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It is my pleasure to welcome you as a higher degree by research candidate to the vibrant research culture at the University of Western Sydney (UWS). UWS is a large research-led university serving a growing and diverse metropolitan region with a commitment to both opportunity and excellence in a diverse range of research areas. I am Chair of the Research Studies Committee (RSC). The RSC is the peak academic governing body for all matters related to higher degree education. High quality in research education and the cultivation of a fulfilling and stimulating research environment is of the utmost priority in my role as Chair of the RSC.

This booklet provides information to help guide you through your degree. Importantly, it also indicates who you should contact if you have an enquiry or problem. I hope that you find this useful and I wish you success in your research.

I look forward to meeting you at events such as the 3 Minute Thesis Competition and UWS seminars and conferences during your candidature.

Professor Deborah Sweeney
Associate Pro Vice-Chancellor (Research) Health & Science
Higher degree research (HDR) education is essential for Australia’s competitiveness in research and innovation. In recent years there have been many changes in research education as governments and universities respond to demands of supporters and users of research and to international trends.

In Australia, universities are expected to produce graduates with definable skill sets and attributes, requiring a co-ordinated effort by many sections of the institution. The responsibility for a candidature rests not only with the supervisor and candidate but with the whole university community of scholars and professional staff.

Higher degree research education has moved from an apprentice-master model of research education to a culture that embraces supervision as a shared responsibility. In response, the University of Western Sydney has well established frameworks and policies that assist candidates and staff. Schools and Research Institutes and others actively direct policy, resources and candidature management under the general guidance of the higher degree governing body for the University, the Research Studies Committee, which is a standing committee of Academic Senate.

While relationships between candidates and academic advisors are flexible and collegial, they remain hierarchical. Particularly at the beginning of candidature, your principal supervisor is your primary academic guide and mentor and your relationship with him/her is of critical importance. Supervisors are responsible for guiding the direction and standard of your work. University processes establish an operational framework so that staff and candidates understand what is expected of them and what they can expect from others. However, rules and policies can only go so far, candidates and supervisors are human and subject to the complexities of interpersonal relationships and personal styles.

The research candidature environment is different from what you previously knew as an undergraduate candidate. An intimate understanding of who is responsible and accountable within the University and where and when you should seek advice or assistance will make you a much more effective candidate and will enhance the relationship with your supervisor. It will enable you to make the most of a system that is designed to help you succeed. This is part of being an independent learner; taking initiative and actively directing your education and your relationship with the University.
KNOWING YOUR ENVIRONMENT

Here are some questions to consider as you negotiate the HDR education environment:

» What are your responsibilities as a candidate?
» What are the academic governing bodies in HDR education and what are their responsibilities?
» What research activities, seminars, conferences etc., can you attend?
» Who is your School or Research Institute HDR Director?
» Who are the advocates for research candidates?
» Are there candidate representatives on governing bodies?
» What is the role of the candidate organisation?
» What roles do administrative units play?
» Who can you talk to if there are problems?
» How do you communicate officially with the University?
» What are the degree rules (policies) and what is the research conduct policy?
» How are you expected to report progress?
» Are there accredited courses or informal courses that you can attend?
» What web resources and handbooks are available for you?
» What resources are you entitled to (books, photocopying, equipment allowances, specialist research advice, travel funds, office space or other physical university resources)?
» Are there websites, email lists you can join?
» What services and resources are available from the Library?

Research candidates are members of the research community and are invited to participate in the University research culture. You are encouraged to attend as many events as you can – workshops, skills training programs, orientation programs, seminars and talks. Be demanding, and if you think something could be done better, say so. Your suggestions are welcomed and will help the University to excel in HDR education.

How to Use this Handbook

The handbook is intended to be a reference on matters that are important to your candidature and to provide a source of information on how to get things done, who in the University to contact and when, and to outline your terms of candidature. Updates of University policies are published on the University web pages at http://policies.uws.edu.au/ and you can access them using your UWS student access login.

The information is correct at the time of printing. You will be notified of any change in policy or practice by email to your student account. Links are provide as hyperlinks for online readers and as urls for paper readers.

This handbook was written by Mary Krone, Office of Research Services.
School and Research Institute Higher Degree Research (HDR) Directors are important contacts for you in the management of your candidature.

### HDR Directors (or equivalent)

#### Research Institutes

<table>
<thead>
<tr>
<th>Institute</th>
<th>Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hawkesbury Institute for the Environment</td>
<td>Dr Markus Riegler</td>
</tr>
<tr>
<td>Institute for Culture and Society (ICS)</td>
<td>Prof. Greg Noble</td>
</tr>
<tr>
<td>Institute for Infrastructure Engineering</td>
<td>A/Prof. Sergiy Kharkisvkiy</td>
</tr>
<tr>
<td>The MARCS Institute</td>
<td>A/Prof Jeesun Kim</td>
</tr>
</tbody>
</table>

#### Schools

<table>
<thead>
<tr>
<th>School</th>
<th>Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>School of Business</td>
<td>Prof. George Lafferty</td>
</tr>
<tr>
<td>School of Computing, Engineering and Mathematics</td>
<td>Prof. Wei Zheng</td>
</tr>
<tr>
<td>School of Education</td>
<td>Dr David Wright</td>
</tr>
<tr>
<td>School of Humanities and Communication Arts</td>
<td>A/Prof. Hart Cohen</td>
</tr>
<tr>
<td>School of Law</td>
<td>Dr Daud Hassan</td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Dr David Mahns</td>
</tr>
<tr>
<td>School of Nursing and Midwifery</td>
<td>Prof. Esther Chang</td>
</tr>
<tr>
<td>School of Science and Health</td>
<td>Dr Graham Jones</td>
</tr>
<tr>
<td>School of Social Sciences and Psychology</td>
<td>A/Prof. Michael Darcy</td>
</tr>
</tbody>
</table>

### Professional Staff Contacts in Schools and Research Institutes

#### Research Institutes

<table>
<thead>
<tr>
<th>Institute</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hawkesbury Institute for the Environment</td>
<td>Dr David Harland</td>
</tr>
<tr>
<td>Institute for Culture and Society (ICS)</td>
<td>Ms Tulika Dubey</td>
</tr>
<tr>
<td>Institute for Infrastructure Engineering</td>
<td>Ms Magdalene Wong-Borgefjord</td>
</tr>
<tr>
<td>The MARCS Institute</td>
<td>Ms Sonya O'Shanna</td>
</tr>
</tbody>
</table>
## Schools

<table>
<thead>
<tr>
<th>School of Business</th>
<th><a href="mailto:business.research@uws.edu.au">business.research@uws.edu.au</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>School of Computing, Engineering and Mathematics</td>
<td>Ms Susan Henley <a href="mailto:s.henley@uws.edu.au">s.henley@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Education</td>
<td>Mrs Markie Lugton <a href="mailto:m.lugton@uws.edu.au">m.lugton@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Humanities and Communication Arts</td>
<td>Dr Wayne Peake <a href="mailto:w.peake@uws.edu.au">w.peake@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Law</td>
<td>Ms Karen Mammone <a href="mailto:k.mammone@uws.edu.au">k.mammone@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Ms Sue Nile <a href="mailto:s.nile@uws.edu.au">s.nile@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Nursing and Midwifery</td>
<td>Ms Irene Chen <a href="mailto:i.chen@uws.edu.au">i.chen@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Science and Health</td>
<td>Mrs Lisa Harrison <a href="mailto:li.harrison@uws.edu.au">li.harrison@uws.edu.au</a></td>
</tr>
<tr>
<td>School of Social Sciences and Psychology</td>
<td>Ms Vicki Fox <a href="mailto:v.fox@uws.edu.au">v.fox@uws.edu.au</a></td>
</tr>
</tbody>
</table>

## Academic Registrar’s Office

Contact the Academic Registrar’s Office for:
Processing of all administration matters: admissions, enrolments and examinations and all enquiries about candidatures e.g., panel composition, minimum and maximum dates, processing of variations to candidature.

Email: sa-research@uws.edu.au  
Fax: 02 4736 0013

### Academic Registrar’s Office Address:
Building I, Room I.2.01  
Penrith Campus (Kingswood)

Physical Location:
Penrith Campus (Kingswood)  
Rooms 1, Second Floor  
Building I, Second Avenue  
Kingswood NSW 2747 Australia

Post Office Address:  
University of Western Sydney  
Locked Bag 1797  
Penrith NSW 2751

## Student Administration (Postgraduate Research) Coordinator
Email: sa-research@uws.edu.au  
Ph: 02 4736 0752

### Student Administration Postgraduate Research Officers
Email: sa-research@uws.edu.au  
Ph: 02 4736 0665

### Examination and Graduation Enquiries
Email: HDRexams@uws.edu.au  
Ph: 02 4736 0006

## Office of Research Services

Contact the Office of Research Services for:
Advice on policy, rules, Research Studies Committee matters, scholarships, workshops and reporting milestones.

Fax: 02 4736 0013
Website for Higher Degree Candidates
www.uws.edu.au/research/research_candidates
You will find helpful information about resources and policies at this site.

The Research Quality, Policy and Planning team will be your main contact in the Office of Research Services.

Dr Jane Hobson
Manager, Research Quality, Policy and Planning
Email: j.hobson@uws.edu.au
Ph: 02 4736 0880
Fax: 61 2 4736 0905

Tracy Mills
Scholarships Officer
Contact for all scholarship enquiries.
Email: t.mills@uws.edu.au
Ph: 02 4736 0966

Ann Ahern
Research Training Policy and Programs Officer
Contact for all reporting milestones (Early Candidature Plan, Confirmation of Candidature and Annual Progress Reports) and workshops.
Email: a.ahern@uws.edu.au
Ph: 02 4736 0926

Mary Krone
Senior Policy Officer (Research Education)
Contact for “Footnotes” newsletter, handbooks, policy, on-line programs.
Email: m.krone@uws.edu.au
Ph: 02 4736 0463

Ethics Officer
Contact for applications and amendments to animal ethics and biosafety & radiation safety
Email: AnimalEthics@uws.edu.au
BioSafetyRadiation@uws.edu.au
Ph: 02 4736 0884

Annamarie D’Souza
Human Ethics Officer
Contact for all enquires about Human Ethics
Email: humanethics@uws.edu.au
Ph: 4736 0229

Library
Susan Robbins
Research Services Librarian
Email: s.robbins@uws.edu.au
Ph: 02 9852 5458
Higher Degrees by Research (HDR)

All HDR degrees must be at least two thirds independent research and most UWS HDR degrees are 100% independent research. Some programs may incorporate taught subjects and some candidatures may be tailored to the individual’s requirements by including taught subjects for that candidature.

Research Masters: MA (Hons), MSc (Hons) M Ed (Hons), M Com (Hons), LLM (Hons), M Eng (Hons), M Nurs (Hons)
The research masters degree is completed within 1-2 years full-time, or the part-time equivalent. It is primarily undertaken as a supervised program of original research, though the depth of the research required for a research masters degree is less than that required for a PhD. The research masters degree is aimed at the professional development of a candidate, with particular emphasis on research methodology suitable to a field of study. It provides candidates with the opportunity to develop their potential for research, enhance their skills of problem identification and specification, and their ability to develop and present solutions.

Doctoral Degrees: PhD
Doctorates are completed within three years full-time, with a maximum enrolment of four years full-time, or part-time equivalent. The doctorate produces graduates able to conduct research independently at the highest level of originality and quality. A PhD is recognition of successful research experience of international standard in the discipline. A PhD candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas.

Professional Doctorates: Doctor of Education (EdD), Doctor of Business Administration (DBA), Doctor of Creative Arts (DCA), Doctor of Cultural Research (DCR)
In addition to the requirements described above, professional doctorates provide extended and advanced training in professional fields where projects and investigations are more applied in nature and more directly oriented to professional practice. The professional doctorate equips candidates to be critical consumers of research in a professional setting. Professional doctorates may have a structure of creative work plus exegesis, a series of projects and publications or higher level coursework with a thesis. There are specific course rules for each professional doctorate. In professional doctorates the independent research component, however structured, is greater than 67%.
Enrolment
You must re-enrol each year on-line via MyStudentRecords (MySR).
https://myuws.uws.edu.au/
Information about re-enrolment is sent to your student email account.
You cannot make changes to your candidature on-line. You need approval from your supervisor and School or Research Institute for changes from full-time to part-time (or the other way), changes to your supervisory panel or for leave of absence. If you need to change these aspects of your enrolment you should complete a Variation of Candidature form available at:
www.uws.edu.au/research/researchers/forms#Candidates

ID Card
Once you are enrolled you can call into a campus Student Centre to get your Student ID (identification) card. You will need this for the Library and IT access.
There are Student Centres on all campuses. For further details please access the following web address:
www.uws.edu.au/currentstudents/current_students/starting_out/step_7_get_your_student_id_card

Commencement of Candidature Date
When candidates start they must submit a Confirmation of Research Commencement Date Form. If the Academic Registrar’s Office is not advised of a commencement date within the first three months, the candidate will be required to either defer or have their enrolment terminated.

This is extremely important as it may affect the amount of time you have to complete.

Student Services and Amenities Fee
As a result of new Commonwealth legislation, Australian universities, including UWS introduced a new Student Services and Amenities Fee (SSAF) for students at the beginning of 2012.

Tuition Fees, International Students
You should use MySR to access your Student Fees Account (Statement of Account). It details the units you are enrolled in, the total fees payable, the due date and methods of payment. For further information:
www.uws.edu.au/international/course_fees

Student email account
Your student email account is the official means of the university communication with you and it is essential that you check it regularly; even you are also a staff member.
Please use your student email account when you are communicating with the University.
Your student email account is your student number@student.uws.edu.au
Fee amounts and dates for 2014

Amounts
The maximum fee is $281.00 per year for full time candidates, which is charged as $140.50 each half year. Lower fees apply for candidates doing less than a full time load in the half year period.

If your EFTSL for the half year is:

» above 0.374, you will be charged $140.50 for that half year period
» between 0.250 and 0.374, you will be charged $105.00 for that half year period
» less than 0.249, you will be charged $53.50 for that half year period

Dates
The SSAF due dates for 2014 are:

» SSAF Summer (for Summer 2 and 3) – 28 January 2014
» First half of 2014 – SSAF1 and T1 (UWS and UWS College students) – 15 May 2014
» Second half 2014 – SSAF2 (UWS students) – 16 October 2014
» Second half 2014 – SSAFT2 (UWS College students) – 4 December 2014

The Student Services and Amenities Fee enables us to improve services and facilities for our students, while also retaining funding for teaching and research.

To find out more, please visit the website: www.uws.edu.au/ssaf

Student Advocacy
Advocacy is making sure students are aware and informed about their rights and responsibilities as members of the UWS community and have access to the right support and advice. Advocacy services available to you as a UWS student can be either individual or broader level advocacy.

A key role of advocacy is to ensure that students are treated fairly by the University. If you believe that you have been unfairly treated during the implementation of any University policy or procedure you should contact a Student Welfare officer or the Student Rights Advocate (see below).

Related links
Individual advocacy
Advocacy @ UWS
You have a responsibility to understand the requirements for the degree in which you are enrolled and the objectives of that degree.

You are strongly encouraged to access UWS policy documents at the website: http://policies.uws.edu.au/

The supervisory panel will expect that you understand:

a) The requirements for the degree in which you are enrolled and the objectives of the degree.

b) That a doctorate or research masters degree is research training with an output in the form of a thesis or major work, which measures the success of that training. It should be planned and carried out within a clear time frame. Part of the training is to be able to plan and execute a project within defined time limits.

c) That the degree is undertaken under supervision. You have a responsibility to establish agreed methods of working and to fulfil your side of any agreement with the principal supervisor and other members of the supervisory panel.

d) That you must complete all compulsory reporting milestones; Early Candidature Plan, Postgraduate Essentials, Confirmation of Candidature and Annual Progress Reports.

e) That you must provide evidence of progress to the panel at regular intervals, in addition to the formal reporting milestones mentioned in the preceding clause. You and your panel should plan together how and when material will be presented and how progress will be evaluated against the timeline.

f) That you must participate in such activities as are determined by the School or Research Institute Research and Higher Degrees Committee. Involvement in the University’s research culture is important for your development and candidates have much to offer the University; to supervisors, as models for other candidates and as contributors to the intellectual environment at UWS.

g) That you are responsible for ensuring that you understand and abide by relevant policies such as the Research Code of Practice, the Research Ethics Policy and the Australian Code for the Responsible Conduct of Research.

h) That you are responsible for notifying the principal supervisor if you have any difficulties. You should be aware of the mechanisms that exist to resolve these problems.

i) You are responsible for obtaining approval to take time away from candidature or vary the record of candidature.

j) You must ensure that you meet all the administrative requirements of the University, for example, re-enrolling each year and accessing your student email account.

k) You must work with your panel to construct a reasonable timeline and to decide how to judge progress against it and make adjustments when necessary.

l) Scholarship recipients must abide by their Conditions of Award, in addition to the degree policy.

m) You are solely responsible for the content, style and presentation of the thesis or work that is finally presented and for certifying its originality.
Candidature Length

Three years full-time is the normal time for completion of a doctorate. Candidates should always plan to complete within three years. Additional time is “wriggle room” if there are any problems that slow down progress beyond the originally planned three year completion.

See the table below for the range of time available to complete the degree. The University counts time in enrolment load (EFTSL – equivalent full-time study load) and this is determined by your enrolment pattern. This method of counting enrolment takes into account periods of full and part-time enrolment and periods of leave. The EFTSL clock stops during periods of leave. Load (EFTSL) is accrued at 0.25 per part-time session and 0.50 per full-time session.

