other research activities. Schools are responsible for setting guidelines for minimum periods of fieldwork or research overseas.
- 4.12.2 There are certain insurance [and travel risk?] requirements before a person is able to study overseas. The A8 form must be submitted. Students should seek assistance from their Principal Supervisor that the correct procedures are followed.

Note for students on scholarship. Nearly all scholarships relate to full-time *internal* study. A check with Principal Supervisor and Head of School as well as with the Research Degrees & Scholarships Officer (phone: 02 67 73 3745) is advisable to ensure that proposed changes do not contradict the conditions of the scholarship. In most cases it is possible to arrange to retain scholarships while absent on fieldwork.

4.13 Research Involving Humans or Animals

- 4.13.1 Students must obtain approval from the appropriate University ethics committee *before the commencement of data collection* on humans or animals. Both these areas are covered by strict legislation with substantial penalties for failure to comply. Research involving humans requires Human Research Ethics Committee (HREC) approval and research involving animals requires Animal Ethics Committee (AEC) approval before the commencement of the fieldwork. It is important that the student and supervisors discuss the need for ethics approval as early as possible.

- 4.13.2 Further information can be accessed from <http://www.une.edu.au/research-services/ethics/>, or by contacting the Research Ethics Officer in Research Services (Phone: 02 67 73 3449).

4.14 Research on Land that has Reverted to Traditional Custodianship

- 4.14.1 Blanket permits to collect animal, plant, water or mineral/soil in national parks are not sufficient permission to collect samples on land that has reverted to Aboriginal custodianship.
- 4.14.2 Researchers should allow adequate time to negotiate appropriated agreements with the relevant Aboriginal or Torres Strait Islander body. This is of particular importance where there is potential for commercialisation, in which case an agreement needs to be reached that protects the rights of the traditional custodians.
- 4.14.3 If researchers need any further assistance, please contact the Office of the Pro Vice-Chancellor (pvcr@une.edu.au or phone: 02 6773 5055).

5.0 SUPERVISION AND ROLES OF SUPERVISORS

5.1 Appointment of Supervisors

- 5.1.1 It is the responsibility of the Head of School to ensure that supervision is available for a student from commencement. It is also the responsibility of the HoS to ensure that, where necessary, appropriate replacement supervisors are appointed and verified by the HDR Committee. While students may suggest certain supervisors for consideration, the HoS is ultimately responsible for their appointment.
- 5.1.2 To be appointed, supervisors must be listed on the UNE *Register of Research Higher Degree Supervisors*. The *Register* indicates the level of award that each supervisor may supervise and whether or not they qualify for the Principal Supervisor and/or the Co-supervisor role.
- 5.1.3 For each PhD candidate at least two supervisors will be appointed, one of whom will be designated Principal Supervisor (PS) who will be knowledgeable in the area of the proposed research, and are available to supervise for the duration of the research. For each research masters candidate supervisors will be appointed who are knowledgeable in the area of the proposed research, and who will be available to supervise for the anticipated duration of the research.
- 5.1.4 A student is accepted only if an appropriate PS, who has agreed to provide supervision, can be appointed.
- 5.1.5 Identification of appropriate *Co-supervisors* occurs during the application process. PhD students are required to have at least one Co-supervisor. Co-supervisors external to UNE are appointed in an adjunct or honorary capacity.
- 5.1.6 A *pro tem* supervisor(s) may be appointed. This occurs most commonly in the EdD program. *Pro tem* supervisors are appointed so that the student can clarify the direction of research/research questions.

- 5.1.7 Where a UNE supervisor is not available to undertake the Principal Supervisor's role, the Head of School may seek approval from the HDR Committee to appoint an appropriately qualified Emeritus Professor, an adjunct appointment, an Honorary Fellow, or an Honorary Associate as Principal Supervisor. A Principal Supervisor so appointed will be required first to apply to the relevant School for adjunct status and sign a Principal Supervisor Agreement contract with UNE.

5.2 General Responsibilities of Supervisors

- 5.2.1 It is the responsibility of **all supervisors** to:
- be listed on the UNE *Register of Research Higher Degree Supervisors*;
 - be familiar with the rules governing candidature, and the standards for the degree;
 - be familiar with current research in the disciplinary areas relevant to the topic of the supervised research;
 - be sensitive to disabilities of students (physical, learning etc);
 - maintain effective, regular contact with the candidate. Early in the candidature, the supervisors and candidate should agree to the means by which contact will be maintained, and the frequency and nature of contact.
 - request written work from the candidate in consultation with the other supervisor/s; return such work with constructive criticism within one month; comment critically and constructively and in reasonable time on the drafts of the thesis; and recognise that the best supervision requires that research higher degree candidates begin writing early in their candidature.
 - provide feedback to the candidate and the other supervisor/s promptly, and advise the candidate of any modifications to the schedule of work suggested by the monitoring.
 - remind the candidate of the need to follow ethical practices as laid down in University policy and as specified by the University's Human Research Ethics Committee and Animal Ethics Committee.
 - be alert to personal problems that may beset the candidate, without being unduly intrusive, and be acquainted with the system of pastoral care available in the University.
 - 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.
 - agree with the candidate and the other supervisor/s on the nature of any inspections of research apparatus, field trials or field sites that may subsequently be used to evaluate and monitor the candidate's progress;
 - ensure that the candidate is aware of the consequences of inadequate progress (see Section 14.10) or of standards below that generally expected; identify the problems in consultation with the candidate and the other supervisor/s, and suggest ways of addressing them;
 - ensure that the candidate is trained in safe working practices relevant to the field of research and of the University's Occupational Health and Safety Policy;
 - encourage the candidate to prepare papers for publication or for presentation at conferences during the course of their candidature;

- ensure that agreement is reached between the candidate and the supervisors concerning authorship of publications and acknowledgment of contributions during and after candidature;
- conduct all aspects of supervision in accordance with equal opportunity principles, in an atmosphere free of threat or harassment, and with sensitivity to diversity;
- 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; and
- ensure that candidates receive quality supervision by:
 - (a) respecting the rights of the students as well as those of other supervisors who may be involved with the student's research;
 - (b) acceding to reasonable requests by their students;
 - (c) treating all students under their supervision equitably, with due attention to health and safety, ethics, and intellectual property;
 - (d) making clear to candidates the names and responsibilities of their assigned supervisors;
 - (e) being sensitive to special needs of gender, culture and language without prejudicing the academic requirements of the award;
 - (f) ensuring that supervisors are familiar with regulations governing candidature and standards acceptable for the award;
 - (g) meeting regularly with students and each other to discuss the progress of the candidate's research program, and regularly report upon such progress to relevant committees; and
 - (h) monitoring progress of students (see Section 4.5).

5.3 Particular Responsibilities of Principal and Co-Supervisors

5.3.1 Particular roles of the **Principal Supervisor** are to:

- guide the candidate towards effective conduct of the research and candidature, by discussing with the candidate:
 - (a) the nature and standard of research appropriate to the degree;
 - (b) the choice of an appropriate research topic;
 - (c) the time, assistance, funds and material resources available for the research, and means for acquiring these; and
 - (d) the planning of an effective program for research, analysis, writing and preparation.
- maintain effective, regular contact with the Co-supervisor/s to monitor the candidate's progress and coordinate communication with the candidate;
- maintain communication with the Head of School, the School postgraduate coordinator and/or the School Research Committee on the candidate's work and progress;
- keep records of the candidate's work, accounts of progress, and problems in candidature adequate for another supervisor to take over supervision if necessary;
- consider the availability of a 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 the School of the names and credentials of suitable examiners;

- comment promptly and constructively on the final draft of the thesis in consultation with the co-supervisor/s; and, at the time of submission, certify that the thesis is properly presented, conforms to regulations, and is fit for examination;
- advise the candidate if further work seems necessary 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. This report will be available to the candidate but not to the appointed examiners; and

5.3.2 It is the particular responsibility of **Co-supervisors** to:

- maintain an agreed level of communication with the candidate and the Principal Supervisor;
- provide 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; and
- 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, in which case a replacement internal supervisor must be appointed).

5.3.3 It is expected that the Principal Supervisor will maintain close consultation with the student and Co-supervisors throughout the period of candidature.

5.3.4 The Co-supervisor, who may be a member of the same or a different School with similar or overlapping research interests, has an important supportive role to play and should be present at all meetings arranged between students and their supervisors.

5.4 Specific Responsibilities of Supervisors of International Students

The following responsibilities are drawn largely from the *National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students* (The National Code, DEST 2007).

- 5.4.1 Students need to be made aware of the student support services available to them at the University (see Appendix C outlining minimum facilities available to students, Appendix E listing support services available, and Section 9).
- 5.4.2 Supervisors should communicate to international students the members of staff designated to be their official point of contact when issues or critical incidents arise that need resolution.
- 5.4.3 Supervisors must make clear to students the complaints and appeals processes (see Section 13) and the processes where disputes arise (see Section 6.0).
- 5.4.4 Supervisors need to be aware of restrictions that apply to extending, withdrawing or suspending a student's candidature, as doing so may affect students' visa conditions.

- 5.4.5 Students should be aware of the University's required six monthly assessment of progress requirements (see Section 4.5).
- 5.4.6 Supervisors must report as early as possible to the Head of School and the Dean of Graduate Studies if students are at risk of not meeting their course requirements. This can be done on the progress reports and/or by separate communication. Intervention strategies will be put in place where at risk students are identified.

5.5 Change of Supervision Arrangements

- 5.5.1 Reasons why supervision may change during HDR candidature include: resignation, retirement of a supervisor or a supervisor going on extended leave. In cases, the University will attempt to provide an alternative supervisor from within UNE. If this is not possible, the University will attempt to recruit the services of a suitably qualified person from another institution or assist in changing candidature to another university.
- 5.5.2 If a student desires a change of supervision, it is usual for the student to discuss the request with their Principal Supervisor in the first instance. If this cannot be done, the situation should be discussed with the Head of School or the School's postgraduate coordinator. While UNE will try to accommodate students' wishes, it is not always possible to do so. Allocation of supervisors remains with the Head of School.
- 5.5.3 Where a change of supervisor is required, a Change of Supervision form, signed by the newly appointed supervisors and Head of School, should be submitted to Research Services. This can be accessed under "Higher Degree Research" on: <http://www.une.edu.au/research-services/forms/>. Research Services will confirm changes of supervision with the Head of School, the supervisors and the student.

