Academic regulations for Higher Degrees by Research

These regulations form part of Research Policy 10 Higher Degrees by Research

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Research degree students must abide by the conditions of candidature as set out in these Academic Regulations, and all other relevant University policies, statutes, codes and guidelines.

Code of Conduct for Students
Code of Good Practice: Research Degrees Management and Supervision
Australian Code for the Responsible Conduct of Research
Responsible Practice in Research (RES1)
Higher Degree by Research Scholarships Policy (incorporating RTP Scholarships Policy) (RES 9)
Higher Degree by Research Supervision (RES 18)
PhD Program Collaboration (RES 19)
IP Policy and Guidelines (RES 22)
Student fees and loans (A47)
Enrolment (A48)
Sexual Assault and Sexual Harassment Policy and Procedures (C12)
Student complaints resolution (C17)

Definitions

Academic Unit research committee refers to the committee established by the Academic Unit with responsibility for monitoring and ensuring the effective conduct of research degree management.

Candidature is the period of enrolment in a research degree program.

Confirmation of Enrolment (CoE) refers to the document issued to international students studying in Australia on a student visa, for student visa purposes.

Creative Work(s) means here a product of human creative skill or its application, for example a painting, performance, novel, or multi-media presentation.

Dean of Research: the Dean of Research in each Academic Unit oversees the University’s research strategy and is responsible for the management and authority of research degree programs in their respective Academic Unit. The Dean of Research may delegate the management, responsibility and authority for research education and related activities to relevant role(s) within their respective Academic Unit.

Equivalent Full Time Student Load (EFTSL) is the measure used to determine a student's enrolled load. One ‘EFTSL’ is the amount of student load determined by the University to be equal to a full-time load for one student for one year, and is expressed at the University as 36 units. Unless stated otherwise, times stated in these regulations are in EFTSL and include part-time equivalence.

Form refers to all online and paper-based forms and applications.

Principal Supervisor is a university academic or adjunct staff member who has primary responsibility for guiding the postgraduate research undertaken by a designated HDR student and for overseeing the progress of that student towards completion of their research degree. The Principal Supervisor is normally responsible for decisions and processes as detailed in these regulations; however, the Supervisory Panel should be consulted as appropriate.

Publications may include where appropriate exhibitions and/or creative works.

Research Education Portfolio Leaders (REPLs) includes Research Degrees Coordinators and Program Directors: Professional Doctorate (Research) and their equivalents.
Research Period is an administrative period during which a research degree student is enrolled. Research degree students are enrolled in 2 research periods per year, the dates of which are published in the Academic Calendar.

Supervisory Panel is a team, usually comprising 3 to 5 members, who are responsible for providing supervision to a research degree student. The Panel must include a minimum of 2 UniSA supervisors, 1 of whom will be the Principal Supervisor. Supervisory Panels can also include experts from other disciplines and end-user advisors, where appropriate for the research degree student’s discipline and project.

Suspension: the research degree student has not completed the requirements for the award of the degree. Enrolment lapses prior to the completion process due to the student failing to make satisfactory progress. Within 3 years, the student may seek reinstatement and be re-admitted if appropriate support is available.

Termination may be determined as an outcome of a Formal Inquiry into alleged research misconduct. No reinstatement is permitted.

Thesis: a body of research work that is submitted by students for examination. Research work means any combination of a thesis, dissertation, portfolio of work, exegesis, creative work, published articles or written project depending on the particular program of enrolment.

Foreword

The University has established the Research Degrees Committee (RDC), a sub-committee of Academic Board, which has the delegated authority in matters relating to research education and training. [View the Terms of Reference].

RDC is responsible to Academic Board for the conduct of all matters pertaining to research education and training. RDC is also responsible for the administration of these academic regulations in accordance with the University’s policies.

RDC will establish an Examinations and HDR Academic Quality Panel to:

- provide determination on examination results
- provide determination on requests for variation to the oral defence of the thesis
- approve admissions into the PhD (by Portfolio of Publications).

Each Academic Unit has a research committee responsible for monitoring and ensuring the effective conduct of research education management within the area and for ensuring that the area adheres to relevant policies, regulations and codes. Responsibility for research degrees resides with the Dean of Research but may be delegated to relevant roles within the Academic Unit. The Dean of Research (or delegate) is required to complete authorisations at various points of candidature in accordance with these academic regulations.