### Completion Times

<table>
<thead>
<tr>
<th>EFTSL</th>
<th>Full-time Years</th>
<th>Full-time Sessions</th>
<th>Part-time Years</th>
<th>Part-time Sessions</th>
</tr>
</thead>
<tbody>
<tr>
<td>M (Hons)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Min</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Max</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>PhD, Prof Doc</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Min</td>
<td>3</td>
<td>3</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Max</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>8</td>
</tr>
</tbody>
</table>

You must work with your supervisory panel to construct a reasonable timeline and to decide how you judge your progress and to make adjustments when necessary.

The amount of time you have for a scholarship is shorter than the maximum allowable time for candidature and if you are a doctoral scholarship holder you should be working towards completion within three years.

Managing your project requires skill and you must judge how you will achieve a good thesis and know when to put things aside, perhaps for a paper or to pursue after graduation, for example, sometimes work that first appears to be vital may best be kept for postdoctoral work.

You are encouraged to write often and write early and you are responsible, along with your supervisors, for ensuring that you have sufficient time to finish and write up the thesis or exegesis, and that you know what is necessary in terms of content, style and presentation.

Planning Your PhD; Templates

HDR candidates commencing in 2014 will receive a copy of *Planning your PhD; All the tools and advice you need to finish your PhD in three years* by Hugh Kearns and Maria Gardiner, A Thinkwell Publication, Flinders Press, Flinders University 2013. The book contains very useful templates to assist in planning. There are copies of the book in the UWS Library and here is a link to the templates:
The planners and forms include these topics:

<table>
<thead>
<tr>
<th><strong>Thesis Planner</strong></th>
<th>This planner allows you to work out the timeline for the major tasks of your PhD</th>
</tr>
</thead>
<tbody>
<tr>
<td>– Moveable tasks</td>
<td></td>
</tr>
<tr>
<td>– No tasks</td>
<td></td>
</tr>
<tr>
<td><strong>Six Month Planner</strong></td>
<td></td>
</tr>
<tr>
<td>– Moveable tasks</td>
<td>The Six Month Planner lets you map out your tasks for the next six months</td>
</tr>
<tr>
<td>– No tasks</td>
<td>This blank planner shows you the next six months which you can fill in</td>
</tr>
<tr>
<td><strong>Completion Planner</strong></td>
<td></td>
</tr>
<tr>
<td>– Moveable tasks</td>
<td>This Completion Planner allows you to work out the timeline for the major tasks of the final year of your PhD</td>
</tr>
<tr>
<td>– No tasks</td>
<td>This blank Completion Planner shows you the final twelve months of your PhD</td>
</tr>
<tr>
<td><strong>This Six Months</strong></td>
<td>This form helps you identify your targets for the next six months</td>
</tr>
<tr>
<td><strong>This Week</strong></td>
<td>Use this form to map out your tasks for the coming week</td>
</tr>
<tr>
<td><strong>To Day List</strong></td>
<td>Use this form to plan out your day and identify when the important jobs are going to get done</td>
</tr>
<tr>
<td><strong>The Next Thing</strong></td>
<td>To help you get clear about your very next task</td>
</tr>
<tr>
<td><strong>Writing Audit</strong></td>
<td>Use the Writing Audit to work out how much writing you have done and update it as you add new words</td>
</tr>
<tr>
<td><strong>Meeting Agenda</strong></td>
<td>A template agenda for meetings with your supervisor</td>
</tr>
<tr>
<td><strong>Meeting Notes</strong></td>
<td>A template for noting down the outcomes of your meetings with your supervisor</td>
</tr>
<tr>
<td><strong>Plan B</strong></td>
<td>This form allows you to identify potential risks in your project and document possible solutions</td>
</tr>
</tbody>
</table>
Scholarship Time
Doctoral scholarships are usually for three years full-time. Some, but not all, scholarships have provision for a one semester extension if there has been a delay not of a personal nature, beyond the control of the candidate and directly related to the research. The Conditions of Award signed at the beginning of the scholarship has information about the possibility of an extension.

It is possible to exhaust scholarship time but still have up to one EFTSL of candidature time remaining.

Fees for extensions
If you are enrolled on a fee-paying basis you will incur fees for any extension of maximum time.

If you are a domestic funded student, you may apply for a fee-free extension of one session but for any following sessions that you remain enrolled fees will apply, see www.uws.edu.au/research/current_research_students/fees#Domestic

This means that a domestic funded doctoral candidate may potentially be enrolled for up to four and half years full-time without having to pay fees, provided that the explanation of the delay is accepted and the extension of candidature approved. Any further period of enrolment will automatically attract fees.

Full-Time and Part-Time Expectations
It is expected that a full-time candidate will normally spend a minimum of 35 hours per week on their study and that part-time candidates will spend 20 hours per week. This is offered as a guideline, circumstances may change at different periods of the candidature.

Managing a heavy load is a significant consideration for many doctoral candidates. For part-time candidates, finding twenty hours a week of effective working time can be difficult. This means time with minimal interruptions, when you are fresh and alert and the time is long enough at a stretch to be useful. Some people are late night intellectual workers, others are best early in the morning. Candidates with heavy family responsibilities need strategies for sharing the load and finding effective study time. Fellow candidates and candidate organisations can be very supportive.

Thesis
You are solely responsible for the content, style and presentation of the thesis or work that is finally presented and for certifying its originality.

Rules and Policies
You should be aware of all relevant rules and policy and ensure that your candidature complies with them. They are contained on the UWS policy website http://policies.uws.edu.au/masterlist.php accessible using your UWS login.
You are considered to be a UWS traveller if you are conducting work overseas that contributes towards your degree, whether funded by UWS or not.

You must apply for permission to the School or Research Institute to travel overseas to conduct field work at least three months before the proposed date of departure.

You must book travel using the UWS travel booking system and abide by the UWS Travel Policy. Your School or Research Institute Professional Staff contact will be able to help you with this.

UWS Travel arrangements are processed using the UWS Travel Portal
www.uws.worldtravel.com.au

When the School or Research Institute have provide approval, applications must be lodged via the UWS Travel Portal using an e-TAN (UWS travel approval), at least 21 calendar days before the planned departure.

You must consider any travel advice issued by the Department of Foreign Affairs and Trade (DFAT). As a UWS traveller you must adhere to and monitor DFAT travel advisories when organising and travelling overseas.

Applying for permission to travel
All candidates travelling overseas to conduct research should apply using the Application to Vary Research Candidature/Scholarship form.

International candidates are advised to contact UWS International to ask about the validity of their visa if they leave Australia for any period. Applications for travel by internationals candidates must be endorsed by an International Student Advisor.

Australian citizens and permanent resident scholarship holders may take up to 12 months field work overseas and remain in receipt of their scholarship. However, certain conditions must be met regarding supervision during that period and relevance of the work to completion of the degree. See; Research Higher Degree Scholarship Policy
Candidate Resources

UWS provides financial support for candidature expenses under the Research Higher Degree Candidature Essential Resources Policy http://policies.uws.edu.au/view.current.php?id=00183

Applying for Candidature Support Funds
For advice on how to apply for funding email your School or Research Institute Professional Staff contact, listed earlier in the handbook.

Guidelines for the expenditure of Candidature Support Funds (CSF)
HDR Candidature Support Funds are allocated to Schools and Research Institutes through the University’s Research Investment Framework (RIF). The funds provide financial support to Higher Degree Research (HDR) candidatures for expenses related to research. The Candidature Support Funds scheme is designed to be flexible in addressing the requirements of candidates working across a wide range of academic enquiry and in establishing consistency across UWS to ensure equity of access for all candidates.

Candidature Support Funds are funds that can pay for costs relating to a specific candidature.

Normally claims of up to $2000 per candidate per full-time year in low cost disciplines may be supported.

In consumable-intensive high cost areas the allocation may be up to $7000.

The maximum of $7000 should be viewed as an upper limit and be considered in view of other resource expenses over the duration of the candidature.

Higher sums include other resource costs (e.g. access to specialised equipment), which can be substantial.

Candidature Support Funds are not a direct payment to candidates on the basis of their enrolment.

Candidature Support Funds may not be used to fund living expenses, this includes travel to the University, for any purpose.

Candidature Support Funds should be carefully argued and agreed to by the supervisory panel as part of the candidature management.

The supervisory panel should take a leading role in determining how candidature project finds will contribute to the candidature.

In assessing the application the supervisory panel and HDR Director should consider the timing of the request (for example, international travel may have greater benefit if taken later in the candidature).

The supervisory panel and candidate are encouraged to take a “whole of candidature” view of anticipated expenses.

Schools and Research Institutes consider the requirements of the candidature in its entirety as one year may be more resource intensive than other years.

Not all candidates require the full nominal sum each year. Candidature Support Funds are not an entitlement that must be used.

Higher Degree by Research candidates must outline Candidature Support Funds requirements at the Confirmation of Candidature and in Annual Progress Reports (APR).

Nonetheless, expenses and opportunities may arise that had not been anticipated at the time of Confirmation or the APR and they may be allowable.
Applications are made to the School or Institute and must be endorsed by the Principal Supervisor before submission for approval by the HDR Director.

Equipment purchased will remain the property of UWS and is to be returned to the School or Research Institute upon completion of study or withdrawal from candidature.

Changes to the direction of a candidate’s work will not automatically guarantee additional resources and any changes to estimated resource requirements must be negotiated within the School or Research Institute.

Scholarship holders may be entitled to access thesis production funds specifically described in their Conditions of Award. Enquiries may be directed to the Scholarships Officer at HDRscholarships@uws.edu.au

HDR Candidates are considered UWS travellers and must abide by the UWS Travel Policy

Expenditure should not be made in anticipation of approval. An application for funds must be endorsed first. Conference and workshop travel must be first approved in principle as an expenditure and then processed by an eTan.
Candidature Support Funds are also available for a range of items including, but not only, skills development, research materials or equipment, field work, transcription costs, participant reimbursement, travel for conference attendance, other travel, consumables, registration fees, writing skill development, technical costs associated with exhibition, recording, filming, thesis binding, special software purchases, access to external facilities, access to vehicles for field trips, specialist software, postage, acquisition of data sets, photocopying, office materials and, in some areas of research endeavour, editing services, software licenses, mandatory OH and S awareness and training.

**HDR Education and Professional Development Program: HDR Workshops**

UWS provides HDR candidates with a comprehensive package of workshops, online modules and seminars. The program will take you from the first days and weeks of your research to all aspects of your candidature and much of the program is designed so that candidates can engage on a ‘need it now’ basis.

All aspects of the program are free to HDR candidates and it is reviewed and updated each year based on feedback from candidates and the latest research in the field of doctoral pedagogy. Discipline specific parts of the program may be delivered in the Schools and Research Institutes and your supervisor will be able to advise you on these. Broader skills, knowledge and practice based programs are delivered as a collaboration between the Office of Research Services and University academic learning specialists. UWS candidates are also able to access high quality programs delivered by other consortia for discounted rates and may use their Candidature Support Funds to attend such courses, for example, Australian Consortium for Social and Political Research Incorporated (ACSPRI).

**Programs**

Workshop topics (may vary):

- Getting ready to write a literature review
- Writing a literature review
- Presenting research orally
- Preparing for Confirmation of Candidature – workshop
- Thesis Writing Circle – this is weekly
- Introduction to research writing for international candidates
- Computer laboratory – SPSS
- Computer laboratory – NVivo
- Writing qualitative research
- Writing about data
- Writing a thesis introduction
- Writing for publication
- Publishing from your thesis – workshop
- Final stages – workshop

Registration is essential but there is no cost.

There is detailed information about the HDR Education and Professional Development Program posted on web – Office of Research Services – [www.uws.edu.au/research/current_research_students/student_support](http://www.uws.edu.au/research/current_research_students/student_support) – please use the summaries provided to see if the workshop or seminar is the right one at the right time for you. For example, Writing a literature review assumes you have completed your Confirmation of Candidature.

Notices about the program are sent to student email addresses.

If you register, you are committing to attending the course or workshop. Unless there is an emergency, please ensure you attend. If you realise you cannot attend, advise the Office of Research Services at hdr@uws.edu.au as there is usually a waiting list and the place will be offered to another person.
Postgraduate Essentials

‘I did my masters with a strong research component, only a few year’s back and therefore I was already familiar with most of the issues around postgraduate research. This program (Postgraduate Essentials) helped me refresh my knowledge and gave me a better insight into some the stuff I used to overlook.’ – UWS doctoral candidate talking about Postgraduate Essentials.

Postgraduate Essentials is a compulsory online academic orientation course covering the period from the beginning of candidature to confirmation of candidature. The program will support you in identifying and developing the academic skills and management tools that you need to successfully navigate your candidature. The interactive environment provides opportunities for peer-support and interaction with University advisers.

By completing the course, you will be supported to:

» Understand the key stages and distinct challenges involved in HDR research
» Develop knowledge of time and task management issues, tools and resources
» Reflect on and clarify the roles and responsibilities of HDR candidates and their supervisors
» Explore the main browsers, search engines, bibliographic software, online databases, indexes and catalogues that you will use for conducting and recording literature searches
» Understand the requirements and elements of a literature review and a confirmation of candidature report
» Consider factors that contribute to the effective presentation of academic research.

The course must be completed prior to Confirmation of Candidature.

‘All the information was useful and necessary – particularly as a resource source to draw on as I progress through my degree.’ – UWS candidate speaking about Postgraduate Essentials.

Responsible Conduct in Research (RCR)

All HDR candidates are required by legislation to undertake education in research integrity.

UWS has a thought provoking and engaging on-line program that is offered in collaboration with Schools and Research Institutes.

New candidates are notified of their access and how to find it in vUWS (UWS on-line platform) when they commence enrolment.

Candidates self-pace through the modules before their Confirmation of Candidature. Schools and Research Institutes organise discussion about the content either with the supervisory panel or by an attended workshop.

The module uses case studies to explore a wide range of topics including: Research conduct, authorship and intellectual property, research limits, consent ad confidentiality, animal research, commercialising research and research governance and community ethics.
Completion and Beyond

*Completion and Beyond* is not compulsory and is offered as a useful resource for middle and late stages of candidature. It has six modules covering specific aspects of completing and submitting a research masters or doctoral thesis and planning for life after graduation. Candidates can choose when and in what order to access the modules. There are film clips, examples of work, exercises, references and opportunities to meet other completing candidates.

*Completion and Beyond* is available on the vUWS website.

1) Writing to Finish

This module is designed to help candidates identify and hone those practical skills needed to write the first full draft of the thesis.

It’s important to recognise that the process of writing and writing quickly is a difficult one. The *Writing to Finish* module discusses how to develop a well-crafted argument and how to effectively structure the thesis.

This module will also provides a series of practical tips on managing thesis documents, right through to practical tips on using templates, dealing with footnotes and references, and using bibliographic programs such as RefWorks and EndNote. Further information is provided on what to do if things go wrong, or what to do to further develop word-processing skills.

2) The Editing Clinic

One of the most under-appreciated skills a HDR candidate can possess is the ability to edit effectively. More often than not, editing a full draft of a Masters (Honours) or doctoral thesis takes a lot longer than anticipated.

In the *Editing Clinic* there is advice on how to edit for structure and argument, write effective introductions, develop “flow” and manage concepts.

Divided into two discrete sections – macro editing and micro editing – the module also talks about polishing and clarifying language as well as the importance of using paragraphs effectively, pruning overly long sentences and proof reading documents properly.

3) Submission and Examination

This module explores the process of examination and how examiners go about the task of examining a thesis. There are also first-hand accounts of examination – from both candidates and supervisors.

The formal steps required in order to submit are outlined in this module as a way of helping candidates understand how their thesis will be judged, how examiners are chosen and what they are looking for in a thesis.

4) Maintaining Momentum

This module is about much more than just time and task management! Although effective project and time management skills are vital in order to complete, this module recognises that there is more to maintaining momentum than merely writing and sticking to a schedule.

Staying motivated and managing the challenges of work commitments are also some of the common obstacles that beset many HDR candidates. If candidates are feeling less than passionate about their thesis or are experiencing some doubts as to whether they are going to complete the thesis, then this module will give some practical tips on how to rediscover interest and get drive back.
4) Supervision – Managing the Changing Relationship
In this module, the issues and challenges presented by the changing nature of the supervisory relationship are discussed as a way of helping candidates to keep this most vital of relationships in tip-top health.

Candidates are asked to reflect on their current supervisory relationship, which in turn will help direct them through the remainder of the module. They are encouraged to work out what is needed from their supervisor during these final stages of the research degree and be given advice on how to negotiate.

5) Beyond the Research Degree
This module is good for candidates concerned about what lies beyond the research degree. Advice concerning career awareness and professional development is discussed, as well as writing for publication and oral presentations.

Grants and postdoctoral opportunities are also presented, and candidates are encouraged to do an inventory of skills and competencies. This module can provide some assistance with the transition from HDR candidature to whatever is chosen for beyond the research degree!

For further information or to arrange access, contact Mary Krone, m.krone@uws.edu.au

Mathematical and Statistical Analysis Support
The School of Computing and Mathematics provides expert assistance for UWS research candidates who wish to use mathematical and statistical techniques in their research. Researchers from all disciplines are welcome to apply.

Contact Maths & Stats Consulting, A/Prof Carmel Coady, c.coady@uws.edu.au

ACSPRI: Australian Consortium for Social and Political Research Incorporated
ACSPRI offers courses in social research methods and research technology. Courses cater for researchers in the social and political sciences, and in areas such as behavioural, health and medical sciences, policy research, education, economics, epidemiology, law, management, marketing, public relations and human resource management.

ACSPRI Programs have a high reputation for presenting a practical and applied approach to research methods and data analysis, promoting hands-on learning opportunities, and using highly skilled and experienced instructors.