6.0 DISPUTE RESOLUTION AND GRIEVANCE PROCEDURES

6.1 Disputes Between Students and Supervisors

- 6.1.1 Relationships between students and supervisors vary widely and sometimes disputes occur. Undertaking a research degree is not easy. There are times, such as during the final writing up of a thesis, where the pressure on the student/supervisor relationship may be at its greatest. These times may cause such stress that a student contemplates withdrawing from their thesis rather than continuing. As already indicated, there are many sources of assistance available that can help overcome such problems.
- 6.1.2 It is suggested that students and supervisors try to discuss their issues and come to an agreed solution. If this does not produce the desired result, there are sources of assistance available (listed in Appendix E). Most of the issues students and supervisors encounter have been dealt with by the people in the support service areas, usually with positive outcomes.
- 6.1.3 Students and supervisors can avail themselves of the University's formal grievance procedures. Details on the procedures for "Grievances Related to Candidature" are listed in Section 7 of the document *Quality and Standards in Research Higher Degrees* at <http://www.une.edu.au/policies/research.php>

- 6.1.4 A dispute may arise when either a student or supervisor calls into question the work undertaken by another student or supervisor. Where the dispute relates to research activities then the “Research Misconduct” provisions of Section 4 of the *Code of Conduct for Research* should be followed (see Appendix B). Refer also to Section 9 of the *Australian Code for the Responsible Conduct of Research* (2007). This code can be accessed at <http://www.nhmrc.gov.au/publications/synopses/files/r39.pdf>
- 6.1.5 If needed, independent advocacy is available for HDR students through ServicesUNE which offers the assistance of the Student Support & Welfare Officer. These services can be accessed at <http://www.servicesune.com.au/support/advocacy.htm>

6.2 Grievance Procedures

- 6.2.1 Grievance procedures need to be understood by candidates and supervisors. The procedures available to research higher degree candidates are intended to prevent deterioration, to the point of jeopardising successful completion by the candidate.
- 6.2.2 A grievance can be notified by:
1. a candidate;
 2. a supervisor/s;
 3. the Head of School;
 4. the director/manager of relevant administrative service; or
 5. the director/manager of relevant academic services; or
 6. fellow students or other relevant School staff.
- 6.2.3 In the first instance the complainant should speak to the other parties, describing the cause(s) for dissatisfaction, and seek informal resolution.
- 6.2.4 Failing resolution informally, the complainant should notify the other parties in writing with a copy to the Head of School and the director/manager of the relevant administrative unit who may seek the assistance of a Grievance Mediator.
- 6.2.5 Mediation may be arranged by:
1. the Head of School concerned, or
 2. a Head of another School, or
 3. a Professor of another School, or
 4. the director/manager of the relevant administrative service, or
 5. a trained Grievance Mediator of the University.
- 6.2.6 All parties should agree to arrangements for mediation. Wherever possible trained Grievance Mediators of the University should be involved. All parties to the mediation may be accompanied by a representative from a staff or student association as appropriate.
- 6.2.7 The outcome of mediation shall be notified in writing to all parties to the mediation and to the Pro Vice-Chancellor (Research) who must ensure that all correspondence is recorded.
- 6.2.8 In the case of unsuccessful mediation, the Pro Vice-Chancellor (Research) will act as arbitrator or may delegate arbitration of the dispute to the University Ombudsman. The parties retain the right of appeal to the Council.

The Council will determine its own procedures to hear an appeal and for dealing with it. The complainant will have the right to representation.

7.0 PROCEDURES FOR EXTENSIONS OR SUSPENSIONS DURING CANDIDATURE OR WITHDRAWING FROM CANDIDATURE

7.1 General Procedures

- 7.1.1 Problems may arise that require changes to candidature. The options available include suspending or extending the period of candidature or withdrawing from candidature.
- 7.1.2. The University requires timely completion within the period of candidature, so supervisors and students should work together to ensure completion occurs in the time allotted.
- 7.1.3 Extensions and suspensions of candidature or extension of candidature are not automatic. Well justified arguments with supporting evidence, are required, e.g. a doctor's certificate in the case of suspensions.

7.2 Extension of Candidature

- 7.2.1 If an extension is needed to finish writing the thesis, students need to apply *well before the due date of submission*. The application will need the support of supervisor and Head of School. The extensions policy and accompanying forms can be accessed on <http://www.une.edu.au/research-services/forms/>
- 7.2.2 On the extension application, the anticipated submission date of the thesis plus a strong justification, are required. *Applications must be accompanied with an academic timetable showing stages to completion/submission of the thesis*. Not all requests for extensions will be approved.
- 7.2.3 Requests for extensions are considered for a three month full-time equivalent period only. Further extension of candidature will only be considered where extenuating circumstances over which students have no control are proven.
- 7.2.4 Students considering requesting an extension of time, should discuss this with their supervisors. There are other matters which must be taken into account, e.g. are supervisors available to supervise for the entire period requested?

7.3 Extensions on Scholarships

- 7.3.1 Scholarship extensions are not automatic but are at the discretion of the University. A strong case with supporting evidence indicating how final submission of the thesis will not be possible without the extension, needs to be made to the HDR Committee.
- 7.3.2 For most scholarships not funded by industry, requests for extensions are considered for a three month period only. They will not be recommended unless extenuating circumstances prevail and supporting documentation is provided. The extension application will require endorsement by the Principal Supervisor and Head of School. The application must be accompanied by an academic timetable to show how completion will be accomplished.

- 7.3.3 For scholarships funded by industry, in some instances an extension may be granted based on extenuating circumstances. The application must be endorsed by the Principal Supervisor and Head of School. Extensions will only be granted at the discretion of the funding body.

7.4 Suspension of Candidature

- 7.4.1 Suspension means putting candidature 'on hold' for a period of time. If a suspension is needed, a standard form is available for downloading from the Research Services web page at <http://www.une.edu.au/research-services/forms/>.
- 7.4.2 The maximum period of suspension is normally 12 months in total during candidature. The HDR Committee can approve extra time only on the recommendation of the supervisors and Head of School, based on a strong case.
- 7.4.3 Application for suspensions are made to Research Services and must indicate the starting and finishing dates of the suspension and a brief explanation of why the suspension is sought. Medical reasons must be supported by a doctor's certificate.
- 7.4.4 When an application for suspension is received it will be forwarded to supervisors and HoS for recommendation.
- 7.4.5 The HDR Committee must be confident that the requested extra time sought is realistic and likely to lead to submission of a completed thesis.
- 7.4.6 Applications for suspensions are not automatic. If students are considering a suspension or withdrawing, they should discuss this with their supervisors first. Other matters need be taken into consideration. For example, supervisors may not be available to supervise when students return (see Section 5, especially 5.1.4).

7.5 Withdrawal from Candidature

- 7.5.1 Withdrawal means voluntarily terminating candidature. It is a drastic step but in some cases may be necessary.
- 7.5.2 Suspension is a less drastic alternative. Taking time away from study can provide students with the option to sort out difficulties and return to the research project later.
- 7.5.3 Further information about options and help can be found at <http://www.une.edu/dontdropout/services.html>. It would pay to refer also to Appendix E.

8.0 INTELLECTUAL PROPERTY (IP)

8.1 Definitions

- 8.1.1 "Intellectual Property" (IP) means any copyright including future copyright, registered or pending patent or patentable invention, registered or unregistered trademark, confidential information, trade secret, know-how, registered or registrable design, plant variety right, rights in relation to any of

the foregoing, rights in relation to any circuit layout or other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields and all other intellectual property as defined in Article 2 of the convention of 1967 establishing the World Intellectual Property Organisation.

- 8.1.2 “Background IP” means any proprietary knowledge or information that has previously been created and will be applied to a research project, including a thesis or dissertation.
- 8.1.3 Background IP may refer to work produced by the student, the University, or a third party (e.g. industry partner).
- 8.1.4 The University’s current *Policy on Intellectual Property* is available at: <http://www.une.edu.au/policies/pdf/knowledgeassets&intellectualproperty.pdf>

8.2 Background IP – Higher Degree Research Students

- 8.2.1 The Principal Supervisor and HDR student must clarify any ownership of background IP at the start of candidature. This must be recorded on the University’s *Intellectual Property Form*, signed by both the student and Principal Supervisor and submitted to the University’s Intellectual Property Officer (Pro Vice-Chancellor (Research)) for recording in the University’s *Intellectual Property Register*. The form is available at <http://www.une.edu.au/research-services/forms/>
- 8.2.2 Students should be clear about what the work involves before they undertake an activity that leads to claimable IP.
- 8.2.3 Any confidentiality and ownership of IP agreement should only be signed by students after they have been first advised to obtain independent legal advice.
- 8.2.4 Any delays in publication of a thesis that arises from a confidentiality agreement should be limited to a maximum of two years.

8.3 Intellectual Property

- 8.3.1 As a project progresses the development of ideas and input from various sources may cause the allocation of intellectual property to change. This can be direct, e.g. contractual or verbal, or incidental through contribution or action of a person other than the research student, e.g. a supervisor, mentor or other associate.
- 8.3.2 Students may be asked to review the allocation of their IP in their progress reports. This provides an opportunity to reflect on what changes to IP allocation/ownership may have occurred. Where a change to IP allocation / ownership has occurred outside the progress report period, students should update their registration by notifying Research Services at the earliest opportunity.

8.4 Review of Intellectual Property with 6 monthly Progress Reports

- 8.4.1 Each 6 months students may be asked to review the allocation of their intellectual property as part of the progress reporting process. They should discuss any possible change with their Principal Supervisor and complete the form as agreed (see section 7.2.1 for the web link to the form).

9.0 PUBLISHING DURING CANDIDATURE

9.1 Procedures to follow

- 9.1.1 Students who publish whilst enrolled at UNE contribute to the UNE research performance recognised by DEST. If the student publishes subsequent to completion of their research at UNE, they should advise their supervisor so that the publication can be included in DEST publication reports. PhD publications must indicate affiliation with UNE.
- 9.1.2 The Principal Supervisor must discuss with HDR students the publications and authorship provision of the University's *Code of Conduct for Research* as part of their induction (see Appendix B)
- 9.1.3 University staff and HDR students will attribute the contribution of all participants in accordance with the provisions of that *Code* and the *Policy on Intellectual Property* referred to in Section 8.1 above. Particular attention should be paid to the required "Statement of Authorship" and "Location of Data" forms (see Appendix B).
- 9.1.4 Attribution or assignment of principal authorship is to be determined by negotiation. It is the responsibility of the most senior researcher in the case of negotiation between University staff or the Principal Supervisor, in the case of a postgraduate research student, to ensure the provisions of the Code and Policy are followed.
- 9.1.5 Permission to publish research results where there is joint Intellectual Property ownership requires the consent of all parties to the IP Agreement.
- 9.1.6 Where a dispute arises it may be dealt with in accordance with the Dispute Resolution provisions outlined in Section 6 of this booklet.

