

Procedures of Graduate Research

1 Board of Graduate Research

- (1) The Board of Graduate Research (the Board) in accordance with the Rules of Graduate Research determines the following Procedures for administering the Rule.

2 Admission

- (1) Prospective graduate research candidates must lodge an application for admission to candidature on the form available from the Secretary of the Board.
- (2) The Head of School is required to recommend whether or not the candidature should be approved. If approval of candidature is recommended the Head of School shall:
 - (a) recommend full-time or part-time candidature (doctoral candidates shall normally undertake at least one year of the research program on a full-time basis);
 - (b) nominate a supervisor, or co-supervisors;
 - (c) provide the names, affiliations and contact details of the proposed research supervisor/s;
 - (d) complete the supervision agreement, providing a description of the supervision arrangements and responsibilities;
 - (e) provide details of any additional studies such as coursework required to be undertaken by the candidate; and
 - (f) certify that the school will make available adequate and appropriate facilities and supervision arrangements for the candidate's program of research.
- (3) Furthermore, if approval of candidature is recommended, and a candidate wishes to undertake part of their candidature externally, the Head of School shall provide details of the proposed external study. The candidate is normally required to undertake their program at the university for at least 12 months (equivalent full-time) for a doctoral and at least 8 months (equivalent full-time) for a masters degree. However, a shorter period may be approved provided the following conditions are met:
 - the candidate spends some period of time on campus, especially during the early phase of candidature. This is to allow face-to-face contact with the supervisor(s) to discuss the planning and execution of the research project and to familiarise the candidate with the research environment at the University of Tasmania. Face-to-face contact may also be facilitated by the supervisor(s) meeting the candidate in the candidate's usual place of residency,
 - there is facility for frequent and high-quality contact between the candidate and the supervisor(s) (e.g. by email, facsimile, telephone, video-link),
 - the candidate has adequate access to the relevant literature for the research project,
 - the candidate is situated in an environment that has a research culture and provides the opportunity for exchange of ideas and critical engagement with others regarding the testing-out of research conclusions and methods, e.g. the opportunity for oral presentation of work.
- (4) Graduate research candidates at other institutions who wish to transfer their candidature to the University of Tasmania must obtain the support of the relevant University of Tasmania Head of School. Candidates should discuss transfer

arrangements with the Board of Graduate Research through its Secretary. Transfer with appropriate credit is possible provided that:

- the research and supervision to date have been of an appropriate standard,
- the nature of the research that the candidate intends to pursue is sufficiently related to previous research that both previous and proposed research could be submitted as parts of a single thesis, and
- none of the research for which credit is sought has been submitted for another degree.

Applicants must complete an application for approval of graduate research candidature. It will be assessed against the same criteria that pertain to new applicants. If approved, the normal conditions of candidature will apply.

- (5) A head of school who recommends admission under *Rule* 113.5.1 (b), (d), (e) or (f) must certify that the applicant has reached a standard equivalent at least to that of a bachelor degree with upper second class honours.
- (6) A Head of School who recommends admission under *Rule* 113.6 (b) or (d) must certify that the applicant has reached a standard equivalent at least to that of a bachelor degree with second class honours.
- (7) The Board, on the advice of the Head of School, shall:
 - (a) approve the program of research and other studies required of the candidate;
 - (b) approve the supervisory arrangements in accordance with Procedure 5;
 - (c) determine the date of commencement of candidature; and
 - (d) determine the minimum and maximum periods of candidature.
- (8) The Secretary of the Board shall advise the applicant in writing of the outcome of the application for candidature. If candidature is approved, the applicant shall be advised of the conditions of the candidature.
- (9) Subsequent to approval of candidature, the candidate is required to submit a preliminary research plan, endorsed by the candidate, the candidate's supervisor/s and Head of School, within the first three months (full time) or first six months (part time) of the date on which candidature commenced. (Candidates enrolled in the Doctor of Education, EdD, Doctor of Psychology, DPsych, or Doctor of Philosophy (Clinical Psychology), PhD (Clin) have up to nine months from commencement to submit their plan.) The plan should assist the candidate in starting his or her research. However, it is recognised that as candidature progresses, it is likely that the plan will require amendment and updating. The preliminary research plan should be submitted on the standard University form which can be downloaded from the Graduate Research website.

