

 BOND UNIVERSITY	HDR PROGRAMS PROCEDURE
Procedure owner	Chair of Graduate Research
Contact officer	Director, Office of Research
Approval Authority	Chair of Graduate Research
Date of Next Review	September 2024

1. PURPOSE AND OBJECTIVES

This Procedure outlines the responsibilities and processes for the administration of Bond University higher degree by research (HDR) programs.

2. AUDIENCE AND APPLICATION

This Procedure applies to all HDR programs, defined as higher degree programs that have a research component of not less than two-thirds of the sum of work for the degree.

3. ROLES AND RESPONSIBILITIES

Role	Responsibility
Chair of Graduate Research	<ul style="list-style-type: none"> ▪ Procedure owner ▪ May approve offer of enrolment to HDR students, non-standard start date, off-campus study, academic credit, excess teaching load, award of scholarships, confirmation of candidature, extension of candidature, conversion from Masters Degree (Research) to Doctoral Degree program, award of HDR degrees ▪ May terminate candidature ▪ Reviews progress reports for HDR students 'at risk'
University Research Committee	<ul style="list-style-type: none"> ▪ Makes recommendations on the award of degrees to HDR students, extensions of candidature, terminations of candidature, and other related matters
HDR Subcommittee (HDRS)	<ul style="list-style-type: none"> ▪ Advises University Research Committee on matters relating to policy, academic standards and quality assurance for HDR programs ▪ Makes recommendations to University Research Committee and implements HDR policy and strategy
Chair, Academic Senate	<ul style="list-style-type: none"> ▪ May exercise any of the powers delegated to the HDR Subcommittee
Executive Dean of Faculty or delegate	<ul style="list-style-type: none"> ▪ Manages delivery and administration of HDR student program within their Faculty under the guidance of the Chair of Graduate Research ▪ Assesses EOIs and applications for HDR candidature and recommends admission to the Chair of Graduate Research ▪ May approve changes to study load ▪ May approve leave of absence ▪ May suspend candidature ▪ Recommends the award of HDR degrees
HDR Unit (HDRU)	<ul style="list-style-type: none"> ▪ Provides support and advice to HDR students on matters relating to their candidature, including budgets and training

4. ADMINISTRATION OF HDR PROGRAMS

The Faculty of enrolment will normally be determined by the Faculty affiliation of the Principal Supervisor. In any instance where clarification is required, the Faculty will refer the matter to the Chair of Graduate Research, who may refer the matter to the HDRS for determination.

4.1. Expression of Interest for Admission

The Faculty will advise prospective HDR students with respect to:

- completing an Expression of Interest;
- prerequisite qualifications for admission;
- necessary English language requirements;
- availability of HDR program;
- compatibility of the prospective student's field of interest and the expertise of Faculty HDR Supervisors;
- suitability for admission to a program;
- eligibility for financial assistance; and
- the application process.

The Executive Dean or delegate will assess an Expression of Interest and other documentation supplied by the prospective student and instruct the Office of Future Students to either:

- invite the applicant to submit a full Application for Admission; or
- not proceed to a full Application for Admission.

4.2. Application for Admission

The formal Application for Admission to HDR candidature will include:

- a detailed research proposal equivalent to a small research paper, including relevant literature, research questions, methods, and relevance or importance, which should be completed in consultation with the prospective Supervision Team where possible;
- documentary evidence of the applicant's ability to meet the entry requirements and/or experience; and
- a whole of candidature budget, prepared in consultation with the prospective Supervision Team.

The formal application must be submitted to the Office of Future Students for assessment and verification.