10.0 STUDENT SUPPORT

10.1 Scholarships

- 10.1.1 Information on scholarships available can be obtained from <http://www.une.edu.au/research-services/pgstudy/scholarships/> or by contacting the Research Degrees and Scholarships Officer (ph: 02 6773 3745; e-mail pgscholarships@une.edu.au).
- 10.1.2 Funding may be from UNE, government, industry or individual sources. The types of funding available include tuition fees, living expenses, conference attendance, short-term attachment to another organisation, and research support.
- 10.1.3 Some funding opportunities are open to all HDR students. Others may have limitations such as disciplinary specific or needs-based. It is important to prepare a focussed, concise and legible application that addresses the selection criteria and includes the necessary signatures, referees' reports and attachments. Assistance can be obtained from the Research Degrees and Scholarships Officer on 02 6773 3745 or by e-mailing pgscholarships@une.edu.au.

- 10.1.4 The School or research centre may be able to provide access to other scholarship opportunities. Inquiries should be made to the Principal Supervisor or Postgraduate Co-ordinator (if there is a designated person in this area).
- 10.1.5 Research degree students holding a full-time Australian Postgraduate Award (APA) are only permitted to undertake a limited amount of paid employment which must not interfere with their study and progress. APA holders are expected to devote a minimum of 35 hours per week to their study. Award holders must seek approval of the Responsible Academic Officer (RAO) in their Faculty or Institute prior to engaging in part-time work in excess of 8 hours per week. The RAO's decision will take the Supervisor's recommendation into consideration. Details of activities which temporarily interfere with the capacity to devote 35 hours per week to the research project, must be recorded in the student's progress report.
- 10.1.6 Extensions on scholarships – see Section 7.3.1.

10.2 Minimum Facilities for Higher Degree Research Students

- 10.2.1 The University's policy outlining minimum facilities and support for internal and external HDR students can be found in Appendix C at: <http://www.une.edu.au/policies/pdf/minfacilitiespostgradresearchstudent.pdf>
- 10.2.2 Some Schools or Faculties may provide other support in excess of the minimum.
- 10.2.3 The financial support is provided *pro rata*, i.e. part-time students receive financial support at half the rate of full-time students.

10.3 Library Resources

- 10.3.1 *Collections.* The Dixson and Law Libraries support postgraduate research students. In addition to print materials, the University libraries provide access to electronic indexes, e-books and electronic journals. Information on the library resources can be obtained from <http://www.une.edu.au/library/>
- 10.3.2 *Faculty and Liaison Librarians.* Each Faculty has a Faculty Librarian and a team of liaison librarians with specialised knowledge to assist students and staff. A list of names and contact details is available at <http://www.une.edu.au/library/about/faclibs.php>, or follow the link from the Library home page under 'About the Library'. Appointments can be arranged for postgraduate students to receive advice, personalised assistance in searching for material, clarification of library services, familiarization with the library buildings and procedures, and searching of pay-per-view databases.
- 10.3.3 *Assistance and programs available.* In addition to assistance from Faculty and liaison librarians, the Library runs a series of workshops to inform students and staff about library and research resources. Content includes: advanced internet skills for researchers, using citation indexes, advanced searching of journal indexes, using Word for writing a thesis, and basic and advanced EndNote workshops. These workshops, plus additional ones on locating theses worldwide, setting up alert services, and writing a literature review are also available on the Library website for external students, or those whose timetables prevent them from attending workshops in person.

Details are available under the ‘Training & Help’ tab on the University Library home page.

You can also link to eSKILLS Plus from the Library home page. eSKILLS Plus provides UNE HDR students with online tuition in library, study and work-related skills, including advice on online research, searching for career information, writing for publication and academic networking. This program can be checked out at: <http://www.une.edu.au/library/eskillsplus/>

10.3.4 *Services for HDR students*

- HDR students have longer loan periods for materials, and access to more renewals than undergraduate students.
- Students enrolled in research degrees are entitled to free interlibrary loans (articles obtained worldwide, books from within Australia).
- A copy of all UNE higher degree theses are held in the University Library. They are available for loan, or can be purchased. Electronic copies will also be available for the most recent titles. Searching for theses completed outside UNE, whether in Australia or other countries can be organised through the University Library.
- All UNE students are entitled to join other tertiary libraries within Australia as part of the National Borrowing Scheme.

10.3.5 *UNE’s digital repository, e-publications@UNE.* UNE has a local institutional digital repository called e-publications@UNE, managed by the Library in collaboration with Research Services. Higher degree research graduates are encouraged to deposit an electronic copy of their thesis in the repository to enable and promote its access and availability world-wide. For further information, visit <http://e-publications.une.edu.au/>

The Open Access to Knowledge (OAK) Law Project has produced two excellent guides to assist students with copyright issues when preparing and depositing their theses in an online repository. These can be accessed by visiting <http://www.oaklaw.qut.edu.au/>

10.4 Academic Skills Office

10.4.1 Information on the learning support provided for UNE students, designed for inclusion in unit outlines and study guides, is available from <http://www.une.edu.au/tlc/aso/>

10.4.2 This information outlines support for students in essay and report writing, research skills, and study and exam techniques. It also tells students how they can sign up for workshops, make appointments for consultations with ASO staff and access free study skills materials.

10.5 International Marketing and Pathways (IMP) and English Language and International Services (ELIS)

Potential international students should contact International Marketing and Pathways for information about courses, admission procedures and to obtain application forms.

10.5.1 The University staff within International Marketing and Pathways (IMP) manage the admission application process and other admission related issues for international students. For further information refer to <http://www.une.edu.au/imp/>

10.5.2 International students can receive assistance from English Language and International Services (ELIS) in:

- Accommodation;
- An orientation program specifically for international students;
- Assistance regarding student visa extensions, part-time work, enrolment for school age dependants and general welfare and support.
- For further information about ELIS and the services it provides please refer to <http://www.une.edu.au/elis/>

10.6 General Support Services Available

10.6.1 Details on a number of support services available to students and supervisors are provided in Appendix E. These need to be widely known and disseminated.

11.0 PREPARATION AND SUBMISSION OF THESES/PORTFOLIOS FOR EXAMINATION

11.1 General Guidelines

11.1.1 The work submitted for examination must embody the results of a student's completed research project. Eventual success depends on the examination of the thesis or portfolio. It is important that every action is taken to ensure that examiners are presented with a high quality product.

11.1.2 For the write up stage, there are a number of publications or online services available that students may find helpful in the University Library and/or from your supervisors. One tip is to examine copies of successful theses/portfolios that are in your School collection, Dixon Library or kept by supervisors. The Academic Skills Office also has books and resources on thesis writing available for loan, as does the Dixon Library.

11.1.3 Resource material for students, including the *UNE Reference Guide*, is available from the University's Teaching and Learning Centre at <http://www.une.edu.au/tlc/>. There are discipline specific requirements in relation to style, referencing and the like. Students and supervisors should discuss formatting matters to confirm the exact requirements as early as possible.

11.1.4 The thesis/portfolio should be clearly typewritten on A4 size paper; reproduction on both sides of the paper is permissible, provided the paper is sufficiently opaque to prevent written material on the other side interfering with the overall legibility.

11.1.5 The spacing between lines should be either one and a half spaces, or double spaced. There should be a margin of at least 30mm (1¼") on the left hand side of the page and margins of at least 13mm (½") on the other sides. However, care needs to be exercised when both sides of the paper are used.

11.1.6 Attachments (such as maps) should be securely attached to the body of the work or submitted separately in a strong enclosure. Technical advice on issues such as this should be obtained in good time from such sources as

the UNE Printery/Bindery (Phone: 02 6773 3036) and/or Marketing and Public Affairs (Phone: 02 6773 3770).

- 11.1.7 In the most exceptional cases, e.g. when the reproduction of material presents insurmountable difficulties, or when a different size of paper is necessary, the PhD office (02 6773 2120) should be approached for advice. Where such a submission involves a waiver of the thesis presentation Rules by the HDR Committee, a significant delay in the examination of the thesis could occur. To avert such a problem, students should seek early advice from the Committee.
- 11.1.8 Soft-bound copies of the completed work must adhere to the following specification as the *minimum acceptable standard* (the University bindery will automatically bind a thesis to the correct specifications):
- a sheet of cover stock no less than 230 g.s.m., front and back
 - pages knocked level and glued, "stab bound" (e.g., drilled and hand sewn)
 - a strip of bookcloth with approximately 2cm. overlap pasted on the spine
 - trimmed when dry
 - finished works less than 2.5cm thick may be stapled instead of being "stab bound".

Soft bound theses which do not meet these standards may be rejected.

11.2 Length of Thesis/Portfolio

- 11.2.1 A **PhD** thesis must not exceed 100,000 words. Theses on a scientific subject, generally should not exceed 50,000 words. These word length limits do not include appendices, the index, etc. The **EdD**, which can be submitted in the form of a dissertation or a portfolio, should not exceed 75,000 words.
- 11.2.2 **Masters theses** generally fall between 30,000–50,000 words depending on the disciplinary area. The rules governing these awards will specify the word limit and other requirements.

11.3 Presentation Order for Theses

- 11.3.1 The thesis contents should be presented in the following order: titlepage, acknowledgements, abstract, certification, table of contents, chapters, references and appendices.
- 11.3.2 The order is the same for PhD theses submitted in the *Journal-Article-Format for PhD Theses* (see Appendix G). However, chapters may be written in the format of a self-contained journal article. These need not have been submitted to any journal. Each chapter must include a signed *Statement of Originality* and *Statement of Contribution by Others* by the candidate.

Chapters of the thesis and self-contained articles must be integrated and therefore flow cogently from one to another. It needs to be made clear how the chapters are linked and how they contribute to each other. The final chapter should provide integrative *Conclusions*, drawing together all the

work described in the journal-article-format parts of the thesis and relating this back to the issues raised in the Introduction. A consolidated list of references for all chapters should be included.

- 11.3.3 Each copy of the thesis must contain the abstract or summary. The abstract should be not more than 350 words in length.

11.4 Presentation Order for Portfolios

- 11.4.1 The portfolio contents should be presented in the following order: titlepage, acknowledgements, abstract, certification, table of contents, linking paper followed by individual studies (presented as separate chapters), conclusions, references and appendices.
- 11.4.2 Other forms of presentation may be permissible. If these are requested, early advice from the Committee should be sought.

11.5 Use of the Work of Others

- 11.5.1 All sources from which information is derived, the extent to which the work of others has been used, and the portion of the work claimed as original, must be clearly stated. Proper referencing and citation practices, which is accepted scholarly practice, must be used consistently.
- 11.5.2 Failure to acknowledge sources appropriately constitutes *plagiarism*, a serious offence which could attract significant penalties such as failure in the unit or exclusion from the University. Further information on the University's policy on plagiarism can be obtained from the following web site: <http://www.une.edu.au/policies/pdf/plagiarismresearch.pdf> as well as the current *UNE Handbook*.
- 11.5.3 For theses submitted in the Journal-Article-Format where the thesis contains properly acknowledged supporting articles or papers of which the candidate is the sole or joint author, ***the extent of the student's work as a percentage proportion of the whole, must be clearly indicated*** at the end of a *Statement of Originality* (to the extent of identifying which figures or text are the candidate's original work). The nature and extent of the intellectual input by others must be explained in a *Statement of Contribution by Others*. Where publications by others have been used, clear acknowledgment must be made to the other authors. The name of the principal author must be clearly stated. Guidelines for structuring this kind of thesis format can be found in Appendix G.
- 11.5.4 Work which has been presented for any qualification at any other University or similar educational institution may not be presented as the thesis but may be included in the thesis, provided that it is clearly indicated as such.

