Section 6 - Rules and Regulations

PROGRESS, SUPERVISION AND ASSESSMENT REGULATIONS: THeses AND OTHER EXAMINABLE RESEARCH WORKS

1. GENERAL
These Regulations apply to the categories of examinable work that are submitted as the results of the research undertaken in any of the following types of programs:

- Research Higher Degree programs
- Coursework programs with research component

These are programs containing a research component which is 66% or more of the whole program.

1.1 Doctor of Philosophy
1.2 Research Professional Doctorate
1.3 Master by Research

1.4 Coursework Professional Doctorate
1.5 Master by Coursework and Dissertation
1.6 Bachelor (Honours)

The categories of examinable work are:

- Thesis (print and non-print)
- Dissertation (print and non-print)
- Portfolio
- Project

See clauses 2.4.1 and 3.4 for definitions of these categories of examinable work.

2. RESEARCH HIGHER DEGREE PROGRAMS

2.1 Minimum and Maximum Periods of Candidature

2.1.1 Minimum Time
2.1.1.1 Doctor of Philosophy
A candidate for a Doctoral degree, whether completing a program by full-time or part-time study, or by a combination of full-time and part-time, shall not normally be permitted to submit a thesis for examination:

- within the first two years of candidature, for part-time candidates.

2.1.1.2 Master by Research
A candidate for a Master degree shall not normally be permitted to submit a thesis for examination:

- within the first year of candidature, for full-time candidates;
- within the first two years of candidature, for part-time candidates.

2.1.3 Research Professional Doctorate
A candidate for a research professional doctoral program shall not normally be permitted to submit a thesis or portfolio for examination until the end of the fourth session of enrolment (which excludes sessions of leave of absence).

2.1.2 Maximum Time

2.1.2.1 Doctor of Philosophy
A full-time candidate will be expected to present his or her thesis for examination within four years of the date of the initial enrolment in the course, excluding periods of approved leave of absence.

A part-time candidate will be expected to present his or her thesis for examination within eight years of the date of the initial enrolment in the course, excluding periods of approved leave of absence.

A candidate who completes his or her course by a combination of full-time and part-time study will be expected to present his or her thesis for examination within an equivalent of four years full-time study, excluding periods of approved leave of absence.

2.1.2.2 Master by Research
A full-time candidate will be expected to present his or her thesis for examination within two years of the date of the initial enrolment in the course, excluding periods of approved leave of absence.

Part-time candidates will be expected to present their thesis for examination within four years of the date of their initial enrolment in the course, excluding periods of approved leave of absence.

A candidate who completes his or her course by a combination of full-time and part-time study will be expected to present his or her thesis for examination within an equivalent of two years full-time study, excluding periods of approved leave of absence.

2.1.2.3 Research Professional Doctorate
Candidates will be expected to submit their thesis or portfolio for examination no later than the end of the 16th session of enrolment, excluding periods of approved leave of absence.

2.1.3 Variations
Variations to these requirements may be approved by the Board of Graduate Studies (hereafter referred to as the Board) if exceptional circumstances apply, but only on the recommendation of the Dean of the Faculty in which the candidate is enrolled.
2 - Rules and Regulations

2.2. Progress
A candidate shall undertake a program of study and research under supervision in order to complete a thesis or portfolio for examination.

2.2.1 Probationary Candidature
2.2.1.1 Probationary Period for All Candidates
Admission to candidature for any research higher degree research program shall, initially, be on a probationary basis unless otherwise determined by the Board.

Probationary candidature shall normally last for a period of one year (full-time equivalent).

The Faculty Sub-Dean for Graduate Training (hereafter referred to as the Sub-Dean) shall, in consultation with the candidate and supervisors, specify the conditions of this probationary period on the appropriate form at the time of admission.

2.2.1.2 Progress During Probation
The Sub-Dean, in consultation with the candidate and supervisors, shall consider the candidate’s progress during the probationary period.

Upon the completion of probation, the Sub-Dean shall recommend to the Dean of Faculty, and then to the Board, that:

a) the candidature be confirmed; or
b) the candidature be terminated.

If the candidature is confirmed, then the period of candidature will normally be deemed to have begun from the date of commencement of study.

If the progress is considered unsatisfactory, the Faculty shall provide clear reasons for the recommendation to terminate the candidature. (These reasons shall be transmitted to the candidate via the Admissions and Progress Sub-Committee of the Board.)

2.2.1.3 Conditions of the Probationary Period
The Sub-Dean shall specify the conditions of probation (see clause 2.2.1.1 above).

The conditions shall depend upon the background of the candidate and Faculty and research program requirements.

These conditions may include any or all of the following components:

a) attendance/participation at induction;
b) completion of any specified coursework subjects;
c) completion of a literature review/synopsis of literature;
d) presentation of a seminar;
e) submission of the research proposal; or
f) other additional conditions specified by the Faculty and approved by the Board.

Compliance with the Conditions of Probation specified by the Faculty for each candidate shall be monitored by the Centre for Research and Graduate Training.

2.2.2 Additional Subjects
During the program, a candidate may be required to study additional subjects and pass such examinations as the Board may prescribe on the recommendation of the Dean.

2.2.3 Research Proposal
Within the first six months of full-time candidature (or one year of part-time candidature) or, for programs with a formal coursework component, within six months of completion of that component, candidates will be expected to have formulated a thesis topic and research proposal for approval by the Board.

2.2.3.1 Resources
Prior to submitting a research proposal to the Board the Dean, in consultation with the Head of School, shall confirm with the candidate that:
a) resources are available to support the proposed research; and
b) for research professional doctoral programs, adequate resources and support are available in the candidate’s workplace/profession to sustain the research. The Board may require a candidate to provide a written statement from his or her employer consenting to the conduct of the research in his or her organisation and committing the organisation to provide the candidate with an agreed level of resources and support.

2.2.3.2 Research in Remote Locations and Overseas
Australian candidates who plan to conduct their research in a remote location in Australia or overseas, or overseas candidates who plan to conduct their research in a remote location, shall attach to their research proposal for approval by the Board, a statement endorsed by the Dean which details:
a) the location at which the research will be conducted;
b) the reasons why the research has to be conducted at that location;
c) enquiries and arrangements made to provide for the safety of the candidate and any other persons who will assist the candidate at the location;
d) the availability of any necessary support required at the location to enable the research to be conducted successfully;
e) the planned schedule of contact with the University during the research and how that contact will be effected;
f) the anticipated cost of researching at the location and the source of funding to cover those costs (i.e. a budget for the project);
g) contingency plans that are or will be put in place in the case of unforeseen circumstances that may compromise the completion of the research (for example: ill health, political unrest, natural disaster, budget overrun).

2.2.4 Progress Reports

The progress of candidates in PhD and Master by research programs shall be reviewed at least annually (or, for research professional doctoral programs, annually from the time of enrolment in the thesis or portfolio component of the program) by the Board following a report in each case by the candidate, the principal supervisor, the Course Coordinator and the Dean.

The candidate shall be given the opportunity to review and comment upon the principal supervisor's comments and recommendation(s), and the principal supervisor may request to review and comment upon the candidate's comments.

The Centre for Research and Graduate Training will seek to clarify and resolve any identified difficulties in consultation with the candidate, principal supervisor, Sub-Dean and Course Coordinator, as appropriate.

As a result of the review of progress reports, the Board may endorse continuation of the candidature, exclude a candidate or take such other action as it considers appropriate.

2.2.5 Change of Thesis or Portfolio Topic

Once the Board approves a thesis or portfolio topic within a research proposal, that topic may only be changed with the Board’s approval on the recommendation of the Faculty, although minor changes to the title may be approved by the Dean.

2.3. Supervision

For each candidate the Board shall appoint a team of supervisors consisting of the following:
- a Principal Supervisor; and
- one or more Co-supervisors, one of whom is normally a member of the academic staff of the University.

This team of supervisors shall be chaired by a principal supervisor and all members of the team shall have designated responsibilities.

2.3.1 Principal Supervisors’ Register

The Centre for Research and Graduate Training shall maintain a principal supervisors’ Register. The Register shall contain the names and other details of persons who may be appointed as principal supervisors.

2.3.1.1 Admission to the Register

To be admitted to the Register a person shall satisfy each of the following conditions:
- a) be a member of the academic staff of the University or a person who has been granted an honorary or adjunct academic position of the University or approved by the Board to supervise;
- b) hold a higher degree by research or have an equivalent record of scholarly achievement;
- c) be currently engaged in research or, for research professional doctoral supervision, be a leading scholar or practitioner in the relevant profession;
- d) be, or have recently been, engaged as a Principal Supervisor or Associate or Co-supervisor for a minimum of one year in the supervision of one student enrolled in a research degree or a Master degree by coursework and dissertation or a Bachelor (Honours) degree at CSU or another university (the Board may waive this condition in exceptional circumstances) or other circumstances approved by the Board;
- e) have undertaken, or agree to undertake within a specified period appropriate training in research higher degree supervision as stipulated by the University; and
- f) agree to supervise research degree candidates in accordance with University requirements.

Principal Supervisors who do not meet their responsibilities and/or do not continue to meet the above conditions shall be removed from the Register by the Board.

Inclusion in the Register

The Board may approve, for provisional inclusion on the Register, staff who do not meet all the necessary criteria but whom the Board believes should, with guidance from a mentor who would be an experienced supervisor, be capable of supervising research candidates.

2.3.1.2 Applications for Admission to the Register

a) Persons who wish to be admitted to the Register shall apply through the appropriate Faculty Committee which, if it supports the application, shall forward the application with its recommendation outlining the applicant’s case to the Pro Vice-Chancellor (Research and Graduate Training).
b) Applicants shall provide the following information on the application form in support of their application for admission to the Register:
- details of academic qualifications;
- details of previous experience as Principal and Associate (or other) Supervisor at bachelor (honours), coursework master (dissertation), research master (thesis), and doctoral levels, including the number of candidates in each category supervised to completion and relevant dates;
- the areas of research in which the person wishes to be considered as a Principal Supervisor;
- a list of research projects, funded and unfunded, undertaken as chief investigator in the areas of research nominated during the last five years;
- a list of publications (last five years) relevant to the areas of research nominated;
- details of research supervision workshops attended at CSU or elsewhere; and
- any other details required by the Faculty.

c) The Centre for Research and Graduate Training shall forward the recommendation of the Pro Vice-Chancellor (Research and Graduate Training) to the Board for noting.

2.3.2 Appointment of Supervisors
Supervisors are appointed by the Board on the recommendation of the Faculty.

The Faculty shall recommend a person to be the principal supervisor and a minimum of one other co-supervisor, who would normally be a member of the academic staff of the University.

a) at the time the Board considers the candidate's application for admission to the program in the case of a research program that does not have a coursework component; or

b) no later than when the Board considers the candidate's research proposal in the case of a research program that has a coursework component.

2.3.2.1 Principal Supervisors
A person appointed as principal supervisor shall be a member of the academic staff of the University and:

a) have been admitted to the Principal Supervisors' Register;

b) normally hold a degree at the level or above the level of the degree to be supervised; and

c) expect to be available for the planned duration of the candidature.

2.3.2.2 Co-supervisors
A person appointed as a member of the supervisory team shall:

a) be a member of the academic staff of the University who: has been admitted to the Principal Supervisors' Register; or is seeking supervision experience prior to applying for admission to the Register; or

b) be a person external to the University who is expert in the particular area of research, study or profession (as appropriate for the type of research program), provided one of the other Co-supervisors is normally a member of the academic staff of the University; and

c) expect to be available for the planned duration of the candidature.

2.3.2.3 Change of Supervisors

2.3.2.3.1 Principal Supervisor

a) In the event that a Principal Supervisor is unable to supervise a candidate for a period of up to six months, another member of the supervisory team (who is a member of the academic staff of the University) shall act as Principal Supervisor for that period.

b) In the event that a Principal Supervisor either:
- is unable to supervise a candidate for a period exceeding six months; or
- resigns or otherwise leaves the University, unless granted an honorary or adjunct position or otherwise approved by the Board to continue supervision

the Board shall appoint a replacement principal supervisor on the recommendation of the Faculty. Until this is done, the Sub-Dean will automatically assume responsibility for the candidate.

2.3.2.3.2 Members of the Supervisory Team
In the event that a member of the supervisory team is unable to supervise a candidate for a period exceeding six months the Board shall appoint a replacement co-supervisor on the recommendation of the Faculty.

2.3.3 Duties of the Supervisory Team

2.3.3.1 Duties of the Principal Supervisor
The principal supervisor is accountable to the Faculty Sub-Dean for advising and monitoring the progress of a candidate and leading the supervisory team. The principal supervisor has final responsibility for the decisions made by the supervisory team.

Responsibilities of a principal supervisor include:

a) negotiating roles with co-supervisors, in conjunction with the candidate, at the commencement of the candidature;

b) facilitating the operation of the supervisory team to ensure support for the candidate by encouraging all supervisors to be actively
involved in supporting the candidate's research endeavours. Where this does not occur, the Principal Supervisor shall consult with the Sub-Dean;

b) maintaining close and regular contact with the candidate and establishing at the beginning the basis on which contact will be made. This will facilitate the supervisory role in advising the candidate on the rate of progress, and ensuring that a reasonable timetable is set to permit the degree to be completed in the appropriate time;

c) requiring written or other work from the candidate on a pre-arranged and agreed schedule so that progress can be assessed at regular intervals;

d) monitoring carefully the performance of the candidate relative to the standard required for the degree, and ensuring that inadequate progress or work below the standard generally expected is brought to the candidate's attention;

e) advising the Faculty Sub-Dean when problems are occurring with regard to issues of academic misconduct;

f) at the time of submission, either certifying that the thesis or portfolio is properly presented, conforms to the Regulations and is therefore prima facie, worthy of examination, or providing reasons why he/she believes the thesis or portfolio is not ready for examination (see clauses 2.4.4.1 and 2.4.5 below respectively);

g) at any time during candidature, bringing to the attention of the Centre for Research and Graduate Training issues of intellectual property rights and/or commercial or other confidentiality matters which relate to the content of the thesis or portfolio;

h) advising the Board, through the relevant Faculty Research and Higher Degrees Committee and/or the Faculty Sub-Dean, of the names and credentials of suitable examiners;

i) ensuring the candidate has accurate information about any planned, long leave (or retirement) during the candidature and, in consultation with the Faculty Sub-Dean for Graduate Training and the Dean, making arrangements to provide for supervision during absences (see clause 2.3.2.3 above);

j) contributing to the development of co-supervisory skills in academic staff inexperienced in co-supervision.