4.3. Approval of Admission

The Executive Dean or delegate will recommend admission of an HDR applicant to the Chair of Graduate Research. The Executive Dean or delegate must be satisfied, and must certify in writing, that:

- the applicant has the formal qualifications for admission to the program;
- the applicant's prior study and experience are appropriate and adequate for HDR study in the subject area proposed;
- the applicant demonstrates English language proficiency in accordance with clause 5.2 of the Higher Degree by Research Programs Policy;
- the Faculty can provide suitably qualified supervision, academic advice, and resources for the duration of the candidature;
- the applicant has been advised that ethical clearances, if required, must be obtained as soon as possible and that research with humans and animals will not commence before necessary ethical clearance is obtained;
- the applicant has been made aware of the University policies relating to research including obligations in respect of data management, retention, and security; and
- the whole of candidature budget for the project is in accordance with the funds available for a high cost/low cost student.

4.4. Offer of Enrolment

When the Executive Dean or delegate has certified that the applicant is qualified and accepted by the Faculty and that the Faculty will provide a qualified Supervision Team, and this recommendation is approved by the Chair of Graduate Research, the applicant may then be offered HDR candidature.

Once an offer of HDR candidature has been accepted, the applicant will be enrolled in a HDR program at the next semester start date or a future semester start date as agreed with the Faculty.

Except with the permission of the Chair of Graduate Research and only in exceptional circumstances, the HDR student may not during the period of candidature be enrolled at this or any other tertiary educational institution for any other degree or diploma.

Where the applicant certified by the Faculty is not approved by the Chair of Graduate Research, the application will be referred to the HDRS Committee for review.

4.5. Commencement of Candidature

Candidature normally begins from the semester start date specified on the student's application.

At the commencement of candidature, the HDR student and the academic staff involved with their supervision should receive the Higher Degree Research Student Supervision Policy, which sets out the mutual obligations of the University, the Faculty, the Supervision Team, and the student.

Within six weeks of commencement of candidature:

- the Principal Supervisor must ensure that the student has read and understood the Higher Degree Research Student Supervision Policy;
- the student and Principal Supervisor must complete the Bond University Student/Supervisor Agreement and lodge a copy of this with the Executive Dean or delegate;
- the student should be provided with access to the HDR Handbook, this Procedure, online resources, and necessary forms to be completed for progression during candidature; and

- the student must complete the compulsory sessions of the HDR Support Series, the Research Integrity Workshop, and other required training specified in the Student/Supervisor Agreement prior to confirmation.

4.6. Extension of Candidature

A student who fails to complete their candidature by the end of the maximum period of enrolment will be required to apply for an extension of candidature, which may incur fees.

In exceptional circumstances only, a request for extension or alteration of candidature may be approved by the Chair of Graduate Research, who will determine what conditions, including payment of fees and scholarship arrangements, might apply in these circumstances.

4.7. Candidature Workload

Full-time HDR candidature requires a commitment to research and writing activities equivalent in time and energy to that normally required of demanding full-time professional employment.

A full-time HDR student may not undertake other (non-study) work of any type that consumes more than 20% of time available in an ordinary working week without the approval of the Chair of Graduate Research.

Where a full-time HDR student works more than 20% of the time available in an ordinary working week, they may be required to change their status to half-time enrolment.

4.8. Study Load

With the permission of the Executive Dean or delegate, a student may amend their original enrolment load to full-time or half-time. This will affect the total period of candidature and key milestone dates. Students paying fees or on Scholarships will also be affected by a change of study load.

A Faculty may insist on full-time enrolment in the first year of candidature.

International students should first seek advice from the Student Business Centre about visa conditions and implications before applying for a change in study load.

Scholarship holders should first seek advice from the Associate Dean (Research) of the Faculty of enrolment regarding restrictions and implications before requesting a change of study load.

4.9. Place and Attendance

An approved program of research for the degree must normally be pursued and supervised while regularly attending the University. Students are expected to be on-campus prior to confirmation.

A student may, with the agreement of the Principal Supervisor and Executive Dean or delegate, seek approval from the Chair of Graduate Research to pursue studies off-campus.

The application must demonstrate that off-campus arrangements will include satisfactory regular communication between the student and the Supervision Team, appropriate research facilities, and specify the duration to be approved for off-campus study.

