

Progress, Supervision and Assessment Policy - Coursework Programs with a Research Component

Section 1 - Scope and Definitions

(1) These Regulations apply to the categories of examinable work that are submitted as the results of the research undertaken in coursework programs with a research component.

Part A - Coursework programs with a research component

(2) These are programs containing a research component which is less than 66% of the whole program.

- a. Coursework Professional Doctorate;
- b. Master by Coursework and Dissertation;
- c. Bachelor (Honours);
- d. Postgraduate Diplomas.

Part B - Examinable works

(3) The categories of examinable work that apply to coursework programs with a research component are:

- a. Thesis (print and multi-media);
- b. Dissertation (print and multi-media);
- c. Portfolio;
- d. Project.

(4) Detailed requirements for examinable works are contained in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Section 2 - Minimum and Maximum Periods of Candidature

Part C - Coursework Professional Doctorate

Minimum Time

(5) A candidate for a coursework professional doctorate shall not be permitted to graduate prior to completing all the required credit points for the course.

Maximum Time

(6) A candidate for a coursework professional doctorate shall be expected to have completed their course within four

years (full-time equivalent) of the date of the initial enrolment in the course excluding sessions of leave of absence.

Variations

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

Part D - Master by Coursework and Dissertation and Bachelor (Honours) course

(8) The standard regulations apply concerning maximum time for completion of the course (see the Assessment Policy).

Section 3 - Research Proposal

Part E - Coursework Professional Doctorate

(9) Within six months (full-time equivalent) of enrolment within the relevant research subject, candidates will be expected to have developed a research proposal for approval by the Executive Dean.

Resources and Support

(10) Prior to approving a research proposal, the Executive Dean, in consultation with the Head of School shall confirm that resources are available to support the proposed research.

Progress Reports

(11) The progress of candidates shall be reviewed at least annually commencing from the time of enrolment in the dissertation component of the program.

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

Change of Research Topic

(13) Once the Executive Dean approves a research topic within a research proposal, that topic may only be changed with the Executive Dean's approval on the recommendation of the Sub-Dean or delegated authority.

Part F - Master by Coursework and Dissertation

Proposal for Dissertation or Portfolio

(14) At the date set by the Course Director or Course Coordinator or delegated authority, students must submit a proposal for the dissertation which sets out the topic of investigation or work and the proposed methodology. The proposal will have been submitted before commencement of the dissertation and must comply with the requirements specified by the Faculty.

Change of Topic

(15) The topic for the dissertation and the methodology may not be changed except with the approval of the Course

Director or Course Coordinator or delegated authority.

Off Campus Work

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

Review of Progress

(17) Candidates are subject to Assessment Regulation, section 14 (Progression & Academic Performance).

Part G - Bachelor (Honours)

Dissertation or Project Proposal

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

Change of Topic

(19) The dissertation or project topic and the methodology may not be changed except with the approval of the Honours Coordinator.

Review of Progress

(20) Candidates are subject to Assessment Regulation, section 14 (Progression & Academic Performance).

Section 4 - Supervision Roles and Responsibilities

Part H - Coursework Professional Doctorate

(21) For each candidate the Executive Dean shall appoint a team of supervisors made up of the following:

- a. a Principal Supervisor; and
- b. one or more Co-supervisors, one of whom is normally a member of the academic staff of the the University.

(22) This team of supervisors shall be chaired by a Principal Supervisor and all members of the team shall have designated responsibilities.

Appointment of supervisors

(23) supervisors are appointed by the Executive Dean on the recommendation of the Faculty Sub-Dean or delegated authority.

(24) The Program Coordinator shall recommend a person to be the Principal Supervisor and a minimum of one other Co-supervisor, who would normally be a member of the academic staff of the the University when the student enrolls in the relevant research subject.

Principal Supervisors

(25) A person appointed as Principal Supervisor shall:

- a. have been admitted to the supervisor's Register;
- b. have expertise relevant to the proposed research;
- c. normally hold a degree at the level or above the level of the degree to be supervised; and
- d. expect to be available for the planned duration of the candidature.