2.3.3.2 Duties of Each Member of the Supervisory Team

Responsibilities of the Supervisory Team include:

a) suggesting ways that the candidate can make the most effective use of time. This will involve discussing the nature of research with the candidate and the standard expected for particular degrees, the choice of the research topic, the planning of the research program, and the availability of library resources in the field and bibliographical and technical assistance;

b) maintaining close and regular contact with the candidate and establishing at the beginning the basis on which contact will be made. This will facilitate the supervisory role in advising the candidate on the rate of progress, and ensuring that a reasonable timetable is set to permit the degree to be completed in the appropriate time;

c) requiring written or other work from the candidate on a pre-arranged and agreed schedule so that progress can be assessed at regular intervals;

d) monitoring carefully the performance of the candidate relative to the standard required for the degree, and ensuring that inadequate progress or work below the standard generally expected is brought to the candidate's attention. The team should help with developing solutions to problems as they are identified;

e) ensuring that the research work and the production of all categories of examinable work are the candidate’s own work and ensuring that where the candidate receives substantial assistance that such assistance is acknowledged in the examinable work and does not conflict with the requirement that the intellectual content of the research and examinable work is that of the candidate;

f) commenting on the content and the drafts of the examinable work prior to submission;

g) fulfilling other obligations imposed by the University regarding postgraduate supervision.

2.3.4 Supervision Caseloads

2.3.4.1 Principal Supervisors

For a principal supervisor, the supervision load is recognised as an integral part of the teaching load.

2.3.4.2 Members of the Supervisory Team

For a co-supervisor who is an academic staff member of the University, the supervision load is recognised as an integral part of the teaching load.

2.3.4.3 Monitoring Caseloads

Supervision caseloads shall be monitored by the Centre for Research and Graduate Training, in conjunction with the appropriate Head of School to ensure appropriate supervision workloads are recognised and that an unreasonable supervision load is not carried.

2.4. The Thesis or Portfolio

2.4.1 Research to be Reported in a Thesis or Portfolio

2.4.1.1 Print Thesis

2.4.1.1.1 Doctor of Philosophy

A doctoral candidate is required to undertake original and significant research on an approved topic, the results of which are presented in a
thesis. Candidates for the award of a Doctoral degree must demonstrate that their work is excellent both in theory and technique and has made an original and significant contribution to knowledge or understanding.

2.4.1.1.2 Master by Research
A research candidate for the degree of Master is required to undertake research on an approved topic, the results of which are presented in a thesis. The research should result in a distinct contribution to knowledge of the subject, whether by original investigation or by review, criticism or design and candidates for the award of Master degree by research must demonstrate that their work is excellent both in theory and technique.

2.4.1.1.3 Research Professional Doctorate
A candidate in a research professional doctoral program is required to successfully conduct research into a current problem/issue confronting the profession. Candidates in specified research professional doctoral programs shall report the findings of their research as theses. The work must demonstrate an excellent contribution to professional practice or policy.

2.4.1.2 Non Print Thesis
2.4.1.2.1 Doctor of Philosophy
A doctoral candidate is required to undertake original and significant research on an approved topic, resulting in a new body of work(s) which are presented by exhibition, performance, installation, electronic form, or other appropriate form. The work(s) presented will normally be supported by the research documentation that demonstrates the underlying evolution of the work(s) and a piece of critical writing/exegesis which places the work(s) into an historical and contemporary context. The work must demonstrate an excellent contribution to professional practice or policy.

2.4.1.2.3 Research Professional Doctorate
A candidate in a research professional doctoral program is required to successfully conduct research into a current problem/issue confronting the profession. Candidates in specified professional doctoral programs shall report the findings of their research as a new body of work(s) which are presented by exhibition, performance, installation, electronic form, or other appropriate form. The work(s) presented will normally be supported by the research documentation that demonstrates the underlying evolution of the work(s) and a piece of critical writing/exegesis which places the work(s) into an historical and contemporary context. The work must demonstrate an excellent contribution to professional practice or policy.

2.4.1.3 Portfolio
A candidate in a research professional doctoral program is required to successfully conduct research into a current problem/issue confronting the profession. Candidates in specified research professional doctoral programs shall report the findings of their research as portfolios. A portfolio consists of a compilation of scholarly documents which can include academic or professional journal articles and conference papers, plans, reports and policy documents. The portfolio is submitted with an analysis/exegesis which integrates the research or investigation within the profession while demonstrating academic and professional development over the course of study.

2.4.2 Notice to Submit
To facilitate the timely appointment of examiners, a candidate shall give not less than two months notice in writing to the Centre for Research and Graduate Training of intention to submit the thesis or portfolio.

2.4.3 Requirements for the Thesis or Portfolio
The thesis or portfolio submitted by a candidate shall comply with the following requirements:

a) it must be an accurate account of the research;
b) it must be an account of a candidate's own work but, in special cases, work done conjointly with other persons may be accepted provided the Board is satisfied about the extent of each candidate's part in the joint work;
c) it must relate to the approved research topic;
d) it must not include as its main content work which has been submitted for any other academic award or work conducted prior to the commencement of candidature. Where the main content of the thesis or portfolio consists of any significant extension or elaboration of the candidate's earlier work, that portion
referring to previous work must be clearly indicated.
e) for examinable print works and the written components of examinable non-print works, be written in English except where, on the recommendation of the Faculty, the Board approves that it may be written in another language;
f) for examinable print works and the written components of examinable non-print works, achieve a satisfactory standard of expression and presentation;
g) acknowledge any substantial assistance provided to the candidate during the conduct of the research and the production of the examinable work. The candidate must obtain written permission from the Principal Supervisor before obtaining paid editorial assistance with the examinable work. The paid editor shall not be in the same academic specialisation as the student;
h) conform to the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works or, for the body of works in a non-print thesis, to the requirements of the individual program.

2.4.3.1 Length of Thesis or Portfolio
2.4.3.1.1 Print Thesis
The maximum length for a Doctor of Philosophy thesis shall be 100,000 words.

2.4.3.1.2 Master by Research
The maximum length for a Master by Research thesis shall be 50,000 words.

2.4.3.1.3 Research Professional Doctorate
The maximum length for a research professional doctoral thesis shall be 60,000 words.

2.4.3.2 Non-Print Thesis
2.4.3.2.1 Doctor of Philosophy
The research documentation that is presented to support the body of work(s) shall not exceed 75% of the total work(s) submitted for the award. The maximum length for the piece of critical writing/exegesis shall be 50,000 words.

2.4.3.2.2 Master by Research
The research documentation that is presented to support the body of work(s) shall not exceed 75% of the total work(s) submitted for the award. The maximum length for the piece of critical writing/exegesis shall be 30,000 words.

2.4.3.2.3 Research Professional Doctorate
The research documentation that is presented to support the body of work(s) shall not exceed 75% of the total work(s) submitted for the award. The maximum length for the piece of critical writing/exegesis shall be 30,000 words.

2.4.3.3 Portfolio
The maximum length for the analysis/exegesis that is presented to support the portfolio shall be 30,000 words.

2.4.3.3.1 Appendices in Electronic Format
The Board may approve the inclusion of original (raw) data as an appendix to a thesis in electronic format. A candidate wishing to submit such an electronic formatted appendix shall seek the permission of the principal supervisor prior to submission of the thesis for examination.

The Board recommends the use of a standardised format such as portable document format (pdf).

2.4.3.4 Print Theses or Portfolios Containing Non-Print Materials
On the recommendation of the Faculty, the Board may approve that a candidate may submit non-print materials to supplement the print thesis or portfolio. Candidates are to seek the advice of their principal supervisor in all such cases.

Non-print materials (a three dimensional artefact, sound or video recording, computer software, photographs or paintings, etc) which relate to a print thesis or portfolio, should not normally account for more than 10% of the content of material submitted for examination.

Where a candidate wishes to submit substantially non-print materials for examination in a course where a print thesis or portfolio is the norm, the candidate must obtain Faculty approval to do so.
2.4.4 Submission of the Thesis or Portfolio

2.4.4.1 Readiness for Examination
A thesis or portfolio shall be submitted to the Centre for Research and Graduate Training when the candidate and the principal supervisor agree that the thesis or portfolio is ready for examination. Should the principal supervisor disagree with the candidate that the thesis or portfolio is ready for examination, clause 2.4.5 below shall apply.

2.4.4.2 Copies Required
2.4.4.2.1 Print Theses, Portfolios and the Written Component of an Examinable Non-Print Work
Four copies of a doctoral thesis or portfolio (or of the written component of a non-print thesis) and three copies of a master thesis (or of the written component of a non-print thesis) shall be provided to the Centre for Research and Graduate Training. These copies shall be soft-bound copies as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.2.2 On-Site Bodies of Work(s)
For documentation (as specified by the Course Coordinator) which outlines to examiners the nature and scope of the task that they will undertake when the body of work(s) is assessed on site, four copies for a non-print doctoral thesis and three copies for a non-print master thesis shall be provided to the Centre for Research and Graduate Training.

2.4.4.2.3 Reproducible Bodies of Work(s)
For bodies of work(s) which are able to be reproduced, four copies for a non-print doctoral thesis and three copies for a non-print master thesis shall be provided to the Centre for Research and Graduate Training.

2.4.4.3 Certificate of Authorship
The thesis or portfolio shall contain a certificate of authorship as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.4 Certificate from the Principal Supervisor
The thesis or portfolio shall be accompanied by a certificate signed by the principal supervisor as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.5 Acknowledgments of Assistance
Any substantial assistance, including any paid editorial assistance, received during the period of candidature, shall be acknowledged in the thesis or portfolio as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.6 Intellectual Property Rights
If there is material in the thesis or portfolio which could or does have implications for the intellectual property rights of the candidate, the University, a sponsor of the research or some other person or body, this shall be identified as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.7 Confidentiality
If there is material in the thesis or portfolio which is confidential for commercial or other reasons, this shall be identified as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.4.8 Ethics, Biosafety and/or Radiation Safety Approval
If the thesis or portfolio reports on research involving humans or human biological materials or involving animals, evidence of the relevant approvals shall be included as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.5 Disagreement Over Readiness for Examination
2.4.5.1 Principal Supervisor’s Authority
The principal supervisor may decline to issue a certificate that the thesis or portfolio is ready for examination if:

a) the thesis or portfolio does not conform to the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works, or, for non-print theses, to the program requirements; or

b) the candidate has failed to fulfill some other requirement of candidature prescribed by these regulations.

The principal supervisor shall not decline to issue a certificate solely on the grounds that he or she believes that the thesis or portfolio is not of a standard appropriate to the award for which it is being submitted.
Where the principal supervisor declines to issue a certificate that the thesis or portfolio is ready for examination, he or she shall provide a written statement to the Sub-Dean setting out the reasons for the decision. The statement shall not accompany the thesis or portfolio when it is sent to the examiners if the Dean of Faculty or the Board allow the thesis or portfolio to be examined under clauses 2.4.5.1.1 and 2.4.5.1.2 respectively below.

2.4.5.1.1 Dean’s Authority
Acting on the advice of the Sub-Dean, the Dean of Faculty may:
a) allow the thesis or portfolio to be examined; or
b) recommend to the Board that the thesis or portfolio not be examined.

2.4.5.1.2 Board’s Authority
Where the Dean of Faculty recommends that the thesis or portfolio not be examined, the Board may:
a) allow the thesis or portfolio to be examined; or
b) allow the thesis or portfolio to be examined subject to any conditions specified by the Board being met by the candidate to the satisfaction of the Dean of Faculty or the Board;
c) decline to allow the thesis or portfolio to be examined, in which case it may terminate the candidate’s enrolment or approve some other action.

2.4.6 Hard-Bound Copies of the Thesis or Portfolio
Following the acceptance of the examiners’ reports on a thesis or portfolio by the Board and notification that the Board has recommended that the degree be awarded, the candidate shall forward to the Centre for Research and Graduate Training hard-bound copies of the thesis or portfolio as set out below. The candidate is responsible for the cost of binding.

2.4.6.1 Print Thesis or Portfolio
Three hard-bound copies of the thesis or portfolio, as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

2.4.6.2 Non-Print Thesis
Three hard-bound copies of the written component of the thesis, as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works. Each copy shall be accompanied by a copy of representations of the body of work(s) as advised by the principal supervisor.

2.4.6.3 Library Copy
One copy of the thesis or portfolio printed on permanent paper (paper which meets the specifications of Australian Standard AS40003 – 1996) and with the signed Certificate of Authorship (as specified in The Rule for the Presentation of Print Theses and Other Examinable Print Works) shall be forwarded by the Centre for Research and Graduate Training to the University Library.

2.4.6.4 Intellectual Property/Confidentiality
2.4.6.4.1 University Provisions
The University provisions relating to inventions, patents, copyright and registered design shall apply, except as provided in clauses 2.4.6.4.2 and 2.4.6.4.3 below.

2.4.6.4.2 Ownership of Thesis or Portfolio
The three bound copies of the thesis or portfolio presented by the candidate to the Centre for Research and Graduate Training shall become the property of the University for lodgement by the Office in the Library, with the principal supervisor and with the Faculty.

2.4.6.4.3 Restriction on Circulation of Thesis or Portfolio
2.4.6.4.3.1 A candidate will be asked to consent in writing to the thesis or portfolio being made available for circulation or copying. Such notice of consent will be inserted by the Centre for Research and Graduate Training in the copy deposited in the Library.