International students should first seek advice from the Student Business Centre about visa conditions and implications before requesting approval for off-campus study.

Permission to pursue HDR studies off-campus may be revoked by the Chair of Graduate Research if progress reports are unsatisfactory and/or on the advice of the Executive Dean or delegate.

4.10. Regular Progress Reporting

The student and Principal Supervisor will submit regular reports as required to the Executive Dean or delegate regarding the student's progress.

The Chair of Graduate Research will review Progress Reports for all candidates who are 'at-risk'.

Scholarships of candidates who are 'at-risk' may be suspended in accordance with the Terms and Conditions of the Scholarship.

4.11. Confirmation of Candidature

The Executive Dean or delegate will ensure each HDR student is informed, from the commencement of candidature, of the Faculty's confirmation requirements applying to their candidature.

At enrolment, the Faculty must advise the student of the date by which confirmation must be completed.

Following completion of the deliberations of the confirmation panel, the Executive Dean or delegate will advise the student of the outcome of the confirmation process after receiving approval from the Chair of Graduate Research.

4.12. Conversion of Enrolment from Masters Degree (Research) to Doctoral Degree (Research)

4.12.1. Conversion as part of the Masters Degree (Research) Confirmation Process

In the event of a student's ability to demonstrate exceptional progress in a Masters Degree (Research) program, the student's Supervision Team may apply in writing to the Executive Dean or delegate for conversion to a Doctoral Degree program (AQF Level 10). At the discretion of the Executive Dean or delegate, approval may be given for the student to seek conversion to Doctoral candidature as part of the confirmation process. A Doctoral Conversion Panel will be formed by the Faculty to consider the Doctoral proposal.

The student must prepare a conversion document (including a research plan appropriate to AQF Level 10 Doctoral Degree level requirements) and submit to the Doctoral Conversion Panel and present a seminar to the panel. The student must comply with the requirements of the confirmation procedure in accordance with clause 4.11 above and the Higher Degree by Research Programs Policy.

The Doctoral Conversion Panel must determine if the confirmation document and seminar meet the following requirements:

- the research project is appropriate for a Doctoral Degree (AQF Level 10); and
- the student has the capacity to complete a Doctoral Degree program (AQF Level 10).

If the Doctoral Conversion Panel is satisfied that the confirmation document and seminar meet the requirements for confirmation at Doctoral level (AQF Level 10), it may recommend that the student be confirmed as a Doctoral student. The Executive Dean or delegate will then submit a recommendation to the Chair of Graduate Research for consideration.

If the Doctoral Conversion Panel is not satisfied that the confirmation document and seminar meet the requirements for confirmation at Doctoral level (AQF Level 10), it may either request the student resubmit the document after making suggested revisions or reject the application. If the application for conversion to a Doctoral Degree program is rejected, but the student meets the requirements for confirmation at Masters Degree (Research) (AQF Level 9), the Doctoral Conversion Panel may recommend that the student be confirmed at that level. The Executive Dean or delegate will then submit a recommendation to the Chair of Graduate Research for consideration.

If the application for conversion to a Doctoral Degree program is rejected and the candidate does not meet the requirements for confirmation at Masters Degree (Research) (AQF Level 9), the candidate will be required to prepare a document suitable for Masters Degree (Research) Confirmation and apply for confirmation at Masters Degree (Research) (AQF Level 9) in accordance with Clause 4.11 above and the HDR Programs Policy.

The Chair of Graduate Research may appoint an external adjudicator in considering the approval.

4.12.2. Conversion after the Masters Degree (Research) Confirmation Process

At any time within a period of 12 months after a successful confirmation, in the event of a student's ability to demonstrate exceptional progress in a Masters Degree (Research) program, the student's Supervision Team may apply in writing to the Executive Dean or delegate for conversion to a Doctoral Degree program. At the discretion of the Executive Dean or delegate, approval may be given for the student to seek conversion to Doctoral candidature. A Doctoral Conversion Panel will be formed by the Faculty to consider the Doctoral proposal.