11.6 Title Page

11.6.1 For the thesis, the title page must show:

- The title of the thesis
- The full name of the candidate together with prior degrees and other qualifications, and their awarding institutions
- The following statement:

A thesis submitted for the degree of [name relevant doctorate or master's degree] of the University of New England

- The month and year of submission

11.6.2 For the portfolio or dissertation, the title page must show:

- The title of the portfolio or dissertation
- The full name of the candidate together with prior degrees and other qualifications, and their awarding institutions
- The following statement:

A portfolio submitted for the degree of Doctor of Education of the University of New England

or

A dissertation submitted for the degree of Doctor of Education of the University of New England

- The month and year of submission

NB : A candidate who submits their revised work must show the month and year of submission of the *original* version.

11.7 Candidate's Certification

11.7.1 In each copy of the thesis, students are required to insert and sign the following declaration which must preface the work:

I certify that the substance of this thesis has not already been submitted for any degree and is not currently being submitted for any other degree or qualification.

I certify that any help received in preparing this thesis, and all sources used, have been acknowledged in this thesis.

.....
Signature

11.7.2 In each copy of the EdD, *students are required to insert and sign the following declaration which must preface the work:*

I certify that the substance of this dissertation/portfolio has not already been submitted for any degree and is not currently being submitted for any other degree or qualification.

I certify that any help received in preparing this thesis, and all sources used, have been acknowledged in this thesis.

.....

Signature

11.8 Head's of School and Principal Supervisor's Certification

- 11.8.1 In order for copies of the submitted work to be accepted by Research Services, it must be accompanied by a signed statement from the Head of School and Principal Supervisor that the thesis is ready for examination. The forms can be accessed on: <http://www.une.edu.au/research-services/forms/> under the section, Higher Degree Research.

11.9 Confidential Recommendation of Examiners by Head of School

- 11.9.1 Examiners should be selected for their appropriate level and area of research experience. They should be active in research/scholarship, ensuring that their knowledge of the field is current. They should also have empathy with the theoretical and methodological frameworks used by the candidate.
- 11.9.2 The HDR Committee must approve the list of examiners submitted to it by the Head of the supervising School. ***It is most important that a candidate has a part in the preparation of such a list.*** The Principal Supervisor should discuss a shortlist of potential examiners with the candidate (say, 5 or 6). Following this, the Principal Supervisor should consult the Head of School, when the latter signs off on a confidential list of 3 examiners and 1 reserve examiner for doctoral level work and 2 examiners and 1 reserve for master's level theses. The list is submitted to the HDR Committee for approval ***before submission of the work.*** The Principal Supervisor and/or Head of School need to approach potential examiners to ascertain whether they are able to examine the thesis in the time allotted, and whether they believe that the work is in their area of expertise.
- 11.9.3 As this final list of nominated examiners is highly confidential. ***Under no circumstances should a student be made aware of the details of this final list.***
- 11.9.4 Doctoral students should note that, unless the confidential recommendation of examiners by the Head of School is received by Research Services ***before*** the thesis/portfolio is submitted, Research Services will not accept it other than in exceptional circumstances.

11.10 Submission and Despatch of the Work for Examination

- 11.10.1 For the PhD and EdD, ***four copies must be lodged with Research Services – three soft-bound (one for each examiner) and one original unbound. Soft-bound copies are not returned to the candidate (see Section 12.8.4 below).***

The unbound copy eventually becomes the official University copy which is bound, catalogued and stored by Dixson Library (for further information regarding this process contact Dixson Library, on (02) 6773 3750).

- 11.10.2 The candidate shall also submit an electronic copy in a form approved by the HDR Committee. If the thesis has multi-media components, four copies of these must also be submitted along with clear instructions as to how they can be accessed. The Dixson Library is willing to offer advice on electronic and multi-media formatting. Examiners must be able to access all multi-media components.
- 11.10.3 For masters' theses, ***three copies must be lodged with Research Services – two soft-bound (one for each examiner) and one original unbound.***
- 11.10.4 All examiners' copies will be stamped "Examination Copy - Not for Citation or Distribution" on the front cover by Research Services.
- 11.10.5 When despatching the soft-bound copies to the examiners, Research Services will inform the examiners that they retain their copy following completion of the examination. Where an embargo has been placed on access to the work, the examiners will be advised of the period of restriction.
- 11.10.6 Upon completion of the examination, the student is advised of the result and invited to prepare hard-bound or soft-bound copies of the work at their own expense for distribution to their School, supervisor, etc, if they so choose (see Section 12.2 below).

12.0 EXAMINATION OF THE THESIS/PORTFOLIO

Note: The procedures for examining Research Masters degrees vary. Specific requirements should be obtained from Principal Supervisors and Schools.

12.1 The Process of Examination

- 12.1.1 Before the work is submitted for examination, students and supervisors should read the appropriate rules on its examination in the *UNE Handbook* at: <http://www.une.edu.au/studentcentre/handbook/>. Note that the HDR Committee has considerable latitude in the options open to it in examination.
- 12.1.2 When the work is sent out for examination, it is accompanied by an Information for Examiners *proforma* (see Appendix H for PhDs). Each examiner is asked to report to the Committee within two months of receipt of the work and to advise the Committee if more time is needed to examine. Follow-up letters are sent to slow examiners. Nevertheless, it may be four or five months or more, before all the examiners' reports are available to the Committee.
- 12.1.3 Should the examiners disagree, the HDR Committee may ask them to consult with each other. If they do consult, they may still disagree on the outcome. In this case, the Committee may appoint an adjudicator external to the University, who will report to the Committee, and offer judgement on the examiners' reports and the work itself. The Committee also has other options available to it. For further details, please consult the Dean of Graduate Studies (dogs@une.edu.au).

- 12.1.4 Examination is a completely confidential matter until it is concluded. The only advice that can be given to a student whose work is under examination is whether the reports of the examiners have been received by Research Services. Research Services, understanding anxiety of waiting students, does not mind if they and their supervisors contact them to see if there is any news (phone: 02 6773 2120).
- 12.1.5 Eventually the HDR Committee can make a decision based on the reports of the examiners (and possibly an adjudicator). This decision will be communicated to the candidate and supervisors by letter. Each will be sent a copy of the reports of the examiners. All examiners will have been asked to indicate whether or not their names may be revealed to the candidate. The University respects their right to withhold their names, in which case they are referred to simply as "Examiner A", "Examiner B", etc. and their names are removed from the copies of the reports which are sent out.
- 12.1.6 If a candidate is invited by the Committee to revise their work and submit it again for further examination, the copies of the examiners' reports on the first submission are *always* identified simply as "Examiner A", "Examiner B", etc.

12.2 The Unbound Copy Submitted for Examination

12.2.1 *The unbound copy* will be returned to the student after examination if:

- (a) corrections/changes are needed. The supervisor (and Head of School in some cases) must certify that the corrections/changes have been done satisfactorily, when you submit the corrected copy to Research Services. This copy may be requested by other scholars, so its presentation should be faultless. When all requirements for the degree are satisfied, the unbound copy becomes the University's property and is deposited in the Dixson Library. This unbound copy is available for copying, unless the candidate has placed a (temporary) restriction on access to it.

In addition to the provision of the final corrected unbound library copy to the University Library, the candidate often provides a copy to their Principal Supervisor and to the relevant School Library.

- (b) revision for re-examination is required. After revision is completed to the Principal Supervisor's and/or Head of School's satisfaction, they must certify that they are satisfied with the result of the revision, in a similar manner as for the original work. The subsequent progress of the copy, if examination is successful, is as for (a) above.
- (c) an original or revised version fails ultimately to meet the requirements for the degree.

12.2.2 When the candidate submits the final unbound copy (with the certificate referred to in Section 13.2.1) there should also be 4 bound copies submitted. These copies will normally be provided to the Faculty / School library and to the candidate's supervisors.

12.2.3 *Digital theses*. As already indicated, the Dixson Library offers graduates the option of depositing their theses in a repository managed by the Library). For further information contact the Dixson Library (phone: 6773 4233).

12.3 Keeping in Touch During the Period of Examination

- 12.3.1 When a submitted work is under examination, it is most important that the candidate remain in communication with the University. With submission of the thesis for examination or re-examination, the student's enrolment ceases. A candidate formally re-enrols if he or she accepts an invitation to revise the thesis and re-submit it for further examination.
- 12.3.2 It is not necessary for a candidate making final amendments to the unbound copy of the thesis to formally re-enrol. If required, special arrangements can be made to enable access to IT or library facilities. These needs should be discussed with Principal Supervisors.

It is important that students ensure that the University administration, including Research Services, is kept up to date with their current address, phone and fax numbers and email address, until at least the actual date of Graduation.

13.0 APPEALS

13.1 Grounds for Appeal

- 13.1.1 A student can appeal against the controlling committee's decision upon the success or failure of their candidature if they have reasonable grounds for supposing that the submission and examination of the thesis, consideration of the examiners' reports, or arrival at a final decision were procedurally flawed.
- 13.1.2 Appeals will be heard on procedural grounds only, including irregularities in the conduct of the examination or evidence, acceptable to the University, of prejudice or bias by one or more examiners;

13.2 Appeals Procedures

- 13.2.1 Appeals against the outcome of an examination of a thesis shall be made to:
- (i) the Academic Board, for a PhD or professional Doctorate thesis, or
 - (ii) the relevant Faculty, for a research Masters thesis,
- not more than 20 working days after the candidate has been informed of the outcome of examination by the controlling committee. A candidate shall be given later consideration by the academic body considering the appeal if he or she can show that it was impossible to receive the result in question and lodge an appeal within the stated period of time.
- 13.2.2 An appeal must set out clearly the basis of the appeal and be accompanied, where appropriate, by any original documents submitted as supporting evidence.
- 13.2.3 When permission to resubmit is given, any additional work or other change required by the University to the candidate's work must be specified;

- 13.2.4 The academic body considering the appeal shall act expeditiously in resolving the matter.
- 13.2.5 Complaints about supervisors or supervision, or about other matters raised during candidature, are not grounds for appeal. Such complaints should be addressed using grievance procedures, when they arise.

14.0 GRADUATION AND KEEPING IN TOUCH

14.1 Requirements of the Student

- 14.1.1 At the time a student submits their thesis to Research Services, the following forms should be given to the student:
- an application for admission to the degree;
 - a form which indicates if any restriction is to be placed on access to the thesis copy deposited in the University library and giving permission for copying of the eventual (successful) thesis.
- 14.1.2 At submission of the thesis, the student should return the completed forms to Research Services.