Each Executive Dean will appoint at least 1 Research Education Portfolio Leader (REPL see definitions), who will oversee the quality of all components of the research degree program and monitor the progress of research degree students.
1. Higher degree by research programs and admission criteria

Research degree programs at University of South Australia are:

- Doctor of Philosophy
- Professional Doctorate by Research, where research shall constitute at least two-thirds of the degree
- Masters Degree by Research.

In addition to specific candidature prerequisites below, clause 3 outlines admission criteria and procedures for all research degree applicants.

In addition to prerequisites and admission criteria for research degree programs all international applicants:

- must meet the prescribed proficiency standards in English language as determined by the University
- may also need to demonstrate compliance with other relevant legislative requirements and/or Government criteria, for example, requirements relating to student visas.

1.1 Doctor of Philosophy (PhD)

1.1.1 Program

PhD programs provide training and education with the objective of producing graduates with the capacity to conduct research independently at a high level of originality and quality. By the end of the degree program, the PhD student ought to be capable of conceiving, designing and carrying to completion a research program without supervision.

The purpose of the PhD is to advance knowledge and/or the application of knowledge through the preparation of a substantial piece of work which represents a significant contribution to a particular field of study.

The PhD student submits for examination a written thesis or where indicated in the program documentation, a thesis which consists of written and creative work components. A research degree student submitting a thesis with creative components should refer to the Guidelines for the presentation of a thesis or exegesis. Research degree students who commenced after 1 January 2016 are required to undertake an oral defence of the thesis as part of their thesis examination.

1.1.2 PhD admission criteria

An applicant for a place in a Doctor of Philosophy program must satisfy the entry requirements set by the Research Degrees Committee which demonstrate competence to undertake a higher degree by research by:

a. holding or being eligible to hold from an approved higher education institution an award in an appropriate discipline which is assessed by this University as being equivalent to:
   i. an Honours degree or a Bachelor degree with Honours of at least class 2a standard; or
   ii. an appropriate Masters degree; or

b. satisfying the relevant Dean of Research (or delegate) of their fitness to undertake further advanced work on the basis of their standard of achievement in, and the relevance of, previous higher education studies, and/or relevant professional experience and/or published research work. Academic Units may admit students to study a research degree provided they have evidence that the applicant has a reasonable probability of successfully completing the degree to which they are admitted.
1.2 Doctor of Philosophy (by Portfolio of Publications)

1.2.1 Program

The purpose of the Doctor of Philosophy (by Portfolio of Publications) is to allow formal recognition of established researchers and/or scholars who:

a. do not already hold a PhD qualification
b. have produced research of international standing in their respective fields on the basis of their ongoing record of academic publication (work), and
c. for whom enrolment in the existing 'standard' PhD (by thesis) program is inappropriate.

The PhD (by Portfolio of Publications) enables the degree of PhD to be awarded to research degree students on the basis of their original and substantial scholarly contribution to knowledge as demonstrated in publications.

'Publications' in this program can include written texts such as books, articles in journals, conference papers and substantial commissioned research reports. It can also include work which does not take the form of written text, such as productions, exhibitions, designs or performance of a literary or creative work appropriate to the research degree student's discipline or medium presented as a durable visual record. Whatever form the published work takes it is necessary that it should, at the very least, have been accessible within the public domain and have undergone a refereed or substantive peer review process.

The thesis to be presented for examination will consist of:

a. a portfolio of refereed publications (as defined above) based on original research and
b. a substantive integrating written component.

The substantive integrating written component is to set out:

a. an argument linking the papers together into a coherent theme and
b. the way the publications submitted represent an advance in knowledge in the research degree student's discipline or field, or
c. the application of new knowledge or critical inquiry in original ways, or
d. new expressions of knowledge or critical creative insight.

The integrating written component must also contain a substantial theoretical component relevant to the research degree student's discipline or field. There is no stipulated word length as what is appropriate will vary with the nature of the submitted work and the research degree student's discipline or field. Any additional research to be undertaken should only be directed towards the development of the integrating theme.

The total submission must be at a standard appropriate for the award of the degree of PhD. Previous association with the University is not required.