2.4.6.4.3.2 Where a thesis or portfolio contains matters affecting national or industrial security, the Board may restrict the circulation and copying of the thesis or portfolio, upon considering a recommendation by the Dean of Faculty based on a written request from the candidate. When forwarding a copy of the thesis or portfolio to the University Library, the Centre for Research and Graduate Training shall advise the Library of any restrictions the Library should place on the availability of the thesis or portfolio for reasons relating to the intellectual property rights or confidentiality of material in the thesis or portfolio.

2.4.6.4.3.3 The copy of the thesis or portfolio deposited in the Library will be available for circulation or copying, except where a restriction is imposed by the Board as provided for above.

2.4.6.4.3.4 If the Board approves a restriction on circulation or copying, the thesis or portfolio will in any case become available for loan two years after the thesis or portfolio has been deposited with the Centre for Research and Graduate Training, or such longer period as may be approved by the Board.
2.5. Examination of the Thesis or Portfolio

2.5.1 Examiners

2.5.1.1 Appointment
Upon receiving notice from a candidate of his or her intention to submit a thesis or portfolio for examination, the Board, on the recommendation of the Dean of Faculty, shall appoint examiners.

Where a thesis or portfolio contains material which is either confidential or contains intellectual property issues, prior to distribution of the thesis or portfolio, each examiner is required to confirm in writing that he or she will not release the confidential or intellectual property material.

2.5.1.2 Number Appointed

2.5.1.2.1 Doctor of Philosophy Thesis
The Board shall appoint three examiners for a doctoral thesis, at least two of whom shall be external to the University.

2.5.1.2.2 Master Thesis
The Board shall appoint two examiners for a master thesis, at least one of whom shall be external to the University.

2.5.1.2.3 Research Professional Doctoral Thesis or Portfolio
The Board shall appoint three examiners for a research professional doctoral thesis or portfolio, at least two of whom shall be external to the University. One of these examiners may be an industry-based examiner.

2.5.1.3 Supervisors Not to be Examiners
A candidate’s principal supervisor and co-supervisors shall not be appointed as examiners of the candidate’s thesis or portfolio.

2.5.1.4 Release of Examiners’ Names
The name of an examiner shall be released to the candidate together with the examiner’s report on the thesis or portfolio.

2.5.1.5 Replacement Examiner
Where an examiner fails to provide a report on a thesis or portfolio within three months of having received it, the Board may appoint a replacement examiner.

2.5.1.6 Qualifications

2.5.1.6.1 Academic Examiners
Examiners shall be of high academic standing in the field in which the candidate’s research was conducted, and, for professional doctorate examiners, shall demonstrate knowledge of the professional area in which the thesis or portfolio is being examined.

2.5.1.6.2 Industry-based Examiner
The examiner shall exhibit demonstrated excellence in the profession in which the candidate’s research was conducted.

2.5.1.7 Payment
The payment of honoraria to examiners and arbiters shall be in accordance with the following clauses:
- examiners or arbiters who are not staff of CSU shall be paid an honorarium at the rate recommended from time to time by the AVCC or, for examiners or arbiters for professional doctorate theses or portfolios, by the Commonwealth Department of Education, Science and Training;
- examiners or arbiters who are staff of CSU shall not be paid an honorarium; and
- for the purposes of this clause an academic associate of CSU shall not be regarded as a staff member and shall therefore be entitled to payment of an honorarium.

Payment shall be made when an examiner’s recommendation and written report are received and the cost shall be met by the appropriate Faculty.

2.5.2 Examination Criteria

2.5.2.1 General Criteria
Examiners shall examine a thesis or portfolio principally in terms of the following criteria:
- the candidate’s understanding of the field of study;
- the originality of the work embodied in the thesis or portfolio;
- the significance of the thesis or portfolio as a contribution to knowledge in the field of study;
- the adequacy of the research methodology (e.g. the construction of hypotheses, the analysis of data, the arguments advanced to support conclusions); and
- the worthiness of the thesis or portfolio for publication.

2.5.2.1.1 Doctor of Philosophy Thesis
A doctoral thesis must be an original and significant contribution to knowledge of the subject.

2.5.2.1.2 Master Thesis
A master thesis must be a distinct contribution to knowledge of the subject.

2.5.2.1.3 Research Professional Doctoral Thesis or Portfolio
Examiners shall also examine a thesis or portfolio in terms of the originality and significance of the work embodied in the thesis or portfolio as a contribution to the application of knowledge to some professional area and/or as a contribution to
knowledge and the extent to which the findings of the research have improved professional practice or have the potential to do so.

2.5.2.2 Specific Criteria
For specific programs, there may be additional criteria as identified by the Faculty concerned and approved by the Board.

In addition, where industry-based examiners are appointed, they shall examine a thesis or portfolio principally in terms of the following criteria:

a) the significance of the thesis or portfolio to the practice or profession as a whole;
b) the appropriateness of the thesis or portfolio for publication and the extent to which this publication could be of value to the particular profession/industry; and
c) the veracity of the research findings from an industry/professional viewpoint.

2.5.3 Examination of a Thesis or Portfolio
Examiners will be provided with detailed assessment criteria from the Centre for Research and Graduate Training.

2.5.3.1 Examiners’ Reports and Recommendations
Each examiner shall, independently of the other examiner(s), examine the thesis or portfolio, provide a written report and make one of the recommendations set out below. For courses containing a coursework component, this recommendation is subject to successful completion of that component.

That the candidate:
a) be awarded the degree without further assessment; or
b) be awarded the degree without further assessment subject to minor corrections as listed being made to the thesis or portfolio to the satisfaction of the Dean of Faculty; or
c) be awarded the degree subject to the conditions that the candidate make the corrections/changes/amendments/additions, as indicated in the examiners’ reports, and/or defend their position to the satisfaction of the Board; or
d) after a further period of study or research be allowed to resubmit the thesis or portfolio in a revised form which addresses the specific issues proposed in the examiners’ reports; or
e) not be awarded the degree and not be permitted to resubmit the thesis or portfolio.

2.5.3.2 Collaboration
Examiners may not collaborate in the preparation of their reports or in the formulating of their recommendations under clause 2.5.3.1 above.

2.5.4 Consideration of Examiners’ Reports
2.5.4.1 The Reports
Examiners’ reports shall be received initially by the Centre for Research and Graduate Training. Once all reports are received, they shall be forwarded to the Sub-Dean. The Sub-Dean, after consideration of the reports, shall refer them to the candidate via the principal supervisor.

2.5.4.2 Candidate’s Response
Where examiners’ recommendations include options b), c), d) or e) as set out in clause 2.5.3.1 above, the candidate shall provide to the principal supervisor a response to the examiners’ reports and, where minor corrections only are required (as in b) above), a corrected copy of the thesis or portfolio which addresses the examiners’ comments. The candidate’s response need not reflect the view of the principal supervisor or any other person.

2.5.4.3 Supervisor’s Recommendation
The principal supervisor shall forward the candidate’s response to the examiner’s reports and, where minor corrections only are required (as in b) above), a copy of the corrected thesis or portfolio to the Sub-Dean with a covering report and a recommendation that:

a) the award be conferred; or
b) the award be conferred, with advice that all minor corrections have been made satisfactorily; or
c) the award be conferred, with advice that the Principal Supervisor has conferred with the candidate and attesting that the candidate has adequately responded to all of the examiners’ concerns; or
d) the thesis or portfolio be resubmitted, in a revised form which addresses the specific issues proposed in the examiners’ reports, by a specified date after a further period of enrolment; or
e) where the examiners’ recommendations are significantly at variance, that an arbiter be appointed in which case the name of an appropriate arbiter shall accompany the recommendation (this is not the only recommendation that may be made in cases where the examiners’ recommendations are significantly at variance); or
f) the thesis or portfolio be failed, the candidate not be permitted to resubmit the thesis or portfolio and candidature be terminated.

2.5.4.4 Dean’s Recommendation
The Sub-Dean shall consider the principal supervisor’s recommendation made under clause 2.5.4.3 above and forward the examiners’ reports, the candidate’s response and the principal
supervisor’s report, with a recommendation to the Faculty Research and Higher Degree Committee, which may endorse or otherwise the Sub-Dean’s recommendation in its recommendation to the Dean of Faculty. The Dean may endorse or otherwise the recommendation received and shall recommend to the Board that:

a) the award be conferred; or
b) the award be conferred, having accepted that all minor corrections have been made satisfactorily; or
c) the award be conferred, having accepted that the candidate has adequately responded to all of the examiners’ concerns; or
d) the thesis or portfolio be returned to the candidate on the basis that the corrections and/or concerns identified by the examiners have not been dealt with satisfactorily; or
e) the thesis or portfolio be resubmitted, in a revised form which addresses the specific issues proposed in the examiners’ reports, by a specified date after a further period of enrolment; or
f) where the examiners’ recommendations are significantly at variance, that an arbiter be appointed in which case the name of an appropriate arbiter shall accompany the recommendation (this is not the only recommendation that may be made in cases where the examiners’ recommendations are significantly at variance); or
g) the thesis or portfolio be failed, the candidate not be permitted to resubmit the thesis or portfolio and candidature be terminated.

2.5.4.5 Board’s Decision
The Board shall receive from the Dean of Faculty the Dean’s recommendation, the examiners’ reports, a statement from the principal supervisor that any required minor corrections to the thesis or portfolio have been made and where there was disagreement between the examiners, a copy of the principal supervisor’s report, and shall:

a) recommend to the Academic Awards Committee that the award be conferred; or
b) agree that, subject to those corrections and other changes which the candidate has accepted being made to the satisfaction of the Board, it will recommend to the Academic Awards Committee that the award be conferred; or
c) require the candidate to revise the thesis or portfolio by a specified date after a further period of enrolment; or
d) appoint an arbiter to review the thesis or portfolio and examiners’ reports; or
e) decide that the thesis or portfolio be failed, the candidate not be permitted to resubmit the thesis or portfolio and candidature be terminated.

2.5.4.6 Corrections and Other Changes
Where the Board recommends that the award be conferred subject to corrections and other changes as provided in clause 2.5.4.5 c) above, the corrections and other changes shall be completed to the satisfaction of the Dean of Faculty normally within six months of notification of the Board’s decision.

The award shall not be conferred until the Board is advised by the Dean of Faculty that the corrections and other changes have been made.

2.5.4.7 Major Revision
Where the Board requires the candidate to revise the thesis or portfolio by a specified date after a period of further enrolment as provided in clause 2.5.4.5 d) above, that date shall normally be within twelve months of the notification of revision although the Board may specify a longer period.

When the thesis or portfolio is revised, it shall be submitted for examination by the candidate and shall be examined as required by this regulation except that the examiners shall only recommend that the award be conferred (with or without minor corrections) or that the thesis or portfolio be failed and candidature be terminated. A thesis or portfolio may only be submitted once after major revision.

The examiners of a revised thesis or portfolio shall normally be the examiners of the original thesis or portfolio.

The Board, on the recommendation of the Dean of Faculty, may appoint a replacement principal supervisor, or an additional co-supervisor for the period of further enrolment.

2.5.4.8 Appointment of an Arbiter
Where the Board appoints an arbiter as provided in clause 2.5.4.5 d) above, the arbiter shall:

a) receive a copy of the thesis or portfolio, the examiners’ reports, the candidate’s response to the examiners’ reports and the report of the Principal Supervisor; and
b) be requested to review the documentation in a) above and recommend one of the options a), c), d) or f) in clause 2.5.4.3 above. The appointment of another arbiter shall not be an option.

The arbiter’s report and recommendation shall be considered under this regulation in the same manner as the original examiners’ reports, except that neither the principal supervisor under clause 2.5.4.3 above nor the Dean or Faculty under clause 2.5.4.4 above shall be permitted to recommend the appointment of another arbiter.
2.5.4.9 Failed Thesis or Portfolio
Where the Board fails a thesis or portfolio as provided in clause 2.5.4.5 e) above, the thesis or portfolio shall not be resubmitted for the award for which it was originally submitted and the candidacy shall be terminated subject to appeal to the Academic Awards Committee as provided in clause 2.6 below.

2.6. Termination of Candidature
If the Board, acting upon the advice of such qualified persons as it chooses, is of the opinion that a candidate enrolled in a research higher degree program is not making satisfactory progress or that a candidate has failed to comply with the provisions of these Regulations, after one month’s notice in writing, it may terminate the candidature or make such changes in the conditions of the candidature as it thinks fit. Before making such determination the Board shall give the candidate an opportunity to show cause.

If a candidature is terminated, it may be reinstated by the Board in response to a recommendation by the Dean of Faculty and in accordance with rules for re-admission to candidature that may be made by the Academic Senate.

2.7. Concerns, Complaints, Grievances and Appeals

2.7.1 Concerns and Complaints
2.7.1.1 Scope
These procedures apply to any situation where a research higher degree candidate believes that he/she has a significant concern in relation to his or her research that is not covered by other procedures. The concern could be related to the principal supervisor, a co-supervisor, or both; the provision of resources; or any other matter of concern to the candidate.

2.7.1.2 Limitations
These procedures will not cover any situations that are specifically covered by other procedures. These other procedures include, but are not limited to:
• The Grievance Resolution Policy and Procedure as set out in section F4 of the Administrative Manual;
• The Code of Conduct for Research as set out in section N3 of the Academic Manual;
• The Intellectual Property Policy as set out in section F19 of the Administrative Manual;
• any other committee that has responsibility for monitoring research, such as the Ethics in Human Research Committee, the Animal Care and Ethics Committee, the Biosafety Committee and the Radiation Safety Committee.

2.7.1.3 Concerns
The concerns that will be covered by these procedures include, but are not limited to:
• a Supervisor who does not appear to have appropriate knowledge of a candidate’s research area;
• a Supervisor who fails to provide appropriate support for, or interest in, a candidate’s work;
• a Supervisor who fails to carry out necessary administrative responsibilities in an appropriate time;
• a conflict between a candidate and a Supervisor over the direction in which the research should proceed;
• a conflict between the candidate and the Supervisor regarding the authorship of a paper flowing from the research;
• a candidate who believes that the Supervisor is requiring the candidate to carry out work that is not related to the research;
• a Supervisor who frustrates a candidate’s efforts;
• a personality conflict between a candidate and a Supervisor;
• a candidate who believes that he/she is not being provided with an appropriate level of physical resources.