14.2 Further information

- 14.2.1 When the thesis is accepted by the University as fulfilling the requirements for the degree, the HDR Committee makes a recommendation to the Academic Board, which in turn recommends to the University Council that the candidate be admitted to the appropriate degree.
- 14.2.2 The candidate and supervisors are informed that all requirements for the degree have been met. This formal notification may be used to advise a third party, e.g. an employer, that the degree's requirements have been met.
- 14.2.3 Graduation ceremonies are carried out twice a year, usually in March/April and September/October. If a candidate has a pressing need to prove to an outside party that the degree requirements have been completed, the Secretary of the Academic Board may agree that the degree be conferred by the University *in absentia*, before the next annual graduation ceremony. By accepting the award of the degree *in absentia* a candidate cannot receive the same award at a Graduation Ceremony.
- 14.2.4 A doctoral graduand may not legally use the title “Doctor” until after the degree has been officially conferred.
- 14.2.5 A research higher degree may be awarded posthumously. If a request is made to award the degree where the student died before completing their work, particular conditions apply. The policy, procedures and conditions can be accessed at <http://www.une.edu/policies/pdf/conferringposthumouslyhdr.pdf>

Appendix A

UNE MASTERS COURSES 2007 (in accordance with the 2007 *UNE Handbook*)

Faculty	Research Masters Courses (min 66% research)	Masters - non-research courses (<66% research component)
ARTS & SCIENCES		
Arts, Humanities & Social Sciences	M Arts (Hons) M Music (Hons) M Urban & Regional Planning (Hons)	M Arts M Applied Linguistics M Psychology (Clinical)
Sciences	M Rural Science M Resource Science M Science	M Science (Agriculture) M Environmental Management M Geographic Information Science M Agriculture M Scientific Studies M Natural Resources M Computer Studies M Information Technology M Information Technology (Hons) M Information Systems M Information Systems (Hons) Professional Doctorate in Science
THE PROFESSIONS		
Economics, Business & Law	M Economics M Laws by Research M Business Research (Hons)	M Business Administration M Economic Studies M Commerce M International Business M Hospitality & Tourism Management M Laws by Coursework
Education, Health & Professional Studies	M Professional Studies (Hons) M Nursing (Hons) M Counselling (Hons) M Administrative Leadership (Hons) M Education (Hons) M Educational Administration (Hons) M Health Science (Hons) M Health Management (Hons) M Gerontology (Hons)	M Professional Studies M Nursing M Counselling M Administrative Leadership M Education M Educational Administration M Health Science M Health Management M Training & Development M Advanced Clinical Practice (Nurse Practitioner)

For further details on masters' courses refer to:

<http://www.une.edu.au/courses/2008/courses/list#PostgraduateResearch>

UNE CODE OF CONDUCT FOR RESEARCH (2003)

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Code of Conduct for Research

INTRODUCTION

This statement of the appropriate practices for the conduct of research was adopted by the University of New England in 2003 and replaces the 1997 policy of the same name. It is closely based on the Joint NHMRC/AVCC Statement and Guidelines on Research Practice (1997) which was the precursor of the current *Australian Code for the Responsible Conduct of Research* (Australian Government, National Health and Medical Research Council, Australian Research Council and Universities Australia, 2007).

The nature of particular disciplines needs to be taken into account when interpreting the Code of Conduct for Research. For example, since in some disciplines research involves analysis of pre-existing data sets such as the results of a population census, multiple publications may be expected (see 2.2.7). Similarly, in relation to the retention of data (see 2.1), practical considerations of storage space, security, confidentiality, etc will need to be taken into account.

As this Code complies with the principles set out in the UNE document *Quality and Standards in Research Higher Degrees*, reference should be made to this document. Reference should be made also to the *Policy on Intellectual Property* at <http://www.une.edu.au/policies/pdf/knowledgeassets&intellectualproperty.pdf>

PREAMBLE

Research and the pursuit of truth are vital functions in higher education institutions. Central to the long established principles that guide research are the maintenance of high ethical standards, and validity and accuracy in the collection and reporting of data. The research community must always act responsibly towards the public, the professions, colleagues, students and other institutions.

Communication between collaborators, maintenance of and reference to records, presentation and discussion of work at scholarly meetings, publication of results, including the important element of peer refereeing, and the possibility that investigations will be extended by other researchers, all contribute to the intrinsically self-correcting nature of research.

The University of New England has established this Code of Conduct as a framework for sound research practices and for the guidance and protection of individual researchers (staff and students).

GENERAL ETHICAL AND SAFETY CONSIDERATIONS

It is a basic assumption at the University of New England that researchers¹ are committed to high standards of professional conduct. Researchers have a duty to ensure that their work enhances the good name of the University and the discipline to which they belong.

Researchers should participate only in work which conforms to accepted ethical and safety standards and which they are competent to perform. Where a researcher is in doubt about this Code of Conduct, advice should be sought from the relevant institutional ethics and safety committees. In particular, researchers should refer to:

¹ “Researchers” refers to any person employed by or enrolled with the University of New England who is conducting any research as part of their employ or enrolment at UNE. The definition includes theses and dissertations but excludes coursework units.

- the "Code of Practice Covering the Welfare of Non-Human Vertebrate Animals Used for Research and Teaching" issued by the Animal Ethics Committee;
- the "Human Research Ethics Committee Guidelines" issued by the Human Research Ethics Committee; and
- the UNE Occupational Health and Safety Policy.

Reference should also be made to codes of conduct of various disciplinary and professional associations.

Any special standards of work performance and ethical conduct imposed by law, by guidelines of regulatory agencies or by the University of New England in relation to particular types of research are to be observed.

If data of a confidential nature are obtained, e.g. from individual patient records or from questionnaires, confidentiality must be observed and researchers must follow guidelines laid down by the relevant ethics committees. In general, research results and methods should be open to scrutiny by colleagues within the University, and, through appropriate publication, by the profession at large. Secrecy may be necessary for a limited period in the case of contracted research or of non-contractual research which is under consideration for patent protection.

1. PRINCIPLES

1.1 Statement of Guiding Principles

This Code of Conduct ("the Code") prescribes standards of work performance and ethical conduct expected of all persons (staff and students) engaged in research in the University of New England ("the University") based upon the following guiding principles:

- 1.1.1 Researchers have an obligation to achieve and maintain the highest standards of intellectual honesty in the conduct of their research;
- 1.1.2 Researchers should, in all aspects of their research:
 - (a) demonstrate integrity and professionalism;
 - (b) observe fairness and equity;
 - (c) avoid real or apparent conflicts of interest; and
 - (d) ensure the safety of those associated with the research;
- 1.1.3 Research methods and results should usually be open to scrutiny and debate by other researchers and through publication, by the profession;
- 1.1.4 As a general principle research findings should not be reported in the public media before they have been reported to a research audience of experts in the field of research, except where there is a contractual arrangement;
- 1.1.5 It is acknowledged that where issues of public policy and concern make prior advice desirable, such advice must be tendered first to the public or professional authorities responsible, and the unreported status of the findings must be advised at the same time. Only where responsible authorities fail to act can prior reporting to the media be justified, and again the unpublished status of the findings must be reported at the same time;

- 1.1.6 Where this is private reporting of research that has not yet been exposed to peer-review scrutiny, especially when it is reported to prospective financial supporters, researchers have an obligation to explain fully the status of the work and the peer-review mechanisms to which it will be subjected.
- 1.1.7 Researchers must be aware of and adhere to ethical principles of justice and veracity, and of respect for people and their privacy and avoidance of harm to them, as well as respect for non-human subjects of research;
- 1.1.8 Where research procedures are of a kind requiring approval by the Human or Animal Ethics Committees of the University, or by other validly constituted regulatory committees, research must not proceed without such approval;
- 1.1.9 All reasonable steps must be taken to ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous.

1.2 Observance of the Code

- 1.2.1 Researchers must familiarise themselves with the Code and ensure that its provisions are observed.

1.3 Breach of the Code

- 1.3.1 Failure to comply with the provisions of the Code may be a ground for disciplinary action.

1.4 Advice

- 1.4.1 Researchers have an obligation when in doubt to obtain advice on integrity in research from their Head of School, the School or Centre, or the Dean of their Faculty.

2. SPECIFIC REQUIREMENTS

2.1 Data Storage and Retention

- 2.1.1 Data must be recorded in a durable form with appropriate references.
- 2.1.2 On each occasion that research is made public, the forms 'Statement of Authorship' and 'Location of Data' must be filled out, signed and lodged with the Head of School of which the principal researcher is a member. If, for any reason, one or more co-authors are unavailable or otherwise unable to sign the statements, the Head of School may sign on their behalf, noting the reason for their unavailability. Heads of Schools must keep copies of these statements in their School files.
- 2.1.3 Data must be retained intact for a period of at least five years from the date of any relevant publication, but for specific types of research such as clinical research up to 15 years is suggested. Wherever possible, original data must be retained in the research unit or School in which they were generated.

- 2.1.4 A research unit or school must establish procedures for retention of data and researchers must comply with these retention procedures. Where appropriate, confidentiality provisions should be applied (see Section 2.2.9).
- 2.1.5 Data related to publications are to be made available for discussion with other researchers, except where confidentiality provisions prevail (see Section 2.2.9).
- 2.1.6 When the data are obtained from limited access data-bases, or via a contractual agreement, written indication of the location of the original data (through the 'Location of Data' form), or key information regarding the data-base from which it was collected, must be retained by the researcher and the Head of School.
- 2.1.7 Researchers must be responsible for ensuring appropriate security for any confidential material, including that held in computing systems. Where computing systems are accessible through networks, particular attention to security of confidential data is required. Security and confidentiality must be assured in a way that copes with multiple researchers and the departure of individual researchers.

2.2 Publication and Authorship

- 2.2.1 A publication must contain appropriate reference to the contributions made by all participants in the relevant research.
- 2.2.2 On each occasion that research is made public, the forms 'Statement of Authorship' and 'Location of Data' must be filled out, signed and lodged with the Head of the School of which the principal researcher is a member. If, for any reason, one or more co-authors are unavailable or otherwise unable to sign the statements, the Head of School may sign on their behalf, noting the reason for their unavailability. Heads of Schools must keep copies of these statements in the school files. The forms are appended to Appendix B: *UNE Code of Conduct for Research*.
- 2.2.3 Authorship is defined as substantial participation, where all the following conditions are met:
- (a) conception and design, or analysis and interpretation of data;
 - (b) drafting the article or revising it critically for important intellectual content; and
 - (c) final approval of the version to be published.

An author's role in a research output must be sufficient for that person to take public responsibility for at least part of the output in that person's area of expertise. No person who is an author, consistent with this definition, must be excluded as an author without their permission in writing.

