



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

OFFICE OF THE PROVOST

REGULATIONS: RESEARCH DEGREES

Purpose:	These Research Degree Regulations apply to all students enrolled in a Research Degree at the University of Notre Dame Australia. These Regulations should be read in conjunction with the General University Regulations and the relevant course regulations.
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1. Introduction and Interpretation

1.1 Introduction

These Research Degree Regulations apply to all students enrolled in a Research Degree at the University of Notre Dame Australia.

These Regulations should be read in conjunction with the General University Regulations and relevant course regulations.

1.2 Definitions

“the Academic Council” – shall mean the committee known as Academic Council and established under the University Statutes.

“Candidate” – shall mean a student admitted to full candidacy in the research component of a Research Degree.

“Dean” – shall mean the Dean of a School of the University.

“Dissertation” – shall mean a report that presents the candidate’s research and findings, submitted in support of candidature for a Research Degree. The research that underpins the report shall take at least one semester of full-time equivalent study.

“the Provost” – shall mean the senior academic officer of the University of Notre Dame Australia.

“Research Degree” – shall mean a degree in which an original investigation undertaken in order to gain knowledge and understanding. It includes work of direct relevance to the needs of commerce and industry, as well as to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances and artifacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction.

“School” – shall mean a School of the University of Notre Dame Australia through or in which the student is seeking or pursuing candidature.

“School Research Committee” – shall mean a sub-committee of the School Committee that advises the Dean on strategies and management issues relevant to research in the School.

“Student” – shall mean a student enrolled as a provisional student in a Research Degree.

“Supervisor” – shall mean the person(s) appointed by the University of Notre Dame Australia to act as a supervisor to a candidate enrolled in a Research Degree.

“Thesis” – shall mean a substantial report that represents at least two thirds of a degree program requirements and the research underpinning the thesis comprises at least one year of full-time equivalent study.

“the University”- shall mean The University of Notre Dame Australia.

“the University General Regulations” – shall mean the General Regulations of the University of Notre Dame Australia.

1.3 Alterations made to Research Degree Regulations

1.3.1 Unless otherwise specified, when amendments are made to the structure, content or academic requirements of a Research Degree, the amendments will automatically apply to all students enrolled in the degree.

1.3.2 Where the Provost considers that a student has, since first enrolling for a degree, been unreasonably adversely affected by any changes in regulations, the Provost must permit the student to qualify for the degree under the regulations in force at the time of admission to the Research Degree, provided the Provost is satisfied that the work so required to be completed is equivalent in standard to that currently required to complete the relevant study program.

2. Authority to Admit Research Students

2.1 The Provost determines admissions into Research Degrees of the University, on the recommendation of the relevant Dean.

2.2 The University reserves the right to refuse an application based on an assessment of the suitability of the applicant to work at the doctoral level and/or the ability of the School to provide adequate supervision and/or facilities.

3. Provisional Enrolment

3.1 A student in a Research Degree is a provisional student until such time as the student has submitted and received approval from The University of Notre Dame Australia for a research proposal.

3.2 A provisional student who:

3.2.1 Satisfactorily completes the provisional period will be awarded full candidature and permitted to continue in the Research Degree; or

3.2.2 Fails to satisfactorily complete the period of provisional enrolment, the provision of Regulation 13.9 notwithstanding, must withdraw from the course unless the Provost otherwise determines.

4. Full-time and Part-time Enrolment

4.1 A student may be enrolled as a full-time or a part-time student.

4.2 A student may transfer between part-time and full-time enrolment.

4.3 If either prior to, or at any time during the enrolment period, the University encounters staffing or resource difficulties beyond its control which impact on the availability of resources or supervision for a student's research, it will make all reasonable efforts, within budget and staffing constraints, to provide satisfactory arrangements so as not to disadvantage any affected student. Because of the specialist nature of research and supervision at this level, however, the University cannot guarantee that under such circumstances, a student's conditions of enrolment will not be subject to change.