For more information: www.acspri.org.au

UWS is a member of ACSPRI affording discounted access to all courses.
“Footnotes” Newsletter
“Footnotes” is a newsletter with stories about and of interest to research candidates. It is emailed to all candidates via student email accounts. Ideas for stories are welcome, contact Mary Krone at m.krone@uws.edu.au
www.uws.edu.au/research/current_research_students/newsletters

Quality in Postgraduate Research
UWS is an active participant in all aspects of Australian higher degree research education and is represented on the Council of Deans and Directors of Graduate Research, Australia.
UWS staff attend the pre-eminent conference for research higher degree education held bi-annually in Adelaide.
For links to the latest in Australian research into HDR education see link at QPR, www.qpr.edu.au

Doctorates Downunder Series
Doctorates Downunder and Supervising Doctorates Downunder comprise comprehensive collections of essays designed to guide current and prospective doctoral candidates and doctoral supervisors through the journey of doctoral study with an Australian perspective. Beyond Doctorates Downunder is designed to assist graduates use their doctorates in their lives and careers. The series is available in the Library. UWS staff are among the contributors.

Research Culture
Rich research culture is found where research is highly regarded and where excellence in research is valued and actively promoted. For HDR candidates it means working in an environment of good research practice and having the opportunity to present work and to participate in discussions about research and research practice.

Research culture events for candidate include; public seminars, publishing, presentations, brown bag lunches, research evenings, School or Research Institute Conferences, academic employment, writing groups, external conferences, professional affiliations, tea room discussions, social network groups, newsletters and workshops. Events might be organised by the School, Centre, Institute, Office of Research Services, the Library, candidate learning specialists or external parties.

In a rich research culture, excellent research practices are encouraged, recognised and rewarded. You are strongly encouraged to take advantage of any such opportunities and if there is a workshop/seminar/conference that you think should be organised, talk to your supervisor and other candidates. Some of the most interesting seminars are arranged by research candidates, usually involving colleagues from across Australia.
The Three Minute Thesis Competition (3MT) is a yearly event held across Australian universities.

3MT is an opportunity to showcase the work of HDR candidates in an entertaining and informative format. The 3MT is an exercise in good communication skills – an essential skill for researchers. Entrants present the Three Minute Thesis as a compelling three minute oration on their thesis topic and its significance in language suitable for an intelligent but non-specialist audience. A single PowerPoint slide is permitted but no additional electronic media.

All current research higher degree candidates are eligible to compete.

The 2014 UWS winner will represent UWS at the Australasian Grand Final at the University of Western Australia.

You can watch the 2013 Trans Tasman event here: www.uws.edu.au/three_minute_thesis/3mt

In 2013 forty-four universities participated in the Three Minute Thesis Final held on the UWS Parramatta campus. Kelsey Kennedy from The University of Western Australia ended the day as both the Overall and People’s Choice Winner after she wowed the judges with her research into a new surgical implement for operations to remove breast cancer.

Ms Kennedy, from the UWA Faculty of Engineering, Computing and Mathematics, impressed the crowd of over 200 people in the audience and online via a live stream with her presentation that could spur new advances in breast cancer treatments.

Last year’s winner, Tim Paris from the UWS MARCS Institute, paid tribute to Ms Kennedy for winning the competition.

“Winning the Three Minute Thesis competition was a remarkable experience, and I wish Ms Kennedy all the very best for her promising research career,” Mr Paris says.

“Pursuing a PhD is a long and arduous process, so to have experts in the research community reaffirm your work while you are still researching is very rewarding.”

UWA will host the Trans-Tasman Three Minute Thesis challenge in 2014.
Candidates are invited to nominate their supervisor in recognition and reward of high performance. We invite you to think about what constitutes good supervision and offer you an opportunity to contribute to university recognition of your supervisor.

Rewards are: public recognition of our best HDR supervisors, a lunch hosted by senior academic staff and a certificate for inclusion in CVs. At the lunch a selection candidates will be asked to address the audience on why they nominated their supervisor and some recipients invited to talk about the hallmarks of their supervisory practice.

The Top Supervisor of the Year Award will be introduced in 2014. Watch for more announcements and an invitation to nominate your supervisor.
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<thead>
<tr>
<th>Acronym</th>
<th>In words, some with links</th>
<th>Short description</th>
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<tbody>
<tr>
<td>3MT</td>
<td>Three Minute Thesis</td>
<td>Australasian communication competition for HDR candidates</td>
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<tr>
<td>ACEC</td>
<td>Animal Care Ethics Committee</td>
<td>All research or teaching involving the use of animals must have the approval of the UWS Animal Care and Ethics Committee (ACEC)</td>
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<tr>
<td>ACSPRI</td>
<td>Australian Consortium for Social and Political Research Inc</td>
<td>A not-for-profit organisation that conducts short courses in research methods</td>
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<td>APA</td>
<td>Australian Postgraduate Award</td>
<td>Scholarship with tax free stipend for HDR domestic candidates</td>
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<td>APR</td>
<td>Annual Progress Report</td>
<td>Compulsory reporting exercise for HDR candidates</td>
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<tr>
<td>ARO</td>
<td>Academic Registrar’s Office</td>
<td>Manages all matters that involve the candidate record system; admission, enrolment, examination, candidature details and fees</td>
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<tr>
<td>AOU</td>
<td>Academic Organisational Unit</td>
<td>Generic term that includes Schools and Research Institutes</td>
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<td>BRSC</td>
<td>Biosafety and Radiation Safety Committee</td>
<td>Monitors research and teaching proposals involving substances that may prove hazardous</td>
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<tr>
<td>CoC</td>
<td>Confirmation of Candidature</td>
<td>A compulsory requirement for all first year research candidates, usually completed within the first six months of candidature</td>
</tr>
<tr>
<td>CPF</td>
<td>Candidature Project Funds</td>
<td>Funds available for expenses directly related to HDR research</td>
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<tr>
<td>DDoGS</td>
<td>Deans and Directors of Graduate Study</td>
<td>National council of senior HDR educators across Australia/NZ</td>
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<tr>
<td>ECP</td>
<td>Early Candidature Plan</td>
<td>Identifying goals that would be good for you to achieve early – in the first 3 to 6 months – in the candidature</td>
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<tr>
<td>ECR</td>
<td>Early Career Researcher</td>
<td>HDR graduates within 5 years of completing their doctorate</td>
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<tr>
<td>Acronym</td>
<td>In words, some with links</td>
<td>Short description</td>
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<td>e-TAN</td>
<td>Electronic travel approval number</td>
<td>You must have one of these if you are travelling (see your professional staff contact for help)</td>
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<tr>
<td>GSR</td>
<td>Graduate Supervisor Register</td>
<td>Register of HDR supervisors</td>
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<tr>
<td>HDR</td>
<td>Higher Degree by Research</td>
<td>NB: the term “HDRs” is often used to describe HDR candidates</td>
</tr>
<tr>
<td>HREC</td>
<td>Human Research Ethics Committee</td>
<td>Research projects involving humans are approved by this committee before being undertaken or funded</td>
</tr>
<tr>
<td>IP</td>
<td>Intellectual Property</td>
<td>You must discuss Intellectual Property if you are working on funded project that was granted to an academic staff member</td>
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<tr>
<td>IPRS</td>
<td>International Postgraduate Research Scholarship</td>
<td>Scholarship with stipend for international HDR candidates</td>
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<tr>
<td>ORS</td>
<td>Office of Research Services</td>
<td>For HDRs – policy, rules, ethics, Research Studies Committee matters, scholarships, workshops and reporting milestones</td>
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<tr>
<td>PG.E</td>
<td>Postgraduate Essentials</td>
<td>On-line academic orientation module for new HDR candidates (compulsory)</td>
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<tr>
<td>QPR</td>
<td>Quality in Postgraduate Research</td>
<td>Conference on research higher degree education held bi-annually in Adelaide</td>
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<tr>
<td>RCRT</td>
<td>Responsible Conduct in Research Training</td>
<td>On-line program for HDR candidates on research integrity</td>
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<td>RIF</td>
<td>Research Investment Framework</td>
<td>Internal research funding model at UWS</td>
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<tr>
<td>RSC</td>
<td>Research Studies Committee</td>
<td>Peak academic governing body for HDR education</td>
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<tr>
<td>RSF</td>
<td>Research Supervisors Forum</td>
<td>Staff development program for academic supervisors of HDR candidates</td>
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<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
<td>Commonwealth funding scheme for HDR education</td>
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<tr>
<td>S/RI R&amp;HDC</td>
<td>School / Res Institute Research &amp; Higher Degrees Committee</td>
<td>HDR academic governing body of Schools/Research Institutes</td>
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Supervision

Panels
The University uses a panel system of supervision. A panel means more than one supervisor. Each research candidate has a panel of at least two supervisors, one of whom is designated as principal supervisor, the other(s) as co-supervisor. Panels introduce additional expertise and some candidatures may have several co-supervisors, to access a range of knowledge and skills. Panels also provide a backup should the principal supervisor be absent for any reason. The operation of your panel will be determined by the principal supervisor in consultation with you and the other panel members.

Quality of Supervision
Principal supervisors are registered on the Graduate Supervisor Register. Registration ensures that UWS supervisors are up to date with the latest research on doctoral education and UWS policies relevant to supervising HDR candidates. Normally a principal supervisor will hold qualifications at least at the level they are supervising.

The Principal Supervisor
The principal supervisor has a specific role in leading the panel and taking responsibility for a range of matters. Broadly these are:

» Management of time
» Monitoring of progress
» Encouragement of candidate participation in University research culture
» Ensuring that commitments made by the panel and candidate are met
» Providing timely feedback
» Ensuring that reporting milestones are met: Early Candidature Plan, Confirmation of Candidature and Annual Progress Reports
» Arranging nomination of examiners, thesis lodgement and responding to examiners reports
» Taking steps to address any problems that may arise
» Advising candidates about Leave of Absence, if required
» Ensuring that candidates are provided with resources
» Advising candidates about the Australian Code for the Responsible Conduct of Research, the Research Code of Practice and ensuring that they are aware of University policies on intellectual property (IP) and plagiarism

An Acting Principal Supervisor of the supervisory panel must be appointed during any significant absence of the principal supervisor i.e., more than a month at a time, and always during periods of absence due to Academic Development Program (ADP), (sometimes referred to as ‘study leave’ or ‘sabbatical’ leave). It is never acceptable for a candidate to have their candidature disrupted by staff absences. Please see the information under “Variation of Candidature” for advice on changing panel membership either on a temporary basis or for other reasons.
Managing the Candidature

Setting Up The Relationship
This section poses ideas to consider as you and your supervisory panel get to know each other in the early days of enrolment. The dot points suggest items you may wish to consider as you establish a working relationship with your supervisors. Establishing protocols sets clear boundaries, roles and expectations.

‘I have discussed my research proposal in details with my principal supervisor and obtained his feedback. We found it is easier for all of us to make set appointments and stick with that. We currently meet every 2 weeks formally but if I need anything informally, I can do it anytime. We are making some dead lines and usually try to finish the task by the time frame. This is the plan for next three months; things may change in the future.’ – UWS candidate.

Ideas for Setting-up Initial Meetings
» What will be the frequency and duration of meetings?
» Will I have access to supervisor(s) outside scheduled meeting times?
» Who has responsibility to initiate meetings, if they are not regular?
» What is the protocol when one cannot make the meeting?
» Who takes meeting notes and circulates them?
» What will be the protocol for submission and return of work?

The Panel
» What role will be taken by each supervisor?
» What will be the workload percentages?
» Will the whole panel meet, how often?

Time Frame
» Have we mapped projected progress against time?

» How long will each stage take?
» How will we monitor time/progress?

Intellectual Property and Authorship
» Essential topics to discuss early are authorship and intellectual property
» You must discuss Intellectual Property if you will be working on funded project that was granted to an academic staff member.

What is a Thesis?
» What does “thesis” mean?
» Will there be a non-text component?
» Are there specific course guidelines, such as with some Professional Doctorates?
» What is an appropriate structure?
» What is the difference between a thesis that passes and one that is exceptional?
» Titles of good examples in a particular field.
» What is meant by originality?
» When should writing occur?
» What is expected in a literature review?
» Have we sorted out Intellectual Property (IP) issues?
» Can we start thinking about potential examiners?

Advice and Support
» Confirmation of Candidature: how much input from the supervisor, how will this proceed?
» Expectations of feedback (style, how much, how often in what form, how soon?)
» Strategies to use when comments/corrections are not understood
» Should the candidate seek feedback from anyone else?
» Support with content, e.g., resources, contacts, how much can be expected given the supervisor’s knowledge of the area?
» What other kinds of knowledge are needed? (e.g., research process, writing skills)
» Any personal circumstances that ought to be considered? (e.g., new baby, ill health)
» Attitudes to supervisor/candidate relationship (mentor/mentee, teacher/candidate, colleagues)

Resources
» Do you have access to resources?
» Do you know about support schemes within the University: candidacy support and conference scholarships etc.?
» Are there any suitable conferences this year?

University Requirements
» Do you know what milestone reporting is required in the first year and do you have a plan of approach?
» Do you know of research activities in the School/Research Centre/Institute?
» Will you be presenting at a seminar (apart from the Confirmation of Candidature)?

Scholarships
If you have a scholarship you must observe the Conditions of Award as well as University Policies. You will have received a copy of your Conditions of Award and you can discuss them at any time with the Scholarships Officer, Tracy Mills, hdrscholarship@uws.edu.au. In addition there is a generic Scholarships Policy that applies to all award holders: Research Higher Degree Scholarship Policy – Australian Citizens and Permanent Residents

Scholarship holders should view their candidature as their main occupation and focus of their income. There are strict limitations to the amount of paid work that can be undertaken. Part-time candidature is permitted only in extraordinary circumstances and according to the Australian Taxation Office is subject to tax (stipends for full-time study are tax free). Previous enrolment time prior to receiving an award will be deducted from the duration of the award. It is a good idea to discuss the conditions of your award with your supervisors to determine how those conditions may impact on the management of your candidature.

Candidates must notify the Scholarships Officer if they intend to take annual leave and the principal supervisor will be asked to confirm the dates of leave.

If you have not completed your doctoral thesis within the 3 year scholarship period, in some limited circumstances where your research has been delayed, it may be possible for you to seek an extension for up to six months. There are strict criteria for any consideration of an extension and applicants must have sound evidence to support any claim. In some circumstances, there will need to be documented evidence throughout the candidature of events that led to the delay and an explanation of why the time plan could not be adjusted to compensate for whatever difficulty was experienced. Please consult your individual award for exact conditions. Please note that personal mishaps or illness cannot be used to seek an extension and if you find personal circumstances affecting your progress you should seek a leave of absence.

Extensions are not approved automatically. Scholarship extensions are not available to research masters candidates.
The importance of writing in doctoral supervision cannot be overestimated. Writing is a valued and integral part of the research process and essential for assessment of the progression of the research. In the academic world, unless and until research is made public (usually through writing), it simply doesn’t count. Candidates who embrace writing-focused research practices are most likely to succeed. Like most things, in writing – practice makes perfect (well, near perfect anyway!). In addition when writing is a normal and routine part of research, the chances of you experiencing “performance anxiety” and “writer’s block” is minimised.’ – Dr Claire Aitchison

A writing-focused candidature
A writing focused candidature is one where writing is fully integrated in the research plan. Candidates who ‘write early and write often’, stand a good chance of maximising learning and progression and minimising unpleasant surprises, poor progress and completion delays.

Feedback
As a higher degree research candidate, the primary mechanism by which you learn about doctoral writing is from feedback on your writing from your supervisors.

It can be useful for the supervisory panel to have common expectations around writing and to discuss these with you at the first meeting and frequently thereafter. Decisions about writing output, feedback responsibilities, practices for discussing and responding to feedback should be incorporated into the Early Candidature Plan. It is also a good idea to establish some protocols around writing deadlines and the kinds of things that you agree may, and may not be acceptable reasons for changing deadlines. Sometimes supervisory meetings may need to be cancelled, but this doesn’t mean writing /feedback commitments should be invalidated.

When doctoral writers and their supervisors have a shared knowledge of the piece of writing and common expectations of the purposes of sharing writing, feedback is most productive.

Using Templates
One way of clarifying expectations is to use a template when submitting writing for feedback. Typically such templates detail turnaround times, the history/maturity of the writing, the intended audience and purpose and the kind of feedback which is being sought. Examples of such templates, and other successful feedback practices can be found in the Doctorates Downunder series of books.

Writing tasks should suit particular purposes
Writing is a social activity. It is a means of communication that can take many forms depending on the socio-discursive context, the purpose, the mode, the audience and the idiosyncrasies of the writer. Over the period of your doctoral study, your writing should reflect the stage of candidature, the diversity of text types and purposes.

Early drafts will clearly differ from what is expected of near-to- final versions. Sometimes it can be helpful to discuss how different types of writing suit different purposes. For example early ‘thinking writing’ which aims to explore, test out and begin to articulate evolving thinking, is likely to contain grammatical or linguistic inaccuracies and its structure and punctuation may be poor. For this kind of writing, the most useful feedback will be about the ideas, rather than the writing itself.
**Writing groups**

Writing groups can complement the work of the supervisor in supporting and developing candidate writing. Writing groups help regularise and prioritise writing, they counter isolation and enable participants to establish productive, even long-term scholarly networks with other doctoral candidates. Writing group participants and supervisors alike have reported improved writing output, confidence and competence which flow from participating regular, guided and scholarly peer review of writing (Aitchison, 2009).

The University has been offering writing groups for higher degree researchers since 2002. You may wish to join one of the course-length Thesis Writing Circles which are offered each year. Middle to late stage candidates may join ongoing, multidisciplinary writing groups such as Research Writing Circle Continuers which meet fortnightly throughout the year.

Writing groups and other writing-focused workshops are advertised on the Office of Research Services website: [www.uws.edu.au/research/current_research_candidates/candidate_support#1](http://www.uws.edu.au/research/current_research_candidates/candidate_support#1)

You are encouraged to publish during your candidature. It is a good idea to discuss this with your supervisory panel and think about the stage at which you publish, the most suitable journal, whether to publish jointly and, if so, with whom. There are guidelines for joint authorship in the Research Code of Practice contained on the policy pages of UWS, accessible through your UWS log-in at [http://policies.uws.edu.au/](http://policies.uws.edu.au/)

The Library runs regular training sessions which outline the tools available and searching strategies to assist with targeting potential publication outlets for your research. Details can be found at [http://library.uws.edu.au/training.php](http://library.uws.edu.au/training.php)

**Authorder®**, a free online tool assists in determining author order, using already established systems such as the Vancouver Protocol, which underpins University policy.