2.7.1.4 Procedures
If a candidate has a concern that needs to be dealt with, he or she should take the following steps:
a) attempt initially to resolve the concern with the Supervisor. If the candidate does not believe that this is possible or appropriate, the candidate may wish to take some, or all, of the following steps;
b) discuss the concern with the Head of School, the Faculty Sub-Dean for Graduate Studies or the Dean of the Faculty;
c) discuss the concern with the Faculty Postgraduate Grievance Adviser. The Faculty Postgraduate Grievance Adviser will be a senior member of the faculty, usually a professor, with significant research experience and knowledge of University procedures (this step is dependent on the Faculty appointing a person to this position);
d) discuss the concern with the Student Union Postgraduate Grievance Adviser (this step is dependent on the Student Union appointing a person to this position).

2.7.1.5 Complaints
If the procedures in clause 2.7.1.4 above fail to remedy the concern, a complaint may be lodged with the Postgraduate Complaints Committee of the Board.

Neither the candidate nor the respondent shall communicate about the substance of the complaint.
1.5.1.6 The Postgraduate Complaints Committee

The Presiding Officer of the Board will be responsible for appointing a Postgraduate Complaints Committee.

2.7.1.6.1 Membership

Each committee will have a membership of five people, namely:
- chairperson, to be agreed on by the candidate and the Presiding Officer of the Board;
- nominee of the Presiding Officer of the Board;
- nominee of the Student Union;
- nominee of the candidate;
- nominee of the respondent(s).

2.7.1.6.2 Procedures of Committee

The Committee will receive written submissions from the following people, if they wish to make them:
- the candidate;
- the respondent;
- the Principal Supervisor (even if this person is not the respondent);
- the Pro Vice Chancellor (Research and Graduate Training);
- the Dean;
- the Sub-Dean for Graduate Training;
- the Head of School;
- any other person the Committee believes could assist it in its deliberation.

The Committee will hear verbal evidence from the following people, if they wish to give it:
- the candidate;
- the respondent;
- any other person the Committee believes could assist it in its deliberation. The candidate or the respondent may nominate people that they believe could assist the Committee. The Committee will not be bound to hear evidence from all people nominated if the candidate or the respondent nominates more than five (5) people.

The candidate and the respondent may be accompanied by an adviser when they are giving evidence. The candidate's adviser may address the Committee.

The Committee will meet within five (5) working days of the candidate requesting that the Committee be convened. The Committee will commence taking evidence within ten (10) working days of the candidate requesting that the Committee be appointed and will report its recommendations to the Presiding Officer of the Board within ten (10) working days of commencing to take evidence, unless the Presiding Officer of the Board grants an extension of time.

2.7.1.6.3 Recommendations of the Postgraduate Complaints Committee

The Postgraduate Complaints Committee shall report to the Presiding Officer of the Board.

The Committee may recommend one or more of the following:
- the complaint be dismissed;
- there be a change in Supervisor(s);
- the Supervisor(s) be counselled in the way they deal with the candidate;
- the candidate be counselled in ways to resolve the problems;
- the candidate be provided with additional resources;
- any other action that the Committee believes will resolve the complaint;
- a mediator be appointed.

2.7.1.6.4 Resolution of the Complaint

Having received the report of the Committee, the Presiding Officer of the Board shall determine what action, if any, should be taken to resolve the complaint.

2.7.2 Grievances and Appeals

2.7.2.1 Academic Judgements, Discrimination, Harassment

2.7.2.1.1 Academic Judgements

A candidate who is aggrieved by a decision of the University which is taken by a person or body of the University exercising an authority under the regulations and rules of the University, and based essentially upon a question of academic judgement, may appeal against that decision.

2.7.2.1.2 Discrimination

A candidate who is aggrieved by a decision of the University or by action taken by the University which the candidate believes has or will result in him or her being treated less favourably than another candidate or candidates in the same or similar circumstances, may:
a) have his or her complaint, problem or concern mediated; or
b) lodge a formal grievance under the University's Grievance Policy and Procedures on the grounds of discrimination in respect of that decision or action. A candidate who invokes this clause in respect of a decision of the University is not prevented from exercising his or her rights of appeal against that decision under clause 2.7.1.1.
2.7.2.1.3 Harassment
A candidate who is subject to uninvited and unwelcomed behaviour by a person exercising an authority under the regulations or a student of the University, which interferes with the candidate’s right to study or live in a non-threatening environment, may:

a) have his or her complaint, problem or concern mediated; or
b) lodge a formal grievance under the University’s Grievance Policy and Procedures on the grounds of harassment in respect of that behaviour.

2.7.2.2 Appeals
2.7.2.2.1 Dean of Faculty
2.7.2.2.1.1 Academic Decisions
A candidate aggrieved by an academic decision as described in clause 2.7.1.1 above by a:

- Principal or Co-supervisor;
- Course Coordinator;
- Sub-Dean for Graduate Training;
- Faculty Board; or
- Faculty Research and Higher Degrees Committee

which relates to their candidature may appeal to the Dean of Faculty.

A candidate may not appeal against a recommendation made by one of the above officers or bodies, but only against a decision of those officers or bodies.

2.7.2.2.1.2 Conflict of Interest
Where the Dean of Faculty is the candidate’s Principal or co-supervisor, Course Coordinator, or has some other conflict of interest, the Dean of Faculty shall advise the Deputy Vice-Chancellor (Academic) who shall appoint another person who is not a member of the Dean’s faculty, to hear the appeal. That person shall exercise the authorities given to a Dean of Faculty under clauses 2.7.2.2.1.3 to 2.7.2.2.1.8 below.

2.7.2.2.1.3 Appeals to be in Writing
An appeal shall be in writing and shall be lodged with the Dean of Faculty within 21 days of the date of notification of the decision.

An appeal shall specify the:

- decision against which the candidate is appealing;
- name of the person or body that made the decision;
- reasons for the appeal.

Documentary evidence in support of the appeal shall be provided in appropriate cases. (See the Special Consideration Regulations.)

2.7.2.2.1.4 Late Appeals
The Dean of Faculty may decline to hear an appeal that is lodged after the 21 day appeal period.

2.7.2.2.1.5 Deciding Appeals
The Dean of Faculty shall determine the procedure for deciding each appeal but as a minimum, shall:

a) refer the candidate’s appeal to the person or the presiding officer of the body that made the decision which is the subject of the appeal, for written comment within seven days; and
b) refer the written comments in a) above to the candidate for a written response.

If the candidate’s response is not received within 21 days of the date on which the comments in a) above were sent to the candidate, the Dean of Faculty may grant the candidate an extension of time or may decide the appeal in its absence.

2.7.2.2.1.6 Authority of the Dean of Faculty
In deciding an appeal the Dean of Faculty may:

a) uphold the decision; or
b) quash the decision; or
c) vary the decision provided that the effect of such variation is consistent with the University’s regulations.

2.7.2.2.1.7 Notification
The Dean of Faculty shall notify the candidate in writing of the decision and a copy of the letter of notification shall be conveyed to the next ordinary meeting of the Board for noting.

2.7.2.2.1.8 Time Limit
The Dean of Faculty shall decide an appeal within 40 days of its receipt from the candidate unless granted an extension of time by the Deputy Vice-Chancellor (Academic).

2.7.2.2.2 Academic Appeals Committee
2.7.2.2.2.1 Decisions of the Dean, Board or Academic Awards Committee
A candidate aggrieved by a decision of:

- the Dean of Faculty including a decision taken under clause 2.7.2.2.1 above;
- a person appointed under clause 2.7.2.2.1.2 above;
- the Board; or
- the Academic Awards Committee;

which relates to the candidate’s studies may appeal to the Academic Appeals Committee.

2.7.2.2.2.2 Appeals to be in Writing
An appeal shall be in writing and shall be lodged with the Secretary, Academic Appeals Committee within 21 days of the date of the decision.
An appeal shall specify the:
• decision against which the candidate is appealing;
• name of the person or body that made the decision;
• reasons for the appeal.

Documentary evidence in support of the appeal shall be provided in appropriate cases. (See the Special Consideration Regulations.)

2.7.2.2.2.3 Late Appeals
The Academic Appeals Committee may decline to hear an appeal that is lodged after the 21 day appeal period.

2.7.2.2.2.4 Deciding Appeals
The Academic Appeals Committee shall determine the procedure for deciding each appeal and in doing so, shall be guided by those clauses of the Exclusion Regulations relating to the hearing of appeals. As a minimum the Academic Appeals Committee shall:
• refer the candidate's appeal to the Dean of Faculty or the Presiding Officer of the Board or the Academic Awards Committee as appropriate for written comment within seven days; and
• refer the written comments in a) above to the candidate, inviting the candidate to provide a written response and/or to request an interview with the Academic Appeals Committee.

If the candidate does not respond to the invitation within 21 days of the date on which the comments in a) above were sent to the candidate, the Academic Appeals Committee may grant the candidate an extension of time or may decide the appeal in its absence.

2.7.2.2.2.5 Interview with the Committee
A candidate who chooses to be interviewed by the Academic Appeals Committee may elect to be interviewed in person by telephone or at the Committee's discretion by videoconference. The expenses incurred by the candidate in presenting for interview shall be met by the candidate.

The candidate may be represented at an interview by an adviser if the Academic Appeals Committee so approves. An adviser shall not be a barrister or solicitor engaged by the candidate or by another person on the candidate's behalf. The adviser shall not be entitled to address or debate the Committee unless granted leave by the Committee.

2.7.2.2.2.6 Authority of the Committee
In deciding an appeal against a decision of a Dean of Faculty, the Academic Awards Committee or the Board, the Academic Appeals Committee may:
• uphold the decision; or
• quash the decision; or
• vary the decision provided the effect of such a variation is consistent with the University's regulations.

The decision of the Academic Appeals Committee shall be final.

2.7.2.2.2.7 Notification
The University Secretary shall notify the candidate in writing of the decision of the Academic Appeals Committee.

2.7.2.2.2.8 Time Limit
The Academic Appeals Committee shall decide an appeal within forty days of its receipt from the candidate unless granted an extension of time by the Vice-Chancellor.

2.8. Resources
2.8.1 Principles Governing Resources
The University will provide a level of resources for candidates sufficient to maintain a quality postgraduate research environment.

The University will move quickly to ensure that candidates are provided with a level of resources as set out in clause 2.8.2 and 2.8.3 below.

The level of financial resources provided to distance education candidates should be no less than the level of financial resources provided to internal candidates.

2.8.2 Accommodation
All candidates enrolled in the internal mode shall be entitled to:
• appropriate working space which may be shared with other candidates and which may change over time as the various stages of the research (e.g. data collection, writing up) dictate;
• a secure storage facility in which to store materials (e.g. a lockable filing cabinet).

2.8.3 Equipment and Consumables
All HECS-liable and RTS candidates shall be entitled to:
• an annual resource allowance set by the Centre for Research and Graduate Training to be used according to the guidelines approved by the Board; and
• for internal students, access to a personal computer with appropriate software including access to the internet. (The University’s technology strategy requires that distance education candidates shall arrange their own access to a personal computer and shall meet the costs of their access to the internet.)
The allowance in sub-clause a) above is not available to fee paying candidates.

3. COURSEWORK PROGRAMS WITH A RESEARCH COMPONENT

3.1 Minimum and Maximum Periods of Candidature

3.1.1 Coursework Professional Doctorate

3.1.1.1 Minimum Time
A candidate for a coursework professional doctorate shall not normally be permitted to submit a dissertation or portfolio for examination until the end of the fourth session of enrolment (which excludes sessions of leave of absence).

3.1.1.2 Maximum Time
A candidate for a coursework professional doctorate shall be expected to submit a dissertation or portfolio for examination no later than the end of the sixteenth session of enrolment (which excludes sessions of leave of absence).

3.1.1.3 Variations
Variations to these requirements may be approved by the Dean of the Faculty in which the candidate is enrolled (hereafter referred to as the Dean) if exceptional circumstances apply, but only on the recommendation of the Faculty Sub-Dean for Graduate Training (hereafter referred to as the Sub-Dean), or delegated authority.

3.1.2 Master by Coursework and Dissertation and Bachelor (Honours) course
The standard regulations apply concerning maximum time for completion of the course (see clause 14.2 of the Assessment Regulations).

3.2 Progress

3.2.1 Probationary Candidature (Professional Doctoral Programs Only)

3.2.1.1 Probationary Period
Admission to candidature for a coursework professional doctoral program shall, initially, be on a probationary basis unless otherwise determined by the Dean on the advice of the Sub-Dean or delegated authority.

Probationary candidature shall normally last for a period of one year (full-time equivalent).

The Sub-Dean or delegated authority shall, in consultation with the candidate and supervisors, specify the conditions of this probationary period on the appropriate form at the time of admission.

3.2.1.2 Progress During Probation
The Sub-Dean or delegated authority, in consultation with the candidate and supervisors, shall consider the candidate's progress during the probationary period.

Upon the completion of probation, the Sub-Dean or delegated authority shall recommend to the Dean of Faculty that:

a) the candidature be confirmed; or
b) the candidature be terminated.

If the candidature is confirmed, then the period of candidature will normally be deemed to have begun from the date of commencement of study.

If the progress is considered unsatisfactory, the Sub-Dean or delegated authority shall provide clear reasons for the recommendation to terminate the candidature. (These reasons shall be transmitted to the candidate by the Dean.)

3.2.1.3 Conditions of the Probationary Period
The Sub-Dean shall specify the conditions of probation (see clause 3.2.1.1 above).

The conditions shall depend upon the background of the candidate and Faculty and research program requirements.

These conditions may include any or all of the following components:

a) attendance/participation at induction;
b) completion of any specified coursework subjects;
c) completion of a literature review/synopsis of literature;
d) presentation of a seminar;
e) submission of the research proposal; or
f) other additional conditions specified by the Sub-Dean and approved by the Dean.

Compliance with the Conditions of Probation specified for each candidate shall be monitored by the Sub-Dean or delegated authority.