The Secretary of the Board of Graduate Research will advise candidates of the requirement for a preliminary plan at the time of commencement of candidature.

3 Masters preliminary

The course of advanced study prescribed for a candidate admitted under *Rule* 113.6.1(c) shall normally require the equivalent of one year of full-time candidature or two years of part-time candidature. When forwarding an application for approval by the Board of Graduate Research, the Head of School should specify for the particular candidate the course of supervised advanced study and the requirements of the preliminary examination.

The Head of School should also make the case for it not being possible, necessary or appropriate for the particular candidate to proceed through a standard honours program.

On the basis of the result of the preliminary examination, the Head of School will recommend or not recommend confirmation of candidature. This recommendation should include a statement of a result in terms of an equivalence with a grade of honours. The candidate's research project should be submitted to the Board along with the report of at least one examiner and certification by the Head of School. The standard achieved must be at least equivalent to that of a bachelor degree with second class honours for continuation of candidature to be approved.

4 Enrolment and re-enrolment

The candidate must enrol annually in the manner and by the date determined by the Academic Registrar.

- (1) Applicants and candidates must seek the approval of the Board before enrolling in any other course of study.

5 Supervision arrangements

- (1) The supervisor or co-supervisors shall by virtue of formal qualifications and published work have achieved a standing which in the opinion of the Board is at least that of the degree for which candidature is sought. The supervisor or co-supervisors shall not normally supervise more than the equivalent of seven full-time candidates. The primary supervisor or first named co-supervisor must be a member of the school in which the candidate is enrolled. Primary and co-supervisors must be registered by the Board of Graduate Research. Where a co-supervisor or research supervisor from another school is appointed, these appointments must be approved by the heads of both schools.
- (2) A research supervisor need not be a member of the staff of the University. The Board shall not normally appoint more than one research supervisor. An Honorary Research Associate cannot be a primary or first named co-supervisor.
- (2) In the case where the Head of School is the supervisor or the candidate is a staff member in the school, a supervisory consultant shall be appointed by the Board on the nomination of the head. The consultant will normally be the head of another school or a senior member of the head's school who is an experienced supervisor.
- (4) The Head of School may automatically become the supervisor under *Rule 113.7.4*. The head may nominate a new supervisor or an acting supervisor. If the Head of School is the supervisor for more than three months, a supervisory consultant shall be appointed.
- (5) With the exception of candidates enrolled for a higher doctorate, graduate research candidates cannot be appointed as a primary or co-supervisor.
- (6) In cases in which the candidate wishes to make a complaint about supervision the matter should first be discussed with the supervisor(s), or if preferred, the Graduate Research Coordinator/s or Head of School. If the matter remains unresolved, a formal complaint may be made in accordance with clause 21 of the *Rules of Graduate Research*.

6 Annual review

An annual review must be made of progress of the candidate by the school, involving at least the Head of School or nominee, the supervisor and the candidate. A report on the review and a one-page progress statement from the candidate must be provided by the Head of School to the Secretary of the Board by the prescribed date. Continuation of candidature is subject to a satisfactory report.

7 Changes to conditions of candidature

- (1) Any change to conditions of candidature must be approved in advance by the Board. A request to change supervision arrangements, extend, suspend, or alter conditions of candidature approved under *Rule* 113.7, 8, 10, 11 or 12 must be submitted on the appropriate form to the Secretary of the Board through the supervisor and Head of School.
- (2) The candidate must notify the Secretary of the Board on the appropriate form of any changes to personal details such as name, address or citizenship, and provide information on other circumstances which may affect the progress of the degree.
- (3) A candidate who withdraws from candidature must notify the Secretary of the Board on the appropriate form.
- (4) Proposed changes to conditions of candidature should be discussed with the supervisor(s) prior to completion of the appropriate form.

8 Lapse

Should the candidate not fulfill the formal requirements of candidature, as determined by the School or the Board, within a reasonable time, the Head of School can recommend to the Board that candidature be lapsed. Following the lapse of candidature, reinstatement is possible under certain circumstances. An application for reinstatement must be made in writing to the Secretary of the Board, and accompanied by a recommendation from the supervisor and the Head of School.