The student must prepare and submit a revised confirmation document (including a research plan that incorporates the comments and suggestions of the prior Masters Degree (Research) Confirmation Panel and is appropriate to Doctoral Degree (AQF Level 10) expectations) to the Doctoral Conversion Panel.

The Doctoral Conversion Panel must determine if the revised Masters Degree (Research) confirmation document meets the following requirements:

- the research project is appropriate for a Doctoral Degree (AQF Level 10); and
- the student has the capacity to complete a Doctoral Degree program (AQF Level 10).

Where there is clear agreement by the Doctoral Conversion Panel in approving, not approving or requiring changes to the conversion documents, the Panel may make the determination by written responses. Where there is no clear agreement, the Doctoral Conversion Panel should be reconvened and may require the student to attend that reconvened meeting. If the Doctoral Conversion Panel is satisfied that the application meets the requirements for confirmation at Doctoral level (AQF Level 10), it may recommend to the Executive Dean or delegate that the student be confirmed as a Doctoral candidate. The Executive Dean or delegate will then submit a recommendation to the Chair of Graduate Research for consideration.

The Chair of Graduate Research may appoint an external adjudicator in considering the approval.

4.13. Annual and Sick Leave Provisions

Full-time HDR students are entitled to 20 days of recreation leave and ten days of sick leave for each year of their candidature. Leave entitlements are accrued over the life of the enrolment but will be forfeited when the program is completed or terminated.

4.14. Leave of Absence during Candidature

Students may apply for Leave of Absence for periods greater than 20 days. Leave of Absence must be approved in advance by the Executive Dean or delegate.

Where a Leave of Absence is approved, access to buildings, laboratories, Library, IT, and other student support services is suspended until the candidature is resumed.

Normally, the maximum accumulation of leave of absence may not exceed 12 months for a full-time student or 24 months for a half-time student.

Students who seek leave of absence must first seek advice with respect to implications for scholarships, fees, and financial assistance.

Scholarship holders may be entitled to continue to receive stipend payments for certain types of leave such as parental leave and extended sick leave.

Students must confirm their return from leave with the University to resume their candidature.

Students may not use Leave of Absence as a mechanism for extending a minimum submission date. Students must apply to extend their maximum period of candidature in accordance with the HDR Programs Policy.

International students should first seek advice from the International Students Team Coordinator in the Student Business Centre about visa conditions and implications before commencing a leave of absence during candidature.

4.15. Suspension of Candidature

After taking into account recommendations from the Supervision Team, the Executive Dean or delegate may, provided that the Faculty formally notifies the student concerned and after giving the student an opportunity to be heard, suspend the candidature of any student who is considered unsuitable to continue.

The Executive Dean or delegate must inform the Chair of Graduate Research in writing of the Faculty's decision.

The suspension may be for a designated period not exceeding 24 months for any student after which time the Executive Dean or delegate must initiate continuation or recommend in writing to the HDRS that the candidature be terminated.

4.16. Termination of Candidature

On the recommendation of the Executive Dean or delegate, the Chair of Graduate Research may terminate a candidature on the ground of unsatisfactory academic progress or for a serious failure to comply with University policy.

Unsatisfactory academic progress includes, but is not limited to, failure to make sufficient progress toward completion within the program duration and/or failure to respond to supervision, and/or breach of the Research Code of Conduct Policy (RES 4.5.1).

Before exercising this power of termination, the Chair of Graduate Research must take into account:

- annual progress reports;
- written recommendations from the Executive Dean or delegate;
- written recommendations from the Supervision Team; and
- a written statement by the student (if provided).

Where the Chair of Graduate Research has determined that candidature is to be terminated, the student will be given notice of the termination and informed of the grounds on which termination has been determined.