3.2.2 Research Proposal

3.2.2.1 Coursework Professional Doctorate
A candidate will be expected to have formulated a research proposal including a specific topic for approval by the Dean prior to the candidate's first session of enrolment in the research.

3.2.2.1.1 Resources and Support
Prior to approving a research proposal, the Dean, in consultation with the Head of School shall confirm with the candidate that:

a) resources are available to support the proposed research; and
b) adequate resources and support are available in the candidate’s workplace/profession to sustain the research. The Dean may require a candidate to provide a written statement from his or her employer consenting to the conduct of the research in his or her organisation and committing the organisation to provide the candidate with an agreed level of resources and support.

3.2.2.1.2 Progress Reports
The progress of candidates shall be reviewed at least annually (commencing from the time of enrolment in the dissertation component of the program) by the Dean following a report in each case by the candidate, the principal supervisor, the Program Coordinator and the Sub-Dean or delegated authority. The candidate shall be given the opportunity to review and comment upon the principal supervisor’s comments and recommendation(s).

The Sub-Dean or delegated authority will seek to clarify and resolve any identified difficulties in consultation with the candidate, principal supervisor and Program Coordinator, as appropriate.

As a result of the review of progress reports, the Dean may endorse continuation of the candidature, exclude a candidate or take such other action as he or she considers appropriate.

3.2.2.1.3 Change of Research Topic
Once the Dean approves a research topic within a research proposal, that topic may only be changed with the Dean’s approval on the recommendation of the Sub-Dean or delegated authority, although minor changes to the title may be approved by the Sub-Dean or delegated authority.

3.2.2 Master by Coursework and Dissertation
3.2.2.1 Proposal for Dissertation or Portfolio
At the date set by the Course Coordinator or delegated authority, students must submit a proposal for the dissertation or portfolio which sets out the topic of investigation or work and the proposed methodology. The proposal will have been submitted before commencement of the dissertation or portfolio and must comply with the requirements specified by the Faculty.

3.2.2.2 Change of Topic
The topic for the dissertation or portfolio may not be changed except with the approval of the Course Coordinator.

3.2.2.3 Off Campus Work
Work relating to the dissertation or portfolio other than field work shall be carried out in a School or other authorised teaching division of the University except that the Dean of Faculty may permit candidates to conduct their work at other places where special facilities may be available, provided the direction of the work remains wholly under the control of the Supervisor and that there is at that work place a qualified co-supervisor appointed by the Dean.

3.2.2.4 Review of Progress
Candidates are subject to Assessment Regulation 14 (Academic Progress).

3.2.3 Bachelor (Honours)
3.2.3.1 Dissertation or Project Proposal
At the date set by the Honours Coordinator, students must submit a dissertation or project proposal which sets out the topic of investigation or work and the proposed methodology. The dissertation or project proposal will have been submitted before commencement of the dissertation or project and must comply with the requirements specified by the Faculty.

3.2.3.2 Change of Topic
The dissertation or project topic and the methodology may not be changed except with the approval of the Honours Coordinator.

3.2.3.3 Review of Progress
Candidates are subject to Assessment Regulation 14 (Academic Progress).

3.3 Supervision
3.3.1 Coursework Professional Doctorate
For each candidate the Dean shall appoint a team of supervisors made up of the following:
• a Principal Supervisor; and
• one or more Co-supervisors, one of whom is normally a member of the academic staff of the University.

This team of supervisors shall be chaired by a principal supervisor and all members of the team shall have designated responsibilities.

3.3.1.1 Appointment of Supervisors
Supervisors are appointed by the Dean on the recommendation of the Faculty Sub-Dean or delegated authority.

The Sub-Dean or delegated authority shall recommend a person to be the principal supervisor and a minimum of one other co-supervisor, who would normally be a member of the academic staff of the University:
a) at the time the Dean considers the candidate's application for admission to the program, in the case of a research program that does not have a coursework component; or
b) no later than when the Dean considers the candidate's research proposal, in the case of a research program that has a coursework component.

3.3.1.1 Principal Supervisors
A person appointed as principal supervisor shall be a member of the academic staff of the University and:

a) have been admitted to the Principal Supervisors' Register (see clause 2.3.1 above);

b) normally hold a degree at the level or above the level of the degree to be supervised; and

3.3.1.1.2 Co-supervisors
A person appointed as a member of the supervisory team shall:

a) be a member of the academic staff of the University who: has been admitted to the Principal Supervisors' Register; or is seeking supervision experience prior to applying for admission to the Register; or

b) be a person external to the University who is expert in the particular area of research, study or profession (as appropriate for the type of research program), provided one of the other Co-supervisors is normally a member of the academic staff of the University; and

3.3.1.2 Duties of the Supervisory Team

3.3.1.2.1 Duties of the Principal Supervisor
The principal supervisor is accountable to the Sub-Dean or delegated authority for advising and monitoring the progress of a candidate and leading the supervisory team. The principal supervisor has final responsibility for the decisions made by the supervisory team.

Responsibilities of a principal supervisor include:

a) negotiating roles with Co-supervisors, in conjunction with the candidate, at the commencement of the candidature;

b) facilitating the operation of the supervisory team to ensure support for the candidate by encouraging all supervisors to be actively involved in supporting the candidate's research endeavours. Where this does not occur, the Principal Supervisor shall consult with the Sub-Dean or delegated authority;

c) monitoring carefully the performance of the candidate relative to the standard required for the program, and advising that inadequate progress or work below the standard generally expected is brought to the candidate's attention;

d) ensuring that no research data is collected until the necessary approval is obtained from the relevant University and/or other ethics committees where the research deals with human or animal subjects;

e) advising the Sub-Dean or delegated authority when problems are occurring with regard to issues of academic misconduct;

f) at the time of submission, either certifying that the thesis or portfolio is properly presented, conforms to the Regulations and is, therefore prima facie, worthy of examination, or providing reasons why he/she believes the thesis or portfolio is not ready for examination (see clauses 3.4.1.4.1 and 3.4.1.5 below respectively);

g) at any time during candidature, bringing to the attention of the Sub-Dean or delegated authority issues of intellectual property rights and/or commercial or other confidentiality matters which relate to the content of the thesis or portfolio;

h) advising the Dean, through the relevant Faculty Research and Higher Degrees Committee and/or the Sub-Dean or delegated authority, of the names and credentials of suitable examiners;
i) ensuring the candidate has accurate information about any planned, long leave (or retirement) during the candidature and, in consultation with the Sub-Dean or delegated authority and the Dean, making arrangements to provide for supervision during absences (see clause 3.3.1.1.3 above);

j) contributing to the development of co-supervisory skills in academic staff inexperienced in co-supervision.

3.3.1.2.2 Duties of Each Member of the Supervisory Team

Responsibilities of the Supervisory Team include:

a) suggesting ways that the candidate can make the most effective use of time. This will involve discussing the nature of research with the candidate and the standard expected for particular degrees, the choice of the research topic, the planning of the research program and the availability of library resources in the field and bibliographical and technical assistance;

b) maintaining close and regular contact with the candidate and establishing at the beginning the basis on which contact will be made. This will facilitate the supervisory role in advising the candidate on the rate of progress, and ensuring that a reasonable timetable is set to permit the degree to be completed in the appropriate time;

c) requiring written or other work from the candidate on a pre-arranged and agreed schedule so that progress can be assessed at regular intervals;

d) monitoring carefully the performance of the candidate relative to the standard required for the degree, and ensuring that inadequate progress or work below the standard generally expected is brought to the candidate’s attention. The team should help with developing solutions to problems as they are identified;

e) ensuring that the research work and the production of all categories of examinable work are the candidate’s own work and ensuring that where the candidate receives substantial assistance that such assistance is acknowledged in the examinable work and does not conflict with the requirement that the intellectual content of the research and examinable work is that of the candidate;

f) commenting on the content and the drafts of the examinable work prior to submission;

g) fulfilling other obligations imposed by the University regarding postgraduate supervision.

3.3.1.3 Supervision Caseloads

3.3.1.3.1 Principal Supervisors

For a principal supervisor, the supervision load is recognised as an integral part of the teaching load.

3.3.1.3.2 Members of the Supervisory Team

For a co-supervisor who is an academic staff member of the University, the supervision load is recognised as an integral part of the teaching load.

3.3.1.3.3 Monitoring Caseloads

Supervision caseloads shall be monitored by the Sub-Dean or delegated authority, in conjunction with the appropriate Head of School to ensure appropriate supervision workloads are recognised and that an unreasonable supervision load is not carried.

3.3.2 Master by Coursework and Dissertation

3.3.2.1 Appointment of Supervisor(s)

The Dean or delegated authority shall appoint an appropriately qualified and experienced supervisor and, if appropriate, a co-supervisor from the academic staff of the University. The Dean or delegated authority may also appoint a co-supervisor from outside the University (for example, from industry, the professions or another university or research establishment) if appropriate.

3.3.2.2 Change of Supervisor(s)

Any change to the appointment of supervisors or co-supervisors must be approved by the Dean or delegated authority.

3.3.2.3 Duties of a Supervisor

Refer to clause 2.3.3 above.

3.3.3 Bachelor (Honours)

3.3.3.1 Appointment of Supervisor(s)

The Dean or delegated authority shall appoint an appropriately qualified and experienced supervisor and, if appropriate, a co-supervisor from the academic staff of the University. The Dean or delegated authority may also appoint a co-supervisor from outside the University (for example, from industry, the professions or another university or research establishment) if appropriate.

3.3.3.2 Change of Supervisor(s)

Any change to the appointment of supervisors or co-supervisors must be approved by the Dean or delegated authority.

3.3.3.3 Duties of a Supervisor

Refer to clause 2.3.3 above.
3.4 The Dissertation or Other Examinable Work

3.4.1 Coursework Professional Doctorate

3.4.1.1 Research to be Reported in a Dissertation or Portfolio

A candidate in a coursework professional doctoral program is required to successfully conduct research into a current problem confronting the profession. The results of this research are reported as specified in the clauses below.

3.4.1.1.1 Print Dissertation

Candidates in specified coursework professional doctoral programs shall report the results of their research in print dissertations. The work must demonstrate an excellent contribution to professional practice or policy.

3.4.1.1.2 Non-Print Dissertation

Candidates in specified coursework professional doctoral programs shall produce new bodies of work(s) which are presented by exhibition, performance, installation, electronic form, or other appropriate form. The work(s) presented will normally be supported by the research documentation that demonstrates the underlying evolution of the work(s) and a piece of critical writing/exegesis which places the work(s) into an historical and contemporary context. The work must demonstrate an excellent contribution to professional practice or policy.

3.4.1.1.3 Portfolio

Candidates in specified coursework professional doctoral programs shall report the findings of their research as portfolios. A portfolio consists of a compilation of scholarly documents which can include academic or professional journal articles and conference papers, plans, and reports and policy documents. The portfolio is submitted with an analysis/exegesis which integrates the research or investigation within the profession while demonstrating academic and professional development over the course of study.

3.4.1.2 Notice to Submit

To facilitate the timely appointment of examiners, a candidate shall give not less than two months’ notice in writing to the Sub-Dean or delegated authority of intention to submit the dissertation or portfolio.

3.4.1.3 Requirements for the Dissertation or Portfolio

The dissertation or portfolio submitted by a coursework professional doctoral candidate shall comply with the following requirements:

a) it must be an accurate account of the research;

b) it must be an account of a candidate's own work but, in special cases, work done conjointly with other persons may be accepted provided the Dean is satisfied about the extent of each candidate's part in the joint work;

c) it must relate to the approved research topic;

d) it must not include as its main content work which has been submitted for any other academic award or work conducted prior to the commencement of candidature. Where the main content of the dissertation or portfolio consists of any significant extension or elaboration of the candidate's earlier work, that portion referring to previous work must be clearly indicated;

e) for examinable print works and the written components of examinable non-print works, be written in English except where, on the recommendation of the Sub-Dean or delegated authority, the Dean approves that it may be written in another language;

f) for examinable print works and the written components of examinable non-print works, achieve a satisfactory standard of expression and presentation;

g) acknowledge any substantial assistance provided to the candidate during the conduct of the research and the production of the examinable work. The candidate must obtain written permission from the Principal Supervisor before obtaining paid editorial assistance with the examinable work. The paid editor shall not be in the same academic specialisation as the student;

h) conform to the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written components of Examinable Non-Print Works or, for the body of works in a non-print dissertation, to the requirements of the individual program.

3.4.1.3.1 Length of Dissertation of Portfolio

3.4.1.3.1.1 Print Dissertation

The maximum length for a coursework professional doctoral dissertation shall be 60,000 words.

3.4.1.3.1.2 Non-Print Dissertation

The research documentation that is presented to support the body of work(s) shall not exceed 75% of the total work(s) submitted for the award. The maximum length for the piece of critical writing/exegesis shall be 30,000 words.

3.4.1.3.1.3 Portfolio

The maximum length for the analysis/exegesis that is presented to support the portfolio shall be 30,000 words.
3.4.1.3.2 Variations to Maximum Length
The stated maximum length for a dissertation or portfolio is exclusive of appendices and may only be exceeded with permission of the Dean.

3.4.1.3.3 Appendices to Dissertation or Portfolio
Appendices may contain material or information that has been used in the study, referred to in the study or has informed the study, and which would be needed to replicate it but which is not generally available elsewhere. A candidate may include original (raw) data in an appendix if it:
• is related to the dissertation or portfolio but not included in the text;
• confirms other data presented in the dissertation or portfolio; or
• is felt to be important to the reader/examiner.

Candidates may submit confidential appendices as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.3.3.1 Appendices in Electronic Format
The Dean may approve the inclusion of original (raw) data as an appendix to a dissertation or portfolio in electronic format. A candidate wishing to submit such an electronic formatted appendix shall seek the permission of the principal supervisor prior to submission of the dissertation or portfolio for examination.

The Dean recommends the use of a standardised format such as portable document format (pdf).

3.4.1.3.5 Print Dissertations or Portfolios Containing Non-Print Materials
On the recommendation of the Sub-Dean or delegated authority, the Dean may approve that a candidate may submit non-print materials to supplement the print dissertation or portfolio. Candidates are to seek the advice of their principal supervisor in all such cases.