Determining who should be listed as an author on a publication, and in what order they should be listed, can be problematic. The Authorder application helps authors to work through these issues, including dealing with interdisciplinary panels of authors. Authorship and author order are important matters for all concerned as publications are a significant element of research career advancement. You are advised to discuss authorship with your supervisor before writing articles. The discussion can be included in the Early Candidature Plan.

Authorder website for further information, useful links and download: [www.authorder.com](http://www.authorder.com)
Work Books for Laboratory Based Research

All HDR candidates undertaking laboratory-based work are required to use official UWS laboratory notebooks.

These books are international industry standard and compliant for Good Laboratory Practice, and mandatory for Intellectual Property (IP) management in all major research institutions and Contract Research Organisations. Many regulatory agencies (Food and Drug Administration – USA, Therapeutic Goods Administration, etc) and the USA/AUS Patent offices/courts require the laboratory notebooks to establish the correct inventors and dates of idea/invention conception in IP disputes. Laboratory notebooks are considered legal documents. Any serious national and international Research and Development investor requires access to the notebooks to substantiate ‘due diligence’ prior to signing licensing agreements. Some leading journals request access to laboratory books in allegations of misconduct.

The UWS laboratory notebooks can be bought by the School or Research Institute from UWS Print Services for $90 per box of 10 (in 2013) and may be provided to the candidates. These books are industry standard quality and are controlled research documents at UWS. The notebooks remain the property of UWS; however candidates are encouraged to take photocopies for their own use when they complete their degree.

There are guidelines (provided by IP Australia or patent attorneys) in the front pages of every laboratory notebook to assist researchers. UWS Innovation periodically runs workshops on the proper use of Laboratory Notebooks or further information on the UWS labbooks can be obtained from UWS Innovation at any time via email at ip@uws.edu.au

Upgrade to Doctoral Studies

In exceptional circumstances, a candidate and supervisory panel may consider an upgrade from a research masters to a doctoral program.

To achieve this, the outstanding nature of the candidate's work and progress must be demonstrated in the written research design and analysis, the Confirmation of Candidature document, the literature review, completed chapters and accepted publications where relevant.

Applicants should be aware that the demands of doctoral research are much higher than the research masters in terms of use of methodology, the significance of the research findings and the contribution of knowledge to the discipline.

The assessment of an upgrade application is a rigorous process and the candidate and panel must provide information that will convince the University that all criteria (see below) have been met and that the candidate has sufficient time to complete a doctorate. Thought must also be given to the type of doctorate being considered, for example, some professional doctorates where the candidate completes a portfolio may not be suitable if there is not sufficient time to address specific course requirements.

The Confirmation of Candidature should be completed as a Masters (Honours). The applicant should provide the confirmation document and the confirmation report with the application to upgrade.

In some circumstances, the application will be made at a later stage and the Confirmation of Candidature will be considered in these circumstances as well. However, it may be a good idea to present the case for upgrading to a panel within the School or Research Institute.
In all cases, the total time spent enrolled in the research masters will be deducted from the time available to complete the doctorate.

**Criteria**

1) **The quality and originality of the research already completed.**
   General quality will be reflected in an original methodology or procedure of originality and merit and/or an original analysis of compelling significance.

2) **The scope and complexity of the project**
   It must be shown that the scope and complexity of the project are at doctoral level and beyond the expectations of a research masters. The complexity must be well thought out and the project must be shown to have a clear focus.

3) **Research capabilities of the applicant**
   The assessment of the research capability of the applicant will normally be demonstrated by the completion of a significant body of material, such as written research design and analysis, the Confirmation of Candidature document, a literature review, completed chapters and publications.

**Process**

The application must be supported by the supervisory panel and will be considered by the School or Research Institute Research Higher Degree Committee and recommended to the Dean/Institute Director.

**Application**

Applications must include:

1) A completed cover sheet.
2) A résumé of all relevant work and qualifications.
3) A submission making a claim to the quality and scope of the work completed. This should be demonstrated by the inclusion of pieces of written analysis, or other documents supporting the claim. In particular, evidence to illustrate that the project has the breadth and depth required for doctoral studies.
4) A statement of the proposed changes in the project if it was to become a doctoral project, including resource needs.
5) A revised timeline.
6) Other evidence that supports the three criteria listed above.
7) A statement of support from all members of the supervisory panel.
8) International candidates will be required to show evidence that they have approval from their funding body and/or employer in their country of origin (if applicable) and UWS International.
9) An upgrade coversheet can be found at: www.uws.edu.au/research/researchers/forms#2
Variations of Candidature

Changes to candidature details must be formally approved and recorded on the student record system (known as ‘Callista’).

The Variation of Candidature form is available at www.uws.edu.au/research/research_students/supervision/variation_of_program

All enquiries about variations of candidature and notices of change of personal details should be made to sa-research@uws.edu.au

Please use your student email when contacting as the Academic Registrar’s Office may not reply otherwise.

Change of personal details
Supporting documentation, such as marriage certificate (certified copy) or deed poll certificate (certified copy), is required for an official name change. Candidates must complete the Change of Personal Details form: www.uws.edu.au/__data/assets/pdf_file/0006/118365/ARO_00184_0913_Change_of_Personal_Details_.pdf

Variation of Thesis Title
The thesis title is recorded on the student record system. You may refine the topic as you progress and use a “working title” in the interim. Major changes, however, that indicate a substantial shift in direction will be questioned. Candidature and/or scholarship duration cannot be extended because of a topic change. Minor changes need not be made until final submission. You will be given the opportunity to finalise the wording of your title at examination.

Change of Supervisor or Co-Supervisor
Panel membership change requires the permission of the School or Research Institute Research and Higher Degrees Committee or equivalent.

It is a good idea to change membership when additional expertise is required or if members are unable to continue in their role.

However, a word of caution is offered about panel changes. It may appear to be an easy fix for a range of problems. It is not always the best response to difficulties. The candidate-supervisor relationship can be very intense, which makes it easy for personal issues to become confused with other differences of opinion. You should exercise judgement in calculating the best solution to problems caused by a conflict in personal styles and be aware that at times personal conflicts can be confused with failures of an academic nature.

In most cases of conflict within a panel, the best solution is to work through those issues with the assistance of the School or Research Institute HDR Director.

To change panel membership a Variation of Candidature form must be completed, signed by the relinquishing and new members and endorsed by the School or Research Institute HDR Director or equivalent. The relinquishing supervisor, in signing the form, does not “approve” the change but acknowledges that it occurs with their knowledge.

A change of principal supervisor is a decision of the School or Research Institute Research and Higher Degrees Committee. Supervision of research candidates is a workload issue for academic staff and this will be taken into consideration.
Change of Mode
Candidates may change between full and part-time enrolment if necessary, for example cessation of scholarship and the need to find part-time work. (All candidates should try and avoid this).

International candidates are not permitted to enrol part-time; this is an Australian government visa requirement.

In normal circumstances scholarship holders must be enrolled full-time.

Leave of Absence from Candidature
Candidates may normally apply for a maximum of two sessions leave in any one candidature.

Candidature is recorded in whole sessions. You should apply for leave well before the census dates.

When should you take a formal Leave of Absence?
You should take leave if you are having problems that are interfering with your progress and there is an expectation that a period of leave will give you time to resolve the problem. The problems may include ill health, health problems within your family, short term professional pressures, grief etc. These kind of difficulties cannot be used as grounds for extensions of scholarships or candidature – hence the importance of taking formal leave.

Leave of Absence should not be seen as a means of “buying time” in a troubled candidature. It is better to address problems directly, as it is likely that they will persist on return to study.

During periods of leave you are not enrolled and may not access UWS resources. This includes contact with the supervisory panel because they will not have been allocated workload to deal with your candidature. The candidature clock stops during periods of leave, that is, the maximum period of enrolment is adjusted to account for the period of leave.

Extensions of Maximum Candidature
Applications for extension beyond maximum time may, in exceptional circumstances, be considered where there is clear evidence that there have been unexpected delays beyond your control that could not have reasonably been anticipated. Extensions are granted for one session.

The maximum period of candidature differs from the maximum date of a scholarship and candidates should confirm their final date of scholarship with the Scholarships Officer.

Tracy Mills
Email: hdrscholarships@uws.edu.au
Ph: 02 4736 0966

It is the responsibility of both you and your supervisor to ensure timely completion. If you are ill it is best to take leave at the time and put the candidature on hold until you recover.

Fees for extensions
If you are enrolled on a fee-paying basis you will incur fees for any extension of maximum time.

If you are a domestic (RTS) candidate, you may, under limited circumstances, apply for a fee-free extension of one session. Fees will apply for all additional extensions, see www.uws.edu.au/research/current_research_students/fees#Domestic

This means that a domestic funded doctoral candidate may potentially be enrolled for up to four and half years full-time without having to pay fees, provided that the explanation of the delay is accepted and the extension of candidature approved. Any further period of enrolment will automatically attract fees.

Annual Progress Reports will be taken into account when an application for an extension is under consideration.

The application should be made on a Variation of Candidature form with the following attached:
An explanation of the delay
An explanation of how the problem will be addressed
A revised timeline
Written support of the supervisory panel
Written endorsement by the School or Research Institute to carry an unfunded candidature, if applicable
Written support of the School or Research Institute HDR Director

Candidates are considered to have completed study when they have lodged an exam-ready thesis and submitted both the thesis and a Thesis Lodgement Form with the Academic Registrar’s Office.

Scholarship Extensions
Extensions of up to 26 weeks may, in exceptional circumstances, be approved under exceptional circumstances, for some awards. You should consult your “Conditions of Award” for specific guidelines. Normally, extensions will only be granted where it can be proven that there have been delays related to the research and beyond your control. This does not include difficulties of a personal nature. Extensions are not automatically provided. Please contact the Scholarships Officer for advice.

Tracy Mills
Email: hdrscholarships@uws.edu.au
Ph: 02 4736 0966

Application for Early Submission for Examination
Candidates who wish to submit work for examination before completion of the minimum period of candidature must apply in writing to the Research Studies Committee with the support of their supervisory panel and the School or Research Institute HDR Director. The Research Studies Committee will seek evidence that no purpose would be served by continuing the candidature in terms of academic readiness of the work.

Candidate Communication with the University
The primary form of communication by the University with research candidates is your candidate email account. It is University policy that you access this account.

Messages about scholarship opportunities, workshops and other matters of interest to candidates are sent to your candidate email account.

Processing Variations of Candidature
Send the application with endorsement and comments by the supervisory panel to the Academic Registrar’s Office. They will arrange for the request to be considered by the relevant School or Research Institute.

Academic Registrar’s Office (ARO) Research
Email: sa-research@uws.edu.au
Fax: 02 4736 0013

Academic Registrar’s Office Address:
Building I, Room I.2.01
Penrith Campus (Kingswood)

Physical Location:
Penrith Campus (Kingswood)
Rooms 1, Second Floor
Building I, Second Avenue
Kingswood NSW 2747 Australia

Postal Address:
University of Western Sydney
Locked Bag 1797
Penrith NSW 2751
First Year Milestones
UWS has a structured first year to help candidates focus early in their candidature which comprises the Early Candidature Plan (ECP) and the Confirmation of Candidature (CoC). Both milestones are compulsory for all candidates and non-compliance may jeopardise your continued enrolment.

Early Candidature Plan (ECP)

‘The ECP provides a good understanding and an overview in the early stages of a research degree. It gives the students the opportunity to setup their project goals and identify the skills required to achieve the project. Furthermore, most supervisors will have several research students at different stages so it makes it easier for them as well.’ – UWS commencing candidate.

- The Early Candidature Plan is written at the commencement of candidature.
- It establishes goals and provides a framework for assessing progress in the early stages of candidature.
- The timing means it may be revised as the candidate progresses.
- It should also be used to identify skills that the candidate may need to gain or update in preparation of those plans, as well as identify the costs/resources required that maybe associated with the candidature.
- Essential topics to discuss are authorship, intellectual property and feedback protocols.

You must discuss Intellectual Property if you will be working on funded project that has been granted to an academic staff member.

Early Candidature Plans are unique to each candidature, depending on the topic and the background and training of the candidate. For example, one candidate may need to master a new laboratory technique; another may need to explore library training and on-line search facilities.

The Early Candidature Plan is different from, and separate to, the Confirmation of Candidature and the two should not be confused.

How to get the most benefit from the Early Candidature Plan:
- Think in terms of additional skills/knowledge needed
- Develop a time frame, in particular, for the first year
- Talk about how progress will be evaluated in the first year
- Include timing of other hallmarks of progress such as the literature review, confirmation of candidature, ethics or biosafety approval.
- Discuss resourcing needs
- Check for suitable workshops and on-line resources

Timing for Completion of Early Candidature Plan
- The range of time starts directly at commencement and extends up to six months from first enrolment.

Confirmation of Candidature
All candidates must complete the Confirmation of Candidature within the first year of enrolment.

Confirmation of Candidature is a formal and comprehensive process that reviews the progress and plan of the candidature from commencement to completion. The process may identify improvements that can be
made and it is an opportunity to give positive feedback on progress.

The Confirmation of Candidature tests the proposal, research theme or question to be explored; intellectual context; research objectives and research procedures within the framework of the expectations of the degree and the available time frame.

**Rules**
- All candidates must complete the Confirmation of Candidature within the first year of enrolment.
- Postgraduate Essentials must be completed prior to Confirmation of Candidature.
- Human Ethics applications cannot be submitted until the Confirmation of Candidature has been successfully completed.
- The Confirmation of Candidature must be successfully achieved for enrolment in the second year.

**Timing of Confirmation of Candidature**
Confirmation of candidature should be completed within six months for full-time candidates. 12 months should always be seen as the outside limit, not the norm, even for part-timers. The driver is not the policy stated date limit (which only provides the outer limit) but what is good for the candidature. The affirmation of a Confirmation of Candidature is a signal to proceed with the research and allows to the candidate to submit any human ethics application. Delays beyond six months can impede progress and may have a deleterious effect on progress of the candidature. Some candidatures associated with funded projects may conduct the Confirmation even earlier. Confirmations are living documents in that they are reviewed as part of the Annual Progress Report and plans may change as the research develops.

**Budgets at Confirmation of Candidature**
Budgets are required at Confirmation of Candidature to ensure that candidates and supervisors consider how candidature support funds may benefit the candidature. Candidates can also apply for funds at other times.

**Confirmation of Candidature Presentations**
Confirmations of candidature should be “open”. That is, people outside the Confirmation advisory committee may attend, such as fellow candidates and School or Institute staff. Some Schools or Institutes may require Confirmation of Candidature to be undertaken as part of other activities such as the School or Institute conferences. The audience members do not contribute to the assessment of the candidature.

The benefit of an open Confirmation presentation is that the candidate receives a wider input of ideas and candidates enjoy presenting their work to their peers and senior researchers and the experience can spark interest in their research beyond the supervisory panel.

It is also useful to have external advisors formally on the Confirmation panel as this can often open opportunities to build networks and collaborations of benefit to the candidature.

When an open presentation is conducted there may be some questions and answers with all audience members but the deliberations on the formal outcome of the Confirmation are conducted solely by the Advisory Committee.


**Confirmation Advisory Committee**
The Confirmation of Candidature advisory committee is not the same as the supervisory panel. Additional expertise should always be included, whether from inside the School or Research Institute or through other research institutions or relevant industry collaborators.

The process of candidature confirmation consists of:

» Submission of a written document between a minimum of 2,000 and maximum of 10,000 words. Most confirmation documents are 3,000 to 5,000 words. Length is determined in part by the focus of the work and the discipline area. Candidates should discuss a suitable length with their principal supervisor.

» A verbal presentation to an expert academic committee arranged by the principal supervisor.

» Assessment, advice and any required follow-up or other action recommended by the advisory committee or School or Institute Research and Higher Degrees Committee.

The Confirmation of Candidature tests the merit and integrity of the research, on behalf of the various ethics committees. Therefore, Confirmation must be successfully completed before a Human Ethics application can be lodged.

**Responsibilities of Candidate**
The candidate must submit the final, paginated manuscript to their principal supervisor for review and approval by an advisory committee at least a week prior to the Confirmation so that the committee has an opportunity to review and digest it. Not giving your advisory panel sufficient time to consider the material may affect the quality of their understanding of your project and capacity to undertake the research.

**Principal Supervisor’s Responsibilities**
An advisory committee is established as described below. The committee is responsible for ensuring that the candidate has mastered the relevant literature, that the major research questions have been sharply defined, and that the research strategy is sound. The confirmation presentation offers an opportunity to crystallise ideas and to receive feedback from several experienced researchers at an early stage of the work.

The principal supervisor is responsible for:

» Establishing an advisory committee (with up to 5 members) comprising:
  » School or Institute HDR Director, or nominee (Chair)
  » Principal supervisor and committee members
  » 1 or 2 other persons with relevant expertise either from within the School or Institute or from elsewhere.

» Arranging for each committee member to receive a copy of the final confirmation document at least seven days before the meeting.

» Arranging a meeting room and formally advising the candidate and all members of the committee in writing of the meeting date and time. The meeting should not be held in a staff office.

» Administrative follow-up after the meeting which will include ensuring that the candidate and the School or Institute HDR Director are given copies of the report. The committee should agree on the main points to be included in the report on the candidate’s confirmation.

» The advisory committee chair has responsibility for the committee report on the Confirmation of Candidature document and presentation; however,
the principal supervisor should collate the main points discussed at the meeting and prepare a draft report for consideration by all members of the advisory committee and final written endorsement by the chair.