Where candidature has been terminated, the student may appeal against the decision in accordance with the Student Grievance Management Policy (SS 5.8.1).

4.17. Thesis Submission

When a student is ready to submit a thesis for examination, the Supervision Team must certify:

- whether the thesis is *prima facie* worthy of examination; and
- whether the thesis is properly presented.

A student may request to submit a thesis for examination against the advice of the Principal Supervisor and/or Executive Dean or delegate. This request will be forwarded for consideration to the Chair of Graduate Research, who will determine if:

- the student should amend the thesis; or
- the thesis should proceed to examination.

Prior to commencing the examination process, the student must submit:

- a declaration of originality;
- an examination copy of the thesis to Library Services to check formatting and copyright compliance (any irregularities will be reported to the supervisors and returned to the candidate for correction prior to submission to examiners); and
- a structured deposit of data, including materials and methods, corresponding to the examination copy of the thesis in accordance with the Research Data Management and Sharing Policy.

Plagiarism detection software will be applied to the examination copy of the student's thesis. A copy of the report and approval by the Executive Dean or delegate must accompany the examination copy of the thesis.

The student, Library Services, the Principal Supervisor and the Executive Dean or delegate should agree that the thesis is ready for examination before the thesis is submitted.

4.18. Nomination and Appointment of Examiners

The student intending to submit their thesis for examination will notify their Supervisor and Faculty using the 'Intention to Submit' form at least three months prior to completion.

The Executive Dean or delegate should seek advice from the student about potential examiners the student wishes not to be appointed and will take account of this advice in the selection of examiners.

The University will establish that:

- examiners are academic staff of recognised universities who would meet the requirements for admission to the Faculty's Register of Supervisors, or are suitably qualified experts in the field with equivalent qualifications or experience;
- no examiner has any known conflicts of interest arising from a personal or professional relationship with the student, other examiners, or other Faculty members, that may impede a fair and objective examination of the thesis; and
- each examiner is available and willing to complete examination of the thesis within a reasonable timeframe established by the University.

The University will coordinate communications with prospective examiners, providing:

- an abstract of the thesis;
- required examination procedures and timeline;
- honorarium information; and
- the University's procedure in handling examiner's reports and 'Reply from Examiner' form indicating either agreement to examine, decline to examine or decline to examine with recommendation for an alternative examiner.

4.19. Student under Examination

After submission of the thesis and before the final decision about the examination outcome, the student is not considered to be enrolled and fees are not charged during this period.

Scholarship payments (if any) will be suspended two weeks after the date of submission until such time as the student is required to resume their candidature to undertake major revisions. Minor revisions do not require the student to resume their candidature.

The International Student Team Coordinator is advised of the submission for examination so that appropriate visa notifications can be made if necessary.

The University will manage contact with examiners to ensure a timely examination.

4.20. Examination Procedure

The University will provide each examiner with:

- a copy of the thesis in hard copy or in electronic form as requested;
- a written report on the performance of the student in any required programs, seminars, exercises, and laboratory work, where the thesis represents partial fulfilment of the requirements for the degree;
- a request for each examiner to indicate availability or otherwise to reassess the thesis should extensive revision of the thesis and subsequent Examiner's Reports be required.
- a request for examiner acceptance including confirmation of no conflict of interest;
- a specified due date and return instructions for submission of the Examiner's Report;
- honorarium payment arrangements; and
- an Examiner's Report Form.