- 2.2.4 A person who has not participated in conceiving, executing or interpreting at least part of the relevant research is not to be included as an author of a publication derived from that research. Participation solely in the acquisition of funding or the collection of data does not justify authorship. General supervision of the research group is not sufficient for authorship.

- 2.2.5 Where there is more than one co-author of a research output, one co-author (by agreement amongst the authors) should be nominated as responsible or principal author for the whole research output, and should take responsibility for record-keeping regarding the research output.
- 2.2.6 Contributions to research made by any persons which are insufficient for them to be included as authors should be recognised in any publication derived from that research. Convention demands that individuals and organisations providing facilities should also be acknowledged. Publications must include information on the sources of financial support for the research. Financial sponsorship that carries an embargo on such naming of a sponsor should be avoided.
- 2.2.7 A publication which is substantially similar to another publication derived from the same research must contain appropriate reference to the other publication.
- 2.2.8 A researcher who submits substantially similar work to more than one publisher should disclose that fact to the publishers at the time of submission.
- 2.2.9 Confidentiality provisions relating to publications may apply in circumstances where the University or the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights. It is the obligation of the researchers to enquire at an early stage as to whether confidentiality provisions apply and of the Head of School to inform researchers of the obligations with respect to these provisions.

2.3 Supervision

- 2.3.1 Each research unit or School must adopt guidelines for supervision of research in accordance with requirements prescribed from time to time by the Academic Board.
- 2.3.2 A research supervisor must observe and undertake the responsibilities set out in these guidelines.
- 2.3.3 A person must decline appointment as a research supervisor unless that person expects to be able to discharge the responsibilities set out in these guidelines.

2.4 Conflict of Interest

- 2.4.1 A researcher must make full disclosure of a real or possible conflict of interest in research to the relevant Dean, as soon as reasonably practicable after the conflict arises.
- 2.4.2 A researcher must comply with a direction made by the relevant Dean in relation to a real or possible conflict of interest in research.
- 2.4.3 Researchers have an obligation to disclose at the time of reporting or proposing research any conflict of interest which has the potential to influence research and investigations, publication and media reports, grants applications, applications for appointment and promotion. They

also have an obligation to disclose any conflict of interest to editors of journals, to the readers of the published works, and to internal and external bodies from which funds are sought.

3. ADDITIONAL REQUIREMENTS

- 3.1 Any special standards of work performance and ethical conduct imposed by law or by the University in relation to particular categories of research are deemed to be included in this Code in its application to persons engaged in that research in the University.
- 3.2 Researchers must list their publications and must make a declaration that they have complied with the provisions of the Code as part of their annual reporting requirements.

4. RESEARCH MISCONDUCT

- 4.1 "Research Misconduct" is taken here to mean fabrication, falsification, plagiarism, or other practices that seriously deviate from those that are commonly accepted within the academic community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretation of judgements of data. Misconduct in research is constituted by a failure to comply with the provisions of the Code and, without limiting the generality of this section, includes:
 - (a) the fabrication or falsification of data;
 - (b) plagiarism, which shall be understood to mean the presentation of the documented words of another as his or her own, without attribution appropriate for the medium of presentation;
 - (c) using any information in breach of any duty of confidentiality associated with the review of any manuscript or grant application;
 - (d) intentionally omitting reference to the relevant published work of others for the purpose of inferring personal discovery of new information;
 - (e) misleading ascription of authorship to a publication including the listing of authors without their permission;
 - (f) attributing work to others who have not in fact contributed to the research;
 - (g) the lack of appropriate acknowledgment of work primarily produced by a research student/trainee or associate;
 - (h) interference with any research-related property of another person, including without limitation the apparatus, reagents, biological materials, writings, data, hardware, software, or any other substance or device used or produced in the conduct of research;
 - (i) misrepresentation as in stating or presenting a material or significant falsehood; and

- (j) misrepresentation as in omitting a fact so that what is stated or presented as a whole states or presents a material or significant falsehood.
- 4.2 Deliberate inclusion of inaccurate or misleading information relating to research activity in curriculum vitae, grant applications, job applications or public statements, or the failure to provide relevant information, is a form of research misconduct.

5. PROCEDURES FOR DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

5.1 Complaint

- 5.1.1 Complaints of misconduct in research matters should be made to the Pro Vice-Chancellor (Research).
- 5.1.2 The Pro Vice-Chancellor (Research) shall advise the Vice-Chancellor that a complaint has been received, as soon as is practicable, and shall advise the Vice-Chancellor on the substance of the complaint.
- 5.1.3 Where the Vice-Chancellor is satisfied that a complaint constitutes an allegation of serious misconduct under the Universities and Post Compulsory Academic Conditions Award 1995 ("the award"), in the case of staff, or the University of New England General Rules and/or Student Conduct Rules ("the rules"), in the case of students, the Vice-Chancellor must deal with the allegation in accordance with the relevant provisions of the award or the rules, as appropriate.
- 5.1.4 Where the Vice-Chancellor is satisfied that a complaint constitutes an allegation of misconduct under the Code but does not constitute an allegation of serious misconduct under the award or the rules, the Vice-Chancellor must appoint a committee consisting of a person or persons with appropriate qualifications to undertake an enquiry into the complaint.
- 5.1.5 Where the Vice-Chancellor is satisfied that a complaint cannot be sustained, the Vice-Chancellor must dismiss the complaint and inform the person making the complaint accordingly.
- 5.1.6 Where the Vice-Chancellor is satisfied that there is no reasonable basis for a complaint, the Vice-Chancellor must determine whether it is appropriate to take disciplinary action against the person making the complaint.

5.2 Enquiry

- 5.2.1 An enquiry established under section 5.1.4 of the Code must be completed as expeditiously, and with such confidentiality, as the circumstances of the complaint permit.
- 5.2.2 The Vice-Chancellor must inform the person who is the subject of the complaint of the terms of the complaint, the decision to undertake an enquiry, and the committee appointed to undertake the enquiry.

- 5.2.3 The Vice-Chancellor must also provide the person who is the subject of the complaint with an opportunity to respond in writing to the complaint within thirty days of notification, and an opportunity to make oral submissions to the committee of enquiry.
- 5.2.4 The committee appointed to undertake an enquiry must advise the Vice-Chancellor whether, in their opinion, the person who is the subject of the complaint is guilty of misconduct. The committee will act in such a way as to protect the interests of all interested parties, including but not limited to:
- (a) a person bringing an allegation;
 - (b) a person against whom an allegation is made;
 - (c) staff, students and trainees working with persons making an allegation, or with persons against whom an allegation is made;
 - (d) journals and other media reporting research subject to suspected, alleged, or found research misconduct;
 - (e) funding bodies supporting persons or research involved: and
 - (f) the public.
- 5.2.5 The Vice-Chancellor must inform the person who is the subject of the complaint and the person making the complaint of the finding of the committee appointed to undertake the enquiry.
- 5.2.6 Where the committee appointed to undertake an enquiry is satisfied that the person who is the subject of the complaint is guilty of misconduct, the Vice-Chancellor must determine whether it is appropriate to take disciplinary action against that person.
- 5.2.7 Where the committee appointed to undertake an enquiry is satisfied that there is no basis for a complaint, the Vice-Chancellor must determine whether it is appropriate to take disciplinary action against the person making the complaint.
- 5.2.8 If research misconduct is found to have occurred, such misconduct must be reported to any funding agency that funded work in respect of which the misconduct occurred, or which is currently supporting the person found to have engaged in research misconduct. Such misconduct must also be reported to journals and other media through which the research in question was reported.
- 5.2.9 If persons subject to a complaint of research misconduct resign or have resigned from the University, the committee appointed to undertake an enquiry must continue or undertake any such investigation to establish the facts of the matter in which research misconduct is alleged to have occurred. Distortions of the research record must be rectified, whether or not the persons involved remain in the University.

University of New England
STATEMENT OF AUTHORSHIP

On each occasion that a researcher applies for a research grant any prior research involving other researchers related to that project must be formally declared and attributed. If there is no, or inadequate provision in the grant application for the attribution and acknowledgement of the prior contribution of others to the research then this form must be filled out, signed and submitted with a copy of the grant application to the Research Services Office. If, for any reason, one or more researchers are unavailable or otherwise unable to sign the statements, the Head of School or Research Centre may sign on their behalf, noting the reason for their unavailability. Heads of Schools or Research Centres must keep copies of these statements in School files.

Definition of Authorship

Authorship means substantial participation, where all the following conditions are met:

- (a) *conception and design, or analysis and interpretation of data, and*
- (b) *drafting the article or revising it critically for important intellectual content, and*
- (c) *final approval of the version to be published.*

An author's role in a research output must be sufficient for that person to take public responsibility for at least part of the output in that person's area of expertise. No person who is an author, consistent with this definition, must be excluded as an author without their written consent.

Responsible or principal author(s): _____

School(s): _____

Institution(s): _____

Authorship (refer to definition given above)

The authors of the paper entitled: _____

submitted to: _____

on _____ are the undersigned and there are no other authors.

NAME	SCHOOL	SIGNATURE

Statement by the responsible or principal author(s):-

I am/we are the responsible or principal author(s).

I am/we are authorised to sign this statement on behalf of any co-author who is unavailable or otherwise unable to sign above (*delete if this does not apply*).

SIGNED: _____ Dated: _____

University of New England

LOCATION OF DATA

On each occasion that research is made public the forms ‘Statement of Authorship’ and ‘Location of Data’ must be filled out, signed and lodged with the Head of the School or Research Centre of which the principal researcher is a member. If, for any reason, one or more co-authors are unavailable or otherwise unable to sign the statements, the Head of School may sign on their behalf, noting the reason for their unavailability. Heads of Schools or Research Centres must keep copies of these statements in School files.

Wherever possible, original data should be retained in the School in which they were generated. Data on which publications are or will be based are retained, or their location recorded, not materials. Data should be safely held for as long as readers of publications might reasonably expect to be able to raise questions that require reference to such information. This should be at least five years. Where it is impossible or impracticable to hold data, a written indication of the location of the data or key information regarding the location (e.g. the way in which the data were called up from a limited-access database), must be kept in the School. The location of the researcher's diary may be sufficient if the key information is recorded in it.

The primary data on which the paper is based are:

in the school(s) / Centre(s) of the responsible or principal author(s)

in the following location(s)

or no data are needed to check the conclusions of this paper.

SIGNED: _____ responsible or principal author(s)

DATE: _____

Appendix C

MINIMUM FACILITIES FOR UNE POSTGRADUATE RESEARCH STUDENTS¹

1. 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 document annually 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-prod.une.edu.au/research-services/forms/index.php#item0>
- 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 a Web reference for information detailing policies regarding access to and distribution of additional resources and facilities.
- 1.6 Part time and/or off campus students must be provided with suitable work facilities for their research 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 EEO.