The Meeting
- The meeting is chaired by the School or Institute HDR Director or equivalent and should take from one to one and a half hours.
- The format of the meeting will be at the discretion of the Chair but usually the candidate will give an oral overview of the confirmation document for approximately 15 minutes and this will be followed by a question and answer session where both you and the committee may ask questions. The candidate may be asked to leave the room for a few minutes while the committee confers and gathers their thoughts.

Feedback
- Preliminary feedback will be given directly to the candidate at the meeting.
- The advisory committee will complete a report to be signed by the committee chair and principal supervisor.
- If the School or Institute HDR Director is not on the Committee, the report will be forwarded to them.

There are six possible outcomes of the confirmation process:

a) candidacy is confirmed.
b) The candidature is confirmed subject to minor amendments/rewriting identified by the Confirmation of Candidature Advisory Committee. These amendments are to be undertaken to the satisfaction of the Principal Supervisor and the HDR Director, or equivalent.
c) The candidature to be confirmed subject to major amendments/rewriting identified by the Confirmation of Candidature Advisory Committee. The amendments will be circulated electronically to the Advisory Committee (a second presentation is not required).
d) That the candidature not be confirmed on the basis of the submitted Thesis Proposal and the candidate be asked to resubmit a new proposal with a second presentation required.
e) The Candidature not be confirmed and it is recommended that the School/Research Institute Research and Higher Degrees Committee consider transfer of the candidature to a Masters (Hons), if applicable.
f) The candidature be reviewed by the School/Research Institute Research and Higher Degrees Committee to consider recommending that the candidate be invited to show cause why the candidature should not be terminated.

A copy of the written report given to the candidate, together with the signed coversheet should be lodged with the Office of Research Services. A copy of the confirmation document should be lodged with the School or Institute.

It may be recommended that you seek assistance with writing, presentation skills and/or analytic tools.
THE CONFIRMATION OF CANDIDATURE DOCUMENT

Content of the Document

There is capacity for individual initiative and variations in research style, however, the following elements must be included:

Thesis Title
This should be clear, informative and unambiguous.

Research Case
This section is to demonstrate that you understand the research theme or question and are able to define the theme/question in terms that indicate that the research will provide insights into its resolution.

The Research Case should include an outline of:

1. A description of the project as a whole
2. A thesis statement, comprising:
   » The proposition(s) that the thesis will demonstrate
   » A description of the main focus of the thesis
   » A description of how the various themes/questions are interrelated
   » A demonstration of the worthiness of the proposed research with respect to gaps or conflicts in present knowledge or understanding

Intellectual Context
This section should contain:

» A detailed discussion of the conceptual and empirical aspects of the research
» A comprehensive and critical literature review related to the problem situation
» An explanation of how the thesis is related to the literature or other research in the discipline

» Account should be given of the theory(ies) that will be considered and the method(s) that will be employed in selecting, organising and analysing the material that will make-up the main body of the thesis
» Likely sources of information, archival resources, field work, survey and other empirical data which will be necessary
» A topical outline and the general content by areas or by chapter, with description and relationship of each to the others may be included
» The expected contribution of the thesis to the advancement of knowledge in the relevant field of study

Research Outcomes
This section should clearly demonstrate that you have identified a potentially solvable or resolvable research proposal and has a plan of action whereby this will be achieved within the required time frame. It may be in the form of a general statement and/or a list of more specific aims that will lead to accomplishing the general objective.

Research Method
This section should set out the logical steps to be followed in meeting the research objective(s). The method should be set forth including an expression of why it is important to the particular research field and how the method will generate and verify the conclusions reached in the thesis.

You should include a time line of expected progress and milestones to be achieved.

Length of Confirmation Document

Confirmation documents vary in length according to the requirements of the topic. Most are from 3,000 to 5,000 words with a minimum of 2,000 and maximum of 10,000.
All continuing candidates must complete an Annual Progress Report. First year candidates in some schools may not be required to write an Annual Progress Report if their Confirmation of Candidature has been recently completed.

Annual Progress Reports document your progress formally. They should reflect on your achievements and assess your completion plan. The report should identify problems, of any nature, and record successes such as publications and conference attendance.

Annual reports recommend specific actions in candidatures where progress is not satisfactory. This may include setting a series of tasks, with due dates and a period of review.

The School or Research Institute may request termination of a candidature as a result of an annual progress report.

The Research Studies Committee makes resource and policy decisions using summative information taken form Annual Progress Reports. There may be direct intervention in individual candidatures. Annual reports are also checked when candidates apply for leave or an extension or when the candidate or panel may question aspects of the candidature, particularly in relation to satisfactory progress. Failure to complete and return annual progress reports will jeopardise enrolment.

Australian Postgraduate Awards – Industry (APAI) candidates must also complete an Australian Research Council (ARC) Report. The Office of Research Services will contact you if an ARC report is required.
Dealing with Difficulties

There are informal and formal ways to deal with difficulties. It is always best to solve problems by the most simple and direct method. Sometimes, a seemingly intractable problem can be overcome fairly easily, without animosity or continuation of the problem.

Informal means of problem solving can start with discussing the issue with your supervisor. This can work where there are mismatches in understanding of some issue. Sometimes, it might be helpful to involve a third party, for example, another academic staff member, a member of the panel or the School or Research Institute HDR Director. Informal problem solving may include identification of a problem, e.g., writing skills, and agreement on the nature of the problem and how it might be overcome. You and your supervisor may agree to review the progress of your solution, in case there needs to be a change of strategy if the solution has not worked as well as you had anticipated. The School or Research Institute HDR Director may be able to make helpful suggestions.

The candidate-supervisor relationship can be very intense, making it easy for personal issues to become confused with other differences of opinion. You must exercise judgement in calculating the best solution to problems caused by a conflict in personal styles and be aware that at times personal conflicts can be confused with failures of an academic nature.

You should take action if you believe that your supervisor is not meeting his/her responsibilities. Start by discussing the matter with other panel members or the School or Research Institute HDR Director. You should also consider the role of the candidate organisation and other units within the University that act as advocates for candidates, to assist in finding a resolution and to provide support.

Many issues can arise in a candidature, problems are often complex and effective resolution requires an accurate understanding of the underlying causes. Strong protocols are a good practice and an insurance policy. Things are less likely to go wrong if everyone knows their role and responsibilities and understands that they will be held accountable. The University community is concerned about your candidature and there are structures and specialist units to share the load with your supervisor and to assist you.

You are an independent learner, which means taking active responsibility for your candidature and knowing your environment, from accessing resources and understanding your entitlements, to knowing who will act as your advocate and when you should take formal action about a problem. Independent learners cultivate alarm bells and act early. Independent learners participate in their research community and embrace opportunities for skills development. Managing your life and study as a doctoral candidate is a challenge and there are supports and strategies, such as project management principles and peer groups that can help you. Relationships with supervisors sometimes fall apart. However, it is wise to fully determine the nature of problematic candidatures to ensure that remedial action is effective.

There are methods of dealing with troubled candidatures that are between informal approaches and formal reporting to the Research Studies Committee. This will usually involve the School or Research Institute HDR Director. Sometimes, it is helpful to expand the supervisory panel for a specific period. This may include formal meetings with the School or Research Institute HDR Director in addition to regular panel meetings with the candidate to check on progress. Candidates
may be asked to undertake a specific set of tasks within a defined timeframe, with a view to making a decision on progress when the tasks are assessed or the panel may recommend an additional Confirmation of Candidature to test progress and the plan for completion.

Formal steps may be taken as part of the annual reporting process. Supervisors can recommend one of the following outcomes and this will be referred to the School or Research Institute HDR Director for action or the Research Studies Committee, if required.

**Annual Report Recommendations**

- Continuation of candidature
- Continuation of candidature with specific qualifications
- Continuation of candidature with interim review
- Termination of candidature

Additionally, the degree rules specify formal means of dealing with failure to progress.

Candidature may be terminated for failure to make academic progress during the period of candidature or for academic misconduct.

If the principal supervisor is of the opinion that the candidate is not making satisfactory progress, in consultation with the supervisory panel, they should recommend to the School or Research Institute Research and Higher Degrees Committee that the candidate be invited to “show cause” why the candidature should not be terminated.

The School or Research Institute HDR Director, Research will bring a recommendation to the Research Studies Committee, which will also consider the “show cause”.

The candidate will have the right of appeal under the Higher Degree Rules – Appeals Policy in respect of decisions made by the Research Studies Committee under this clause.
Plagiarism is the submitting or presenting the work of another or others as if it were the candidate’s own work. In relation to research candidature plagiarism:

- Applies to work submitted or presented at any stage during the candidature;
- Includes any material, including drafts, submitted or presented, such as a paper, chapter or agreed piece of work required by the supervisory panel, or work presented for examination.

Protect yourself by ensuring that you have a comprehensive understanding of plagiarism and how to avoid it. To assist you, UWS subscribes to plagiarism prevention software.

*Turnitin*, the plagiarism prevention software system, is available for research candidates from the Higher Degree Research vUWS site. You can submit your research paper to *Turnitin* and receive an Originality Report which will indicate the extent of text matches to other sources. For further information on *Turnitin* and how to use it, see UWS Library’s Turnitin webpages at [http://library.uws.edu.au/turnitin.php](http://library.uws.edu.au/turnitin.php).

**Is it possible to self-plagiarise?**

Failure to acknowledge publication of your work is not modesty but may be a form of ‘double dipping’ in some cases and it may be a misrepresentation of the context of your scholarly endeavour. Some self plagiarism may be acceptable outside the academy but it is not permissible in scholarly work if the material has previously been published.

There are other very helpful websites to assist you. Start with the UWS Library pages on Citing Resources
Quick Links>Postgraduate>Referencing and Citation.
These pages also contain links to Referencing Styles.

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*RefWorks and EndNote* are bibliographic management systems for storing and managing references and allow you to build bibliographies as you write.

*RefWorks* is a web based program available to all UWS staff and candidates.

*EndNote* is a database program which requires a software download available from the Library website and is available to UWS staff and postgraduate candidates.

The Library runs training sessions on ‘Managing Your Citations with EndNote’. Details can be found at [http://library.uws.edu.au/uws_library/guides/referencing-citation/endnote](http://library.uws.edu.au/uws_library/guides/referencing-citation/endnote)
What is eResearch?

eResearch refers to the use of advanced information and communication technologies (ICTs) to support research. eResearch aims to ensure research processes are more effective, efficient and collaborative.

eResearch is underpinned by the following themes:

1) Data management

Data management entails the collection, storage and classification of research data to enable logical and timely data retrieval and management as well as sharing and reuse for researchers. It is very important that all research publications, including theses are supported by data-sets that can be used to prove the integrity of the research. Whatever the field and whatever level of privacy is needed for the data, having a plan to manage data for the long term is an essential part of research.

2) High performance computing

Via the sharing of robust infrastructure and high performance computing systems, eResearch facilitates the processes of data management, analysis and reporting across large and complex data sets. It also increases researchers’ access to such things as advanced data processing and modelling techniques that would otherwise remain largely inaccessible to smaller institutions and individual researchers due to the costly nature of such systems.

3) Research collaboration

Global and interdisciplinary research collaboration enabled through communication and data sharing capabilities allows researchers to collaborate in real-time through technologies such as video conferencing and other web communication tools. These deliver improved research outcomes by enabling collaborative work data sets by providing shared access to storage and computing resources.

What does the eResearch Team Do?

The eResearch team at UWS provides researchers with out-of-the-box and custom data management and computing solutions (ie: computing power and specialised software) which both streamline and uplift research. eResearch helps researchers deliver reproducible research and to meet appropriate compliance standards. To achieve this, we work with the following major stakeholders across the University:

» Researchers (via the office of the Pro Vice Chancellor, Research)
» Office of Research Services
» Information Technology Services (ITS)
» The University Library.

Why is Data Management Important?

Every researcher should be concerned with data management during the course of the data life cycle and beyond. Through sound data management planning and implementation, a researcher can:

» Plan for end-to-end data management needs, including computational and storage requirements.
» Increase research impact by ensuring data is both preserved and citable.
» Ensure long-term access of data through well-described and retrievable data sets.
» Retain the potential to make available data sets for reuse and/or future research projects and collaborations.
What will Data Management Planning do for Me?
Data management planning from the outset of a research project will help researchers plan for and articulate the following:

» Data to be produced
» Data documentation and metadata (data about the data)
» Data storage and security needs
» Ethics, copyright and Intellectual Property
» Access, sharing and reuse of data
» Data retention and disposal
» Preservation and archiving of data.

The University has both a Data Management Checklist and a Data Management Plan proforma to help guide you through the Data Management process. Along with Office of Research, ITS and the Library, the eResearch Team can provide or connect you with the right advice to get you started with your data management plan.

What Computing Resources will I have Access to?
As a researcher at UWS, you have access to a wide-range of computing platforms. These include:

1) Desktop Computing
   Desktop sized computing resources including laptops, can be obtained through your school or institute.

2) Virtual Servers
   For medium-sized long-running computing, a good first step is to make use of the free virtual machines available to all researchers both here at the university and on the Nectar Research Cloud, please log a request via the USW MyIT service portal using your UWS login details.

3) High Performance Computing (HPC)
   For intensive computation, access to a high performance computing cluster or super-computing environments may be necessary. UWS hosts some HPC clusters within some of our research institutes. These can be accessed for research purposes. Please log a request via the USW MyIT service portal using your UWS login details.

What Tools and Collaboration Environments will I have Access to?
The eResearch team can help connect researchers with the appropriate software tools or collaboration environments they may be seeking. You can visit the eResearch website to see the list we have compiled of the mostly commonly used tools and collaboration environments.

For more information about eResearch please visit our website at: http://uws.edu.au/eresearch/

Assistance
If you have a technical issue or requirement related to your research, please contact the eResearch team by logging a request with the UWS IT Service Desk.
Library Support for Research Candidates

http://library.uws.edu.au

Services include assistance with:

» Information retrieval (advanced search techniques, appropriate database selection, keeping up to date)
» Obtaining resources (how to purchase materials and/or borrowing options for materials not held)
» Reference storage and management advice (including EndNote)
» Selecting publication outlets for your research findings
» Recording your research output for reporting purposes
» Open Access advice and assistance (including archiving your research in the UWS Research Repository)
» Data description in the UWS Research Data Repository

Assistance
A list of School Librarians is available at: http://library.uws.edu.au/uws_library/help/contact-us/school-librarians

Information Central
For general assistance throughout Library opening hours.
Ph: 02 9852 5353
Email: ic@uws.edu.au
Singapore Statement
The UWS Academic Senate has endorsed the Singapore Statement on Research Integrity further integrating the University’s research with the global research enterprise.

The Singapore Statement can be found here: www.singaporestatement.org

It represents the first international effort to set out principles and responsibilities for research integrity. It provides guidance and a foundation for the development of expanded and localized standards and policies worldwide and was produced by the Second World Conference on Research Integrity (Singapore, 21-24 July 2010).

The University is proud of its higher degree research candidates and expects them to maintain the highest levels of integrity in all research endeavours.

At UWS, research is carried out in accordance with the University’s Research Code of Practice and the Australian Code for the Responsible Conduct of Research.

‘Ethics and ethical principles extend to all spheres of human activity. They apply to our dealing with each other, with animals and with the environment. They also govern our interaction in conducting research. Ethics serve to identify, good, desirable or acceptable conduct and provides reasons for these conclusions’ (National Health and Medical Research Council 2003).

Best practice ethical research at UWS is also guided by the following national guidelines:

» National Statement on Ethical Conduct in Research Involving Humans (2007)
» Health Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (2003)

» Australian Code of Practice for the Care and Use of Animals for Scientific Purposes (2004)

UWS Biosafety and Radiation Safety review is guided by national and State guidelines and standards:

» Office of the Gene Technology Regulator

This standard can be viewed via the UWS Library website 2010 Standard

Enquiries about research involving human participants should be directed to:
Email: humanethics@uws.edu.au
Ph: 02 4736 0229

Enquiries about research involving animals should be directed to:
Email: animalethics@uws.edu.au
Ph: 02 4736 0884.

Enquiries about research involving biosafety and radiation should be directed to:
Email: biosafetyradiation@uws.edu.au
Ph: 02 4736 0884

Timeline for ethical and biosafety review
You need to allow sufficient time for the review of your application. For human ethics, you must have completed your Confirmation of Candidature. A suggestion is to work from the proposed date of your intention to collect data from research participants, and to submit the application at least two months beforehand. Tabled applications cannot be considered.

Human Research Ethics Committee (HREC)
All inquiries about the approval process relating to HREC can be directed to the Human Ethics Officer, humanethics@uws.edu.au
Animal Care and Ethics Committee (ACEC)
All inquiries about the approval process relating to the Animal Care and Ethics Committee can be directed to the Ethics Officer at animalethics@uws.edu.au

Any teaching or research activity at UWS that includes keeping or using vertebrate animals must have prior approval of the ACEC.

Animal work carried out at another institution by candidates must have approval from that institution’s animal ethics committee. In addition, a copy of the application and the approval must be submitted to the UWS ACEC for noting. Any animal work conducted at UWS premises or facilities by anybody must have approval from the UWS ACEC.

Work conducted by candidates is the responsibility of the supervisor, so the application for approval must be made jointly by the supervisor and the candidate with the supervisor listed as the principal investigator. (The supervisor, with their qualifications, experience/expertise in handling animals, supervises and guides the candidate).

Where proposals are undertaken involve work in other countries in conjunction with UWS, an application must be made to conduct the work in those countries as per local requirements.

Meeting dates and application forms
Animal Research Proposal Application forms, Progress or Final report forms, guidelines, meeting dates and close of business dates are available from Research Services web pages: www.uws.edu.au/research/forms

You are advised to lodge your proposal between 1-2 months before the proposed start of your project. Please ensure that you present your application in the manner requested, to avoid delays.

