



THE UNIVERSITY OF NOTRE DAME AUSTRALIA

REGULATIONS:

Research Degrees

Fremantle and Sydney

Purpose: These School Regulations apply to all students in the programs and courses offered by the Research Office at The University of Notre Dame Australia.

Responsible Owner: Pro Vice Chancellor, Research

Responsible Office: Research Office

Contact Officer: Senior Administrative Officer

Effective Date: 1 January 2020

1	Introduction and Interpretation	3
2	Authority to Admit Research Students	4
3	Full-time and Part-time Enrolment.....	5
4	Concurrent Enrolment	5
5	Transfer from a Master to a Doctoral Degree	5
6	Minimum and Maximum Duration	5
7	Leave from Enrolment	5
8	Enrolment in a School	6
9	Study Program.....	6
10	Supervision.....	6
11	The Research Proposal.....	7
12	Ethics Clearance.....	8
13	Confirmation of Candidacy.....	8
14	Progress Reporting	8
15	Research Students and Absence Without Leave (AWOL).....	8
16	Termination of Candidature	8
17	Thesis	9
18	Submission of Thesis for Examination	9
19	Thesis Examination	10
20	Resubmission	11
21	Binding and Distribution of Theses.....	12
22	Graduation and Degree Conferral	12
23	Appeals	12

1 Introduction and Interpretation

1.1 Introduction

These Research Degree Regulations (Regulations) apply to all students. These Regulations should be read in conjunction with the General Regulations and relevant Course Regulations.

1.2 Definitions

Research Degrees & Scholarships Committee Candidate	A sub-committee of the Research Committee as defined in clause 40 of the University statutes. shall mean a student admitted to full candidacy in the research component of a Research Degree.
Examiner Report	shall mean a report undertaken by the examiner of a thesis detailing the strengths and weaknesses of the work and accompanied by an examiner report form upon which a recommendation of the academic merit of the thesis is made.
Progress Report	shall mean one of two yearly reports on academic progress undertaken by the Candidate, Supervisor/s, Dean of the School and the Pro Vice Chancellor - Research.
Pro Vice Chancellor Research Reader	shall mean the person appointed as Pro Vice Chancellor-Research under the University Statutes. shall mean the person appointed to provide formal feedback on the Research Proposal and report on the readiness of the Candidate to proceed to full candidacy.
Research Degree	shall mean a degree in which an original research investigation is undertaken in order to gain knowledge and understanding. The degree shall entail a minimum two-thirds research component. It includes work of direct relevance to the needs of the professions and industry, as well as to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances and artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.
Research Proposal	shall mean a formal proposal of a student, written under the supervision of the Supervisory team.
Satisfactory Progress	shall mean sufficient academic progress, on the advice of the Supervisor/s and the Dean, understood to be of a standard expected in the context of enrolment load and time consumed in the degree.
School Research Committee	shall mean a sub-committee of the School Committee that advises the Dean on strategies and management issues relevant to research in a School.

Student	shall mean a student enrolled in unit(s) of study at the University in a Research Degree.
Study Program	shall mean a formally developed program of research progress, including timelines for major milestones, formulated in consultation with the Candidate's Supervisor/s.
Supervisor	shall mean the person(s) appointed by the University to act as a supervisor to a Student and/or Candidate enrolled in a Research Degree.
Thesis	shall mean a significant and original body of work that: <ul style="list-style-type: none"> • represents at least two thirds of the requirements of a degree program; and • is underpinned by the research that comprises at least one year of full-time equivalent study.
Unsatisfactory Progress	shall mean a failure to maintain sufficient academic progress, on the advice of the Supervisor/s and the Dean, as would normally be expected in the context of time consumed in the degree.

1.3 Alterations made to Research Degree Regulations

- 1.3.1 Unless otherwise specified, when amendments are made to the structure, content or academic requirements of a Research Degree, the amendments will automatically apply to all students enrolled in the degree.
- 1.3.2 Where the Pro Vice Chancellor Research considers that a Student has, since first enrolling for a degree, been adversely affected by any changes in these Regulations, the Pro Vice Chancellor Research may permit the Student to qualify for the degree under the regulations in force at the time of admission to the Research Degree, provided the Pro Vice Chancellor Research is satisfied that the work so required to be completed is equivalent in standard to that currently required to complete the relevant study program.