Non-print materials (a three dimensional artefact, sound or video recording, computer software, photographs or paintings, etc.) which relate to a print dissertation or portfolio should not normally account for more than ten percent of the content of material submitted for examination.

Where a candidate wishes to submit substantially non-print materials for examination in a course where a print dissertation or portfolio is the norm, the candidate must obtain the approval of the Dean to do so.

3.4.1.4 Submission of the Dissertation or Portfolio

3.4.1.4.1 Readiness for Examination
A dissertation or portfolio shall be submitted to the Sub-Dean or delegated authority when the candidate and the principal supervisor agree that the dissertation or portfolio is ready for examination. Should the principal supervisor disagree with the candidate that the dissertation or portfolio is ready for examination, clause 3.4.1.5 below shall apply.

3.4.1.4.2 Copies Required
3.4.1.4.2.1 Print Dissertations, Portfolios and the Written Component of an Examinable Non-Print Work
Four copies of a doctoral dissertation or portfolio (or of the written component of a non-print dissertation) shall be provided to the Sub-Dean or delegated authority. These copies shall be soft-bound copies as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.4.2.2 On-Site Bodies of Work(s)
For documentation (as specified by the Course Coordinator or delegated authority) which outlines to examiners the nature and scope of the task that they will undertake when the body of work(s) is assessed on site, four copies shall be provided to the Sub-Dean or delegated authority.

3.4.1.4.2.3 Reproducible Bodies of Work(s)
For bodies of work(s) which are able to be reproduced, four copies shall be provided to the Sub-Dean or delegated authority.

3.4.1.4.3 Certificate of Authorship
The dissertation or portfolio shall contain a certificate of authorship as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.4.4 Certificate from the Principal Supervisor
The dissertation or portfolio shall be accompanied by a certificate signed by the principal supervisor as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.4.5 Acknowledgments of Assistance
Any substantial assistance, including any paid editorial assistance received during the period of candidature, shall be acknowledged in the dissertation or portfolio as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.
3.4.1.4.6 Intellectual Property Rights
If there is material in the dissertation or portfolio which could or does have implications for the intellectual property rights of the candidate, the University, a sponsor of the research or some other person or body, this shall be identified as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.4.7 Confidentiality
If there is material in the dissertation or portfolio which is confidential for commercial or other reasons, this shall be identified as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.4.8 Ethics, Biosafety and/or Radiation Safety Approval
If the dissertation or portfolio reports on research involving humans or human biological materials or involving animals, evidence of the relevant approvals shall be included as specified in The Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.5 Disagreement Over Readiness for Examination

3.4.1.5.1 Principal Supervisor’s Authority
The principal supervisor may decline to issue a certificate that the dissertation or portfolio is ready for examination if:

a) the dissertation or portfolio does not conform to the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works or, for non-print dissertations, to the program requirements; or

b) the candidate has failed to fulfil some other requirement of candidature prescribed by these regulations.

The principal supervisor shall not decline to issue a certificate solely on the grounds that he or she believes that the dissertation or portfolio is not of a standard appropriate to the award for which it is being submitted.

Where the principal supervisor declines to issue a certificate that the dissertation or portfolio is ready for examination, he or she shall provide a written statement to the Sub-Dean or delegated authority setting out the reasons for the decision. The statement shall not accompany the dissertation or portfolio when it is sent to the examiners if the Dean of Faculty allows the dissertation or portfolio to be examined under clause 3.4.1.5.1.1 and below.

3.4.1.5.1.1 Dean’s Authority
Acting on the advice of the Sub-Dean or delegated authority, the Dean of Faculty may:

a) allow the dissertation or portfolio to be examined; or

b) allow the dissertation or portfolio to be examined subject to any conditions specified by the Sub-Dean or delegated authority being met by the candidate to the satisfaction of the Dean; or

c) decline to allow the dissertation or portfolio to be examined in which case the Dean may terminate the candidate’s enrolment or approve some other action.

3.4.1.6 Hard-Bound Copies of the Dissertation or Portfolio
Following the acceptance of the examiners’ reports on a dissertation or portfolio by the Dean and notification that the Dean has recommended that the degree be awarded, the candidate shall forward to the Sub-Dean or delegated authority, hard-bound copies of the dissertation or portfolio as set out below. The candidate is responsible for the cost of binding.

3.4.1.6.1 Print Dissertation or Portfolio
Three hard-bound copies of the dissertation or portfolio, as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works.

3.4.1.6.2 Non-Print Dissertation
Three hard-bound copies of the written component of the dissertation, as specified in the Rule for the Presentation of Print Theses, Other Examinable Print Works and the Written Components of Examinable Non-Print Works. Each copy shall be accompanied by a copy of representations of the body of work(s) as advised by the principal supervisor.

3.4.1.6.3 Library Copy
One copy of the dissertation or portfolio printed on permanent paper (paper which meets the specifications of Australian Standard AS40003 – 1996) and with the signed Certificate of Authorship (as specified in The Rule for the Presentation of Print Theses and Other Examinable Print Works) shall be forwarded by the Sub-Dean or delegated authority to the University Library.

3.4.1.6.4 Intellectual Property/Confidentiality

3.4.1.6.4.1 University Provisions
The University provisions relating to inventions, patents, copyright and registered design shall apply, except as provided in clauses 3.4.1.6.4.2 and 3.4.1.6.4.3 below.
3.4.1.6.4.2 Ownership of Dissertation or Portfolio
The three bound copies of the dissertation or portfolio presented by the candidate to the Sub-Dean or delegated authority shall become the property of the University for lodgement by the Sub-Dean or delegated authority in the Library, with the principal supervisor and with the Faculty.

3.4.1.6.4.3 Restriction on Circulation of Dissertation or Portfolio
3.4.1.6.4.3.1 A candidate will be asked to consent in writing to the dissertation or portfolio being made available for circulation or copying. Such notice of consent will be inserted by the Sub-Dean or delegated authority in the copy deposited in the Library.

3.4.1.6.4.3.2 Where a dissertation or portfolio contains matters affecting national or industrial security, the Dean may restrict the circulation and copying of the dissertation or portfolio, upon considering a recommendation by the Sub-Dean or delegated authority based on a written request from the candidate. When forwarding a copy of the dissertation or portfolio to the University Library, the Sub-Dean or delegated authority shall advise the Library of any restrictions the Library should place on the availability of the dissertation or portfolio for reasons relating to the intellectual property rights or confidentiality of material in the dissertation or portfolio.

3.4.1.6.4.3.3 The copy of the dissertation or portfolio deposited in the Library will be available for circulation or copying, except where a restriction is imposed by the Dean as provided for above.

3.4.1.6.4.3.4 If the Dean approves a restriction on circulation or copying, the dissertation or portfolio will in any case become available for loan two years after the dissertation or portfolio has been deposited with the Sub-Dean or delegated authority, or such longer period as may be approved by the Dean.

3.4.2 Master by Coursework and Dissertation and Bachelor (Honours)
3.4.2.1 Research to be Reported in a Dissertation or Other Examinable Work
3.4.2.1.1 Master Dissertation
A master dissertation is a report on an investigation or similar study conducted in a master program where the investigation or study constitutes less than two-thirds of the program.

3.4.2.1.2 Master Project
A master project is an examinable non-print work that is an alternative to a dissertation in a master program and which may be required to be produced in such fields as the creative and performing arts. Throughout this regulation, the word ‘Project’ means as appropriate, the process or work undertaken or the examinable item of work produced.

3.4.2.1.3 Master Portfolio
A master portfolio is an examinable print work which is required in specified master programs. A portfolio consists of a compilation of scholarly documents which can include academic or professional journal articles and conference papers, plans, and reports and policy documents. The portfolio is submitted with an analysis which integrates the research or investigation within the profession while demonstrating academic and professional development over the course of study.

3.4.2.1.4 Bachelor (Honours) Dissertation
A student in a Bachelor (Honours) course will conduct an investigation (of at least 16 points), the results of which will be presented in a dissertation.

3.4.2.1.5 Bachelor (Honours) Project
A student in a bachelor (honours) course will conduct a project (of at least 16 points) the results of which will be embodied in an approved alternative examinable work. Throughout these regulations the word ‘project’ will be used interchangeably to mean both project work and the resulting approved alternative examinable work.

3.4.2.2 Non Print Materials in a Dissertation or Portfolio
Non-print materials (a three dimensional artefact, sound or video recording, computer software, photographs or paintings, etc.) which relate to a master dissertation or portfolio or bachelor (honours) dissertation should not normally account for more than 10% of the content of materials submitted for examination.

Where a candidate wishes to submit substantially non-print materials for examination in a course where a dissertation or portfolio is the norm, the candidate must obtain Faculty approval to do so.

3.4.2.3 Requirements for the Dissertation or Other Examinable Work
The dissertation or other examinable work shall comply with the following requirements:

3.4.2.3.1 The work must address the topic approved by the Course Coordinator or delegated authority, or, for Bachelor (Honours) courses, the Honours Coordinator;

3.4.2.3.2 The work described must have been completed subsequent to admission to the program;
3.4.2.3.3 Dissertations and portfolios must comply with the word limit imposed by the course regulations and the Rule for the Presentation of Theses, Other Examinable Print Works and the Examinable Components of Examinable Non-Print Works approved by Academic Senate;

3.4.2.3.4 Projects must comply with any limits imposed by the course regulations;

3.4.2.3.5 Dissertations, portfolios and text in a project must normally be written in English except where candidates may be required by the Course Coordinator or delegated authority or Honours Coordinator, as appropriate, to write a dissertation, portfolio or text in a project in a foreign language or where the nature of the work requires the dissertation, portfolio or text in a project to be written in another language;

3.4.2.3.6 Dissertations, portfolios and text in a project must reach a satisfactory standard of expression and presentation; and

3.4.2.3.7 It must consist of an account of candidate’s own work, but in special cases, work done conjointly with other persons may be accepted provided the Honours Coordinator is satisfied about the extent of the candidate’s contribution to the joint work.

3.4.2.4 Submission of the Dissertation or Other Examinable Work

3.4.2.4.1 Previously Submitted Work

Candidates may not submit as a dissertation or other examinable work any work or material which has previously been submitted for a university degree or similar award, but may submit any published work as part of the dissertation or other examinable work.

3.4.2.4.2 Copies Required

Three copies of a dissertation or portfolio shall be presented to the Course Coordinator or delegated authority or Honours Coordinator, as appropriate, in a form which complies with the Rule for the Presentation of Theses, Other Examinable Print Works and the Examinable Components of Examinable Non-Print Works.

The number of copies of a project required for examination shall be specified by the Course Coordinator or delegated authority or Honours Coordinator, as appropriate, and shall be dependent upon the nature of the project.

3.4.2.4.3 Submission Dates and Late Submission

3.4.2.4.3.1 Master by Coursework and Dissertation

Refer to clause 16.3 of the Assessment regulations.

3.4.2.4.3.2 Bachelor (Honours) Course

Policy on the following is determined at Faculty rather than University level:

- dates for submission, with these being in line with AVCC guidelines;
- penalties for late submission; and
- whether or not re-submission is permitted.

Note: in those Faculties where re-submission is permitted, no re-submission can result in a grade higher than a Pass for that dissertation or project.

3.4.2.5 Hard-Bound Copy of the Dissertation or Other Examinable Print Work

Following acceptance of the dissertation or other examinable work, the candidate shall lodge a bound copy of the work with the Course Coordinator or Honours Coordinator, as appropriate, for forwarding to the University Library, or for lodging in the School where Faculty policy prescribes this.

Note: where the policy for a particular course is that dissertations be lodged in the School rather than in the University Library, the students in that course are not constrained by the binding requirements of the Rule. Such policy shall be determined by the individual Course Committee.

3.5 Examination of the Dissertation or Other Examinable Work

3.5.1 Coursework Professional Doctorate

3.5.1.1 Examiners

3.5.1.1.1 Appointment

Upon receiving notice from a candidate of his or her intention to submit a dissertation or portfolio for examination, the Dean, on the recommendation of the Sub-Dean or delegated authority, shall appoint examiners.

Where a dissertation or portfolio contains material which is either confidential or contains intellectual property issues, each examiner is required to confirm in writing that he or she will not release the confidential or intellectual property material prior to distribution of the dissertation or portfolio.

3.5.1.1.2 Number Appointed

The Dean shall appoint three examiners for a coursework professional doctoral dissertation or portfolio, at least two of whom shall be external to the University. One of these examiners may be an industry-based examiner.

3.5.1.1.3 Supervisors Not to be Examiners

A candidate’s principal supervisor and co-supervisors shall not be appointed as examiners of the candidate’s dissertation or portfolio.
3.5.1.1.4 *Release of Examiners’ Names*

The name of an examiner shall be released to the candidate together with the examiner’s report on the dissertation or portfolio.

3.5.1.1.5 *Replacement Examiner*

Where an examiner fails to provide a report on a dissertation or portfolio within three months of having received it, the Dean may appoint a replacement examiner.

3.5.1.1.6 *Qualifications*

3.5.1.1.6.1 *Academic Examiners*

Examiners shall be of high academic standing in the field in which the candidate’s research was conducted, and shall demonstrate knowledge of the professional area in which the dissertation or portfolio is being examined.

3.5.1.1.6.2 *Industry-based Examiner*

The examiner shall exhibit demonstrated excellence in the profession in which the candidate’s research was conducted.

3.5.1.1.7 *Payment*

The payment of honoraria to examiners and arbiters shall be in accordance with the following clauses:

- examiners or arbiters who are not staff of CSU shall be paid an honorarium at the rate recommended from time to time by the Commonwealth Department of Education, Science and Training;
- examiners or arbiters who are staff of CSU shall not be paid an honorarium; and
- for the purposes of this clause, an academic associate of CSU shall not be regarded as a staff member and shall therefore be entitled to payment of an honorarium.

Payment shall be made when an examiner’s recommendation and written report are received and the cost shall be met by the appropriate Faculty.