Co-supervisors

(26) A person appointed as a member of the supervisory team shall:

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

Change of supervisors

Principal Supervisor

(27) In the event that a Principal Supervisor is unable to supervise a candidate for an extended period, another member of the supervisory team (who is on the supervisor's Register) shall act as Principal Supervisor for that period.

(28) In the event that a Principal Supervisor resigns or otherwise leaves the the University, unless granted an honorary or adjunct position or otherwise approved by the Executive Dean to continue supervision the Executive Dean shall appoint a replacement Principal Supervisor on the recommendation of the Course Director or Course Coordinator. Until this is done, the Course Director or Course Coordinator will automatically assume responsibility for the candidate.

Co-supervisor

(29) In the event that a Co-supervisor is unable to provide supervision the Executive Dean shall appoint a replacement Co-supervisor on the recommendation of the Course Director or Course Coordinator.

Responsibilities of supervisors

Responsibilities of the Principal Supervisor

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

(31) Responsibilities of a Principal Supervisor include:

- a. negotiating roles with Co-supervisors, in conjunction with the candidate, at the commencement of the candidature;
- b. facilitating the operation of the supervisory team to ensure support for the candidate by encouraging all supervisors to be actively involved in supporting the candidate's research endeavours. Where this does not occur, the Principal Supervisor shall consult with the Sub-Dean;
- c. monitoring carefully the performance of the candidate relative to the standard required for the program, and advising that inadequate progress or work below the standard generally expected is brought to the candidate's attention;

- d. ensuring that no research data are collected until the necessary approval is obtained from the relevant the University and/or other ethics committees where the research deals with human or animal subjects;
- e. advising the Faculty Sub-Dean when problems are occurring with regard to issues of academic misconduct;
- f. at any time during candidature, bringing to the attention of the Sub-Dean issues of intellectual property rights and/or commercial or other confidentiality matters which relate to the content of the dissertation;
- g. advising the Executive Dean, through the relevant Faculty Sub-Dean, of the names and credentials of suitable examiners;
- h. ensuring the candidate has accurate information about any planned, long leave (or retirement) during the candidature and, in consultation with the Faculty Sub-Dean, making arrangements to provide for supervision during absences (see clause 27) above; and
- i. contributing to the development of supervisory skills in Co-supervisors who are inexperienced in co-supervision.

Responsibilities of the Supervisory Team

(32) Responsibilities of the Supervisory Team include:

- a. providing guidance, where appropriate, on:
 - i. the nature of research;
 - ii. the standard expected for particular degrees;
 - iii. the choice of the research topic;
 - iv. the planning of the research program;
 - v. ethical issues relating to the research;
 - vi. methodological issues;
 - vii. data analysis issues; and
 - viii. exploring solutions for unexpected problems which arise in the research;
- b. maintaining close and regular contact with the candidate and establishing at the beginning the basis on which contact will be made;
- c. responding, in a timely manner, to queries and when providing feedback on drafts;
- d. requiring written or other work from the candidate on a pre-arranged and agreed schedule so that progress can be assessed at regular intervals;
- e. monitoring carefully the performance of the candidate relative to the standard required for the degree, and ensuring that inadequate progress or work below the standard generally expected is brought to the candidate's attention. The team should help with developing solutions to problems as they are identified;
- f. ensuring that the research work and the production of all categories of examinable work are the candidate's own work and ensuring that where the candidate receives substantial assistance that such assistance is acknowledged in the examinable work and does not conflict with the requirement that the intellectual content of the research and examinable work is that of the candidate;
- g. provide timely comments on the content and the drafts of the examinable work prior to submission;
- h. provide general support and encouragement to the candidate;
- i. encourage the candidate to publish the research; and
- j. fulfilling other obligations imposed by the the University regarding postgraduate supervision.

Supervision Caseloads

Principal Supervisors

(33) For a Principal Supervisor, the supervision load is recognised as an integral part of the teaching load.