2 Authority to Admit Research Students

- 2.1 The Pro Vice-Chancellor Research, or Delegate determines suitability for admission into Research Degrees of the University, on the recommendation of the relevant Dean.
- 2.2 The University reserves the right to refuse an application based on an assessment of the suitability of the applicant to work at a level appropriate for the degree and/or the ability of the School to provide adequate supervision and/or facilities.
- 2.3 An applicant who has been or is currently enrolled in a Research Degree at another institution may apply for transfer of admission to Notre Dame. Prior to the application being accepted, due diligence will be carried out by the Research Office to ascertain the justification for the proposed transfer.

3 Full-time and Part-time Enrolment

- 3.1 A student may be enrolled as full-time or part-time as defined by the General Regulations.
- 3.2 A student may transfer between part-time and full-time enrolment and vice versa during her/his course, but not during a semester period.
- 3.3 If either prior to, or at any time during the enrolment period, the University encounters staffing or resource difficulties beyond its control which impact on the availability of resources or supervision for a student's research, it will make all reasonable efforts, within budget and staffing constraints, to provide satisfactory arrangements so as not to disadvantage any affected student. Because of the specialist nature of research and supervision at this level, however, the University cannot guarantee that under such circumstances, a student's conditions of enrolment will not be subject to change.

4 Concurrent Enrolment

- 4.1 Unless authorised by the Pro Vice Chancellor Research or Delegate, a student for a Research Degree may not be concurrently enrolled in a course of study or a unit for any other Degree or Diploma of the University or any other Higher Education Provider.

5 Transfer from a Master to a Doctoral Degree

- 5.1 The Pro Vice Chancellor Research or delegate may approve transfer of a student for a Master Degree by Research or Master of Philosophy to a Doctoral degree, on the recommendation of the Supervisor, via the School Research Committee and the Dean of the School.
- 5.2 Transfer may take place only when a Master student has submitted and received approval from The University for her/his research proposal.
- 5.3 Transfer will normally be approved no later than 18 months after initial enrolment in the Master degree.

6 Minimum and Maximum Duration

- 6.1 The minimum and maximum periods of enrolment permitted for a Research Degree will be specified in the course regulations.
- 6.2 In exceptional circumstances, the Pro Vice Chancellor Research or delegate may approve an extension of the maximum time on a case by case basis.
- 6.3 For a student who has transferred from enrolment in one Research Degree to another, the maximum period includes the period the student was enrolled in the earlier degree.

7 Leave from Enrolment

- 7.1 The regulations on leave for students enrolled in a Research Degree are described in the General Regulations.

8 Enrolment in a School

- 8.1 Students are enrolled in their Research Degree in one of the Schools of the University.
- 8.2 The Dean of the School (or delegate) will assume responsibility for managing the enrolment of the student and will recommend the Supervisory Team to the Pro Vice Chancellor Research or delegate.
- 8.3 A student who is enrolled in a Research Degree may have conditions imposed on her/his enrolment by the Pro Vice Chancellor Research or delegate during a particular semester or over a period of time whilst enrolled in the course.

9 Study Program

- 9.1 On admission to a Research Degree, a student shall develop, in conjunction with the Supervision Team, a Study Program satisfying the requirements of the degree and specifying the timetable for its completion.
- 9.2 The Dean of the School must approve the Study Program.
- 9.3 A student must follow their approved Study Program.
- 9.4 Changes to a student's approved Study Program may be made at any time, subject to the approval of the Pro Vice Chancellor Research or delegate.
- 9.5 The Dean may approve the commencement of a higher degree research student project following ethics approval and prior to confirmation of candidacy.

10 Supervision

- 10.1 The Pro Vice Chancellor Research or delegate, after consultation with the Dean of the School shall ensure:
 - 10.1.1 each research student is supported by a Supervisory Team, including:
 - a) a principal supervisor who holds a doctoral degree, or has equivalent research experience and who is active in research and publishing, or otherwise making original contributions to a relevant field or discipline;
 - b) at least one associate supervisor with relevant research expertise; and
 - 10.1.2 that the Supervisory Team includes at least one member of staff;
- 10.2 The Supervisory Team can include an adjunct staff member or a staff member formally contracted and accountable to the University for supervisory duties.
- 10.3 Any variations on the structure of the Supervisory Team described in 10.1 through 10.2 will require approval of the Pro Vice Chancellor Research or delegate, after consultation with the Dean of the School.
- 10.4 Must ensure that a Study Program, negotiated between the Supervisory Team and the student, is completed at the commencement of the student's enrolment.
- 10.5 Must ensure that, where the degree involves coursework, the supervision becomes active at the time the student commences work on the research proposal.
- 10.6 Where the Principal Supervisor is to be absent from the University for more than six consecutive weeks, the Pro Vice Chancellor Research or delegate must, unless satisfied that adequate supervision can be maintained during the period of the absence, appoint an acting Supervisor in consultation with the Dean.
- 10.7 A student, showing good cause, may request a change of Supervisor. Such request must be made in writing to the Pro Vice Chancellor Research or delegate.