3.5.1.2 *Examination Criteria*

3.5.1.2.1 *Academic Examiners*

Examiners shall examine a dissertation or portfolio principally in terms of the following criteria:

- the candidate’s understanding of the field of study;
- the originality of the work embodied in the dissertation or portfolio;
- the significance of the dissertation or portfolio as a contribution to knowledge in the field of study;
- the adequacy of the research methodology (e.g. the construction of hypotheses, the analysis of data, the arguments advanced to support conclusions); and
- the worthiness of the dissertation or portfolio for publication.

For specific programs, there may be additional criteria approved by the Faculty concerned.

3.5.1.2.2 *Industry-based Examiners*

Industry-based examiners shall examine a dissertation or portfolio principally in terms of the following criteria:

- the significance of the dissertation or portfolio to the practice or profession as a whole;
- the appropriateness of the dissertation or portfolio for publication and the extent to which this publication could be of value to the particular profession/industry; and
- the veracity of the research findings from an industry/professional viewpoint.

3.5.1.3 *Examination of a Dissertation or Portfolio*

Examiners will be provided with detailed assessment criteria from the Sub-Dean or delegated authority.

3.5.1.3.1 *Examiners’ Reports and Recommendations*

Each examiner shall, independently of the other examiner(s), examine the dissertation or portfolio, prepare a written report and make one of the recommendations set out below.

That the candidate:

- be awarded the degree without further assessment; or
- be awarded the degree without further assessment subject to minor corrections as listed being made to the dissertation or portfolio to the satisfaction of the Dean of Faculty; or
- be awarded the degree subject to the conditions that the candidate make the corrections/changes/amendments/additions, as indicated in the examiners’ reports, and/or defend their position to the satisfaction of the Dean; or
- after a further period of study or research, be allowed to resubmit the dissertation or portfolio in a revised form which addresses the specific issues proposed in the examiners’ reports; or
- not be awarded the degree and not be permitted to resubmit the dissertation or portfolio.

3.5.1.3.2 *Collaboration*

Examiners may not collaborate in the preparation of their reports or in the formulating of their recommendations under clause 3.5.1.3.1 above.
3.5.1.4 Consideration of Examiners’ Reports

3.5.1.4.1 The Reports
Examiners’ reports shall be received initially by the Sub-Dean or delegated authority. The Sub-Dean or delegated authority, after consideration of the reports, shall refer them to the candidate via the principal supervisor.

3.5.1.4.2 Candidate’s Response
Where examiners’ recommendations include options b), c), d) or e) as set out in clause 3.5.1.3.1 above, the candidate shall provide to the principal supervisor a response to the examiners’ reports and, where minor corrections only are required (as in b) above), a corrected copy of the dissertation or portfolio which addresses the examiners’ comments. The candidate’s response need not reflect the view of the principal supervisor or any other person.

3.5.1.4.3 Supervisor’s Recommendation
The principal supervisor shall forward the candidate’s response to the examiner’s reports and, where minor corrections only are required (as in b) above), a copy of the corrected dissertation or portfolio to the Sub-Dean or delegated authority with a covering report and a recommendation that:
   a) the award be conferred; or
   b) the award be conferred, with advice that all minor corrections have been made satisfactorily; or
   c) the award be conferred, having accepted that the candidate has adequately responded to all of the examiners’ concerns; or
   d) the dissertation or portfolio be resubmitted in a revised form which addresses the specific issues proposed in the examiners’ reports, by a specified date after a further period of enrolment; or
   e) where the examiners’ recommendations are significantly at variance that an arbiter be appointed, in which case the name of an appropriate arbiter shall accompany the recommendation (this is not the only recommendation that may be made in cases where the examiners’ recommendations are significantly at variance); or
   f) the dissertation or portfolio be failed, the candidate not be permitted to resubmit the dissertation or portfolio and candidature be terminated.

3.5.1.4.4 Sub-Dean’s Recommendation
The Sub-Dean or delegated authority shall consider the principal supervisor’s recommendation made under clause 3.5.1.4.3 above and forward the examiners’ reports, the candidate’s response and the principal supervisor’s report, with a recommendation, to the Sub-Dean or delegated authority who shall recommend to the Dean that:
   a) the award be conferred; or
   b) the award be conferred, having accepted that all minor corrections have been made satisfactorily; or
   c) the award be conferred, having accepted that the candidate has adequately responded to all of the examiners’ concerns; or
   d) the thesis or portfolio be returned to the candidate on the basis that the corrections and/or concerns identified by the examiners have not been dealt with satisfactorily; or
   e) the thesis or portfolio be resubmitted in a revised form which addresses the specific issues proposed in the examiners’ reports, by a specified date after a further period of enrolment; or
   f) where the examiners’ recommendations are significantly at variance that an arbiter be appointed, in which case the name of an appropriate arbiter shall accompany the recommendation (this is not the only recommendation that may be made in cases where the examiners’ recommendations are significantly at variance); or
   g) the thesis or portfolio be failed, the candidate not be permitted to resubmit the thesis or portfolio and candidature be terminated.

3.5.1.4.5 Dean’s Decision
The Dean shall receive from Sub-Dean or delegated authority the Sub-Dean’s recommendation, the examiners’ reports, a statement from the principal supervisor that any required minor corrections to the thesis or portfolio have been made and, where there was disagreement between the examiners, a copy of the principal supervisor’s report, and shall:
   a) recommend to the Academic Awards Committee that the award be conferred; or
   b) agree that, subject to those corrections and other changes which the candidate has accepted being made to the satisfaction of the Dean, he or she will recommend to the Academic Awards Committee that the award be conferred; or
   c) require the candidate to revise the thesis or portfolio by a specified date after a further period of enrolment; or
   d) appoint an arbiter to review the thesis or portfolio and examiners’ reports; or
   e) decide that the thesis or portfolio be failed, the candidate not be permitted to resubmit the thesis or portfolio and candidature be terminated.
3.5.1.4.6 Corrections and Other Changes
Where the Dean recommends that the award be conferred subject to corrections and other changes as provided in clause 3.5.1.4.5 c) above, the corrections and other changes shall be completed to the satisfaction of the Dean of Faculty normally within six months of notification of the Dean's decision.

The award shall not be conferred until the Dean is satisfied that the corrections and other changes have been made.

3.5.1.4.7 Major Revision
Where the Dean requires the candidate to revise the thesis or portfolio by a specified date after a period of further enrolment as provided in clause 3.5.1.4.5 d) above, that date shall normally be within twelve months of the notification of revision although the Dean may specify a longer period.

When the thesis or portfolio is revised, it shall be submitted for examination by the candidate and shall be examined as required by this regulation except that the examiners shall only recommend that the award be conferred (with or without minor corrections) or that the thesis or portfolio be failed and candidature be terminated. A thesis or portfolio may only be submitted once after major revision.

The examiners of a revised thesis or portfolio shall normally be the examiners of the original thesis or portfolio.

The Dean, on the recommendation of the Sub-Dean or delegated authority, may appoint a replacement principal supervisor, or an additional co-supervisor for the period of further enrolment.

3.5.1.4.8 Appointment of an Arbiter
Where the Dean appoints an arbiter as provided in clause 3.5.1.4.5 d) above, the arbiter shall:

a) receive a copy of the thesis or portfolio, the examiners' reports, the candidate's response to the examiners' reports and the report of the Principal Supervisor; and

b) be requested to review the documentation in a) above and recommend one of the options a), c), d) or f) in clause 3.5.1.4.3 above. The appointment of another arbiter shall not be an option.

The arbiter's report and recommendation shall be considered under this regulation in the same manner as the original examiners' reports except that neither the principal supervisor under clause 3.5.1.4.3 above nor the Dean or Faculty under clause 3.5.1.4.4 above shall be permitted to recommend the appointment of another arbiter.

3.5.1.4.9 Failed Thesis or Portfolio
Where the Dean fails a thesis or portfolio as provided in clause 3.5.1.4.5 e) above, the thesis or portfolio shall not be resubmitted for the award for which it was originally submitted and the candidacy shall be terminated subject to appeal to the Academic Awards Committee as provided in clause 3.6 below.

3.5.2 Master by Coursework and Dissertation
3.5.2.1 Examiners
The Dean or delegated authority, on the recommendation of the program coordinator, shall appoint two examiners. Both examiners may be members of the Faculty provided that the candidate's supervisor and associate supervisor are not both examiners.

3.5.2.2 Examiners’ Recommendations
Examiners shall recommend to the School Assessment Committee a grade from high distinction to fail for dissertations and other examinable works and the final grade shall be approved by the Faculty Assessment Committee.

3.5.2.3 Recommendations at Variance
In cases where the examiners disagree on the grade to be recommended and the disagreement cannot be resolved, the Dean or delegated authority may appoint an arbiter to review the dissertation or other examinable work and the examiners’ reports, and to recommend a grade to the School Assessment Committee.

3.5.2.4 Recommendation for Award
When candidates have completed all requirements of a Master by coursework or coursework and dissertation program, the Dean or delegated authority on the recommendation of the Course Coordinator shall certify to the Academic Awards Committee that the candidate has satisfied requirements for the awarding of the degree.

3.5.3 Bachelor (Honours) Course
3.5.3.1 Examiners
The assessment of dissertations and projects will be in each case by one or more examiners appointed by the Dean or delegated authority. If an examiner is the student's supervisor and/or associate supervisor, an additional examiner must be appointed.

3.5.3.2 Examiners’ Recommendations
Examiners will provide a written report on the dissertation or project and, guided by Faculty policy, will recommend a grade for the dissertation, providing reasons for the recommendation.

Policy on how guidelines for marking dissertations and projects are communicated to examiners
Progress, Supervision and Assessment Regulations for Theses, etc.

3.5.3.3 Grading
Explicit criteria for the assessment of dissertations and projects are determined at the Faculty rather than University level. Dissertations and projects shall be graded according to the set of grades designed specifically for Bachelor (Honours) dissertation and project subjects in terms of the classes of honours, as follows:

- H1 Class 1
- H2a Class 2, Division 1
- H2b Class 2, Division 2
- H3 Class 3

Note: This grade will not necessarily be the same as the class of honours awarded for the course overall.

3.5.3.4 Level of Award
Bachelor (Honours) awards may be conferred at the following levels: Class 1; Class 2, Division 1; Class 2, Division 2; Class 3.

Policy for determining the level of award to be conferred on graduands of a Bachelor (Honours) course, including processes for the resolution of discrepant examiners’ marks on dissertations and projects, is determined at Faculty rather than University level. The particular criteria for each course will be specified in the Stage 2 Course Approval document. A record of how the criteria were applied to individual students will also be maintained by the Faculty.

The level of award may be determined by level of performance in one of the following completed whilst enrolled in the Bachelor (Honours) course:

- the project/dissertation alone;
- the project/dissertation and specified course work subjects; or
- the project/dissertation and all coursework subjects.

Where specific coursework subjects in a particular course have been identified as not contributing to the level of award, the Faculty may not require that a grade higher than a pass be obtained in these subjects.

Faculties are required to ensure that the grading system used for any particular Bachelor (Honours) course has built into it as a criterion for Class 2, Division 1 honours a demonstrated capacity for independent research.

The grade for the dissertation or project and the level of the award to be conferred will be determined by the Faculty Assessment Committee on the recommendation of the Honours Coordinator made in accordance with Faculty protocol.

3.6 Exclusion/Termination of Candidature
3.6.1 Master by Coursework and Dissertation and Bachelor (Honours)
Candidates are subject to the Exclusion Regulations.

3.6.2 Coursework Professional Doctoral Programs
If the Dean, acting upon the advice of such qualified persons as they choose, is of the opinion that a candidate enrolled in a coursework professional doctoral program is not making satisfactory progress or that a candidate has failed to comply with the provisions of these Regulations and, after one month’s notice in writing, may terminate the candidature or make such changes in the conditions of the candidature as they think fit. Before making such determination the Dean shall give the candidate an opportunity to show cause.

If a candidature is terminated, it may be reinstated by the Dean in response to a recommendation by the Sub-Dean or delegated authority and in accordance with rules for re-admission to candidature that may be made by the Academic Senate.

3.7 Grievances and Appeals
3.7.1 Academic Judgements, Discrimination, Harassment
3.7.1.1 Academic Judgements
A candidate, who is aggrieved by a decision of the University which is made by a person or body of the University exercising an authority under the regulations and rules of the University, based essentially upon a question of academic judgement, may appeal against that decision.

3.7.1.2 Discrimination
A candidate who is aggrieved by a decision of the University or by action taken by the University which the candidate believes has or will result in him or her being treated less favourably than another candidate or candidates in the same or similar circumstances, may:

a) have his or her complaint, problem or concern mediated; or
b) lodge a formal grievance under the University’s Grievance Policy and Procedures on the grounds of discrimination in respect of that decision or action. A candidate who invokes this clause in respect of a decision of the University is not prevented from exercising his or her rights of appeal against that decision under clause 3.7.1.1.
30 - Rules and Regulations


3.7.1.3 Harassment
A candidate who is subject to uninvited and unwelcomed behaviour by a person exercising an authority under the regulations or a student of the University, which interferes with the candidate’s right to study or live in a non-threatening environment, may:

a) have his or her complaint, problem or concern mediated; or
b) lodge a formal grievance under the University’s Grievance Policy and Procedures on the grounds of harassment in respect of that behaviour.

3.7.2 Appeals
3.7.2.1 Dean of Faculty
3.7.2.1.1 Academic Decisions
A candidate aggrieved by an academic decision as described in clause 3.7.1.1 above by a:

• Principal or Co-supervisor;
• Course Coordinator (or honours coordinator, where appropriate);
• Faculty Sub-Dean for Graduate Training);
• Faculty Board; or
• Faculty Research and Higher Degrees Committee
which relates to their candidature, may appeal to the Dean.

A candidate may not appeal against a recommendation made by one of the above officers or bodies, but only against a decision of those officers or bodies.