9 PhD or masters by previous publication and PhD or masters by previous unpublished research

- (1) Information describing the conditions and procedures of both awards are available on the Graduate Research website.

10 Preparation of the thesis for examination

- (1) Only in exceptional circumstances will the Board give approval for the thesis or exegesis to be written in another language. Approval must be sought at the time of applying for a graduate research candidature, for submission of a thesis written in a language other than English. Where approval is given by the Board, the thesis or exegesis submitted for examination must contain a substantial summary and abstract in English. Lack of proficiency in English language is not an exceptional circumstance.
- (2) A thesis or exegesis cannot be submitted for examination unless the appropriate ethics approval has been given, if required.
- (2) Primary responsibility for editing a graduate research thesis lies with the candidate and supervisor. The Board will not allow the use of professional editors. A professional proof reader may be used only to assist with formatting, grammar and style. The proof reader must not alter or improve the substantive content or conceptual organisation of the thesis. The supervisor must oversee the process and monitor professional proof reading on an individual basis. Only in rare circumstances will the Board approve a claim for proof reading against a scholarship thesis allowance. Claims for proof reading undertaken by a partner or

relative of the candidate will not be approved and candidates will be required to disclose to the Board whether there is any personal or professional relationship with the proof reader before any claim can be considered.

- (4) The written thesis must incorporate in the following order –
(a) a title page which contains:

(title)
by
(author, degrees)
Submitted in fulfilment of the
requirements for the Degree of
Doctor of xxxxxx or appropriate
Degree of Master
University of Tasmania (month, year)

Note: Should the thesis require corrections, the month and year on the title page must be the month and year of submission of the final copies following all examinations and corrections;

- (b) a signed statement that the thesis contains no material which has been accepted for a degree or diploma by the University or any other institution, except by way of background information and duly acknowledged in the thesis, and to the best of the candidate's knowledge and belief no material previously published or written by another person except where due acknowledgement is made in the text of the thesis, nor does the thesis contain any material that infringes copyright.
- (c) a signed statement setting out the extent to which the Library copy of the final thesis can be copied and communicated. This statement should reflect any agreement which exists between the University and an external organisation (such as a sponsor of the research) regarding the work. Examples of appropriate statements are included on the Graduate Research website - see statement of authority.
- (d) an abstract of up to 400 words;
- (e) an acknowledgement of any help given or work carried out by another person or organisation;
- (f) a table of contents;
- (g) an introduction, which may include a statement of conditions which have imposed limitations on the work;
- (h) the main text; and
- (i) bibliography or reference list of all books, articles and other sources mentioned in the body of the thesis.
- (5) The length and precise format of the written thesis are not prescribed. Information on these matters will be provided by each school during annual induction sessions for new graduate research candidates, and this information will be updated as appropriate. The format will be decided in consultation with the supervisor, be consistent within the thesis, and conform to the following general guidelines.
- (a) The thesis must be printed or typed on good quality A4 paper (297 mm x 210 mm). Printing on both sides of the paper is permitted provided the paper is heavy enough; it should be noted that corrections can be more difficult to make when both sides are used, and some examiners prefer single-sided printing. The print size of text in the main body of the thesis should not be less than 10 point, with spacing and line length appropriate to the font size.

Margins must be not less than 45 mm on the binding side and other margins must be at least 20 mm to allow for trimming.