11 The Research Proposal

- 11.1 A student must submit a formal Research Proposal, written and oral, under the supervision of the appointed Supervisor(s) to the School Research Committee (SRC).
- 11.2 The submission of the Research Proposal will normally be required within the first fulltime equivalent semester of the time approved for the preparation and submission of the Thesis as recorded in the Study Program, unless otherwise provided for in course regulations.
- 11.3 When submitted to the SRC, the Research Proposal must be accompanied by a letter from the Principal Supervisor stating her/his assessment of the readiness of the Research Proposal for formal review.
- 11.4 Two Readers of the Research Proposal, nominated by the SRC, one of whom will be external to the University, will provide reports that enable the SRC to make a determination on readiness for confirmation of candidacy.
- 11.5 The reports of the Readers shall be considered by the SRC which shall recommend to the Pro Vice Chancellor Research or delegate whether or not a student's Research Proposal meets the requirements specified in Regulation 13 and is of a standard that warrants a move to full candidacy.
- 11.6 Where there is a difference of substance between the recommendations of the Readers, the SRC will adjudicate the differences. If consensus cannot be reached by the SRC, the final decision on whether a student has achieved a satisfactory standard shall reside with the Pro Vice Chancellor Research or delegate.
- 11.7 Where the Pro Vice Chancellor Research or delegate determines that a student has satisfactorily met the conditions and standards for a Research Proposal, the student will be granted full candidacy.
- 11.8 Where the Pro Vice Chancellor Research or delegate determines that the student has not satisfactorily completed the requirements of the Research Proposal, the Pro Vice Chancellor

Research or delegate may determine to give the student leave to re-submit, subject to any conditions specified, or may advise that the enrolment be terminated.

12 Ethics Clearance

- 12.1 A student must make, where appropriate, an Application for ethics assessment through the SRC.
- 12.2 Applications for low risk and full ethics assessment shall undergo administrative and methodological review by the SRC and if supported, forwarded to the Human Research Ethics Committee [HREC].
- 12.3 Applications for full ethics assessment shall be forwarded to the HREC following administrative and methodological review by the SRC. The process for assessment of the Application for ethics review will be in accordance with policies and procedures approved by the University.

13 Confirmation of Candidacy

- 13.1 Confirmation of candidacy is dependent upon having an approved Research Proposal.

14 Progress Reporting

- 14.1 A Student whose Candidacy is confirmed is expected to make Satisfactory Progress during each enrolled semester.
- 14.2 The Candidate and Supervisor are jointly responsible for holding regular discussions on the progress of the research.
- 14.3 The Candidate and the Supervisor must provide a detailed Progress Report by the published date to the Pro Vice Chancellor Research or delegate at the end of each semester.
- 14.4 A Candidate who does not submit a Progress Report by the published due date may be placed on Conditional status by the Pro Vice Chancellor or delegate.
- 14.5 A Candidate who fails to maintain Satisfactory Progress may:
 - 14.5.1 be placed on Conditional status by the Pro Vice Chancellor or delegate; or
 - 14.5.2 where evidence of this persists over the duration of the degree and/or a preceding semester, may have her/his candidacy terminated by the University.
- 14.6 A Candidate whose academic progress remains Unsatisfactory for two successive semesters will have his/her enrolment terminated by the University.

15 Research Students and Absence Without Leave (AWOL)

- 15.1 A Candidate who does not re-enrol by the published due date will be placed on Absent Without Leave (AWOL) status.
- 15.2 During the AWOL period, a Candidate will cease to have rights of access to University resources and supervision related to the thesis project.
- 15.3 A Candidate who remains on AWOL status for more than six months may have their file closed.

16 Termination of Candidature

- 16.1 Where a student's status is Conditional and the Dean is of the opinion that the academic progress of the Candidate remains Unsatisfactory and/or that the Candidate has failed to comply with University regulations or any conditions imposed by the Pro Vice Chancellor - Research or

Dean of the School, the Pro Vice Chancellor Research will be advised of the continued Unsatisfactory Progress and the progression to termination.