2. Minimum Facilities

Workspace

- 2.1 Appropriate on-campus workspace is to be available on an individual basis for both internal and external Higher Degree Research students wherever possible. The minimum area allocated to a PhD, Professional Doctorate or Research Masters student is to be determined by Facilities Management Services.²
- 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 Each School will reserve at least one-fully equipped work-station, 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.

- 2.3 24 hour access to the relevant building(s)/room(s) with own keys is to be provided following completion of OH & S training for access to laboratories (where appropriate).

Office Workspace Equipment

All workspace areas/offices occupied by full-time internal and external postgraduate research students (when on campus)³ except for point 2.9 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 HDR area/office. Free local access will be permitted on phones and photocopier and printer access will be provided at School level with the minimum level prescribed by the Faculty Research & Research Training Committee.
- 2.6 One computer per student adequate for accessing:
- WWW⁴;
 - 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 Controlled fax access as determined by the Head of School or Director of a Research Centre/Institute.
- 2.8 A minimum of 2 linear metres of bookshelf per student.
- 2.9 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, subject to approval by the Head of School.
- 2.10 Access to School stationery, such as University letterheads, where necessary for research-related purposes.
- 2.11 Mail box, an on-campus mailing address and mail out facilities.
- 2.12 Access to a tea room and washroom.

Library

- 2.13 Free document delivery/inter-library loans within defined written limits set by the School and authorised by the Principal Supervisor, taking into account the research projects and disciplines. A copy of the School Policy is to be provided to the student on commencement.

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

⁴ At the present time the internet quota is 1 GB/student. The Information Technology Directorate is currently reviewing this policy

Grant Funding

- 2.14 A minimum of \$500 per annum for each full-time student (pro rata for a part-time student) is available from the Schools for a variety of research-related expenses, e.g. fieldwork, conferences, additional library services, photocopying in excess of the prescribed Faculty standard (Item 2.5 above), thesis preparation, or any other expense which may be substantiated as a legitimate research or research-related cost.
- 2.15 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 the 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

- 2.16 A School/Faculty-based awareness programme is available for all postgraduate research students. The awareness programme will advise students, in an orientation and in writing, of the relevant Faculty/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.
- 2.17 Postgraduate student representation is available on all relevant School and Faculty policy-making bodies.
- 2.18 Students are to be provided with copies of the “Gold Book” and other appropriate documents which include documents covering intellectual property, university ethics procedures, etc. by the School/Faculty upon commencement of candidature. The latest version of this document is accessible at <http://www.une.edu.au/policies/pdf/knowledgeassets&intellectualproperty.pdf>
- 2.19 Upon enrolment, students are to be advised of the University dispute resolution procedures, as contained in the “Gold Book” which is provided upon enrolment.
- 2.20 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.
- 2.21 Upon commencement of candidature, the School is to provide the student with details of the School’s and Faculty’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 with current postgraduate students will report six monthly 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 and, if unresolved, should be forwarded to the Dean of the relevant Faculty who will make the final determination.

Policy endorsed by Academic Board 17th July 2006 and approved by Vice-Chancellor 9th March 2007
Review by Academic Board Higher Degrees Research Committee due March 2010 SED04/151

Appendix D

STUDENT / SUPERVISORS' CHECKLIST

The **Student / Supervisors checklist** has been provided for two reasons. Firstly, it will allow the PhD student to quickly determine if they have received all the support that is available to them. Secondly, it will allow the student and supervisors to determine if they have fulfilled all of their roles and responsibilities.

Discussion Item	Date	Tick on Completion
The student has been allocated and met with the Principal Supervisor (and Co-supervisor(s)) , where applicable).		<input type="checkbox"/>
The student and Supervisors have discussed the proposed research topic and are satisfied that the research topic suits the student's abilities and interests.		<input type="checkbox"/>
The student has been made familiar with the School's/Faculty's (or Centre's) facilities and been given orientation and induction to the School /Centre (or an agreed appointment has been made for orientation and induction).		<input type="checkbox"/>
The student and supervisor(s) have discussed and are agreed upon: a. the student's roles and responsibilities ; and b. the supervisors' roles and responsibilities .		<input type="checkbox"/>
Regular and suitable meeting times and means of communication, e.g. face-to-face meetings, telephone contact, e-mail, have been arranged and agreed upon between the student and Principal Supervisor.		<input type="checkbox"/>
The student and Principal Supervisor have discussed and are aware of the resources the student is entitled to.		<input type="checkbox"/>
The student has received or the Principal Supervisor has organised for the student to receive the resources that they are entitled to under the minimum facilities.		<input type="checkbox"/>
The student and Principal Supervisor have discussed the specialist support available and know how to access this help.		<input type="checkbox"/>
The student and Principal Supervisor have discussed the Support available (see Section 10 of the PhD Handbook).		<input type="checkbox"/>
The student and Principal Supervisor have discussed the way to address any problems that may be encountered during candidature (see Section 11, Postgraduate Handbook).		<input type="checkbox"/>

Student's signature

Principal Supervisor's signature

Date

NB: The Student and Principal Supervisor should each retain a copy and the original sent to Research Services.

APPENDIX E

SUPPORT SERVICES

The following is a list of support services available on campus that can assist students and supervisors during candidature. The list is not exhaustive and students should check with other sources, such as Supervisors or Faculty/School administration, if there is some specific assistance required that does not appear on the list below.

Don't Drop Out at: <http://www.une.edu.au/dontdropout/services.html> This site includes 'People you can talk to' at the following:

- Academic Skills Office (ph: 02 6773 3600; asohelp@une.edu.au)
- UNE Access Centres (Sydney, Tamworth and Taree contact details are provided)
- Chaplains (Anglican, Catholic and Uniting Church)
- Counselling and Careers Service (ph: 02 6773 2897; Careers.service@une.edu.au) also gives advice on student financial assistance
- Equity Office (ph: 02 6773 3591; equity@une.edu.au)
- Disability Adviser (ph: 02 6773 3487; disability.unit@une.edu.au)
- Pro Vice Chancellors/Executive Deans of Faculties (Pro Vice-Chancellor Research: Professor Peter Flood (Ph: 02 6773 5055; pvcr@une.edu.au), Faculty of Arts & Sciences, Professor Margaret Sedgley (ph: 02 6773 2303; margaret.sedgley@une.edu.au); Faculty of the The Professions, Professor Victor Minichiello (ph: 02 6773 3862; vminichi@une.edu.au)
- Health Services – Medical (ph: 02 6773 2916)
- International Office – International Marketing and Pathways and English Language and International Services (ph: +61 2 6773 3192; ipo@une.edu.au)
- Oorala Centre (ph: 02 6773 3034; <http://www.une.edu.au/oorala/>; oorala@une.edu.au), especially for Aboriginal and Torres Strait Islander students
- Research Services – Manager (ph: 02 6773 2070; fpearson@une.edu.au); Research Degrees and Scholarships Officer (ph: 02 6773 3745)
- Student Centre (ph: 02 6773 4444; studentcentre@une.edu.au)

Dean of Graduate Studies (ph: 02 6773 5099; dogs@une.edu.au) located in Research Services, top floor of Lambie Building

Teaching and Learning Centre (ph: 02 6773 2999; <http://www.une.edu.au/tlc/>; tlc@une.edu.au)

UNE Dixson Library (<http://www.une.edu.au/library/>)

Language Training Centre (ph: 02 6773 6430; lrc@une.edu.au)

Student Assist (<http://www.une.edu.au/student-assist/>)

postgrads@une (President's office ph: 02 6773 3422; president.postgrads@une.edu.au);
Administration Office ph: 02 6773 3419)

Safety and Security (ph: 02 6773 2099; security@une.edu.au)

APPENDIX F

RESEARCH DEGREE SUPERVISION AGREEMENT BETWEEN HIGHER DEGREE RESEARCH STUDENT AND SUPERVISORS

Student's Name: _____ Student No. _____

Principal Supervisor's Name: _____

Co-supervisor's Name: _____

Names of any additional Co-supervisors: _____

Preamble – The Higher Degree Research Committee requires all higher degree research students and their supervisors to discuss a range of relevant matters relating to candidature. The agreement is designed to cover matters to provide clarity and consistency of understanding between all those who are directly involved in the student's research project. The agreement's ultimate purpose is to set a strong and stable platform on which to construct a quality partnership and facilitate a successful outcome.

This agreement should be explored and the outcomes agreed upon having regard to the University's Postgraduate Handbook and the relevant Faculty/School documents and information.

A copy of the completed and signed document is to be provided to each of the supervisors and to the student, with the original being forwarded to Research Services for inclusion on the student's file.

The agreement is to be completed within 6 weeks of the student commencing candidature.

1. 0 Induction

Students need to be informed by Schools of the following:

- 1.1 The facilities available under the policy on Minimum Facilities for Postgraduate Research Students and the way these are accessed.
- 1.2 Any additional facilities available in the School above the minimum standards and the means to access these.
- 1.3 Internal students:
 - 1.3.1 The student has been shown the location of their office and other facilities in the School;
 - 1.3.2 The student has been introduced to the relevant School Administrative Officer.
- 1.4 Arrangements that have been made for the student to attend any required training and OH&S courses, or the process for nominating for that training.
- 1.5 Arrangements have been made for the student to have access to the web. In addition, the University Policy on web usage and download limits have been discussed.
- 1.6 Arrangements have been made for the student to access the library and library support / training; Endnote, electronic journals and inter-library loans have been discussed.
- 1.7 Contact information has been exchanged between the student and supervisors (e.g. telephone numbers e-mail).
- 1.8 Expectations and procedures for the Confirmation of Candidature process for doctoral students (see Sections 2.5.2 and 4.4)

1.9 Other Comments:

2.0 Meetings / Contact

2.1 Names of supervisory contact if not the Principal Supervisor (primary contact is usually between the student and Principal Supervisor):

2.2 Means of primary contact agreed upon, e.g. telephone, face-to-face meetings, e-mail:

2.3 Frequency of Primary Contact, e.g. daily, weekly, fortnightly, monthly:

2.4 Location of meetings and time (if required):

2.5 What happens if either person is unavailable for the arranged meeting?

2.6 What happens if either person does not regularly keep to the agreed contact arrangements?

2.7 What is the agreed process for recording the meeting and outcomes?

2.8 Other comments:

3.0 Roles / responsibilities of the Student and Supervisors

Note: The discussion in this section could include a discussion on supervision style and expectations, e.g. supportive, directive. Details regarding supervisor / student responsibilities and changes in supervision are contained in the Postgraduate Handbook. The discussion in this section enables these provisions and related issues to be explored.

3.1 Role and responsibilities of the Principal Supervisor.

3.2 Role and responsibilities of any Co-supervisor.

3.3 Role and responsibilities of the student.

3.4 Other comments:

4.0 Project Planning and Milestone Setting

Note: Details of what to do in the event that the student wishes to change research topic or thesis title are in Sections ... of the Gold Book.