- (b) The format of the bibliography or reference list should be decided in consultation with the supervisor. The following details shall be included for each type of entry:
 - (i) a book: author(s); title; editor(s) (if any); number of volumes (if more than one); edition (if other than the first); publisher; place of publication; year of publication;
 - (ii) an article in a book: author(s); title of article; title and publication details of the book; first and last page numbers of the article;
 - (iii) a journal article: author(s); title of article; title of journal; volume number; year of publication; first and last page numbers of article; and
 - (iv) other sources: as approved by the Board on the recommendation of the Head of School.
 - (c) Photographs or mounted illustrations should normally be reproduced on A4 paper and bound in the appropriate places in the text. If photographic and other illustrations are smaller than A4 they must be securely fixed.
 - (d) A candidate who has publications relevant to the thesis may include reprints which should be placed in a pocket attached to the inside of the back cover of the thesis. A candidate who is submitting for a PhD work based primarily on previous publications should normally incorporate publications in the main body of the text. (See Graduate Research website.
 - (e) The thesis may incorporate or include in the body of the text or be included in whole or part in the appendix any publication resulting from research completed during candidature. A candidate will not be precluded from incorporating such published research in the thesis. Candidates must adhere to the conventions within their particular discipline concerning the acceptability of making reference to their own research, and these must be consistent with guidelines set out in the Code of conduct in supervision and the Statement and guidelines on research practice.
 - (f) Where the candidate has co-authored published papers that are included in the body of the text or are included in whole or in part in the appendix, a statement of authorship outlining the candidate's contribution to the published work should be prepared (for each published paper) and kept in the School. Ideally each statement should be prepared at the time the paper is written. This statement should provide details of the proportionate authorship of each of the co-authors and, where practical, should be signed by all co-authors. The statement should be footnoted in the relevant sections of the thesis. A further statement should be prepared by the candidate's supervisor(s), for inclusion in the thesis, attesting to the contribution of the candidate and the co-authors, and making reference to the statement(s) held on file. It should comprise a list of the published papers, identify the contributions of each author and be signed by the supervisor(s). This statement should be bound into the thesis, appearing after the candidate's statement concerning authority of access (refer procedure 10 (4) (c)).
- (6) Where other materials are to be examined, such as in the areas of music or fine arts, the candidate must seek approval of the form and presentation by the Board as early as possible.

11 Submission of the thesis

- (1) A candidate may choose to submit the thesis despite advice from the Head of School that it is not suitable for submission.

- (2) Eight weeks before submitting the thesis for examination the candidate shall give the Head of School notice in writing of the intention to submit which includes:
 - (a) the title of the thesis;
 - (b) a summary of the thesis up to 400 words;
 - (c) the intended date of submission;
 - (d) any statement provided under *Rule 113.15.2*; and
 - (e) where the examination involves materials other than a written thesis, a description of their form and presentation.
- (3) The notice of intention to submit shall be forwarded to the Secretary of the Board by the Head of School, who shall at the same time certify that any other prescribed studies have been completed.
- (4)(a) Three bound copies of the written thesis are to be submitted for examination. These may be soft bound with card or plastic covers to facilitate making minor corrections prior to lodgement of the final copies in accordance with Procedure 13. The name of the candidate, the title of the thesis, the year of submission, and abbreviated name of the degree should be given on the spine of the document, or on the front cover, or both. Signed statements which appear in the thesis must have original signatures, not photocopies.
 - (b) The copies of the thesis must be accompanied by a completed submission of thesis form, on which the Head of School has indicated whether the school regards the thesis as suitable for submission.
 - (c) Candidates are strongly encouraged to submit a Postgraduate Submission Survey when submitting their thesis for examination.

12 Appointment of examiners

- (1) All examiners shall be appointed in accordance with Procedures 12(2) to (8) below.
- (3) The Board shall appoint examiners of the thesis who are external to the University on the basis of their internationally recognised expertise in the field of study.
- (4) The Board shall request the Head of School to provide three nominations for examiners, in order of preference. Normally, the examiners should be from outside the University and at least one should be from outside the Australasian region. If an examiner is from within the University or if all of the examiners are from Australasia, the Head of School is required to make a special case to the Board. The Head of School shall consult academic staff of the school before making recommendations, which must be made on the prescribed form.
- (5) If any of the nominated examiners have had personal involvement or association with an organisation that has provided scholarship or project funding for the candidate the level of involvement must be specified on the form.
- (5) The Board would not normally approve the nomination of an examiner if the nominated examiner has had any formal association with, attachment to, or significant presence in:
 - (a) the School, or
 - (b) research centre, or
 - (c) location of the candidate's research, or

- (d) the place of the candidate's employment unless the association has ceased and a period of five years has elapsed.
- (6) Candidates are not permitted to have communication about the process of examiner selection with potential, nominated or confirmed examiners.
- (7) The Board shall consider any statement provided under *Rule 113.15.2* prior to the selection of examiners.
- (8) The Secretary of the Board will formally invite those selected to act, and ask them to complete the examination within five weeks of receiving the thesis. If necessary further nominations of examiners will be sought.
- (9) All communication with appointed examiners must be conducted by the Secretary of the Board.