- 16.2 The University shall advise the Candidate in writing that her/his enrolment has been terminated and the reason(s) why.

17 Thesis

- 17.1 A Thesis must:
- 17.1.1 be prepared under supervision;
 - 17.1.2 be the sole work of the Candidate, except where due reference is made in the Thesis;
 - 17.1.3 demonstrate a thorough understanding of the subject matter of the Thesis;
 - 17.1.4 contribute to knowledge (theoretical or practical) and understanding in the field of study concerned; and
 - 17.1.5 demonstrate the capacity of the Candidate to carry out research.
- 17.2 The Thesis must be of a nature prescribed in the relevant course regulations.

18 Submission of Thesis for Examination

- 18.1 After completing the Study Program, a Candidate must submit a Thesis embodying the results of the Candidate's work to the School Research Committee.
- 18.2 A Candidate's Thesis will not be accepted for examination until the School via the Dean has recommended such action to the Pro Vice Chancellor Research or delegate.
- 18.3 The Principal Supervisor will provide the SRC with a statement certifying that:
- 18.3.1 to the best of the Supervisor's knowledge, the Thesis is the original work of the Candidate; and
 - 18.3.2 in the Supervisor's opinion, the Thesis is properly presented, edited and worthy of examination.
- 18.4 The Principal Supervisor's statement will be considered by the SRC, along with the thesis put forward for examination.
- 18.5 If the SRC expresses reservations about the suitability of the Thesis for examination, the Thesis will be referred to the Dean who will determine (after consultation with the Candidate and the Supervisor and with reference to any other person(s) or sources deemed appropriate) whether the Thesis should be sent to the Pro Vice Chancellor Research or delegate for examination or returned to the Candidate for further work.
- 18.6 Candidates must submit an electronic version of the thesis but may be required to also submit loose bound hard copies if required by examiners.
- 18.7 The Thesis will be in the double-spaced typescript and must conform to the physical specifications approved by the University.
- 18.8 A Candidate must submit with the Thesis a signed statement affirming that the Thesis contains no material previously published or written by the Candidate or another person except where due reference is made in the Thesis and that it contains no work which the student has previously presented for an award of the University or any other educational institution.
- 18.9 After submitting a thesis, a Candidate may not withdraw it from examination unless authorised to do so by the Pro Vice Chancellor Research or delegate on the advice of the Dean.

19 Thesis Examination

- 19.1 Where the SRC has decided that a Thesis is of a standard to be examined, the Pro Vice Chancellor Research or delegate, on advice of the Dean, shall appoint examiners of the thesis.
- 19.1.1 For Masters degrees, there shall be two examiners, both of whom must be external to the University.
- 19.1.2 For Doctorates, there shall be three examiners all of whom shall be external to the University and at least one of whom is normally resident overseas.
- 19.2 A Student who has any outstanding fees and/or charges owing to the University is not entitled to have his/her Thesis formally examined until the outstanding monies are paid in full or where, in exceptional circumstances, the Campus Registrar or delegate has permitted a payment plan agreed to by both the Student and the Campus Registrar or delegate.
- 19.3 Each thesis examiner must, in addition to their recommendation, provide detailed comments addressing the examination criteria, in relation to the quality of the thesis and its strengths and weaknesses.
- 19.4 The Report will include a recommendation on one of the following actions:
- 19.4.1 That the degree be awarded:
- a) unconditionally; or
 - b) subject to corrections identified in the examiners' report being made to the satisfaction of the Principal Supervisor; or
 - c) subject to amendments as outlined in the examiners' report being made to the satisfaction of the Pro-Vice Chancellor Research.
- 19.4.2 That the degree not be awarded but that:
- a) the Candidate be permitted to resubmit a revised Thesis for the same degree (this recommendation is not permitted for a resubmitted thesis); or
 - b) in the case of a Thesis submitted for a PhD or professional doctorate, the Candidate be permitted to revise and re-submit the thesis for examination for the degree of Masters by Research; or
 - c) the thesis be re-examined at the discretion of the RDSC if there is reason to believe that the appointment of a further examiner is warranted.
- 19.4.3 That the degree not be awarded and the student does not have the right to resubmit the thesis.
- 19.5 If an examiner does not provide a report on the Thesis within a reasonable time, the Pro Vice Chancellor Research or delegate may appoint a new examiner in that examiner's place.
- 19.6 The RDSC reviews the examiners' Reports in accordance with the Statutes of the University.
- 19.7 The RDSC may require a candidate to undergo such oral, written or practical examinations as it specifies.