The degree will be awarded to a research degree student who, through published work of which the research degree student is either sole author or joint author, has made a significant original scholarly contribution to knowledge and demonstrated a capacity for independent research, as judged by independent examiners applying appropriate international standards. Research degree students who commenced after 1 January 2016 are required to undertake an oral defence of the thesis as part of their thesis examination.

The published work may be based on or manifested in rigorous experimental, theoretical, creative, empirical and/or design inquiry. The standard for the degree will be the same as that required for the degree of Doctor of Philosophy at University of South Australia.
1.2.2 **Doctor of Philosophy (by Portfolio of Publications) admission criteria**

An applicant for admission to candidature for the PhD (by Portfolio of Publications) degree must satisfy the Research Degrees Committee that they:

a. are an established researcher and/or scholar, and

b. hold or are eligible to hold from an approved higher education institution an award in an appropriate discipline which is assessed by this University as being equivalent to:
   i. an Honours degree or a Bachelor degree with honours of at least class 2A standard; or
   ii. an appropriate Masters degree; or

c. hold such other qualifications as are acceptable to the Research Degrees Committee - in such cases the applicant must satisfy the Committee of fitness to undertake further advanced work on the basis of the standard of achievement in, and the relevance of, previous higher education studies, professional experience and published research work.

d. An applicant who has already been awarded a PhD will not be admitted to the degree.

e. An applicant who is pursuing, or who has pursued within the previous 3 years, a program of research under the RES-10 University's Higher Degrees by Research Policy, or an equivalent at another university, will not be admitted to candidature.

1.3 **PhD Collaboration**

PhD Collaboration refers to Jointly Supervised PhDs, Dual Award PhDs and Jointly Badged PhDs. Development, implementation and administration of such degrees will be in accordance with policy [RES-19 PhD Collaboration](#).

1.4 **Professional Doctorate by Research**

1.4.1 **Program**

The Professional Doctorate by Research comprises at least two-thirds research and meets scholarly and university standards of research practice. Research Degrees Committee has responsibility for program approval and monitoring. This degree is covered by these Regulations.

The Professional Doctorate by Research is a rigorous program of advanced study and research, designed specifically to meet the needs of industry and professional groups. Professional Doctorate by Research programs foster excellence in professional practice by developing the capacity of individuals to lead the development of knowledge in their professional contexts. The Professional Doctorate by Research encourages close cooperation between the University, industry and profession and provides a framework for the integration of professional expertise and scholarly inquiry.

The coursework component of the Professional Doctorate by Research is designed to build on the research degree student's professional expertise by exposing them to leading and challenging ideas in their fields. The research component of the Professional Doctorate by Research will direct and inform change in order to benefit the workplace and/or professional context. Supported by expert supervisors, Professional Doctorate by Research students bring the highest level of systematic research knowledge and practice to professional projects.

Students enrolled in a Professional Doctorate submit a thesis for examination. The thesis is as specified in the program approval documentation and may be a dissertation, portfolio of work, exegesis, creative works, published articles or written project, or any combination thereof, as specified for the particular program.
1.4.2 Professional Doctorate by Research admission criteria

An applicant for a place in a Professional Doctorate by Research must satisfy the entry requirements set by the Research Degrees Committee which demonstrate competence to undertake a higher degree by research by:

a. holding or being eligible to hold from an approved higher education institution an award, in an appropriate discipline, which is assessed by this University as being equivalent to:
   i. an Honours degree or a Bachelor degree with Honours of at least class 2a standard; or
   ii. an appropriate Masters degree; or
b. satisfying the relevant Dean of Research (or delegate) of their fitness to undertake further advanced work on the basis of their standard of achievement in, and the relevance of, previous higher education studies, and/or relevant professional experience and/or published research work. Academic Units may admit students to study a research degree provided they have evidence that the applicant has a reasonable probability of successfully completing the degree to which they are admitted.

c. Normally, having at least 5 years’ experience of practice in their relevant field and normally within the last 10 years.

1.5 Masters by Research

1.5.1 Program

Masters by Research programs have the objective of training research degree students in:

- analysing the literature, relevant creative works and debate in the substantive area of the thesis topic at an advanced level
- research methodology and techniques and in their critical evaluation, appropriate to the field of study, and
- the application of such methodology, by conducting a specified program of research under appropriate supervision.