5. **Concurrent Enrolment**
Unless authorised by the Provost, a student for a Research Degree may not be concurrently enrolled in a course of study or a unit for any other degree or diploma of the university or any other educational institution.
6. **Transfer from another Institution**
An applicant who has been or is currently enrolled in a Research Degree at another institution may apply for admission to the University with recognition of previous research only with the approval of the other institution.
7. **Transfer from a Masters to a Doctoral Degree**
 - 7.1 The Provost has the discretion to admit to a doctoral degree a student for a Masters degree by research or Masters of Philosophy, on the recommendation of the Supervisor and the Dean of the School.
 - 7.2 Transfer may take place only when a Masters student has submitted and received approval from The University of Notre Dame Australia for her/his research proposal.
 - 7.3 Transfer will normally be approved no later than 18 months after initial enrolment in the Masters degree.
8. **Maximum and Minimum Duration**
 - 8.1 The minimum and maximum periods of enrolment permitted for a Research Degree will be specified in the course regulations.
 - 8.2 In exceptional circumstances, the Provost may approve an extension of the maximum time.
 - 8.3 For a student who has transferred from enrolment in one Research Degree to another, the maximum period includes the period the student was enrolled in the earlier degree.
9. **Suspension of Enrolment**
 - 9.1 Where circumstances and events may require a student to temporarily withdraw from study, the student is not penalised by such suspensions of enrolment.
 - 9.2 A period of absence up to 12 months will be regarded as a suspension from study.
 - 9.3 A student must apply in writing to the Provost for suspension of enrolment.
 - 9.4 During a suspension period, a student will cease to have rights of access to University resources related to the thesis project.
 - 9.5 In exceptional circumstances the Provost may grant a student suspension(s) of enrolment of up to two years in total.
10. **Enrolment in a School**
Upon admission to the Research Degree, a student will be assigned to one of the Schools of the University. The Dean of the School (or delegate) will assume responsibility for managing the enrolment of the student and will recommend to the Provost a Supervisor(s).
11. **Study Program**
 - 11.1 On admission to a degree, a student shall develop, in conjunction with the appointed Supervisor, a study program satisfying the requirements of the degree and specifying the timetable for its completion.
 - 11.2 The Dean of the School must approve the study program.

- 11.3 A student must follow his/her approved study program.
- 11.4 Changes to a student's approved study program may be made at any time, subject to the approval of the Dean of the School and the Provost.
12. Supervision
- 12.1 The Provost, after consultation with the Dean of the School, in respect to each student:
- 12.1.1 Must appoint a Supervisor to the student who is a member of the academic staff of the School or a person holding an adjunct appointment or emeritus title at the University at the time the student is enrolled in the Research Degree.
- 12.1.2 May appoint one or more co-Supervisors, being persons of recognised standing in the field concerned, whether or not members of the academic staff;
- 12.1.3 Must ensure that the Supervisor completes a Study Program for the student at the commencement of the student's enrolment.
- 12.1.4 Must ensure that, where the degree involves coursework, the supervision becomes active at the time the student commences work on the research proposal.
- 12.1.5 Where a Supervisor is to be absent from the University for more than six consecutive weeks, the Provost must, unless satisfied that adequate supervision can be maintained during the period of the absence, appoint an acting Supervisor in consultation with the Dean.
- 12.2 A student who is a staff member of the University will have as a Supervisor a qualified person from another institution recommended by the Dean.
- 12.3 A student, showing good cause, may request a change of Supervisor. Such request must be made in writing to the Provost.
13. The Research Proposal
- 13.1 A student must submit a formal research proposal, written under the supervision of the appointed Supervisor(s).
- 13.2 The submission of the research proposal will normally be required within the first fulltime equivalent semester of the time approved for the preparation and submission of the thesis as recorded in the Study Program, unless otherwise provided for in course regulations.
- 13.3 When submitted to the School Research Committee, the research proposal must be accompanied by a letter from the Principal Supervisor stating her/his assessment of the readiness of the research proposal for formal review.
- 13.4 A student (other than a student in the Master of Philosophy) shall make an oral presentation of the research proposal.
- 13.5 Two readers of the research proposal, nominated by the School Research Committee, one of whom will be external to the University, will report on the readiness of the student to move to full candidacy.
- 13.6 The reports of the readers shall be considered by the School Research Committee which shall recommend to the Provost whether or not a student's research proposal meets the requirements specified in Regulation 13.2 and is of a standard that warrants a move to full candidacy.