13 Examination of the thesis

General practices

- (1) The Board shall seek the support of two examiners before recommending the award of the degree.
- (2) The thesis shall initially be examined by two or more examiners as determined by the Board.
- (3) The examiners shall be advised by the Secretary where the examination involves material in addition to a written text, and the arrangements for the examination.
- (4) The examiners shall be advised by the Secretary where a thesis is based primarily on published work
- (5) An examiner who requires the candidate to respond to questions on the thesis in accordance with *Rule 113.18.2* shall send the list of questions to the Secretary of the Board. The Secretary shall obtain the responses from the candidate and send them to the examiner.
- (6) Each examiner shall report independently in writing to the Board.
- (7) When all the required reports have been received from the examiners, the Secretary shall send copies of the examiners' recommendation form and reports which do not identify the examiner or their contact details, to the Head of School who shall consult with the supervisor and submit to the Board comments and recommendations regarding them.
- (8) At each stage the Board shall consider the recommendations of the examiners and the Head of School before determining how to proceed to the next stage.
- (9) If the condition in 13(1) is not met, the Board may choose some or all of the following:
 - (a) If there is a difference in substance between the recommendations of the examiners, the Board may invite them to consult with one another as appropriate in an attempt to resolve the difference.

- (b) If the thesis has been examined by only two examiners, a third examiner can be appointed in accordance with Procedure 12. The appointment of the third examiner is usually made if the two examiners are in significant disagreement concerning the recommended level of award. Normally, in this case the third examiner will be provided with copies of the assessment from both examiners, an unmarked copy of the thesis and the notes for guidance of examiners.
- (c) The candidate can be invited to revise the thesis taking account of the comments of the examiners, and submit it for re-examination.
A revised thesis may have sections rewritten or extended, a defence of the original text added, or both. There shall be at most one re-examination.

Examination (Doctorate)

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

That the degree:

- (a) be awarded;
- (b) be awarded provided that the passages and textual errors identified in my report are revised or corrected to the satisfaction of the Head of School;
- (c) be awarded provided that the substantial revisions recommended in my report are undertaken to the satisfaction of the Head of School;
- (d) be not yet awarded but that the candidate be permitted to revise the thesis in response to the examiners' reports and submit it for re-examination;
- (e) (i) not be awarded but the appropriate degree of master be awarded; or
(ii) not be awarded but the candidate be permitted to revise the thesis and resubmit it for the degree of master; or
- (f) not be awarded and the candidate not be permitted to resubmit the thesis for the degree.

An examiner who makes the recommendation 13(10) (a) should highlight the strengths of the thesis in the written report. An examiner who makes the recommendation 13(10) (b) must state clearly the specific corrections that the candidate should make. An examiner who makes the recommendation 13 (10) (c) must clearly state the corrections that the candidate should make and must state clearly the areas within the thesis that must be addressed. An examiner who makes one of recommendations 13(10) (d), (e) or (f) must state clearly the weaknesses and major shortcomings of the thesis which led to that recommendation.

Examination (masters)

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

That the degree:

- (a) be awarded;
- (b) be awarded provided that the passages and textual errors identified in my report are revised or corrected to the satisfaction of the Head of School;
- (c) be awarded provided that the substantial revisions recommended in my report are undertaken to the satisfaction of the Head of School.
- (d) be not yet awarded but that the candidate be permitted to revise the thesis in response to the examiners' reports and submit it for re-examination; or
- (e) not be awarded and the candidate not be permitted to resubmit the thesis for the degree.

An examiner who makes the recommendation 13(11) (a) should highlight the strengths of the thesis in the written report. An examiner who makes the recommendation 13(11) (b) must state clearly the specific corrections that the

candidate should make. An examiner who makes the recommendation 13(11) (c) must clearly state the corrections that the candidate should make and must state clearly the areas within the thesis that must be addressed. An examiner who makes one of recommendations 13(11) (d) or (e) must state clearly the weaknesses and major shortcomings of the thesis which led to that recommendation.