3.7.2.1.2 Conflict of Interest
Where the Dean is the candidate’s Principal or co-supervisor, or Course Coordinator or delegated authority, or has some other conflict of interest, the Dean of Faculty shall advise the Deputy Vice-Chancellor who shall appoint another person who is not a member of the Dean’s faculty, to hear the appeal. That person shall exercise the authorities given to a Dean under clauses 3.7.2.1.3 to 3.7.2.1.8 below.

3.7.2.1.3 Appeals to be in Writing
An appeal shall be in writing and shall be lodged with the Dean within 21 days of the date of notification of the decision.

An appeal shall specify the:
• decision against which the candidate is appealing;
• name of the person or body that made the decision;
• reasons for the appeal.

Documentary evidence in support of the appeal shall be provided in appropriate cases. (See the Special Consideration Regulations.)

3.7.2.1.4 Late Appeals
The Dean may decline to hear an appeal that is lodged after the twenty-one day appeal period.

3.7.2.1.5 Deciding Appeals
The Dean shall determine the procedure for deciding each appeal but as a minimum shall:

a) refer the candidate’s appeal to the person or the presiding officer of the body that made the decision which is the subject of the appeal, for written comment within seven days; and
b) refer the written comments in a) above to the candidate for a written response.

If the candidate’s response is not received within 21 days of the date on which the comments in a) above were sent to the candidate, the Dean may grant the candidate an extension of time or may decide the appeal in its absence.

3.7.2.1.6 Authority of the Dean
In deciding an appeal the Dean may:

a) uphold the decision; or
b) quash the decision; or
c) vary the decision provided the effect of such variation is consistent with the University’s regulations.

3.7.2.1.7 Notification
The Dean shall notify the candidate in writing of the decision.

3.7.2.1.8 Time Limit
The Dean shall decide an appeal within 40 days of its receipt from the candidate unless granted an extension of time by the Deputy Vice-Chancellor (Academic).

3.7.2.2 Academic Appeals Committee
3.7.2.2.1 Decisions of the Dean, a person appointed under clause 3.7.2.1.2 or Academic Awards Committee.

A candidate aggrieved by a decision of:
• the Dean including a decision taken under clause 3.7.2.1.2 above;
• a person appointed under clause 3.7.2.1.2 above; or
• the Academic Awards Committee; which relates to the candidate’s studies, may appeal to the Academic Appeals Committee.

3.7.2.2.2 Appeals to be in Writing
An appeal shall be in writing and shall be lodged with the Secretary, Academic Appeals Committee within 21 days of the date of the decision.
3.7.2.2.3 Late Appeals
The Academic Appeals Committee may decline to hear an appeal that is lodged after the 21 day appeal period.

3.7.2.2.4 Deciding Appeals
The Academic Appeals Committee shall determine the procedure for deciding each appeal and in doing so shall be guided by those clauses of the Exclusion Regulations relating to the hearing of appeals. As a minimum the Academic Appeals Committee shall:

a) refer the candidate's appeal to the Dean, the person appointed under clause 3.7.2.1.2 or the Academic Awards Committee as appropriate, for written comment within seven days; and

b) refer the written comments in a) above to the candidate inviting the candidate to provide a written response and/or to request an interview with the Academic Appeals Committee.

If the candidate does not respond to the invitation within 21 days of the date on which the comments in a) above were sent to the candidate, the Academic Appeals Committee may grant the candidate an extension of time or may decide the appeal in its absence.

3.7.2.2.5 Interview with the Committee
A candidate who chooses to be interviewed by the Academic Appeals Committee may elect to be interviewed in person by telephone or at the Committee’s discretion by videoconference. The expenses incurred by the candidate in presenting for interview shall be met by the candidate. The candidate may be represented at an interview by an adviser if the Academic Appeals Committee so approves. An adviser shall not be a barrister or solicitor engaged by the candidate or by another person on the candidate’s behalf. The adviser shall not be entitled to address or debate the Committee unless granted leave by the Committee.

3.7.2.2.6 Authority of the Committee
In deciding an appeal against a decision of a Dean, the Academic Awards Committee or the person appointed under clause 3.7.2.1.2, the Academic Appeals Committee may:

a) uphold the decision; or
b) quash the decision; or

c) vary the decision provided that the effect of such a variation is consistent with the University’s regulations.

The decision of the Academic Appeals Committee shall be final.

3.7.2.2.7 Notification
The Academic Secretary shall notify the candidate in writing of the decision of the Academic Appeals Committee.

3.7.2.2.8 Time Limit
The Academic Appeals Committee shall decide an appeal within 40 days of its receipt from the candidate unless granted an extension of time by the Vice-Chancellor.

4. THE RULE FOR THE PRESENTATION OF PRINT THESSES, OTHER EXAMINABLE PRINT WORKS AND THE WRITTEN COMPONENTS OF EXAMINABLE NON-PRINT WORKS

4.1 Applications of these Rules
These rules apply to:

• print theses in research master, doctoral and research professional doctoral programs;
• print dissertations in coursework professional doctoral and master programs and in bachelor (honours) courses;
• portfolios in professional doctoral programs and master programs;
• the written components of non-print theses and other examinable non-print works.

They do not apply to the body of work(s) in a non-print thesis or other examinable non-print work, which is presented for examination in a non-written form. Candidates in these courses should consult their Supervisor or Course or Honours Coordinator regarding the presentation of their body of work.

4.2 Format
4.2.1 Word Processed Document
The print thesis, other examinable print work or written component of an examinable non-print work shall be a word processed or typescript paper document. The text shall be in a consistent font throughout (12 point), with any footnotes being in a smaller font. A print thesis, other examinable print work or written component of an examinable non-print work shall not be submitted in an electronic format.

4.2.2 Text
Text is normally to be double-sided, with the pages numbered consecutively throughout the print
32 - Rules and Regulations

thesis, other examinable print work or written component of an examinable non-print work. The following minimum margins are to be observed:

- Gutter margin - 4cm
- All other margins are to be 2cm

Text is to be spaced either double or space-and-a-half with the exception of quotations, footnotes, references and table and figure captions, which are to be single spaced.

4.2.3 Soft-Bound Copies for Examination

4.2.3.1 Paper and Binding
Print theses, other examinable print works and the written components of examinable non-print works are to be presented using International Standard Organisation (ISO) A4 size white bond paper. If diagrams, maps, tables and similar presentations do not fit readily on this sheet size, ISO B4 size may be used. B4 size pages are to be folded and bound so as to open out at the top and the right.

The duplicate copies of the original are to be produced using a method which gives a clear and permanent copy (offset print, dry photocopy or laser copy). The use of spirit duplication, wet photocopy, thermal copy or carbon copy is not acceptable.

All copies of the print thesis, other examinable print work or written component of an examinable non-print work are to be secured within hard covers (e.g. commercially available plastic folders).

4.2.3.2 Number of Copies
The number of soft-bound copies of the print thesis, other examinable print work or written component of an examinable non-print work to be provided by the candidate shall be as specified in clause 2.4.4.2 or 3.4.1.4.2 above.

4.2.4 Hard-Bound Copies Following Examination

4.2.4.1 Permanent Paper
The hard-bound copy of the dissertation or master portfolio or, for a print thesis or professional doctoral dissertation or portfolio or written component of the examinable non-print work, at least one of the hard-bound copies, shall be printed on permanent paper (paper which meets the specifications of Australian Standard AS40003 – 1996) for permanent storage in the University Library (or for Bachelor (Honours) dissertations, in the School, where Faculty policy prescribes this).

4.2.4.2 Binding Specifications
Hard-bound copies of print theses, other examinable print works and the written components of examinable non-print works are to be prepared in accordance with the specifications set out below.

Canditates are advised to enclose these instructions with their print thesis, other examinable print work or written component of an examinable non-print work when it is sent for binding and to specify a choice of fabric.

4.2.4.2.1 Binding

4.2.4.2.1.1 Theses and Professional Doctoral Portfolios
Print theses, professional doctoral portfolios and the written components of examinable non-print works submitted to the Library are to be full bound in burgundy cloth or buckram. The burgundy is to be similar to pantone colour 188c.

4.2.4.2.1.2 Dissertations and Master Portfolios
Dissertations and master portfolios are to be full bound in dark green cloth or buckram. The dark green is to be similar to Pantone colour 3435c.

4.2.4.2.2 Lettering
Lettering is in gold block letters, 3-4 mm in height, 10 letters per 2 cm in a sans-serif type face. Where the thickness of the print thesis, other examinable print work or written component of an examinable non-print work is sufficient, lettering should be horizontal, across the spine with the top line of the title lettering 22 cm above the base of the spine, the author's name 10 cm, and the award and year 10 cm. The award name should be abbreviated to CSU requirements (as set out in Section L15.2 of the Academic Manual, available on the web). Lettering on the front cover is not required. If the print thesis, other examinable print work or written component of an examinable non-print work has to be published in more than one book, each book is regarded as a volume. Each volume should be numbered 14 cm above the base of the spine.

Where the width of the spine does not permit horizontal lettering, lettering should be applied in the direction top to bottom, starting 2 cm from the top, in the same type size as horizontal lettering. A space of 2 cm, should be placed between title and award, and 1 cm between author and title.

4.2.4.2.3 Other Items
Where items other than a volume are submitted, these should be enclosed in a cloth or buckram box (burgundy for theses and professional doctoral portfolios, green for dissertations and master portfolios) that matches the volume or volumes of the examinable work, including matching height and lettering. Small items (e.g. a computer disk) should be housed in a matching...
cloth or buckram pocket, attached to the back inside cover board of the main work.

Advice on presentation of other items can be provided by the Supervisor or the Division of Library Services.

4.2.4.2 Number of Copies
The number of hard-bound copies of the print thesis, other examinable print work or written component of an examinable non-print work to be provided by the candidate shall be as specified in clause 2.4.6 or 3.4.1.6 above.

4.2.5 Non-print Materials
4.2.5.1 Format
Non-print materials shall be reproduced in a format suitable for storage and retrieval and must be appropriately packaged. Photographic representation, photo reduction, microforms, etc. should be used.

4.3 Content and Style
4.3.1 Title Page
The first page of the print thesis, other examinable print work or written component of an examinable non-print work is to identify it as a thesis or other examinable work submitted to Charles Sturt University for the (name of degree). The candidate’s name, qualifications held, the full title of the thesis or other examinable work, and the month and year of submission are to be recorded on the title page.

If the work is one of joint authorship, a statement indicating the contribution made by the submitting candidate shall be given on the title page.

4.3.2 Table of Contents
The print thesis, other examinable print work or written component of an examinable non-print work is to include a table of contents after the title page.

4.3.3 Certificate of Authorship
On the first page after the table of contents the following certificate signed by the candidate certifying the original authorship of the thesis or other examinable work is to appear:

‘I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which to a substantial extent has been accepted for the award of any other degree or diploma at Charles Sturt University or any other educational institution, except where due acknowledgment is made in the thesis (or portfolio or dissertation, as appropriate). Any contribution made to the research by colleagues with whom I have worked at Charles Sturt University or elsewhere during my candidature is fully acknowledged.’

4.3.4 Certification from the Supervisor
The print thesis, other examinable print work or written component of an examinable non-print work shall be accompanied by a certificate signed by the principal supervisor, or Supervisor as appropriate, certifying that the thesis or other examinable work is ready for examination. The certificate shall not accompany the thesis or other examinable work when it is sent to the examiners.

4.3.5 Acknowledgments
4.3.5.1 Theses and Professional Doctoral Portfolios
Where appropriate, a brief acknowledgment of any substantial assistance received shall be included on a separate page inserted in sequence. The acknowledgment should list the names of all those persons who have provided substantial assistance with the research and the nature of that assistance which may relate, for example, to the:

- sponsorship of the research;
- collection of data;
- processing of the data including the selection and use of particular statistical techniques;
- interpretation of the results of the statistical analysis;
- editing of the thesis or portfolio;
- use of graphics in the thesis or portfolio;
- word processing of the thesis or portfolio.

If any of the assistance was provided for a fee, this fact should also be recorded.

4.3.5.2 Dissertations and Master Portfolios
Where appropriate, a brief acknowledgment of any substantial assistance received shall be included on a separate page inserted in sequence. Where paid editorial assistance has been obtained, the name of the editor and a brief description of the services provided must be given.

4.3.6 Intellectual Property Rights
If there is material in the thesis or other examinable work which could or does have implications for the intellectual property rights of the candidate, the University, a sponsor of the research or some other person or body, those implications shall be stated under the heading ‘Intellectual Property Rights’ either on the same page as the acknowledgments or on the next page in sequence.

4.3.7 Ethics, Biosafety and/or Radiation Safety Approval
If the thesis or other examinable work reports on research involving humans or human biological...
materials or involving animals, a page containing the name(s) of the relevant University and/or other ethics committee and the approval number(s) shall be inserted in sequence in the soft-bound copies of the print thesis, other examinable print work or written component of an examinable non-print work.

4.3.8 Confidential Material
If there is material in the thesis or other examinable work which is confidential for commercial or other reasons either for a specified period or indefinitely, the confidential material, the period of its confidentiality and the reasons for its confidentiality shall be specified under the heading 'Confidential Material' on a separate page inserted in sequence. In addition, the following statement shall appear on the cover of the soft-bound copies of the print thesis, other examinable print work or written component of an examinable non-print work:

‘This thesis (or portfolio or dissertation) contains confidential material as described on page (insert page number). The thesis (or portfolio or dissertation) shall not be given to anyone who is not directly involved in the examination of the thesis (or portfolio or dissertation).’

4.3.9 Abstract
Next in sequence, there is to be an abstract of the work not exceeding 500 words in length for theses and professional doctoral portfolios or 350 words in length for dissertations and master portfolios.

4.3.10 Body of the Print Work
Next in sequence is the body of the print thesis, other examinable work or written component of an examinable non-print work.

4.3.11 References
The print thesis, other examinable print work or written component of an examinable non-print work is to include a list of references at the end which shall list alphabetically the sources acknowledged in the body of the print thesis, other examinable print work or written component of an examinable non-print work.

Advice regarding bibliographic standards is to be obtained from the principal supervisor of the Faculty responsible for the program or, for dissertations and master portfolios, from the Supervisor of the School responsible.