- 19.8 Where there is a difference of substance between the recommendations of the Thesis examiners, the RDSC will adjudicate the differences.
- 19.9 Having received the recommendation of the RDSC and the examiners' reports, the Deputy Vice Chancellor, Academic or delegate must recommend:
- 19.9.1 to the Vice Chancellor that the degree be awarded; or
 - 19.9.2 to the Pro Vice Chancellor Research that the degree not be awarded but that one of the alternatives in Regulation 19.4.2 occur; or
 - 19.9.3 to the Pro Vice Chancellor Research that the degree not be awarded
- 19.10 Where the Pro Vice Chancellor or delegate gives the candidate permission to re-submit the thesis after revision, the RDSC will specify the changes and conditions of the revision(s) required.
- 19.11 Any amendments to the Thesis must be completed to the satisfaction of the Candidate's Principal Supervisor and the Dean of the relevant School within the specified timeframe. The results of the revisions must be communicated by the Principal Supervisor and Dean of the School to the Pro Vice Chancellor Research or delegate.

20 Resubmission

- 20.1 The RDSC must not classify a thesis as resubmit unless, having considered the examiners' reports and any other relevant information, it agrees that the thesis shows some merit and may, by a specified amount of further work under approved supervision, be sufficiently improved for re-submission.
- 20.2 If a thesis is classified as a resubmit, the student and Principal Supervisor are to be informed in writing of the further work required prior to a re-submission.
- 20.3 A student whose thesis is classified as a resubmit must:
- 20.3.1 resubmit within the timeframe advised by the RDSC and from the date of notification that they must resubmit; and
 - 20.3.2 submit a detailed report of revisions undertaken with the thesis that is signed by the Principal Supervisor and the Dean; and
 - 20.3.3 re-enrol and remain enrolled until the thesis is re-submitted for re-examination.
- 20.4 At the discretion of the Pro Vice Chancellor Research or delegate on advice from the RDSC, the re-submitted thesis and the report on the revisions will be submitted to:
- 20.4.1 one or more of the original examiners who have indicated that they are willing to re-examine the thesis; or
 - 20.4.2 one or more of the original examiners and a new examiner; or
 - 20.4.3 at least two new examiners.
- 20.5 The Pro Vice Chancellor Research or delegate, on advice from the RDSC, may determine that the thesis and the report on the revisions be submitted to a single examiner provided that examiner is one of the original examiners of the thesis.
- 20.6 Examiners of a re-submitted Master's Thesis shall recommend one of the following to the RDSC:
- 20.6.1 Unconditional Pass; or
 - 20.6.2 Pass after minor revisions have been corrected; or
 - 20.6.3 Fail.
- 20.7 Examiners of a re-submitted PhD or professional doctorate thesis shall recommend one of the following to the RDSC:
- 20.7.1 Unconditional Pass; or
 - 20.7.2 Pass after minor typographical errors have been corrected; or
 - 20.7.3 Fail.

20.8 A resubmitted PhD thesis or professional doctorate must, after re-examination, be classified as Passed or Failed.

21 Binding and Distribution of Theses

- 21.1 Where the decision is made that the degree be awarded, the Candidate will be responsible for ensuring that the binding of the thesis complies with University requirements
- 21.2 An electronic copy is placed in the University Library. The Candidate may request a hard bound copy.
- 21.3 The electronic copy of the thesis held in the University Library may be made available to any person for consultation, subject to any written conditions restricting the usage of the thesis, including an embargo on any usage.
- 21.4 The Candidate is required to sign a Thesis Declaration Form prior to graduation.

22 Graduation and Degree Conferral

- 22.1 A candidate must apply to graduate using the appropriate documentation prior to the published due date for applications.
- 22.2 The Candidate will be eligible for graduation and degree conferral only after the Thesis has been endorsed by the Pro Vice Chancellor Research or delegate.
- 22.3 The Pro Vice Chancellor Research or delegate will only make such recommendation if the Research Office has received:
 - 22.3.1 an electronic copy of the thesis;
 - 22.3.2 a signed Thesis Declaration Form.

23 Appeals

- 23.1 Procedural appeals against thesis examination may be made in accordance with the Student Appeals Policy.
- 23.2 A Student may appeal against termination of candidature in accordance with the Student Appeals Policy.