Compliance with the legislation
Compliance with other guidelines and codes of practice will depend on the nature of the research. Your supervisory panel will alert you to guidelines issued by the Office of the Gene Technology Regulator (OGTR), National Parks and Wildlife Services (NPWS), State Fisheries, Australian Quarantine Inspection Services (AQIS) etc. It is also important to note that each state has its own Animal Welfare Legislation.

UWS Biosafety and Radiation Safety Committee (BRSC)
The UWS Biosafety and Radiation Safety Committee approves projects involving:

» genetically modified organisms (GMO)
» recombinant DNA
» the use of micro-organisms of Risk group 2 or higher
» ionising radiation sources
» specimens of human/animal origin (including blood products)
» the use of biohazardous substances
» in vivo use of imported biological products

Contact:
The Ethics Officer
biosafetyradiation@uws.edu.au

Work carried out at another institution by UWS staff or candidates must have approval from that institution’s biosafety committee. In addition, a copy of the application and the approval must be submitted to the UWS BRSC for noting. Any work conducted at UWS premises or facilities by anybody must have approval from the UWS BRSC. If the supervisor or candidate researcher, or laboratory support staff are in doubt whether BRSC review is required, a synopsis of the research or experimental plan should be forwarded for evaluation to biosafetyradiations@uws.edu.au email address.
In the case where animal research is involved, the ACEC application may be used for BRSC review purposes to establish if a full BRSC application is required. Researchers are encouraged to access Standard Operating Procedure (SOP) documentation appropriate to their experiments.

Any work conducted by candidates is the responsibility of the supervisor, so the application for approval must be made jointly by the supervisor and the candidate(s), with the supervisor listed as the principal investigator. (The supervisor, with their qualifications, experience/expertise in handling animals or technical procedures, supervises and guides the candidate).

Information about meeting dates, application forms
BRSC meetings are held bi-monthly, from February to November. Application forms, report forms, guidelines, meeting dates and close of business dates are available on the Research Services web page: www.uws.edu.au/research/researchers/ethics/biosafety

Applications should be submitted to biosafetyradiation@uws.edu.au by the relevant closing date.

It is best to lodge the proposal between 1-2 months before the proposed start of the project.

If your project involves the use of animals and there are potential biohazards (e.g., in vivo use of imported biological products) both the ACEC and the Biosafety and Radiation Safety Committee must review the proposal. The Australian Quarantine and Inspection Service (AQIS) permits will need to be lodged to import biological materials into the country.

Please refer to the University Occupational Health and Safety Manual for information on general laboratory safety.

Contact:
The Ethics Officer
Office of Research Services
Building K1
Penrith (Kingswood) Campus
Ph: 02 4736 0884
Email biosafetyradiation@uws.edu.au
Examination

Candidate Resources on Examinations
There is a UWS handbook on examination at: www.uws.edu.au/__data/assets/pdf_file/0019/70822/ORS3474_HDR_Handbook_Exams_booklet_A5_LR3.pdf

Completion and Beyond is an on-line program available to candidates who have completed Confirmation of Candidature. It is designed to support you through the final stages and in managing the transition from university into a suitable and satisfying career path. There is practical advice on the presentation and submission of the thesis and assistance with academic writing issues. The program also includes vodcasts of experienced supervisors talking about how they prepare their candidates and about research conducted in Australia on how examiners perform their task.

Completion and Beyond is accessed via vUWS, login using your student account.

Useful Articles


Workshops
‘Final Stages’ workshops are designed for research candidates who plan to submit their thesis for examination within the following year. Participants and presenters discuss the processes of preparing for submission, the appointment of examiners, the rules and responsibilities of supervisors and candidates, writing the abstract, editing, the submission of the thesis, what to expect, possible outcomes, who decides the outcome and what to do if things don’t go as expected. The workshop includes discussion about what examiners look for in a thesis. Presenters have information about research into the research higher degree examination process within Australia. The workshop also covers aspects of life after graduation and career planning, including skills identification and publishing.

To register for a workshop: www.uws.edu.au/research/current_research_students/candidate_support#1

Choosing Examiners
Selecting the right examiners is critical, particularly where the work crosses discipline boundaries. Examiners should always be academic experts but their expertise must also be aligned with the approach taken by the candidate.

A well written abstract is very important in situating the candidate’s work. It will help the examiner decide if they are the right one for the examination.

You should not be afraid of high flyers, often they are generous encouragers of new scholars. Examiners reports have a life beyond the granting of the award and may be used in job applications and as references. Having a well known and respected examiner can be an additional benefit after graduation.

Occasionally, it may be best to delay the exam for a brief period if a highly sought examiner is not immediately available.

Supervisors are advised to nominate examiners up to three months before final submission of the thesis to allow time for approval of the nominees and for contact to be made with minimum delay of the examination. The Principal Supervisor nominates an examining panel to the School or Research Institute Research Higher Degree Committee.

Who Should the Supervisory Panel Nominate?
» All examiners should be leaders in the field of research undertaken by the candidate.
» Examiners will normally hold qualifications at least at the level at which they are asked to examine.
» UWS staff may not be nominated.
» A person may not be appointed as an examiner if they have ever been a member of the supervisory panel of the candidate.
» Supervisors should refer to the UWS Conflict of Interest Guidelines for further information.
» Supervisors need to think about the mix of experience of the examiners. Research suggests that inexperienced examiners tend to be harsher in their judgment.
» Principal supervisors may wish to consider nominating an examiner in the home country of international candidates. The examiner may possibly act as a mentor for the candidate after graduation.
» Overseas examiners may be invited but there is no requirement that an examining panel must have international members nor is there a limit on the number of international examiners. The selection is based on who is best not in what country they reside.
Supervisors should make an informal approach to potential examiners and ask them for a brief CV which includes information on the proposed examiner’s experience in supervision and examination of theses, their qualifications, publications summary and affiliations.

The examiner should be told when to expect the thesis and that they will be expected to complete their report within six weeks of receipt of the thesis.

Doctor of Creative Arts (DCA) examiners must be told about arrangements for exhibitions or performances, if applicable, and they should know ahead of time when to expect to attend an event and when they will receive the exegesis. It is not unusual for the exegesis to follow the attended event by up to a couple of months, but the examiner should be made aware of this and their availability for both parts of the examination should be confirmed.

It is the responsibility of the Academic Registrar’s Office to make all formal contact with the examiner and to provide them with information and instructions. However, supervisors should make initial informal contact, which must include discussion about the nature of the thesis topic and line of inquiry. This should include the abstract.

Supervisors may also tell examiners that the Academic Registrar’s Office will post instructions on the examination with the thesis and that they will be paid an honorarium at the rate recommended by the Universities Australia.

**Candidates and selection of examiners**
Candidates and supervisors should be thinking about potential examiners from an early stage in the candidature.

Candidates should tell their supervisors of their preferences, both who they would like and who they would prefer not to have. Candidates should not know the final composition of their examining panel at the time of examination. Supervisors may reject a candidate’s suggestion based in their knowledge of the examiner; in this case the candidate would be wise to accept the supervisor’s judgement. However, where the candidate requests that an examiner not be used, the supervisor should respect that wish.

Candidates may eventually learn the identity of their examiners if the examiner agrees to their name being disclosed on the thesis report. Examiners may request that their identity not be disclosed.

**Number of examiners**
There are two examiners for research masters. Two examiners are required plus a reserve. An additional examiner may be appointed.

There are two examiners for doctorates (includes PhD, Doctor of Education, Doctor of Creative Arts, Doctor and Cultural Research, Doctor of Business Administration and Doctor of Medicine). Two examiners are required plus a reserve. An additional examiner may be appointed.

A reserve must always be included. They are used quite frequently when unforeseen circumstances prevent other examiners from proceeding.
Nomination of Examiners Form
The form may be found at: www.uws.edu.au/research/research_students/examination/nomination#6

Processing the Nomination Form
The principal supervisor should supply examiner contact information, sign to attest that the nominees have not contributed to the thesis and attach the additional information (CVs). This is to be sent it the School or Research Institute for endorsement. Please include email addresses wherever possible.

The School or Research Institute Research and Higher Degrees Committee approves the nomination.

It is important that the contact information is accurate; clear to read, current and that names are spelt correctly and that titles are correct.

COUNCIL OF DEANS AND DIRECTORS OF GRADUATE STUDIES IN AUSTRALIA (DDOGS)

Conflict of Interest Guidelines
The use of independent thesis examiners is an important defining feature of Australian Higher Degree by Research (HDR) programs. The independence of examiners is one indicator of the quality of the examination process and of the course as a whole.

The process of examination and classification of theses assumes that examiners undertake the task independently and without bias. Professional and personal relationships between examiners and a student and their supervisors/advisors, and relationships between examiners and the University, have the potential to introduce bias and thus compromise the independence of the examination, in fact or in perception.

The independence of examiners can be ensured by the use of:

» internal guidelines on what might constitute (risk of perception of) conflict of interest,

» a nomination process with a formal review procedure.

There are a range of circumstances that can lead to a conflict of interest. The guidelines below list examples of different types of conflict of interest that may arise between the examiner and various parties including the student, the supervisor/advisor, the University, the subject matter itself and another examiner. The list is indicative and is not to be considered exhaustive.

In managing conflicts of interest it is useful to:

» Distinguish major (potential) conflicts of interest that would normally result in the non-appointment of the examiner from minor (potential) conflicts that should be declared and explained but which should not normally, independently of other considerations, inhibit the appointment of the examiner.

» Recognise that some conflicts of interest arising through collaboration on publications and/or research grants, or membership of an advisory board, may be mitigated by the size of the team and a corresponding relative independence of some members of the team. Indeed in some cases, members of a team may never have met nor corresponded directly.

Conflicts of Interest
Listed below are examples of different types of conflict of interest that may arise between the examiner and various parties including the student, the supervisor/advisor, the University, the subject matter itself and another examiner. The list is indicative and is not to be considered exhaustive.
### A. Conflict with the Student

#### Working Relationship

| A1. | Examiner has co-authored a paper with the student within the last five years | MAJOR |
| A2. | Examiner has worked with the student on matters regarding the thesis e.g. previous member of the advisory team | MAJOR |
| A3. | Examiner has employed the student or been employed by the student within the last five years | MAJOR |
| A4. | Examiner is in negotiation to directly employ or be employed by the student | MAJOR |
| A5. | Examiner has acted as a referee for the student for employment | MAJOR |

#### Personal Relationship

| A6. | Examiner is a known relative of the student | MAJOR |
| A7. | Examiner is a friend, associate or mentor of the student | MAJOR |
| A8. | Examiner and the student have an existing or a previous emotional relationship of de facto, are co-residents or are members of a common household | MAJOR |

#### Legal Relationship

| A9. | Examiner is or was married to the student | MAJOR |
| A10. | Examiner is legally family to the student (for example, step-father, sister-in-law) | MAJOR |
| A11. | Examiner is either a legal guardian or dependent of the student or has power of attorney for the student | MAJOR |

#### Business, Professional and/or Social Relationships

| A12. | Examiner is currently in or has had a business relationship with the student in the last five years (for example, partner in a small business) | MAJOR |
| A13. | Examiner is in a social relationship with the student, such as co-Trustees of a Will or god-parent | MAJOR |
| A14. | Examiner has a current professional relationship, such as shared membership of a Board or Committee (including editorial and grant decision boards), with the student | MAJOR |
| A15. | Examiner has had personal contact with the student that may give rise to the perception that the examiner may be dealing with the student in a less than objective manner | MAJOR |
### B. Conflict with the Supervisor/Advisor

#### Working Relationship

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<td>B1.</td>
<td>Examiner was a student of the supervisor within the past five years</td>
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<td>B2.</td>
<td>Examiner has co-supervised with the supervisor in the past five years</td>
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<td>B3.</td>
<td>Examiner holds a patent with the supervisor granted no more than eight years ago and which is still in force</td>
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<td>B4.</td>
<td>Examiner had directly employed or was employed by the supervisor in the past five years</td>
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<tr>
<td>B5.</td>
<td>Examiner holds a current grant with the supervisor</td>
<td>MAJOR</td>
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<tr>
<td>B6.</td>
<td>Examiner has co-authored a publication with the supervisor in the past five years</td>
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#### Personal Relationship

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<td>B7.</td>
<td>Examiner is in negotiation to directly employ or be employed by the supervisor</td>
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<td>B8.</td>
<td>Examiner is a known relative of the supervisor</td>
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<tr>
<td>B9.</td>
<td>Examiner and the supervisor have an existing or a previous emotional relationship of de facto, are co-residents or are members of a common household</td>
<td>MAJOR</td>
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#### Legal Relationship

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<td>B10.</td>
<td>Examiner is or was married to the supervisor</td>
<td>MAJOR</td>
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<tr>
<td>B11.</td>
<td>Examiner is legally family (for example, step-father, sister-in-law) to the supervisor</td>
<td>MAJOR</td>
</tr>
<tr>
<td>B12.</td>
<td>Examiner is either a legal guardian or dependent of the supervisor or has power of attorney for the supervisor</td>
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#### Business, Professional and/or Social Relationships

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<td>B13.</td>
<td>Examiner is currently in or has had a business relationship with the supervisor in the last five years (for example, partner in a small business or employment)</td>
<td>MAJOR</td>
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<tr>
<td>B14.</td>
<td>Examiner is in a social relationship with the supervisor, such as co-Trustees of a Will or god-parent</td>
<td>MAJOR</td>
</tr>
<tr>
<td>B15.</td>
<td>Examiner has a current professional relationship, such as shared membership of a Board or Committee (including editorial and grant decision boards), with the supervisor</td>
<td>MAJOR</td>
</tr>
<tr>
<td>B16.</td>
<td>Examiner has had personal contact with the supervisor that may give rise to the perception that the examiner may be dealing with the student in a less than objective manner</td>
<td>MAJOR</td>
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1. Mitigating circumstances may exist, for example where the grant in question is held by a large consortium of relatively independent researchers.
2. Mitigating circumstances may exist, for example where the paper in question has a large author list and where the examiner and supervisor have not collaborated directly.
C. Conflict with the University

**Working Relationship**

C1. Examiner is currently in negotiation with the University for a work contract (other than examining thesis)  
   MAJOR

C2. Examiner is currently working for the University pro bono (for example, on a review)  
   MAJOR

C3. Examiner has examined for the University two or more times in the past 12 months and/or five or more times in the past five years  
   MAJOR

**Other Relationship**

C4. Examiner has received an Honorary Doctorate from the University within the past five years  
   MAJOR

C5. Examiner graduated from the University within the past five years  
   MAJOR

C6. Examiner has/had a formal grievance with the University  
   MAJOR

**Professional Relationship**

C7. Examiner is a current member of staff or has a current Honorary, Adjunct or Emeritus position with the University or has had such a position during the candidature of the student or in the past five years  
   MAJOR

C8. Examiner has a current professional relationship with the University (for example, membership of a Board or Committee)  
   MAJOR

C9. Examiner has a current Visiting position with The University or has had such a position during the candidature of the student or in the past five years  
   MAJOR

3. Mitigating circumstances may exist, for example where an examiner has examined students across different Schools of the University

D. Conflict with the Subject Matter

**Research**

D1. Examiner has a direct commercial interest in the outcomes of the research  
   MAJOR

E. Conflict with Other Examiners

**Working Relationship**

D1. Examiner has a direct commercial interest in the outcomes of the research  
   MAJOR

**Personal Relationship**

E2. Examiner is married to, closely related to or has a close personal relationship with another examiner  
   MAJOR

**Professional Relationship**

E3. Examiner has a professional relationship with another examiner  
   MAJOR
Additional notes on management of the guidelines

In managing the Conflict of Interest guidelines it is useful to remind those who are nominating examiners that the purpose of the guidelines is to ensure the independence of the examination in both fact and perception. The guidelines are designed to protect the student, examiner and the University against potential negative perceptions during and beyond the examination process. There is no presumption that any individual will behave inappropriately.

It would be unreasonable to expect potential examiners to make decisions about their suitability to examine (with reference to these or other guidelines), though it is reasonable to expect them to declare conflicts of interest and to make provision for this in examiners' reporting forms. The nomination of examiners is best made by the supervisory team and/or enrolling school and subsequently formally approved by a third party. In many institutions formal approval will be by delegated authority of the Board of the Graduate Research School or equivalent.

The most frequent concerns raised by supervisors relate to conflicts of interest between an examiner and a supervisor/advisor, especially with respect to co-authorship (B6). There is occasionally a tension between the need to find an independent examiner and the need to find an examiner with expertise in the field of the thesis, especially where that field is considered to be particularly narrow. It may be useful here to keep in mind that specific expertise in the narrow field of the thesis is not the only (nor necessarily the primary) consideration in selecting a potential examiner. An examiner’s broad knowledge of the particular field of research, experience as a supervisor of HDR students and examiner of HDR theses, plus their broad familiarity with the expectations of Australian HDR courses are all considerations in the selection of appropriate examiners.

The most frequent concern raised by students is in relation to formal and informal contact between the student and potential examiners (A2). Students often ask if they should avoid attending conferences organised by a potential examiner or at which they may have contact with a potential examiner, avoid presenting papers in a department at which a potential examiner works, or avoid submitting papers to a journal edited by a potential examiner. No conflict of interest exists in these cases and it would defy common sense to consider proscribing such valuable activities. As a general rule of thumb, a conflict of interest exists where a potential examiner has worked with the student on matters of synthesis or analysis or has maintained a correspondence or other contact over an extended period in which the research has been discussed.

Council of Deans and Directors of Graduate Study, Australia May 2010
Cotutelle Examination
These guidelines apply where the candidate is primarily enrolled at UWS. An additional examiner is required for a Cotutelle examination. One nomination is made by the partner university and two by UWS, both institutions must agree on the proposed examiners and a fourth, reserve examiner. Both institutions must agree that the thesis is ready for examination and sign to agree to the examination taking place.