Corrections without re-examination

- (12) If the Board determines to accept a recommendation that the degree be awarded provided that substantial revisions are made to the thesis, a date shall be set by which the revised thesis must be submitted, and an internal committee of review shall be established to consider the corrections to the thesis. The candidate shall be provided with copies of the reports of the examiners for use during the revision.
- (13) The Head of School shall submit a recommendation to the Board on the composition of the committee of review. In circumstances where the School has an established research committee, which includes an academic external to the School, this committee may be used as the committee of review for the purposes of this clause. In all other cases the Head of School shall establish a committee of review comprised of the Head of School (or nominee), an internal member of the School or Discipline, and at least one other disinterested person, from within the Faculty with expertise in the field of research in question. The candidate's supervisor will act as consultant to the committee.
- (14) The Head of School shall convene and chair the committee of review and report the committee's recommendation to the Board.

Re-examination

- (15) If the Board determines that the thesis is to be revised, a date shall be set by which the revised thesis must be submitted. The candidate shall be provided with copies of the reports from the examiners for use during the revision.
- (16) A thesis which has been revised and submitted for re-examination shall wherever practicable be examined by the examiners who did not accept the original version. Where an examiner is unable or unwilling to act again the Board shall appoint a new examiner in accordance with Procedure 12.
- (17) Each examiner shall select one of the following recommendations for inclusion with the report on the re-examination.
- That the degree:
- (a) be awarded;
 - (b) be awarded provided that the passages and textual errors identified in my report are revised or corrected to the satisfaction of the Head of School;
 - (c) in the case of doctoral candidates only: not be awarded but the appropriate degree of master be awarded; or
 - (d) not be awarded.
- An examiner who makes the recommendation 13(17) (a) should highlight the strengths of the thesis in the written report. An examiner who makes the recommendation 13(17) (b) must state clearly the specific corrections that the candidate should make. An examiner who makes one of recommendations 13(17) (c) or (d) must state clearly the weaknesses and major shortcomings of the thesis

which led to that recommendation. The appointment of a third examiner may be made if the two examiners are in significant disagreement concerning the re-examination. Normally, in this case the revised thesis, the thesis assessment from both examiners involved in the re-examination and the revised thesis form will be provided to the third examiner.

Determination

(18) The Board shall consider the recommendations of the examiners and the Head of School before determining whether the candidate has satisfied the requirements for the award of the degree.

Confidentiality of reports

(19) Where the thesis is to be revised taking account of the comments of examiners, the reports and recommendations shall remain confidential until the Head of School's recommendation on the examiners' reports has been considered by the Dean and approved. The Secretary shall advise the candidate in writing of the outcome of the examination and provide unidentified copies of the examiners' reports. Following receipt of advice from the Head of School that the thesis has been revised to their satisfaction, if required, and that the degree can now be awarded and approval given by the Board, the candidate will be advised of the names of examiners, unless an examiner has asked that his or her identity be kept confidential.

The candidate will not be provided with copies of the examiners' reports which identify the examiner or their contact details at any stage of the examination process or following award of the degree.

14 Lodgement of the final copies of the thesis

The degree will not be awarded until two hard-bound copies, or three B5 perfect bound copies, of the written thesis incorporating any changes required by the examiners have been received by the Secretary of the Board. The following must be printed in suitably sized letters on the spine of the thesis: the name of the candidate, the full or short title of the thesis, the year of final submission, and the abbreviation of the name of the degree. The candidate must also lodge any other material presented for examination in the form required by the Board.

15 Voluntary Submission of Thesis in Digital Format

Candidates who wish to submit their final accepted thesis for cataloguing with the Australian Digital Thesis Repository should submit the thesis to the Secretary in digital format on a compact disc in accordance with the technical specifications described on the Utas Library website.

Candidates choosing to submit their thesis for inclusion in the ADT Repository must still submit their thesis in hard copy in accordance with procedure 14. The compact disc will normally be submitted at the same time as the final accepted copies are submitted as described in procedure 14.

The Secretary will lodge the digital thesis with the Library following graduation.

Access to the digital thesis will be subject to the conditions of access contained in the thesis in accordance with procedure 10(4)(c).