A student enrolled in a Masters by Research submits for examination a written thesis, or where indicated in the program documentation, a thesis which consists of written and creative work components as outlined in the Guidelines for the presentation of a thesis or exegesis.

1.5.2 Masters by Research admission criteria

An applicant for a Masters by Research must satisfy the entry requirements set by the Research Degrees Committee which demonstrate competence to undertake a higher degree by research by:

a. holding or being eligible to hold from an approved higher education institution an award in an appropriate discipline which is assessed by this University as being equivalent to:
   i. an Honours degree or a Bachelor degree with honours; or
   ii. a relevant Bachelor degree (or equivalent) of at least 3 years with a minimum credit average
   iii. an appropriate Masters degree; or
b. satisfying the relevant Dean of Research (or delegate) of their fitness to undertake further advanced work on the basis of their standard of achievement in, and the relevance of, previous higher education studies, and/or relevant professional experience and/or published research work. Academic Units may admit students to study a research degree provided they have evidence that the applicant has a reasonable probability of successfully completing the degree to which they are admitted.
2. Research Degree Graduate Qualities

2.1 Research Degree Graduate Qualities

The 7 Research Degree Graduate Qualities build on and considerably extend the University’s 7 Graduate Qualities and are the guiding principles for postgraduate research degree programs.

The Research Degree Graduate Qualities are elaborated in ways that take into account the specific discipline, professional area and the research that is undertaken.

The identification of Research Degree Graduate Qualities builds upon work undertaken internationally which aimed to identify characteristics of high quality postgraduate research degrees. This work is linked to the general agenda of identifying and assuring quality in universities in terms of student learning outcomes.

The Research Degree Graduate Qualities and their indicators identify generic outcomes that result from a good research education experience and identify competencies that are transferable to the workplace, whether academic or professional.

2.2 Research and transferable skills development and training activities

The University recognises that research and transferable skills are developed by research degree students through both the execution of their research, and through additional research development and training activities. The framework for this skill development is delivered through UniSA EDGE (Enhancement of Doctoral Graduate Employability).

The EDGE Framework describes the skills, knowledge and experience which will be developed through participation in skill development and training activities and experiences, in alignment with the development of the Research Degree Graduate Qualities. All research degree students are required to participate in these activities as part of their research training, through EDGEx.

For research degree students, the nature of their participation in research development and training activities, within the EDGE Framework for skill development, is negotiated between the research degree student and their Supervisory Panel and documented in the Research Induction Plan and Statement of Agreement.

Consideration will be given to the Research Degree Graduate Qualities and the capabilities identified in the EDGE Framework in terms of the particular needs of the student, their career aspirations, and the particular field of their research. Participation will be reviewed and modified in subsequent planning and Review of Progress meetings between the research degree student and Supervisory Panel.

3. Application for admission

3.1 Application for admission for Doctor of Philosophy, Masters by Research and Professional Doctorate [excluding Doctor of Philosophy (by Portfolio of Publications)]

3.1.1 An application for admission to a place in a research degree program must be made via the prescribed application process and must include a proposed program of study in the form of a research outline. The research outline should be prepared after consultation with the proposed Principal Supervisor / Professional Doctorate by Research program director if required by the program. The research outline will include:

- a provisional thesis title
- a clear statement of the research topic
- the aim and significance of the research project
- a brief overview of previous relevant research
- a broad plan of action or methodology
- where creative works are to be included, an indication of the relative size and nature of the written and creative components.
3.1.2 The relevant Dean of Research (or delegate) will recommend admission to the research program taking into consideration the following factors:

- the qualifications and experience of the applicant
- whether the proposed program of research conforms to the educational profile and mission of the University
- whether the proposed program of research suits a higher degree by research
- whether the proposed program of research is feasible in terms of the ethics approval required
- an assessment of the existing intellectual property involved in the proposed program of research
- whether adequate supervision, physical and financial resources are available (see Appendix A - Statement of minimum resources for research degree students) for the proposed program of research
- in the case of PhD and Masters by Research applicants, a statement of willingness by the Principal Supervisor to supervise the proposed research
- referees’ reports.