Members of the Supervisory Team

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

Monitoring Caseloads

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

Part I - Master by Coursework and Dissertation

Appointment of supervisor(s)

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

Change of supervisor(s)

(37) Any change to the appointment of supervisors or Co-supervisors must be approved by the Executive Dean or delegated authority.

Duties of a supervisor

(38) Refer to Clause 32 above.

Part J - Bachelor (Honours)

Appointment of supervisor(s)

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

Change of supervisor(s)

(40) Any change to the appointment of supervisors or Co-supervisors must be approved by the Executive Dean or delegated authority.

Duties of a supervisor

(41) Refer to Clause 32 above.

Section 5 - The Dissertation or Other Examination Work

Part K - Coursework Professional Doctorate

(42) A candidate in a coursework professional doctoral program is required to successfully conduct research into a current problem confronting the profession. The results of this research are reported in a dissertation which may be either print or multi-media.

Print Dissertation

(43) The format for a print dissertation can be either a typescript or a series of papers that have been published, have been submitted for publication and/or are manuscripts that could be submitted for publication. The work must demonstrate an excellent contribution to professional practice, policy or knowledge.

Multi-media Dissertation

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

Notice to Submit

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

Requirements for the Dissertation

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

- a. it must be an accurate account of the research;
- b. it must be an account of a candidate's own work but, if any jointly authored papers are included, the work done by the candidate must be clearly indicated and the co-author(s) must certify that they agree to the inclusion of the paper in the dissertation;
- c. it must relate to the approved research topic;
- d. it must not include as its main content work which has been submitted for any other academic award or work conducted prior to the commencement of candidature. Where the main content of the dissertation consists of any significant extension or elaboration of the candidate's earlier work, that portion referring to previous work must be clearly indicated;
- e. examinable print works and the written components of examinable multi-media works, must be written in English except where, on the recommendation of the Sub-Dean or delegated authority, the Executive Dean approves that it may be written in another language;
- f. examinable print works and the written components of examinable multi-media works, must achieve a satisfactory standard of expression and presentation;
- g. any substantial assistance provided to the candidate during the conduct of the research and the production of the examinable work must be acknowledged. The candidate must obtain written permission from the Principal Supervisor before obtaining paid editorial assistance with the examinable work. If permission is granted to obtain paid editorial assistance, such assistance must be acknowledged in the examinable work and if the professional editor's current or former area of academic specialisation is similar to that of the candidate, then this must also be acknowledged (refer to clause 6.5 of the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components));

- h. where a series of papers is presented, there must be a comprehensive explanatory introduction and a final review to link the papers and to establish the broader academic context; and
- i. conform to the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components) or, for the body of works in a multi-media dissertation, to the requirements of the individual program.

Length of Dissertation

Print Dissertation

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

Multi-media Dissertation

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

Variations to Maximum Length

(49) The stated maximum length for a dissertation is exclusive of appendices and may only be exceeded with permission of the Executive Dean.

Appendices to Dissertation

(50) Appendices may contain material or information that has been used in the study, referred to in the study or has informed the study, and which would be needed to replicate it but which is not generally available elsewhere. A candidate may include original (raw) data in an appendix if it:

- a. is related to the dissertation but not included in the text;
- b. confirms other data presented in the dissertation; or
- c. is felt to be important to the reader/examiner.

(51) Candidates may submit confidential appendices as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Appendices in Electronic Format

(52) The Executive Dean may approve the inclusion of original (raw) data as an appendix to a dissertation in electronic format. A candidate wishing to submit such an electronic formatted appendix shall seek the permission of the Principal Supervisor prior to submission of the dissertation for examination.

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

Print Dissertations Containing Multi-media Materials

(54) On the recommendation of the Sub-Dean or delegated authority, the Executive Dean may approve that a candidate may submit multi-media materials to supplement the print dissertation. Candidates are to seek the advice of their Principal Supervisor in all such cases.

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

(56) Where a candidate wishes to submit substantially multi-media materials for examination in a course where a print dissertation is the norm, the candidate must obtain the approval of the Executive Dean to do so.