The Examiner's Report Form will request written comments on the contribution to knowledge, originality and critical insight of the thesis, conceptual and methodological rigour, presentation and technical quality, command of the literature and concluding recommendation/s. Each examiner will conclude with one of the following recommendations:

- a) *Pass without further examination or amendment*, and that the thesis be accepted as satisfactory for the award of the degree;
- b) *Pass with minor amendments*, and that when all amendments are completed to the satisfaction of the Principal Supervisor and the Executive Dean or delegate, the thesis be accepted as satisfactory for the award of the degree;
- c) *Pass with major amendments*, and that when all amendments are completed to the satisfaction of the Principal Supervisor and the Executive Dean or delegate, the thesis be accepted as satisfactory for the award of the degree;
- d) *Not passed*, and that work is to be substantially revised and submitted for re-examination within 12 months;
- e) *Pass at the level of a Masters by Research*, where in exceptional circumstances the Executive Dean or delegate and external examiners conclude a PhD thesis or other examinable material may be awarded a Pass at the level of a Masters by Research; or
- f) Fail.

On receipt of all Examiners' Reports, the University will forward a letter of acknowledgement thanking each examiner and advising them of the outcome of examination. Each external examiner will be notified of the honorarium particulars. The Reports will then be provided to the Executive Dean or delegate for assessment.

4.21. Award of the Degree

The Executive Dean or delegate makes an assessment based on the Examiners' Reports and submits a recommendation to the Chair of Graduate Research.

Where the examiners unanimously recommend the thesis is satisfactory, in accordance with clause 4.20(a) above:

- the Executive Dean or delegate submits to the Chair of Graduate Research a written recommendation that the degree be awarded;
- the HDRS, or the Chair of Graduate Research executively, approves the recommendation and submits the Examiners' Reports, together with the Executive Dean or delegate's written recommendation that the degree be awarded, to the University Research Committee for noting; and
- the University advises the student and supervisor of the recommendation.

Where both examiners recommend that minor amendments are required before the degree can be awarded, in accordance with clause 4.20(b):

- the Executive Dean or delegate advises the student and Principal Supervisor of the minor amendments required, forwarding them relevant extracts from the Examiners' Reports;
- the Executive Dean or delegate returns any thesis copies supplied with markings by examiners to the student for amendment;
- when amendments are complete, the student returns the thesis copies to the Executive Dean or delegate to verify that amendments have been addressed to the satisfaction of the Principal Supervisor;

- the Executive Dean or delegate submits to the HDRS the Examiners' Reports together with the Executive Dean or delegate's recommendation that, the necessary minor amendments having been made, the degree can be awarded;
- the HDRS, or the Chair of Graduate Research executively, approves the recommendation and submits the Examiners' Reports, together with amendments and the Executive Dean or delegate's written recommendation that the degree be awarded, to the University Research Committee for noting; and
- the University advises the student and supervisor of the recommendation.

Where both examiners recommend that major amendments are required before the degree can be awarded, in accordance with clause 4.20(c) or (d):

- the Executive Dean or delegate advises the student and Principal Supervisor of the amendments required, forwarding relevant extracts from the Examiners' Reports;
- the Executive Dean or delegate returns any thesis copies supplied with markings by examiners to the student for amendment;
- when revision is complete, the student returns the revised thesis and a table of amendments to the Executive Dean or delegate who, if satisfied that the necessary amendments have been made, will make arrangements for reassessment of the revised thesis with the original examiners if required;
- where an external examiner has indicated unavailability to reassess an extensively revised thesis, the Executive Dean or delegate is required to nominate a further external examiner and obtain formal approval by the HDRS;
- the Executive Dean or delegate submits to the Chair of Graduate Research the Examiners' Reports together with the Executive Dean or delegate's recommendation that, the thesis having been extensively revised, the degree be awarded;
- the HDRS, or the Chair of Graduate Research executively, approves the recommendation and submits the Examiners' Reports, together with the Executive Dean or delegate's written recommendation that the degree be awarded, to the University Research Committee for noting; and
- the Executive Dean or delegate advises the student and supervisor of the recommendation.