- 13.7 Where there is a difference of substance between the recommendations of the readers, the School Research Committee will adjudicate the differences. If consensus cannot be reached by the School Research Committee, the final decision on whether a student has achieved a satisfactory standard shall reside with the Provost.
 - 13.8 Where the Provost determines that a student has satisfactorily met the conditions and standards for a research proposal, the student will be awarded full candidacy and advised that research can commence.
 - 13.9 Where the Provost determines that the student has not satisfactorily completed the requirements of the research proposal, the Provost may determine to give the student leave to re-submit, subject to any conditions specified, or may advise that the enrolment be terminated or that the student be permitted to transfer into a coursework degree.
14. Ethical Clearance
 - 14.1 A student must make an Application for ethics clearance to the School Research Committee prior to the submission of the research proposal.
 - 14.2 Applications for expedited ethics clearance shall be considered by the School Research Committee and recommended to the Human Research Ethics Committee [HREC]
 - 14.3 Applications for full ethics clearance shall be forwarded directly to the HREC.
 - 14.4 The process for the review of the Application for ethics clearance will be in accordance with procedures approved by the Ethics Committee.
15. Confirmation of Candidacy
 - 15.1 Confirmation of candidacy is dependent upon having an approved research proposal.
 - 15.2 Doctoral candidates in research professional doctorate degrees need to complete the coursework component before their candidature is confirmed.
16. Satisfactory Progress and Progress Reports
 - 16.1 A student admitted to full candidacy is expected to make satisfactory progress.
 - 16.2 The candidate and Supervisor are jointly responsible for holding regular discussions on the progress of the research.
 - 16.3 The candidate and the Supervisor must provide a detailed Progress Report to the Provost at the end of each semester.
 - 16.4 A candidate who fails to maintain satisfactory progress may be placed on conditional status by the Provost or, where lack of progress persists, have her/his candidacy terminated.
 - 16.5 A candidate who does not submit a Progress Report by the due date will be placed on Absent Without Leave [AWOL] status.
 - 16.6 During the AWOL period, a candidate will cease to have rights of access to University resources related to the thesis project.
 - 16.7 A candidate who remains on AWOL for more than six months may have their enrolment terminated.

17. Termination of Candidature
- 17.1 Where the Dean is of the opinion that the academic progress of the candidate is unsatisfactory or that the candidate has failed to comply with these or relevant degree regulations, the Dean will advise the Provost.
- 17.2 The Provost will convene an academic progress committee¹ to review the candidate's progress and determine if the candidate is liable for termination.
- 17.3 The academic progress committee, after due consideration, may dismiss the proceedings and authorise the candidate to continue; authorise the candidate to continue subject to any terms and conditions specified; or terminate the candidature.
- 17.4 When a candidate has been identified as liable for termination, the academic progress committee reviews the candidate's record, documents provided by the School and previous documents (such as academic progress annual reports) on the candidate's file.
- 17.5 If, after completing the review, the academic progress committee determines that the conditions for termination of candidature have been met, the Office of the Provost then advises the candidate that they are liable for termination of candidature and the reason(s) why.
- 17.6 Notice of the decision of the academic progress committee must be served on the candidate within 10 days of the decision.
- 17.7 Where the academic progress committee terminates a candidature, the candidate may appeal the decision by giving written notice to the Provost within one month after the receipt of notice. Upon receipt of a notice of appeal, the Provost must convene a review panel to hear the appeal.
- 17.8 At a hearing of an academic progress review panel¹, a candidate may be heard personally or by way of a written submission or, where authorised by the chair of the sub-committee by a legally qualified representative.
- 17.9 After hearing the appeal, the review panel must recommend to the Provost whether or not to uphold the decision to terminate. The Provost, after considering the recommendations of the sub-committee, may allow or dismiss the appeal or make any other determination deemed appropriate.
- 17.10 The determination of the Provost is final.
18. Thesis and dissertation
- 18.1 A thesis and dissertation must:
- 18.1.1 Be prepared under supervision;
- 18.1.2 Be the sole work of the candidate, except where due reference is made in the thesis;
- 18.1.3 Demonstrate a thorough understanding of the subject matter of the thesis or dissertation;
- 18.1.4 Contribute to knowledge (theoretical or practical) and understanding in the field of study concerned; and
- 18.1.5 Demonstrate the capacity of the candidate to carry out research

¹ The academic progress committee will comprise of a Dean of a School (chair) and three senior members of the academic staff of the University (one of whom may be from the student's School).

¹ The review panel will comprise of a Dean of a School (chair) and three senior members of the academic staff of the University (one of whom may be from the student's School). No members of the original academic progress committee may be members of the review panel.