Submission of the Dissertation

Readiness for Examination

(57) A dissertation or portfolio shall be submitted to the Sub-Dean or delegated authority. Normally this should be done with the Principal Supervisor's agreement.

Copies Required

Print Dissertations and the Written Component of an Examinable Multi-media Work

(58) Three copies of a doctoral dissertation or portfolio (or of the written component of a multi-media dissertation) shall be provided to the Sub-Dean or delegated authority. These copies shall be soft-bound copies as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

On-Site Bodies of Work(s)

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

Reproducible Bodies of Work(s)

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

Digital Copy

(61) One copy of a digital version of the dissertation in a write-protected format (such as for example .pdf or .rtf) be submitted with the print copies to the Sub-Dean or delegated authority and one print copy shall be submitted to the Library. One digital version shall be submitted to the the University institutional repository, CRO.

Certificate of Authorship

(62) The dissertation shall contain a certificate of authorship as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Acknowledgments of Assistance

(63) Any substantial assistance, including any paid editorial assistance, received during the period of candidature, shall be acknowledged in the dissertation as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Intellectual Property Rights

(64) If there is material in the dissertation which could or does have implications for the intellectual property rights of the candidate, the the University, a sponsor of the research or some other person or body, this shall be identified as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Confidentiality

(65) If there is material in the dissertation which is confidential for commercial or other reasons, this shall be identified as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Ethics, Biosafety and/or Radiation Safety Approval

(66) If the dissertation reports on research involving humans or human biological materials or involving animals,

evidence of the relevant approvals shall be included as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

Disagreement Over Readiness for Examination

(67) Where the Principal Supervisor considers that the dissertation is not ready for examination, he or she may provide a written statement to the Sub-Dean or delegated authority setting out the reasons for this conclusion. The statement shall not accompany the dissertation when it is sent to the examiners if the Executive Dean of Faculty allows the dissertation to be examined under clause 68 below.

Executive Dean's Authority

(68) If a Principal Supervisor indicates that they do not consider the dissertation ready for examination, acting on the advice of the Sub-Dean or delegated authority, the Executive Dean of Faculty may:

- a. allow the dissertation to be examined; or
- b. allow the dissertation to be examined subject to any conditions specified by the Sub-Dean or delegated authority being met by the candidate to the satisfaction of the Executive Dean; or
- c. decline to allow the dissertation to be examined in which case the Executive Dean may terminate the candidate's enrolment or approve some other action.

Hard-Bound and Digital Copies of the Dissertation

(69) Following notification that the Executive Dean has recommended that a satisfactory grade be given for the relevant research component, the candidate shall forward to the Sub-Dean or delegated authority hard-bound and digital copies of the dissertation as set out below. The candidate is responsible for the cost of binding.

Format of Dissertation

Three hard-bound copies and a digital copy of the dissertation must be submitted as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

(70) One of the hard-bound copies is to be printed on permanent paper (for the Library copy).

(71) The preferred file format for the digital copy is either Microsoft WORD, rich text format, or a digital format that can be converted to Adobe PDF (portable document format).

Format of Multi-media Dissertation

(72) Three hard-bound copies and a digital copy of the written component of the dissertation must be submitted as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components) .

(73) Each copy shall be accompanied by a copy of representations of the body of work(s) as advised by the Principal Supervisor. If possible a digital copy of the representations should be in a format suitable for including in the CSU Research Output (CRO).

(74) The preferred file format for the digital version of the written component is either Microsoft WORD, rich text format, or a digital format that can be converted to PDF.

Library Copy

(75) One copy of the dissertation printed on permanent paper (paper which meets the specifications of Australian Standard AS40003 - 1996) and with the signed Certificate of Authorship (as specified in the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components)) and the digital copy shall be forwarded by

the Sub-Dean or delegated authority to the the University Library.

(76) The digital dissertation will be included in the CSU Research Output (CRO) as part of the eTheses Collection. The eTheses Collection contains metadata which is electronically accessible via the Australian Digital Theses site; the full text will be available electronically in the eTheses Collection.