Where both examiners recommend the thesis as unsatisfactory, in accordance with clause 4.20(e) or (f):

- the Executive Dean or delegate advises the student and the Principal Supervisor of:
 - the examiners' recommendation that the thesis is unsatisfactory and the degree not be awarded;
 - the student's rights with regard to requesting that the thesis be submitted to the HDRS, even if this is against the advice of the Executive Dean or delegate;
- the student may choose to exercise the right to request that the thesis be submitted to the HDRS, even if this is against the advice of the Executive Dean or delegate;
- the Executive Dean or delegate may, after further consultation with the examiners and supervisor, recommend the award of a Masters Degree (Research) if the work of the student is considered to be of sufficient merit;
- the Executive Dean or delegate submits to the HDRS the Examiners' Reports together with the Executive Dean or delegate's recommendation;
- the Executive Dean or delegate advises the student and supervisor of the recommendation;
- where the HDRS, or the Chair of Graduate Research executively, decides that the student has NOT satisfied the requirements for the degree, the Executive Dean or delegate forwards the following to the student:
 - a letter advising of the decision that the degree not be awarded, and
 - the three copies of the thesis.

Where, in the case of an unsatisfactory outcome in a Doctoral Degree thesis examination, the HDRS, or the Chair of Graduate Research executively, approves the award of a Masters Degree (Research), the student will be notified accordingly by the Executive Dean or delegate.

Any of the powers accorded to the HDRS in this Procedure may be exercised by the Chair of Academic Senate between meetings of the HDRS. The Chair of Academic Senate will submit a report of any decisions taken under this authority to the following meeting of Academic Senate as appropriate.

4.22. Disagreement between examiners

Where the two examiners provide divergent recommendations and there is a significant difference in substance between the recommendations, the Executive Dean or delegate will report the matter to the Chair of Graduate Research who will appoint an external adjudicator. The adjudicator will grade independently but may be provided with a copy of the thesis and the Examiners' Reports to assist with the decision at the discretion of the Chair of Graduate Research and/or Provost.

4.23. Access to the Thesis

The University supports open access for research including theses. Restrictions on availability of a thesis will be considered in appropriate circumstances.

When the thesis has been accepted as satisfying the requirements of the degree, the student must provide an electronic copy of the thesis in PDF format. Any request about restrictions on availability, up to a period of 24 months, must include details of the reason for the request. Requests must be signed by the student, supported by the Principal Supervisor, and approved by the Faculty Associate Dean (Research).

The University may determine in exceptional circumstances that a thesis shall not be made available or that other specific restrictions should be placed on the availability of the thesis. Such a determination may also be made on the basis of a contractual arrangement entered into by the student with the University.

There is no requirement for a printed hard copy of the thesis to be deposited.

5. DOCTOR OF PHILOSOPHY BY PUBLISHED WORK

Except where a contrary intention is indicated expressly or impliedly in this Procedure, an applicant for admission to candidature for the Doctor of Philosophy by Published Work must comply with all provisions that are relevant to Doctoral Degrees (Research) including HDR supervision, enrolment, commencement and duration of candidature, progress reporting, confirmation, submission, examination and award of the degree, and access to the thesis.

Any reference to 'thesis' is deemed to include, to the extent necessary, an examination portfolio submitted for award of the degree of Doctor of Philosophy by Published Work.

5.1. Admission Procedure

For the Doctor of Philosophy by Published Work an applicant must provide to the Executive Dean or delegate:

- written notice of their intention to apply for admission to candidature for the degree;
- their curriculum vitae including a list of all publications;
- a chronological list of their published or to-be-published works intended to constitute the body of publications presented for examination as evidence of qualification for the degree and a copy of each published work;
- a brief statement indicating:
 - how the publications have developed and, if necessary, will continue to develop to form a significant body of sustained academic achievement in relation to a significant research question, or research questions, within the relevant discipline, field/s of study or area/s of professional practice;
 - the intended themes, research methodologies and theories at the basis of the publications and how the publications relate, or will at the time of submission for examination, to one another and, in their combined substance, make an original and coherent contribution to knowledge in the relevant discipline, field(s) of study or area(s) of professional practice;
 - what part of the material submitted, or the work on which it is based, if any, has previously been submitted successfully or unsuccessfully for credit towards a degree in this or any other tertiary educational institution; and
- a statement in respect of any joint publications signed, where possible, by the joint authors showing the part played by the applicant in respect of the initiation and conduct of the joint work.