- 18.2 The thesis or dissertation must be of a nature and length prescribed in the relevant course regulations.
19. Submission of Thesis for Examination
- 19.1 After completing the study program, a candidate must submit a thesis embodying the results of the candidate's work to the School Research Committee.
- 19.2 A candidate's thesis will not be accepted for examination until the School Research Committee has recommended such action to the Provost.
- 19.3 The Supervisor will provide the School Research Committee with a statement certifying
- 19.3.1 Whether, to the best of the Supervisor's knowledge, the thesis is the original work of the candidate; and
- 19.3.2 Whether, in the Supervisor's opinion, the thesis is properly presented and worthy of examination.
- 19.4 The Supervisor's statement will be considered by the School Research Committee, along with the thesis put forward for examination.
- 19.5 If the School Research Committee expresses reservations about the suitability of the thesis for examination, the thesis will be referred to the Dean who will determine (after consultation with the candidate and the Supervisor and with reference to any other person(s) or sources deemed appropriate) whether the thesis should be sent to the Provost for examination or returned to the candidate for further work.
- 19.6 A candidate for a doctoral degree must submit in temporary binding four copies; a candidate for a Masters degree must submit three copies.
- 19.7 The thesis will be in the double-spaced typescript and must conform to the physical specifications approved by Academic Council.
- 19.8 A candidate must submit with the thesis a signed statement affirming that, to the best of the candidate's knowledge and belief, the thesis contains no material previously published or written by another person except where due reference is made in the thesis and that it contains no work which the student has previously presented for an award of the university or any other educational institution.
- 19.9 After submitting a thesis, a candidate may not withdraw it from examination unless authorised to do so by the Provost on the advice of the Dean.
20. Thesis Examination
- 20.1 Where the School Research Committee and Provost have decided that a thesis is to be examined, the Provost shall appoint examiners of thesis.
- 20.1.1 For Masters degrees, there shall be two examiners at least one of who must be from outside the university.
- 20.1.2 For professional doctorates, there shall be three examiners all of whom shall normally be from outside the university and at least one of whom is normally resident overseas.
- 20.1.3 For the Doctor of Philosophy, there shall be three examiners, all of whom shall normally be from outside the university and at least one of whom is normally resident overseas.
- 20.2 Each thesis examiner must make a separate report on the quality of the thesis, its strengths and weaknesses.
- 20.3 The report will include a recommendation on one of the following actions:
- 20.3.1 That the degree be awarded:

- (i) unconditionally; or
 - (ii) subject to the insertion of minor amendments; or
 - (iii) subject to the insertion of major corrections and/or additions.
- 20.3.2 That the degree not be awarded but that:
- (i) the candidate be permitted to submit a revised thesis for the same degree (this recommendation is not permitted for a resubmitted thesis); or
 - (ii) in the case of a thesis submitted for the PhD or professional doctorate, the candidate be permitted to revise and re-submit the thesis for examination for the degree of Masters by Research and Thesis;
- 20.3.3 That the degree not be awarded.
- 20.4 If an examiner does not provide a report on the thesis within a reasonable time, the Provost may appoint a new examiner in that person's place.
- 20.5 An advisory panel, constituted by the Provost and composed of senior academic staff of the university, reviews the examiners' reports.
- 20.6 The advisory panel may require a candidate to undergo such oral, written or practical examinations as it specifies.
- 20.7 Where there is a difference of substance between the recommendations of the thesis examiners, the advisory panel will adjudicate the differences.
- 20.8 Having received the recommendation of the advisory panel and the examiners' reports, the Provost must:
- (i) recommend to the Vice Chancellor that the degree be awarded; or
 - (ii) determine that the degree not be awarded but that one of the alternatives in Regulation 20.3.2 occur; or
 - (iii) determine that the degree not be awarded (before any such decision is made, the candidate must be provided the opportunity to comment on the examiners' reports).
- 20.9 Where the Provost gives the candidate leave to re-submit the thesis, the advisory panel will specify the changes and conditions required.
21. Binding and Distribution of Theses
- 21.1 Where the decision is made that the degree be awarded, the candidate will be responsible for ensuring that four bound copies of the final work and one electronic copy (including any changes that may have been required under Regulation 19.3) are deposited with the Office of the Provost.
- 21.2 The binding must comply with University requirements.
- 21.3 One bound copy together with the electronic copy is placed in the University Library, one copy is held by the candidate's College, one is provided to the Supervisor, and one copy is retained by the Office of the Provost.
- 21.4 The copy of the thesis held in the University Library may be made available to any person for consultation or copying, but for three years after the thesis is lodged (or any longer period determined by the Provost), it may be made so available only with the written consent of the author.
- 21.5 The candidate is required to sign a Library Release Form prior to graduation which waives the candidate's right of consent after three years.

22. Graduation and Degree Conferral
- 22.1 The candidate will be eligible for graduation and degree conferral only after the thesis has been endorsed by the Vice-Chancellor on the recommendation of the Provost.
- 22.2 The Provost will only make such recommendation if the Office of the Provost has:
- 22.2.1 Received sufficient bound copies of the thesis;
- 22.2.2 Received an electronic copy of the thesis;
- 22.2.3 A signed Library Release Form has been submitted.
23. Appeals
- 23.1 Procedural appeals against thesis examination may be made to the Vice Chancellor (or delegate), who will review the appeal.
- 23.2 Grounds for procedural appeal will normally be restricted to irregularities in the conduct of an examination.
- 23.3 A candidate may be heard personally or by way of a written submission or, where authorised by the Vice Chancellor (or delegate), by a legally qualified representative.
- 23.4 In all appeals, the decision of the Vice Chancellor (or delegate) shall be final.

End of regulations