Intellectual Property/Confidentiality

the University Provisions

(77) The the University provisions relating to inventions, patents, copyright and registered design shall apply, except as provided in clauses 78 and 79-81 below.

Ownership of Dissertation

(78) The three bound copies and a digital copy of the dissertation presented by the candidate to the Sub-Dean or delegated authority shall become the property of the the University for lodgement by the Sub-Dean or delegated authority in the Library, with the Principal Supervisor and with the Faculty.

Restriction on Circulation of Dissertation

(79) All dissertations will be available for open access except in the following circumstance provided below:

- a. Where a dissertation contains matters affecting national or industrial security, commercial-in-confidence content, culturally sensitive content, content which would breach privacy laws, or any other content which would pose a risk to the author, the University, or any other third-party, the Executive Dean may restrict the circulation, copying and electronic access of the dissertation, upon considering a recommendation by the Sub-Dean or delegated authority based on a written request from the candidate. If there are restrictions on parts of the content, an abridged digital version (edited by the candidate), excluding the restricted material will normally be made available. When forwarding the hard-bound and digital copies of the dissertation to the the University Library, the Sub-Dean or delegated authority shall advise the Library of any embargo the Library should place on the availability via open access of the dissertation for reasons relating to the intellectual property rights or confidentiality of material in the dissertation. The Library will set the date of release from the embargo as specified by the author.

(80) The digital and hard copies of the dissertation deposited in the Library will be available for circulation, copying or electronic access, except where a restriction is imposed by the Executive Dean as provided for above.

(81) If the Executive Dean approves an embargo on circulation, copying or electronic access, the entire dissertation will in any case become available two years after the dissertation has been deposited with the Sub-Dean or delegated authority, or such longer period as may be approved by the Executive Dean.

Part L - Master by Coursework and Dissertation and Bachelor (Honours)

Research to be Reported in a Dissertation or Other Examinable Work

Master Dissertation

(82) A master dissertation is a report on an investigation or similar study conducted in a master program where the investigation or study constitutes less than two-thirds of the program.

Master Project

(83) A master project is an examinable multi-media work that is an alternative to a dissertation in a master program and which may be required to be produced in such fields as the creative and performing arts. Throughout this regulation, the work "Project" means, as appropriate, the process or work undertaken or the examinable item of work produced.

Master Portfolio

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

Bachelor (Honours) Dissertation

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

Bachelor (Honours) Project

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

Multi-media Materials in a Dissertation or Portfolio

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

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

Requirements for the Dissertation or Other Examinable Work

(89) The dissertation or other examinable work shall comply with the following requirements:

- a. the work must address the topic approved by the Course Director or Course Coordinator or delegated authority, or, for Bachelor (Honours) courses, the Honours Coordinator;
- b. the work described must have been completed subsequent to admission to the program;
- c. dissertations and portfolios must comply with the word limit imposed by the course regulations and the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components);
- d. projects must comply with any limits imposed by the course regulations;
- e. dissertations, portfolios and text in a project must normally be written in English except where candidates may be required by the Course Director or Course Coordinator or delegated authority or Honours Coordinator, as appropriate, to write a dissertation, portfolio or text in a project in a foreign language or where the nature of the work requires the dissertation, portfolio or text in a project to be written in another language;
- f. dissertations, portfolios and text in a project must reach a satisfactory standard of expression and presentation; and
- g. it must consist of an account of candidate's own work, but in special cases, work done conjointly with other persons may be accepted provided the Honours Coordinator is satisfied about the extent of the candidate's

contribution to the joint work.

Submission of the Dissertation or Other Examinable Work

Previously Submitted Work

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

Copies Required

(91) Three copies of a dissertation or portfolio shall be presented to the Course Director or Course Coordinator or delegated authority or Honours Coordinator, as appropriate, in a form which complies with the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components).

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

Submission Dates and Late Submission

Master by Coursework and Dissertation

(93) Refer to the Assessment Policy.

Bachelor (Honours) Course

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

- a. dates for submission, with these being in line with AVCC guidelines;
- b. penalties for late submission; and
- c. whether or not re-submission is permitted. Note: in those Faculties where re-submission is permitted, no re-submission can result in a grade higher than a Pass for that dissertation or project.