3.1.3 The Dean of Research (or delegate) will approve or reject admission to a place in the research degree program and may set conditions on an offer of admission. An offer of admission will be provided in writing from the Director: Student and Academic Services, together with instructions to the student on how to accept the offer. Correspondence from other parties does not constitute an offer of admission.

3.1.4 In making offers for admissions, the University may also take into account relevant legislative or Government policy requirements, for example requirements relating to visas and Australian Autonomous Sanctions.

3.1.5 The University reserves the right not to offer a place. This decision is final and no correspondence will be entered into.

3.2 Application for admission for Doctor of Philosophy (by Portfolio of Publications)

3.2.1 An application for admission to candidature must be made via the prescribed application process and include a research statement, prepared in negotiation with the proposed Principal Supervisor. The research statement should be prepared in accordance with the guidelines for the preparation of research statements for Doctor of Philosophy (by Portfolio of Publications).

3.2.2 In order to demonstrate the applicant is an established researcher, the application must also include the following:

a. a copy of the applicant's curriculum vitae
b. copies of the publications, in chronological order, which are intended for inclusion in the thesis together with appropriate proof of peer review, e.g. government requirements or internal UniSA publication guidelines. The published work intended to be included in the thesis will not normally be more than 10 years old at the time of application and must have been published in English, or if not, a certified translation must be supplied
c. a statement that published works or the contents have not been included in any other work leading to an academic award
d. a statement making clear the extent of the applicant's contribution to each jointly authored publication. All authors for each jointly authored publication must sign a declaration that demonstrates the percentage of their contribution for each publication
e. a statement and evidence to enable assessment of ethical acceptance
f. a commitment by the applicant to work regularly on the approved program of study and to maintain regular contact with the supervisors and REPL.
3.2.3 An application for admission will be assessed by the Examinations and HDR Academic Quality Panel of Research Degrees Committee. The following factors will be taken into consideration when assessing the application:

a. the qualifications and experience of the applicant
b. the detailed research statement submitted by the applicant which may include any additional research required (see Guidelines). Any additional research should only be directed towards the development of the integrating theme
c. a statement of willingness by the Principal Supervisor to supervise the proposed program
d. the suitability of the proposed program of study and the research topic for a PhD degree
e. whether the proposed program of study conforms to the University's research profile and mission
f. whether adequate supervision and physical and financial resources are available
g. the assessment of ethical considerations and
h. the assessment of intellectual property considerations.

3.2.4 The Examinations and HDR Academic Quality Panel will consider the submission and where, in the opinion of the Panel the applicant:

a. satisfies the entry requirements, and
b. has a substantial record of ongoing research and publications, and
c. has submitted a portfolio that is prima facie worthy of examination for a PhD by Portfolio, notwithstanding the requirement for a substantive written component as described in clause 16.2 it will make recommendation on admission and may set conditions on an offer of admission.

3.2.5 The Dean of Graduate Studies will have responsibility to ensure that the members of the Examinations and HDR Academic Quality Panel are independent of the applicant.

3.2.6 The University reserves the right to seek referees' reports.

3.2.7 The University reserves the right not to offer a place. The decision is final and no correspondence will be entered into.

4. Enrolment

4.1 Initial enrolment

4.1.1 An applicant who accepts an offer of admission to a place in a Higher Degree by Research program must commence within the time specified in the letter of offer unless a written request for a deferment of enrolment is approved by the Dean of Research (or delegate) (see clause 4.1.2). Any written request for a deferment must be made as early as possible, and no later than 1 week prior to the expected date of commencement. Students who do not submit a written notification of deferment at least 1 week prior to their approved start date are ineligible for deferment.

4.1.2 The relevant Dean of Research (or delegate) may permit the deferral of initial enrolment (see clause 4.1.1) for a period not exceeding 12 months.

4.1.3 Failure to enrol within the specified time subject to clause 4.1.1 may result in the research degree applicant forfeiting their offer.

4.1.4 All research degree students (excluding PhD by Portfolio of Publications) must be enrolled as provisional students and will be subject to the provisions contained in clause 4.3.

4.2 Commencement of degree

4.2.1 The degree commences from the date of initial enrolment, unless otherwise determined by the relevant Dean of Research (or delegate).