UWS and the partner institution must agree on the examination outcome and may undertake some discussion to reach agreement. Both institutions are given the examiners reports and asked to make a recommendation on the outcome according to UWS rules. If the partner institution requires an oral defense it will be undertaken as part of the examination process, and normally it will be organised by the partner institution.

Application for Early Submission for Examination
Candidates who wish to submit work for examination before completion of the minimum period of candidature should apply in writing to the Research Studies Committee with the support of their supervisory panel and School or Research Institute Research and Higher Degrees Committee. The Research Studies Committee will seek evidence that no purpose would be served by continuing the candidature in terms of academic readiness of the work.

Thesis as a Series of Papers
The PhD policy allows submission of a thesis for examination as a series of publications. The work must be completed during candidature and candidates write an overarching statement of at least ten thousand words. The requirement is four publications; accepted, in print or published in peer reviewed publications. The candidate will normally be the first author. Conference papers are not acceptable. The criterion is not only the number of papers but a question of ‘does this collection of published work, with the overarching statement, meet the requirements of a doctorate?’

This mode of submission will be suitable for some candidatures but not all. Supervisors and candidates should think carefully about whether it could apply to them, especially in terms of time. For most candidatures it will be better to publish during candidature and produce a thesis. It should be kept in mind that the four publications and overarching statement do not guarantee a pass; the work must still be assessed by an examining panel according to the usual standards required of a doctorate.

‘I have four published papers in great journals so I’ll submit my PhD as a series of papers’.

The four papers are a start but not enough; you must also meet the requirements of the degree;

Extract from Doctoral Policy
A Doctorate is awarded in recognition of original, independent and successful research of international standard in the relevant discipline. A Doctoral candidate should make a substantial original contribution to knowledge in the form of new knowledge or significant and original adaptation, application and interpretation of existing knowledge. These outcomes may be based on a comprehensive critical review of literature, empirical research, creative work or other systematic approach embedded in a field or discipline, and/or they may be based on advanced and sustained critical reflection and analysis of professional theory and practice.
The 4 papers and overarching statement must fulfil the requirements of the degree. The overarching statement serves as an introduction to the assessable work and makes reference to the research papers and explains the research components in terms of their temporal sequence and interdependence, the contribution to the candidate’s personal and professional development, and to the field of scholarship. It should be at least 10,000 words and is usually much longer.

The examiners will be asked if the papers and the overarching statement together fulfill the requirements of a doctorate (original contribution to knowledge etc). It is possible to have four excellent papers that cumulatively do not add up to be a PhD.

Format and Presentation of the Thesis
Candidates and Supervisors may wish to view theses at the UWS Digital Theses and the Australasian Digital Theses Program, Trove for ideas about presentation and organisation of chapters.

At the link below there are suggestions for those who may like direction on presentation but these ideas are not compulsory. Candidates should always check with their supervisor about discipline standards and conventions.

Thesis Presentation Guidelines
www.uws.edu.au/research/current_research_students/examination

These pages include advice on format and style, order of pages; including the title page, dedication page, statement of authentication page and acknowledgements page, the table of contents, lists of tables, abbreviations, references, bibliography, glossary, index, style of font, font size, line spacing, margins, spelling, footnotes, endnotes and in-text references, corrections, printing, illustrations, photographs, diagrams and tables, charts and maps, pockets, page numbering, checklist and non-text components.

The UWS Library has extensive resources on Style Guides, at this site: http://library.uws.edu.au/citing.php?arg=1&p=ps

Binding
The thesis may be hard or soft bound for examination. Hard bound theses are sewn and bound in boxards covered with bookcloth or buckram or other binding fabric. Temporary binding in the form of Perfect Binding or heat tape binding is acceptable. Spiral binding is unacceptable.

Lettering on Cover and Spine of Hard Bound Theses
The front cover and the title page should contain:
» the title of the thesis
» the candidate’s initials and surname
» the title of the degree
» the year of submission
» University of Western Sydney

The spine should include:
» an abbreviated thesis title
» candidate’s initials and surname
» abbreviated title of the degree
» year of submission
Statement of Authentication
This paragraph should be centred on the page and must be signed by the author.

Here is an example:

Statement of Authentication

The work presented in this thesis is, to the best of my knowledge and belief, original except as acknowledged in the text. I hereby declare that I have not submitted this material, either in full or in part, for a degree at this or any other institution.

..................................................
(Signature)

Paper type and size
The thesis must be printed on white International Standard A4 size paper (297mm x 210mm). The paper must be heavy enough to be opaque.

Length
UWS does not prescribe a word limit and candidates should seek the advice of the supervisory panel. However, one hundred thousand words is considered to be the upper limit for doctorates. Most disciplines have a general expectation of a minimum of sixty thousand words for a doctorate. Eighty thousand words is considered the upper limit for research masters. Most disciplines have a general expectation of a minimum of forty thousand words for a research masters.

Copyright
For general information from the Australian Copyright Council (ACC):
www.copyright.org.au

The ACC has two information sheets which are of particular interest to research candidates, ‘An Introduction to Copyright in Australia’ and ‘Protecting Your Copyright’.

Writing the Abstract
The abstract is more than a sophisticated summary of the candidate’s work. The abstract will be used to assist potential examiners in determining whether they should undertake the examination by clearly situating the work and methodology. It will also be used in library searches after graduation as the thesis will be available on-line through the Australian Digital Thesis Project.

The following information is advice on how to write an abstract.

Evans and Gruba (2004) recommend the abstract for a thesis addresses the following:

» Why you did the work and what you were trying to achieve
» What methods you used and what results you obtained
» What you concluded from it.

Hart (2005) says the abstract provides a summary of the principal elements of your research and will commonly follow the structure of the thesis itself. He recommends you do the following:

» State the purpose of the research (ie aims, hypothesis, research questions)
» Outline the methodology used (eg the research tradition)
» State the methods (ie data collection and analysis)
» Summarise the findings (avoid evaluating the findings here)

Others recommend you clearly outline your ‘thesis’ or the central argument pursued – this is particularly likely in cultural studies theses for example.

Depending on the kind of study, you should also indicate your theoretical framework.
Some structural and linguistic features:

Opinions vary about the length but most abstracts for a thesis are 1–2 pages long.

Ensure you use key words for the purposes of indicating your mastery of discipline-specific jargon and also because electronic searching of theses depends on you using the ‘right’ key words.

Make this text as informative and yet as accessible as possible, therefore, use paragraphs to break the text into its component parts.

Make sure your writing is focussed and precise – dense with detail and relatively sparse in ‘padding’ such as adjectives, adverbs.

Ensure enough space is given to a discussion of your results or findings (about 1/3 maximum).

Use time markers and location-specific indicators as appropriate. For example does it suit your purposes to state that the study takes place in ‘twentieth century rural NSW’ or ‘during 2004 in Sydney, Australia’? Remember a PhD is an international qualification so clearly indicate location using appropriate descriptors; geographic descriptors may not be useful in portraying your point. For example you might replace ‘Western suburbs’ with ‘a group of outlying suburbs with lower socio-economic status on the fringes of a major Australian city’.

(Provided by Dr Claire Aitchison)

References:


Remember that whether in the abstract or the thesis you are writing for a particular audience – an examiner who is also a reader, and who is a scholar in the field. Your aim should be to establish the context of the research particularly in relation to the field, what has gone before this research as well as identifying ‘so what’ issue.

The abstract should also signal how the thesis proceeds, particularly if it is not conventional in its structure and for inter- or trans-disciplinary theses, expectations of the reader should be managed (although if examiners are carefully chosen this shouldn’t be as much of an issue).

As the abstract is the first thing that the examiner will read, you should use it to create a sense of expectation and interest, so that they read on from curiosity not duty and obligation!

Responsibilities
Candidates are solely responsible for the content, style and presentation of the thesis and for certifying its authenticity. Candidates are required to state the extent to which the work of others has been used in general terms in the statement of authenticity and more specifically in the text by referencing and footnoting the sources.

Generally speaking, candidates will not be permitted to incorporate in their thesis work which may have been submitted for another degree.

Candidates have a responsibility to ensure that they understand and avoid plagiarism.
EndNote

EndNote is a software program for storing and managing bibliographic references. It allows you to import references from library catalogues or electronic databases into EndNote reference libraries. (Not recommended for thorough searching). References in EndNote libraries can be sorted and searched, and incorporated automatically into papers, saving time and ensuring accuracy of citations.

EndNote software can be downloaded from the UWS Library website by UWS staff and postgraduate candidates, Quick Links>Postgraduate>Training and Support> EndNote

Number of Copies

PhD and Professional Doctorate candidates are required to submit three copies of their thesis for examination. Masters (Hons) candidates are required to submit three copies. One copy remains in the safekeeping of the Academic Registrars Office while others are being examined.

Australian Higher Education Graduation Statement (AHEGS)

The AHEG statement is an initiative of the Australian government, designed to give prospective employers and other interested parties better information about your qualification.

You are asked to provide a 100 word plain language statement that describes your research. This is not the same as an abstract, which has a specific academic purpose, as described above.

Publications

It is recommended that candidates co-author conference papers and journal articles with their supervisors or on their own, during their candidature. However, it may not be recommended that the text of the co-authored paper be directly inserted into the thesis. Normally, the style and structure of a paper would be quite different to that required for the thesis. By inserting a co-authored paper as a complete chapter it is impossible for the examiners to know just who did the research and the write-up. It is better to include in the thesis (as an Appendix) a list of published papers produced from the research. However, this should be discussed with the supervisory panel as discipline practices may differ.

Confidential material

It is University policy that a candidate should not normally undertake research that is likely to result in a thesis which cannot be made publicly available immediately.

Nonetheless, candidates may apply for examiners to sign a confidentiality agreement for the purposes of examination. This should be approved by the School or Research Institute and the Academic Registrar’s Office must be notified when the examiners are nominated.

After the degree is awarded you will be asked by the Academic Registrars Office to provide them with a copy of the thesis for lodging on-line at the University Library website where it becomes immediately available for consultation. In certain instances graduates may withhold public access to their thesis for a specified period. This is done using a ‘Right of Access to Thesis Form’.

Candidates who believe their interests would be at risk if the thesis were made immediately available may apply in writing to the School or Research Institute (with the support of the supervisory panel) for a deferment of its public availability. Such deferments will not ordinarily exceed one year.
Thesis Lodgement
The Thesis Submission Form is available at: www.uws.edu.au/research/current_research_students/examination

A Thesis Submission Form must be included when lodging theses for posting to examiners.

The first section is completed by the candidate and is a statement that they have presented their work for examination. The candidate should take their examination copies of the thesis and the submission form to their principal supervisor. In the second section the supervisory panel signs to attest that the thesis and/or other work is of a standard suitable for examination.

If the supervisory panel does not agree that the work is ready for examination, the candidate may refer the matter to the School or Research Institute Research and Higher Degrees Committee for determination of whether examination of the thesis can proceed. If examination has been refused because the thesis does not meet the prescribed format and presentation, the examination will not proceed. The School or Research Institute Research and Higher Degrees Committee may refer the matter to the UWS Research Studies Committee for a determination if the School or Research Institute is unable to reach agreement. If the examination is refused the candidate will be asked to remain enrolled and to take advice on further work from their supervisory panel.

The third section is an acknowledgment of the above by the School or Research Institute HDR Director. Research Theses will not be posted to examiners unless an endorsed thesis submission form has been received by the Academic Registrar’s Office. For purposes of meeting submission by the census day, the exam ready thesis must be presented to Academic Registrar’s Office with a signed thesis submission form before close of business of the census day.

Advice given to examiners by the Academic Registrar’s Office as formal notice of expectations of the examination can be found at this site: www.uws.edu.au/research/current_research_students/examination

Where to Send the Exam Copies
The thesis submission form and one copy should be sent to the School or Research Institute Research and Higher Degrees Committee for endorsement. The other copies may sent directly to the Academic Registrar’s Office (ARO) with a note to explain that one copy and the Thesis Submission form has been sent to the School or Research Institute Research and Higher Degrees Committee.

ARO Address
Email: sa-research@uws.edu.au
Fax: 02 4736 0013

Academic Registrar’s Office Address:
ARO Research Building I, Kingswood
University of Western Sydney
Locked Bag 1797
Penrith NSW 2751

Physical Location:
Penrith Campus (Kingswood)
Building I, Level 2
Second Avenue
Kingswood NSW 2747 Australia

The School or Research Institute HDR Director will send the copy that was sent to them and the completed Thesis Submission form to the ARO for posting to examiners.
Reimbursement of Thesis Production Costs
Candidates may be eligible for reimbursement of the cost of producing the thesis. Scholarship holders should check their Conditions of Award or contact the Scholarships Officer, Tracy Mills, t.mills@uws.edu.au. Non-scholarship holders may be able to access candidature project funds for thesis production.

How Long Will It Take?
Examiners are asked to complete their report within six weeks but the whole process is complex and delays sometimes occur. An examination without any delays might take about three to four months, but some variables will determine the final length of time. Sometimes you may wait a few weeks for the availability of an examiner; sometimes examiners have complications that prevent them from meeting the six week deadline. If a report is late the ARO will contact the examiner. In some cases the complexity of the reports will require a little more time than usual for their consideration by the supervisory panel and School or Research Institute Research and Higher Degrees Committee and some examination reports will be sent to a full committee meeting of the Research Studies Committee.

When to Call on the Reserve
This is a difficult decision as it may seem preferable to continue with an examiner who might be a little delayed, rather than start the whole process over again. However, even if the result is three reports at the one time, that would be a preferable situation to the possibility of extended delays. If there are delays, the ARO will discuss the matter with the supervisor and may call on the School or Research Institute Research and Higher Degrees Committee to make a decision to appoint the reserve.

In some cases the examiner will make it clear that they cannot proceed and the reserve will be approached immediately.

Conjoint Reports
UWS does not encourage conjoint reports by examiners though they may be considered on request of an examiner. If such a request is made, it will be referred to the principal supervisor and School or Research Institute Research and Higher Degrees Committee.

The Academic Registrar’s Office will formally approach the examiner on behalf of UWS and will organise all formal contact with the examiners.

Basis of Examination
The research masters degree is aimed at the professional development of the candidate, with particular emphasis on research methodology appropriate to the field of study. It is intended to provide candidates with the opportunity to develop their potential for research, enhance their skills of problem identification and specification, and their ability to develop and present solutions.

The doctoral program provides training which aims to produce graduates able to conduct research independently at the highest level of originality and quality. The doctorate is recognition of successful research experience of international standards in the discipline. A doctoral candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas. The thesis as a whole makes an original contribution to the knowledge of the subject with which it deals.
In addition, for both research masters and doctoral examinations, the examiner will determine if:

» The thesis provides a sufficiently comprehensive study of the topic suitable to the degree in the discipline area, or in related interdisciplinary areas.
» The methods adopted are acceptable to the subject matter and are properly applied.
» The research findings are suitably set out, accompanied by adequate exposition and are discussed critically in the context of the discipline.
» The quality of English and general presentation is satisfactory.

Examination Results
Examiners are asked to recommend one of the following outcomes and to write a full report on their findings.

A the degree be awarded.

M the candidate be required to undertake minor rewriting of an editorial nature (as identified by the examiners to the satisfaction of the School or Research Institute Research Committee before the degree is awarded;

R the candidate be required to undertake rewriting that is of greater magnitude than minor editorial changes (as identified by the examiners) to the satisfaction of the Research Studies Committee before the degree is awarded;

X the candidate be required to revise and resubmit for further examination within a specified time.

F the degree not be awarded.

Option X
Option X cannot be recommended a second time.

A re-examination under option X will be conducted on the basis of specific advice given to the candidate on what must be achieved in rewriting.

The rewriting instructions will be written by the supervisory panel and endorsed by the School or Research Institute Research and Higher Degrees Committee and approved by the Research Studies Committee.

These instructions will be provided to the examiner for the re-examination as they form the basis of the second examination.

No new criticisms may be introduced by the examiner in the second examination.

The examiner(s) who recommended that the thesis be re-examined shall be invited to undertake the re-examination. An examiner who recommended that the candidate fail will not be invited to re-examine the thesis. An examiner who recommended that the degree be awarded without change to the thesis will not be invited to re-examine the thesis.

The rewritten thesis will be presented for the second examination with a thesis submission form.

Under Option F the Research Studies Committee may recommend resubmission for a research masters award. The work may have to be rewritten before it is submitted for examination at research masters level.
Examiners Reports
When all of the reports have been received they are sent by the Academic Registrar’s Office to the School or Research Institute HDR Director. The supervisory panel is required to comment on the reports and prepare a recommendation on the overall outcome.

The supervisors’ report should address all points raised by the examiners. Where the supervisors do not accept a point made by an examiner they must provide an academic argument justifying their view. For clarity and thoroughness it is recommended that supervisors list the comments of the examiners and respond to each of them, whether they agree or not, and explain the recommended action. This is best done in tabular format. The supervisors should also provide an overview of their recommendations.

Examiners recommendations are not averaged to determine a final decision. Each is considered for its content and in relation to the other reports and, the supervisor’s comments. An examiners comment can not be disregarded on the grounds that other examiners have not made the same point.

In some cases there may be a discrepancy between the overall outcome recommended by the examiner and the content of their report. In these cases decisions on outcome will be guided by the intention of the report. For example where an examiner recommends that the degree be awarded (Option A) and includes a substantial list of typographical errors, this would be regarded as reflecting an outcome of M.

The principal supervisor’s report will be considered by the School or Research Institute Research and Higher Degrees Committee. They may refer the matter to the Research Studies Committee.

If one or more of the examiners nominate R, X or F, the School or Research Institute Research and Higher Degrees Committee recommendation will be referred to the Research Studies Committee (RSC) for consideration. The Chair of the RSC may make a decision by executive authority.

The Academic Registrar’s Office will advise the candidate of the decision.

Examination outcomes remain confidential until a final recommendation is decided.

The Research Studies Committee may specify the time within which any additional work shall be completed. Normally all corrections will be made within one session of the candidate being advised to make changes or rewrite for re-examination.