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

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

(96) Note: where the policy for a particular course is that dissertations be lodged in the School rather than in the the University Library, the students in that course are not constrained by the binding requirements of the Higher Degree by Research Policy - Examinable Works (Presentation of Printed Components). Such policy shall be determined by the individual Course Committee.

Section 6 - Examination of the Dissertation or Other Examinable Work

Part M - Coursework Professional Doctorate

Examiners

Appointment

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

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

Number Appointed

(99) The Executive Dean shall appoint two examiners for a coursework professional doctoral dissertation, at least one of whom shall be external to the the University. One of these examiners may be an industry-based examiner.

supervisors Not to be Examiners

(100) A candidate's Principal Supervisor and Co-supervisors shall not be appointed as examiners of the candidate's dissertation.

Release of Examiners' Names

(101) The name of an examiner shall be released to the candidate together with the examiner's report on the dissertation.

Replacement Examiner

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

Qualifications

Academic Examiners

(103) Examiners shall be of high academic standing in the field in which the candidate's research was conducted, and shall demonstrate knowledge of the professional area in which the dissertation is being examined.

Industry-based Examiner

(104) The examiner shall exhibit demonstrated excellence in the profession in which the candidate's research was conducted. Normally the examiner would also be expected to have relevant academic qualifications.

Payment

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

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

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

Examination Criteria

General Criteria

(107) Examiners shall examine a dissertation principally in terms of the following criteria:

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

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

Examination of a Dissertation

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

Examiners' Reports and Recommendations

(110) Each examiner shall, independently of the other examiner(s), examine the dissertation, provide a written report and make one of the recommendations set out below. For courses containing a coursework component, this recommendation is subject to successful completion of that component.

(111) That the candidate:

- a. The dissertation be PASSED without any amendments and the candidate be awarded the degree.
- b. The dissertation be PASSED, SUBJECT TO MINOR AMENDMENTS as indicated in my report to the satisfaction of the Executive Dean of the Faculty.
- c. The dissertation be PASSED, SUBJECT TO SUBSTANTIVE AMENDMENTS along the lines indicated in my report. The candidate be instructed to submit a detailed report to the Executive Dean outlining the amendments to the dissertation for final classification, without further reference to the examiners.
- d. The dissertation be RE-SUBMITTED for examination after completing the required extra work and revision indicated in my report. (A dissertation which must be re-submitted requires alterations of such scale, complexity and/or conceptual significance that their adequacy should be appraised again by an external expert/s).
- e. The dissertation be FAILED and NOT be permitted to resubmit the dissertation in a revised form.

Collaboration

(112) Examiners may not collaborate in the preparation of their reports or in the formulating of their recommendations under clause 109-110 above.

Consideration of Examiners' Reports

The Reports

(113) Examiners' reports shall be received initially by the Sub-Dean or delegated authority. The Sub-Dean, after consideration of the reports, shall refer them to the candidate and the Principal Supervisor.

Candidate's Response

(114) Where examiners' recommendations include options b), c), d) or e) as set out in clauses 109-110 above, the candidate shall provide to the Principal Supervisor a response to the examiners' reports. The candidate's response need not reflect the view of the Principal Supervisor or any other person. The candidate must re-enrol if the response to the examiners' reports is not provided within six months of receipt.

supervisor's Recommendation

(115) The Principal Supervisor shall forward the candidate's response to the examiner's reports and provide a report on the candidate's response and the examiners' report to the Sub-Dean.

Faculty's Decision

(116) Where examiners' recommendations included only options a) or b) as set out in clauses 109-110 above, and after receiving confirmation that any minor amendments have been made, the Sub-Dean will approve the award of a Satisfactory grade for the relevant research subject.