4.1 What is a project plan and research timetable?

4.2 When is the initial project plan and research timetable to be submitted and how often are progress reports expected to be submitted to the supervisors?

4.3 How are changes on the project plan and research milestones to be agreed upon? (E.g. Student to submit written report to Principal Supervisor monthly for discussion at next scheduled meeting, written comments to be provided within 7 days of receipt by Principal Supervisor).

4.4 What measures are to be taken if the expectations in the timetable are not met?

Student: _____

Supervisors: _____

4.5 When is the research proposal to be finalised?

4.6 Other comments:

5.0 Publications and Intellectual Property

Note: There are sections in the Gold Book regarding Publications and Intellectual property (see Sections 8 and 9). The discussions in this section should be made in the context of that information.

5.1 What arrangements are in place to facilitate publication or conference presentations by the student during the course of the candidature?

5.2 What is the process for determining sole authorship, ordering of authors in any paper published?

5.3 What are some of the sources of information on writing a paper and what is the role of the supervisors?

5.4 Intellectual property should be identified as soon as possible in the project and registered with the University's Intellectual Property Officer (currently the Pro Vice-Chancellor (Research)). The form for registering Intellectual Property can be obtained from the Research Services Office (telephone 02 6773 2398).

5.5 What is intellectual Property and why is it important?

5.6 Use and acknowledgement of the work of others so as to avoid plagiarism. What is plagiarism and what happens if it is detected?

5.7 UNE has a policy on Intellectual Property. What is this about?

5.8 Other comments:

6.0 Ethics Approval

6.1 Is the student's research project likely to require approval of the University's Ethics Committee? If "yes" when should the student be seeking the approval?

6.2 Are there any other approvals, permits or permissions that may be required? If "yes" when should these be pursued and how should the student go about obtaining them?

6.3 Other comments:

7.0 Seminar and Other Presentation Opportunities

7.1 When will the seminar presentation in the School be required? See details on Confirmation of Candidature, Section 4.4 in the Gold Book.

7.2 What other opportunities exist for presentation, e.g. conferences?

7.3 Are there sources of funding available for attendance at conferences or other travel? (Information on scholarships for travel and short-term attachment should be directed to the Research and Scholarships Officer in Research Services—phone 02 6773 3745).

7.4 Other comments:

8.0 Agreement

Student's signature: _____ Date: _____

Principal Supervisor's signature: _____ Date: _____

Co-supervisor's signature: _____ Date: _____

APPENDIX G

JOURNAL-ARTICLE-FORMAT FOR PHD THESES AT UNE

GUIDELINES

At UNE the PhD course is described as one of 'advanced study and research' and the resulting thesis should be 'substantially an original contribution to the subject concerned' (UNE *Handbook 2007*, p.571). Exclusive of appendices, the thesis should not exceed 100,000 words for non-science subjects and for scientific subjects, the word length would normally not exceed 50,000 words.

Where the thesis contains supporting articles and/or papers which have been authored jointly, ***the candidate is required to indicate the extent and nature of their own and others' contributions.*** The nature and extent of the candidate's input must be precisely expressed for each paper at the end of the *Statement of Originality* (to the extent of identifying which figures or text are the candidate's original work). The nature and extent of the intellectual input by others must be explained clearly and acknowledged in the *Statement of Contribution by Others*. Where publications of others have been used, these must be stated, and clear and appropriate acknowledgment must be made to the other authors. The name of the principal author must be clearly stated.

Two statements shall appear at the end of each chapter, the *Statement of Contribution by Others*, and the *Statement of Originality*. These must be signed by the candidate and the Principal Supervisor, who must certify that all co-authors have given their consent for having their work included in the thesis and that they accept the student's contribution as indicated in the *Statement of Originality*. In addition, the thesis should present an integrated body of work.

Guidelines for structuring journal-article-format theses are as follows:

Fore-section needs to include:

1. *Title page* showing the title of the thesis, the full name of the candidate together with their prior degrees and other qualifications indicating the awarding institutions, and the date when submitted for the degree;
2. *Declaration* – a statement signed by the candidate certifying that the work has not been and is not being submitted for any degree to this or any other university. The candidate will also certify that all help received in preparing the thesis and all sources used, are duly acknowledged;
3. *Acknowledgements* – these are optional;
4. *A table of contents* indicating clearly how the thesis is structured and how the journal articles are organised;
5. *Tables, diagrams and abbreviations* where appropriate; and
6. *An abstract or summary* of approximately 300-400 words.

The body of the thesis then follows, with pages numbered consecutively.

1. The first section of the body of the thesis should be an ***Introduction*** which should make clear the aims and focus of the study, identify its significance, and set the frame and sequence for each of the papers that follow. Its maximum length need only be 20-30 pages.
2. A number of chapters, which may be written in the format of a self-contained journal article, will follow. These need not have been submitted to any journal. Each chapter must include by the candidate a signed *Statement of Originality* and *Statement of Contribution by Others*.
3. Chapters of the thesis and self-contained articles need to be integrated and therefore need to flow cogently from one to another. It needs to be made clear how the chapters are linked and how they contribute to each other.

4. The final chapter should provide integrative **Conclusions**, drawing together all the work described in the journal-article-format parts of the thesis and relating this back to the issues raised in the Introduction.
5. A consolidated list of references for all chapters should be included.

APPENDIX H

UNIVERSITY OF NEW ENGLAND

INFORMATION FOR PHD EXAMINERS

1. PHD RULES

A copy of the rules governing the degree is available on the Web at

<http://www.une.edu.au/policies/pdf/phdrules.pdf>

2. STANDARD OF EXAMINATION

The University of New England sets a standard of training and achievement for its PhD degree whereby the award provides supervised training and education with the objective of producing graduates with the capacity to conduct research independently at a higher level of originality and quality which meet national and international standards.

The University expects a PhD thesis to be well written and to reveal an independence of thought and approach, a deep knowledge of the field of study and to have made a substantive original contribution of knowledge. The PhD candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories, the development of new interpretive arguments/frameworks, innovative critical analysis, and/or the innovative re-interpretation of known data and established ideas.

The work embodied in the thesis is the sole requirement for the UNE PhD degree, normally accomplished over a period of three years of full-time equivalent work. Success or failure in the UNE PhD programme is determined by thesis examination alone.

Though the achievement of a definitive solution to the research problems is always a desirable outcome of a PhD candidature, the primary purpose of candidature is advanced training in the application of relevant research methods within a specific disciplinary or cross-disciplinary area. It is therefore important that the skill, competence and ability of the candidate be assessed fairly, irrespective of the finality or significance of the research results.

It is crucial that examiners consider the candidate's PhD thesis solely on its merits as an independent piece of supervised research irrespective of whether the thesis adopts an approach which may be considered as not falling within the mainstream or established research paradigm for the discipline, and irrespective of whether the candidate's approach to the research is the same as that which the examiner might have used in such a study.

3. EXAMINER'S REPORT

Each examiner is asked to submit a detailed independent report (usually no less than two standard pages) together with a completed summary recommendation form. In their report, examiners are requested to include comments on both the strengths and weaknesses of the thesis.

The Higher Degrees Research Committee is aware that both PhD theses and examiners' reports can vary substantially in their format and style, but the Committee requests each examiner's comments, **where appropriate**, address the following criteria:

- (i) Does the candidate show sufficient familiarity with, and understanding of, the relevant literature?
- (ii) Does the thesis provide a sufficiently comprehensive investigation of the topic?
- (iii) Are the methods and techniques adopted appropriate to the subject matter and are they applied suitably?
- (iv) Are the results set out clearly and logically and accompanied by adequate exposition and interpretation?

- (v) Are conclusions and implication developed appropriately and linked clearly to the nature and content of the research framework and findings?
- (vi) Is the literary quality and general presentation of the thesis of a suitably high standard?
- (vii) Does the thesis as a whole constitute a substantive original contribution to knowledge in the subject area with which it deals?

If examiners recommend 'the candidate be permitted to revise and resubmit the thesis for re-examination' we would appreciate a clear indication of what the examiner feels will bring the thesis up to an acceptable level.

The Higher Degrees Research Committee would welcome any other comments of a general nature which may be of assistance to the Committee, the candidate and the supervisors. For example, examiners may wish to comment with respect to potential publishable content within the thesis. A list of errata should also be provided if possible.

Copies of examiners' reports are made available to the candidate and the supervisors after they have been considered by the Higher Degrees Research Committee and a decision has been made. An examiner may ask that his or her identity not be revealed to the candidate.

4. TIME FOR EXAMINATION

The Higher Degrees Research Committee is anxious to ensure that the examination process be completed as quickly as possible. The Committee regards two months as a sufficient period for an examiner to complete a report and asks particularly that examiners who feel unable to complete their examination within this period write as soon as possible to the Secretary of the Higher Degrees Research Committee to provide an estimate of when the report will be available.

5. ORAL EXAMINATIONS

UNE does not employ oral examinations.

6. ACTIONS THAT COULD FOLLOW SUBMISSION OF YOUR REPORT

(a) If Recommendation is Not to Award the Degree

If, after considering all of the examiners' reports, the Higher Degrees Research Committee intends to make the recommendation that the degree not be awarded, the candidate will be given an opportunity to respond to the examiners' comments. In such cases the candidate shall be allowed a maximum of eight weeks from the date of the letter of notification by which to submit a response. The Committee will refer such response to the examiners for comment and final recommendation.

(b) If There is Disagreement Among the Examiners

In the event of disagreement among the three examiners of a PhD thesis, the Higher Degrees Research Committee may request the examiners to consult in order to present an agreed recommendation. One of the examiners will be invited to convene such consultation.

(C) IF RECOMMENDATION IS TO REVISE AND RESUBMIT THE THESIS

In cases where the recommendation is that the candidate be permitted to revise and resubmit his or her PhD thesis, the Higher Degrees Research Committee will advise the candidate that the revised thesis must be re-submitted within twelve months full-time equivalent from the date of the letter advising of the revision. The Higher Degrees Research Committee will normally prefer that the examiners of the original version also examine the revised thesis. Examiners of the revised thesis will be provided with copies of all examiners' reports on the original version of the thesis so that they will be aware of all suggestions and/or criticisms made available to the candidate in revising the thesis.

7. COPY OF THESIS

Examiners may retain the copy of the thesis upon completion of the examination process. If examiners wish to annotate the thesis for the information of the candidate they should return it to Research Services by air mail or courier with their examination report and summary recommendation form. The University will be pleased to reimburse the cost of return postage, on receipt of a statement of the cost. Where an embargo has been placed on access to the thesis the examiners will be advised of the period of restriction and will be requested to observe the embargo in keeping with University policy and Australian copyright law.

Your report and completed PhD Examiner's Summary Recommendation form should be addressed to the "Secretary, Higher Degrees Research Committee, Research Services, University of New England, ARMIDALE, NSW, 2351, Australia" marked "Confidential". They must not be sent to any other person.