The principal supervisor must advise the Academic Registrars Office if a candidate who is re-writing will need to access the library and other facilities as the candidate is no longer enrolled after thesis submission.

In certain circumstances where the outcome is not clear, before making any determination, the Research Studies Committee may take one or more of the following actions:

» Appoint an additional examiner.
» Appoint an arbiter. An arbiter shall read the reports by the examiners and provide a final recommendation on the examination outcome. The original thesis, together with the re-written thesis document, will be provided to the arbiter. The Arbiter will be advised that extra comments on the thesis are not required. The Arbiter will not be provided with the names of examiners. The requirement will be for the Arbiter to explicitly state the result.
Invite the examiners to confer with each other and/or with the Research Studies Committee with a view to the presentation of a consolidated recommendation.

Direct that the candidate undertake such further examinations; oral, written or practical as the Research Studies Committee may specify.

Candidates will be given a copy of each examiner’s report upon request unless the examiner requests, in writing, that their name be withheld.

When the Research Studies Committee is satisfied that all requirements have been met, it shall advise Senate that the degree be awarded.

**Documenting Changes**
Candidates must write a report on the changes they have made that includes what they were asked to do and how they have responded. The supervisor must check that this has been done and that the final copy of the thesis reflects those changes. This is particularly important where there will be a second examination, as it will be conducted on the basis of the candidate’s response to directions following the first examination.

**Library Copy**
After the degree is awarded you will be asked by the Academic Registrars Office to provide them with a copy of the thesis for lodging with the University Library where it will be made freely available to the international scholarly community via the Research Repository. In certain instances graduates may withhold public access to their thesis for a specified period. This is done using the “Right of Access to Thesis Form” which you are required to complete and attach to your thesis on submission. Please take care to provide the final version of your thesis because once it has been received by the Library and uploaded it cannot be altered.

Candidates may like to get some bound copies of their thesis, for themselves, friends and relatives. It may be difficult to do this later on. Candidates should also present their supervisor with a copy.

**The Thesis after Graduation**
Graduates are encouraged to communicate their findings to the broader community and there are projects designed to assist you to achieve publication of your work. This is aside from presenting previously unpublished parts of your thesis for peer reviewed journals, which you may also want to undertake.
Communication skills
» All HDR Graduates are expected to be excellent communicators. Written communication skills are essential for further research, grant application writing and disseminating of findings.
» Research that is not published is, in essence, not done. It is expected that all HDR graduates will have the capacity to be excellent researchers in their post graduation careers.
» Academia uses theses as one way of testing the ability of graduate candidates to use written words for communicating ideas and arguments.

Candidate Responsibility
» HDR candidates are solely responsible for the content, style and presentation of the thesis and for certifying its authenticity. UWS Candidate handbook
» Examiners are asked to provide a written report on the thesis which includes comment on the candidate’s use of good quality English and satisfactory general presentation. The candidate is responsible for what the examiner receives.

Purpose of Editing
» Editing should not be used as a means of detecting systemic misunderstandings of grammar or language. Issues of this nature should be identified and dealt with earlier in the candidature.
» Editing does not replace writing skill development.
» External editing for research theses is not a standard procedure and will only be undertaken in exceptional circumstances, with the knowledge and support of supervisors.
» Editing is for the purposes of detecting minor errors in a thesis that may have slipped the attention of the writer.

UWS endorses the specific details negotiated between The Institute of Professional Editors and by the Deans and Directors of Graduate Studies on 12 November 2010. http://iped-editors.org/About_editing/Editing_theses.aspx

The guidelines outline the extent and nature of editorial services that professional editors can provide when editing research candidates’ theses and dissertations. Academic supervisors and research candidates also need to be clear about the editor’s role as well as their own roles and responsibilities.

‘To be able to write a thesis or research paper is not an optional requirement for a higher degree candidate – it is an absolute necessity. If a candidate leaves UWS without being able to write papers in their field then UWS has failed and the candidate will later suffer when they try to gain employment. An analogy would be letting someone graduate from medical school without being able to write up patient records’. – UWS senior supervisor

Information for candidates, taken from IPED FAQ sheet. Please read the full document at: http://iped-editors.org/About_editing/Editing_theses/FAQ_students.aspx IPED Faq sheet

» You must talk to your supervisor about using a professional editor and you must get their approval.
» You should ensure that the editor you choose has suitable professional experience.
A professional editor may only provide you with copyediting and/or proofreading services. Copyediting services include editing to achieve the following: clarity of expression; accuracy of grammar, spelling and punctuation; appropriate use of style and tone; appropriate use of technical, specialised or foreign material; appropriate, accurate and consistent use of illustrations, diagrams, and the like. Proofreading services include checking the document to ensure that all document elements are complete and consistent. This includes verifying and correcting, as necessary, the following: the integrity of all parts of the publication; consistency in use of style, terminology, etc.; grammar, punctuation and spelling; referencing; illustrations and tables; and format and layout. See the ASEP for full details of what is involved in copyediting (Standard D) and proofreading (Standard E).

A professional editor should not advise or make corrections to the substance or structure of your thesis, though they may draw any such problems to your attention. It is expected that your supervisor will have covered matters of substance and structure with you.

You are responsible for providing the editor with a clean copy of your thesis in either electronic or hard-copy form. You should also provide the editor with any style guide, manual, or guidelines to which your thesis is required to conform.

You are responsible for reviewing each change or correction suggested by the author before accepting it. This is your thesis, and the final responsibility for its integrity is yours.

You should not regard this editing method as a shortcut.

You must acknowledge the professional editor in the prefatory matter of the thesis.

It is impossible to guarantee that all copyediting and proofreading errors are eliminated. The final responsibility for the integrity of the thesis remains yours.

Candidature project funds may be used to employ an editor. Please discuss with your supervisor.
Nearly half of UWS HDR candidates are outside the GWS area. However, this includes people located in the Blue Mountains and South Coast and Southern Highlands who would not be considered distant to UWS and who may commute to campus every day. While geographical distance is an obvious issue, isolation has many forms that can be just as significant as a postcode. Candidates may have a full-time professional work load, carer responsibilities or health issues that limit their mobility and/or availability during the day. These are somewhat invisible factors. Increasingly there is recognition that a significant issue for off-campus candidates is the difficulty of engaging with research culture. Research culture is a powerful contributor to high quality research education by a process of immersion with exemplars of excellence in research and engagement with peers. Satisfaction surveys consistently rate research culture as highly valued by candidates.

The article referred to below is one example of the discourse on the importance of physical space in building collegiality. ‘How to inspire interdisciplinarity: lessons from the collegiate system’, by Elizabeth Dzeng.

www.guardian.co.uk/higher-education-network/blog/2013/mar/15/interdisciplinary-academic-universities-research?CMP=twt_gu

At UWS we are creating an alternative space by using blended learning and other on-line resources to foster a rich learning and peer support environment that is readily available to all candidates but of particular importance to off campus candidates.

1) Candidates who are located overseas at partner universities to use specialist facilities and who will be away for an extended period. Formal approval granted by the School or Research Institute RHD Committee.

2) Candidates who are undertaking off campus field work for six months or longer. Candidate and supervisor are advised to complete a checklist (see attachment 1).

3) Candidates who are geographically distant at the time of admission and candidates whose circumstances change during the candidature so that they become geographically distant. At the point of admission or the time of change of address the candidate and supervisor should address issues related to geographical distance using a checklist (see attachment 1). They should re-negotiate the terms of their relationship when there is a significant change of the candidate’s location.

4) Candidates who are off-campus for reasons other than geography. Provide guidance to help candidates to identify as resources that don’t require on-campus attendance and prioritise the development of those resources.
Research Culture
Promotion of continued development of on-line learning environments. Many of these exist already at UWS with School and Institute HDR sites in vUWS and social media accounts.

Informal learning environments and peer support. Candidates can access enormous amounts of on-line material, blogs, groups and make connections with peers by this method. Peer support particularly is well serviced by on-line resources. The on-line HDR environment is supportive and very useful in providing support that might not otherwise be available. UWS can assist candidates in identifying the most useful blogs, tweeters and articles to help them join the on-line community.

Events such as School/Institute conferences are usually advertised well in advance so that candidates who have to make complicated arrangements have sufficient planning time to ensure that they can attend.

Attachment 1
Checklists for candidates geographically distant to UWS.

Attachment 2
Advice given to candidates when they start to help set up protocols with their supervisory panel. For information.
ATTACHMENT 1

Candidates who are located overseas at partner universities to use specialist facilities and who will be away for an extended period.

The candidature requires use of world class facilities that are not available in Australia. The grant project will provide access to those resources, to the benefit of UWS. The arrangement has been made possible by existing collaboration between researchers at both universities.

Candidate; Topic: School/Institute; Supervisory Panel;

» Is the candidature part of a funded grant? If yes, who are other collaborators?
» Funding Body:
» Where will the candidate be located?
» What is the advantage to the candidature of this location?
» What role will the partner institution supervisor take?
» Does the arrangement facilitate access to resources not available at UWS?
» Is the candidate enrolled? If not, when will they enrol? If yes, how long have they been enrolled?
» What progress had been made, details, and timeline for the remainder of candidature.
» How often will the candidate communicate with the principal supervisor/panel?
» By what means? (Skype/email etc)?
» Will the candidate have access to adequate on-line resources?
» What are the arrangements for providing feedback on the candidate’s progress?
» Are there other means of communication within the School that would benefit the candidature such as email or social media groups?
» Does the candidate have a reasonable plan for completion and particularly of progress planned during the period offshore? Please give details of work that is expected to be completed during this period
» Will the candidate attend research events at UWS?
» Will the candidate attend research events at the partner location? Provide details if yes.
» If the candidate is yet to enrol what arrangements will be made for establishing the candidature?
» Will the candidate have access to library facilities?
» Are there plans for UWS supervisory staff to visit the candidate?
» Will the candidate be using School/Institute funds for travel?
» Can the School/Institute guarantee facilities when they are on campus at UWS?
» Describe other advantages that this arrangement will provide to the candidature?
» Have any issues of concern been raised in Annual Progress Reports to date?
» If so, how were they resolved?
» Has the candidate completed their Confirmation of Candidature? If not how will this be organised?
» What action will be taken if progress is not satisfactory?
» Wherever possible the supervisor should find an external supervisor at another institution, whether within Australia or overseas.
» There should be an explicit timeline of progress by milestones and include the expected time and outcome of completion for each stage. To be Trimmed.
» Regular meetings through SKYPE and a weekly progress update.
If there is a request for an overseas trip to be extended there must be a statement of explanation/support from the external supervisor and the candidate must initiate a new eTan to ensure continuity of insurance coverage.

Sick leave should be recorded and Trimmed

A copy of an agreement covering relevant point should be approved by the School/Institute HDR Director and placed on the candidates TRIM file and distributed to all concerned parties (panel, candidate, overseas contacts involved in managing the candidature).

Candidates must remember to keep contact details up to date with the Office of Academic Registrar and ensure that they fulfil all reporting and enrolment requirements.

The agreement should be placed on the candidate’s TRIM file and distributed to all concerned parties (panel, candidate, overseas contacts involved in managing the candidature).

Candidates who are undertaking off campus field work for six months or longer

Candidate; Topic; School/Research Institute;

The candidate will being undertaking off campus field work from ... to ...

Describe the nature of the field work and relevance to project.

Candidature arrangements:

» The candidate will communicate with the UWS principal supervisor, at least ..... using the telephone, email, Skype or possibly video conferencing.

» The candidate will have access to library facilities and on-line facilities offshore at.....

What are the arrangements for providing guidance on the candidate's progress?

Are there other means of communication within the School that would benefit the candidature such as email or social media groups?

If the location does not have good on-line facilities (remote area with limited or no internet access), what steps will be taken to overcome this obstacle?

Explain how arrangements adhere to risk assessment guidelines


» Will there be changes in how progress is monitored and feedback protocols? Please give details.

» Has the candidate adhered to UWS travel policies?

» Has the candidate applied for School/Institute funds for the field work?

» Internationals candidates must seek advice of the international Office about the validity of their visa on return to Australia

» In addition, candidates must complete a variation of program form for formal approval of the field work

» Wherever possible the supervisor should find an external supervisor at another institution, whether within Australia or overseas.

» There should be an explicit timeline of progress by milestones and include the expected time and outcome of completion for each stage. To be Trimmed.

» Regular meetings through SKYPE and a weekly progress update.
If there is a request for an overseas trip to be extended there must be a statement of explanation/support from the external supervisor and the candidate must initiate a new eTan to ensure continuity of insurance coverage.

Sick leave should be recorded and Trimmed.

The agreement should be placed on the candidate’s TRIM file and distributed to all concerned parties (panel, candidate, overseas contacts involved in managing the candidature).

Candidates who are geographically distant at the time of admission and candidates whose circumstances change during the candidature and they become geographically distant.

To be addressed when it becomes known that the candidate will be distant to UWS, at admission or later during the candidature.

Candidate and supervisor will address this in writing and file it on TRIM.

The candidate will communicate with the UWS principal supervisor, at least fortnightly (or ...?), using the telephone, email, Skype or possibly video conferencing.

The candidate will meet all panel members at least twice a year.

The candidate will attend ..... on campus at UWS and visit UWS additionally as required.

Will the candidate come to UWS to establish the candidature, attend induction/orientation, start Postgraduate Essentials, meet UWS staff, and confer with the university librarian?

The candidate will have access to library facilities and on-line facilities offshore at.....

What are the arrangements for providing feedback on the candidate’s progress?

Are there other means of communication within the School that would benefit the candidature such as email or social media groups?

Which research events will the candidate attend at UWS?

Can the School/institute guarantee the candidate facilities when they are on campus at UWS?

The candidate must attend their Confirmation of Candidature in person. How will this be organised?

Can an alternative arrangement be made for skills workshops if required? Can the candidate attend UWS to come to participate in skills workshops?

The agreement should be placed on the candidate’s TRIM file and distributed to all concerned parties (panel, candidate, overseas contacts involved in managing the candidature).
ATTACHMENT 2
Advice given to candidates for setting up their supervisory relationship.

Setting Up The Relationship
This section poses ideas to consider as you and your supervisory panel get to know each other in the early days of enrolment. The dot points suggest items you may wish to consider as you establish a working relationship with your supervisors. Establishing protocols sets clear boundaries, roles and expectations.

Ideas for Setting-up Initial Meetings
» What will be the frequency and duration?
» Will I have access to supervisor(s) outside scheduled meeting times?
» Who has responsibility to initiate meetings, if they are not regular?
» What is the protocol when one cannot make the meeting?
» Who takes meeting notes and circulates them?
» What will be the protocol for submission and return of work?

The Panel
» What role will be taken by each supervisor?
» What will be the workload percentages?
» Will the whole panel meet, how often?

Time Frame
» Have we mapped projected progress against time?
» How long will each stage take?
» How will we monitor time/progress?

What is a Thesis?
» What does “thesis” mean?
» Will there be a non-text component?
» Are there specific course guidelines, such as with some Professional Doctorates?
» What is a suitable structure?
» What is the difference between a thesis that passes and one that is exceptional?

» Titles of good examples in a particular field?
» What is meant by originality?
» When should writing start?
» What is expected in a literature review?
» Have we sorted out Intellectual Property (IP) issues?
» Can we start thinking about potential examiners?

Advice and Support
» Confirmation of Candidature: how much input from the supervisor, how will this proceed?
» Expectations of feedback (style, how much, how often in what form, how soon?)
» Strategies to use when comments/corrections are not understood
» Should the candidate seek feedback from anyone else?
» Support with content, e.g., resources, contacts, how much can be expected given the supervisor’s knowledge of the area?
» What other kinds of knowledge are needed? (e.g., research process, writing skills)
» Any personal circumstances that ought to be considered? (e.g., new baby, ill health)
» Attitudes to supervisor/candidate relationship (mentor/mentee, teacher/candidate, colleagues)

Resources
» Do you have access to resources?
» Do you know about support schemes within the University: candidature support and conference scholarships etc.?
» Are there any suitable conferences this year?

University Requirements
» Do you know what milestone reporting is required in the first year and do you have a plan of approach?
» Do you know of research activities in the School/ Research Centre/Institute?
» Will you be presenting at a seminar (apart from the Confirmation of Candidature)?
University Policies

University policies are published on the University website at:

http://policies.uws.edu.au/

**Important policies for research candidatures**

- **Conflict of Interest Guidelines**

- **Cotutelle Policy**

Policy on degrees awarded by two universities.

- **Doctorate Policy**

Degree policy on admission, English language requirements, progress reports, requirements of the degree, examinations. Applicable to PhD, DBA, DCA, DCR, EdD, D Med.

- **Doctor of Philosophy by Publication Policy**

Degree policy on admission, progress reports, requirements of the degree, examination.

- **Doctor of Medicine by Publication Policy**

Degree policy on admission, English language requirements, progress reports, requirements of the degree, examinations.

- **Higher Degree Rules – Appeals Policy**

Appeal procedures; against allocation of a scholarship or examination result, on procedural grounds.

- **Intellectual Property Policy**

- **Misconduct – Research Students Misconduct in Research Policy**

Definition, identification, reporting and consequences of Research Misconduct.

- **Occupational Health and Safety Guidelines and Procedures**

- **Research Code of Practice**

Particularly relevant sections are authorship, plagiarism, inculcation of good research practice, responsibilities to research candidates.

- **Research Higher Degree Candidature Essential Resources Policy**

Outlines candidate entitlements and School or Research Institute responsibilities in delivering resources.

- **Research Higher Degree Scholarship Policy – Australian Citizens and Permanent Residents**

Outlines conditions of award applying to scholarship with stipend holders. There may be additional award conditions in individual cases.

- **Research Masters (Honours) Policy**

Degree policy on admission, English language requirements, progress reports, requirements of the degree, examinations.

- **Supervision of Research Students Policy**

Roles, responsibility and eligibility of research higher degree supervisors.