(117) Where any examiners' recommendations included options c), d) or e) as set out in clauses 109-110 above, a Faculty examination committee consisting of at least three senior staff members with relevant expertise will consider the examiners' reports, the candidates response and the Principal Supervisors comments. The Committee will be chaired by the Sub-Dean or delegated authority, and will normally include the Course Director or Course Coordinator providing that person is not a supervisor. The committee may decide one or more of the following:

- a. to award a Satisfactory grade for the relevant subject;
- b. that further revision is required;
- c. the dissertation be resubmitted in a revised form which addresses the specific issues proposed in the examiners' reports, by a specified date after a further period of enrolment; or
- d. that the dissertation be re-examined;
- e. where the examiners' recommendations are significantly at variance, to appoint and arbiter; and
- f. that the dissertation be failed, the candidate not be permitted to resubmit the dissertation, and candidature be terminated.

Re-Submission

(118) Where the candidate is required to re-submit the dissertation in a revised form by a specified date after a period of further enrolment as provided in clause 116c above, that date shall normally be within twelve months of the notification of revision although the Faculty examination committee may specify a longer period.

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

(120) The examiners of a revised dissertation shall normally be the examiners of the original dissertation.

(121) The Executive Dean of Faculty may appoint a replacement Principal Supervisor, or an additional Co-supervisor for the period of further enrolment.

Appointment of an Arbiter

(122) Where an arbiter is appointed as provided in clause 116e above, the arbiter shall:

- a. receive a copy of the dissertation, the examiners' reports, the candidate's response to the examiners' reports and the report of the Principal Supervisor; and
- b. be requested to review the documentation in a) above and recommend one of the options a), b), c), d) or f) in clause 116 above. The appointment of another arbiter shall not be an option.

(123) The arbiter's report and recommendation shall be considered under this regulation in the same manner as the original examiners' reports except that the appointment of another arbiter is not permitted.

Failed Dissertation

(124) Where a dissertation as provided in clause 116e above is failed, the dissertation shall not be resubmitted for the award for which it was originally submitted and the candidacy shall be terminated.

Part N - Master by Coursework and Dissertation

Examiners

(125) The Executive Dean or delegated authority, on the recommendation of the program coordinator, shall appoint two examiners. Both examiners may be members of the Faculty provided that the candidate's supervisor and associate supervisor are not both examiners.

Examiners' Recommendations

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

Recommendations at Variance

(127) In cases where the examiners disagree on the grade to be recommended and the disagreement cannot be resolved, the Executive Dean or delegated authority may appoint an arbiter to review the dissertation or other examinable work and the examiners' reports, and to recommend a grade to the School Assessment Committee.

Recommendation for Award

(128) When candidates have completed all requirements of a Master by coursework or coursework and dissertation program, the Executive Dean or delegated authority on the recommendation of the Course Director or Course Coordinator shall satisfy himself/herself that the candidate has satisfied requirements for the awarding of the degree and will recommend to the University Council that the award be conferred.

Part O - Bachelor (Honours) Course

Examiners

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

Examiners' Recommendations

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

(131) Policy on how guidelines for marking dissertations and projects are communicated to examiners (especially those external to the the University) is determined at Faculty rather than the University level.

Grading

(132) Explicit criteria for the assessment of dissertations and projects are determined at the Faculty rather than the University level. From Autumn 2002, dissertations and projects shall be graded according to the set of grades designed specifically for Bachelor (Honours) dissertation and project subjects in terms of the classes of honours, as follows:

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

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

Level of Award

(134) Bachelor (Honours) awards may be conferred at the following levels:

- a. Class 1;
- b. Class 2, Division 1;
- c. Class 2, Division 2;
- d. Class 3.

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

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

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

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

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

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

Section 7 - Exclusion/Termination of Candidature

Part P - Master by Coursework and Dissertation and Bachelor (Honours)

(140) Candidates are subject to the Academic Progress Policy.

Part Q - Coursework Professional Doctoral Programs

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

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

Section 8 - Grievances and Appeals

Part R - Academic Judgements, Discrimination, Harassment

Academic Judgements

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

Discrimination

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

- a. have his or her complaint, problem or concern mediated; or
- b. lodge a formal grievance;

under the the University's Complaints Policy and Procedures on the grounds of discrimination in respect of that decision or action. A candidate who invokes this clause in respect of a decision of the the University is not prevented from exercising his or her rights of appeal against that decision under clause 142.