If satisfied that the publications intended to be presented for examination *prima facie* qualify for award of the degree and that the other requirements relevant to Doctoral Degrees (Research) are also met, the Executive Dean or delegate may recommend the admission of the applicant as a candidate for the degree to the Chair of the Graduate Research for approval.

5.2. Permissions

Where copyright in any publications intended to be presented for examination does not belong to the candidate, the candidate must obtain permission to reproduce the copyright material in the examination portfolio and for a digital copy to be made available in the institutional repository.

A list of all copyright permissions obtained from publishers and, where applicable, co-authors must be included in the examination portfolio and the final copies that are deposited in the University Library.

5.3. Examinations Portfolio

During candidature for the Doctor of Philosophy by Published Work, the candidate must prepare an examination portfolio consisting of:

- a collection of original publications authored solely or primarily by the candidate in the same discipline and of such quantum, scope, and quality as is commensurate with doctoral level research; and
- an integrative exegesis of approximately 20,000 words.

While one or more of the publications included in the examination portfolio may be prepared (researched and

written) under supervision during the period of candidature, the integrative exegesis must be prepared entirely under supervision during that period.

The publications must be in English and be published, in press, or unconditionally accepted for publication prior to the submission of the portfolio for examination.

For the purposes of the degree, 'publication' includes:

- books and monographs;
- contributions to books or proceedings;
- scholarly articles (typically peer-reviewed articles in research journals); and
- work in media other than text such as exhibitions, performances, films, animations, videos, or computer programs.

The number of publications included in the examination portfolio is ultimately a matter for the professional judgement of the Supervision Team and the candidate but should generally be of a quantum commensurate with the normal publication rate in the relevant discipline and demonstrate a sustained research effort.

If the candidate is not the sole author of one or more of the publications included in the examination portfolio, then they must have been the 'primary author'. A primary author is one who has contributed greater than 50% of the intellectual content in the relevant publication/s and who was responsible for the initiation, key ideas, planning, execution and preparation of the work/s for publication including responding to co-authors', referees' and/or editors' reviews. A candidate may be a primary author even though they are not listed as the first author on the relevant publications.

The integrative exegesis in the examination portfolio must contain:

- a list of the publications being submitted for examination in chronological order including full citation details and indicating the status of each publication (published, accepted for publication, in press);
- a discrete introduction, general discussion and conclusion that together place the publications presented for examination into the context of an overarching research question or series of interrelated research questions with the relevant discipline, field/s of study, or area/s of professional practice, and which unifies those publications in a coherent and cohesive manner;
- a section addressing how the individual publications link to the theories and methodologies adopted;
- a section explaining and evaluating the contribution that the publications in their combined substance make to the advancement of knowledge and understanding in the relevant discipline, field/s of study, or area/s of professional practice;
- a detailed statement in the introduction indicating the nature and extent of the candidate's contribution to any jointly authored publications included in the examination portfolio; and
- details of any relevant additional material (such as raw data, programs, questionnaires, and the like, which may be included as addenda to the examination portfolio) that the candidate considers necessary to augment the publications.

6. RELATED DOCUMENTS

[HDR Handbook](#)

[Higher Degree by Research Programs Policy](#)

[Higher Degree Research Student Supervision Policy](#)

[Research Data Management and Sharing Policy](#)

[Student Grievance Management Policy](#)

7. MODIFICATION HISTORY

Date	Sections	Source	Details
September 2023		Chair of Graduate Research	V3 changed number of examiners from 3 to 2 and added clause 4.22
May 2023	4.15 and 4.16	Chair of Graduate Research	V2 Added clauses from Award Regulations
December 2022			Regulations to Procedure