Harassment

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

- a. have his or her complaint, problem or concern mediated; or
- b. lodge a formal grievance;

under the the University's Complaints Policy and Procedures on the grounds of harassment in respect of that behaviour.

Part S - Appeals

Executive Dean of Faculty

Academic Decisions

(146) A candidate aggrieved by an academic decision as described in clause 142 above by a:

- a. Principal Supervisor or Co-supervisor;
- b. Course Director of Course Coordinator (or Honours Coordinator, where appropriate);
- c. Faculty Sub-Dean for Graduate Studies];
- d. Faculty Board;
- e. Faculty Research and Higher Degrees Committee; or
- f. Faculty Dissertation Examinations Committee;

which relates to their candidature may appeal to the Executive Dean.

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

Conflict of Interest

(148) Where the Executive Dean is the candidate's Principal Supervisor or Co-supervisor, or Course Director or Course Coordinator or delegated authority, or has some other conflict of interest, the Executive Dean of Faculty shall advise the Deputy Vice-Chancellor (Academic) who shall appoint another person who is not a member of the Executive Dean's Faculty, to hear the appeal. That person shall exercise the authorities given to an Executive Dean under clauses 148 to 156 below.

Appeals to be in Writing

(149) An appeal shall be in writing and shall be lodged with the Executive Dean within twenty-one days of the date of notification of the decision.

(150) An appeal shall specify the:

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

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

(152) The Executive Dean may decline to hear an appeal that is lodged after the 21 day appeal period.

Deciding Appeals

(153) The Executive Dean shall determine the procedure for deciding each appeal but as a minimum shall:

- a. refer the candidate's appeal to the person or the presiding officer of the body that made the decision which is the subject of the appeal, for written comment within seven days; and

- b. refer the written comments in a) above to the candidate for a written response.

(154) If the candidate's response is not received within twenty-one days of the date on which the comments in a) above were sent to the candidate, the Executive Dean may grant the candidate an extension of time or may decide the appeal in its absence.

Authority of the Executive Dean

(155) In deciding an appeal the Executive Dean may:

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

Notification

(156) The Executive Dean shall notify the candidate in writing of the decision.

Time Limit

(157) The Executive Dean shall decide an appeal within forty days of its receipt from the candidate unless granted an extension of time by the Deputy Vice-Chancellor (Academic).

Academic Appeals Committee

Decisions of the Executive Dean, a person appointed under clause 147

(158) A candidate aggrieved by a decision of:

- a. the Executive Dean including a decision taken under clauses 145-156 above; or
- b. a person appointed under clause 147 above;

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

Appeals to be in Writing

(159) An appeal shall be in writing and shall be lodged with the Secretary, Academic Appeals Committee within twenty-one days of the date of the decision.

(160) An appeal shall specify the:

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

(161) Documentary evidence in support of the appeal shall be provided in appropriate cases (see the Special Consideration Policy).

Late Appeals

(162) The Academic Appeals Committee may decline to hear an appeal that is lodged after the 21 day appeal period.

Deciding Appeals

(163) The Academic Appeals Committee shall determine the procedure for deciding each appeal and in doing so shall be guided by those clauses of the Academic Progress Policy relating to the hearing of appeals. As a minimum the Academic Appeals Committee shall:

- a. refer the candidate's appeal to the Executive Dean or the person appointed under clause 147 as appropriate, for written comment within seven days; and
- b. refer the written comments in a) above to the candidate inviting the candidate to provide a written response and/or to request an interview with the Academic Appeals Committee.

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

Interview with the Committee

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

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

Authority of the Committee

(167) In deciding an appeal against a decision of an Executive Dean or the person appointed under clause 147, the Academic Appeals Committee may:

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

(168) The decision of the Academic Appeals Committee shall be final.

Notification

(169) The Academic Secretary shall notify the candidate in writing of the decision of the Academic Appeals Committee.

Time Limit

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

Status and Details

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