4.2.2 Research degree students must comply with the enrolment dates indicated by the University.
4.3 Provisional enrolment and Confirmation of Candidature

Research degree students (except those undertaking a PhD by Portfolio of Publications) are enrolled provisionally until the requirements for Confirmation of Candidature are met.

For research degree students undertaking a PhD (by Portfolio of Publications), candidature will commence from the date of initial enrolment, unless otherwise determined by the Research Degrees Committee.

4.3.1 Research degree students will complete the Research Induction Plan with their Principal Supervisor within 2 weeks of commencement.

4.3.2 Students and supervisors will complete a Statement of Agreement within 6 months of commencement in a higher degree by research program (except for students undertaking a PhD by Portfolio of Publications see clause 4.3.3).

4.3.3 Research degree students enrolled in the PhD by Portfolio of Publications will complete the Statement of Agreement within 2 weeks of commencing the degree.

4.3.4 Within 6 months full-time study, or up to 12 months where specified by the student's home Academic Unit:
- PhD (excluding PhD (by Portfolio of Publications)) and Masters by Research students are required to have their Research Proposal and Confirmation of Candidature approved by the relevant Dean of Research (or delegate).
- Professional Doctorate by Research students are required to have successfully completed 18 units of the coursework component, approved by the Program Director.

4.3.5 Confirmation of Candidature is recommended by the Review Panel (see clause 5) and approved by the relevant Dean of Research (or delegate). It includes approval of the Research Proposal, the Statement of Agreement and the Research Induction Plan.

4.3.6 A research degree student transferring from another higher degree by research must satisfy the Confirmation of Candidature requirements for the new research degree.

4.3.7 A research degree student who is not able to complete the Confirmation of Candidature requirements within the provisional enrolment timeframe must apply for an extension to the relevant Dean of Research (or delegate) at least 1 month prior to the due date of their Research Proposal. Any application for extension must be justified and include a supporting statement from the Principal Supervisor and be agreed to by the Dean of Research (or delegate). Normally, an extension will be granted for a maximum of 3 months.

4.3.8 A research degree student who is not able to complete the Confirmation of Candidature within an approved extension period will be advised that they are making unsatisfactory progress (see clause 9.0) and will be required to meet the agreed requirements and timelines to avoid suspension of their candidature.

4.4 Conditions for enrolment

Conditions of enrolment will be in accordance with Academic Policy A-48 Enrolment and subject to additional requirements as outlined below.

Subject to clause 4.3 (Provisional Enrolment and Confirmation of Candidature), an enrolled research degree student will remain enrolled in each calendar year following initial enrolment until:
- all components of the degree program have been completed and the final thesis is submitted and the student is conferred with the degree, or
- withdrawal, suspension or termination of the enrolment.

4.4.1 Continued enrolment is subject to the research degree student's satisfactory progress (see clause 8).
4.4.2 Students who fail to pay their fees and charges by the due date may have their enrolment in future study periods cancelled. Students will not be permitted to re-enrol in the following academic year, be issued with a Confirmation of Enrolment, obtain an academic transcript, or graduate until all outstanding fees and charges are repaid in accordance with the policy A-47 Student Fees and Loans.

4.4.3 A research degree student required to undertake major revision of the thesis after examination may be required to pay fees for the period required to undertake corrections where the 4 year EFTSL allocation of the completion of the PhD has lapsed and no exceptional circumstances have been demonstrated.

4.4.4 Where progress is deemed to be unsatisfactory, the relevant supervisor and REPL may recommend suspension of the enrolment of a research degree student (see clauses 10 and 11).

4.5 Duration of enrolment

4.5.1 PhD students and supervisors are expected to develop a research project which will enable the research degree student to submit the thesis for examination within 3 years from initial enrolment. Research doctoral programs are for 4 years to allow for examination and possible resubmission.

4.5.2 Masters by Research students are allocated a maximum of 2 years to complete their degree.

4.5.3 The periods of maximum candidature, as outlined in clauses 4.5.1 and 4.5.2, include provisional enrolment, any periods of candidature for any previous higher degree by research prior to transfer, and exclude periods of approved deferment and approved leave of absence.

4.5.4 If the thesis has not been submitted for examination within the period of maximum candidature, the research degree student will be required to show cause to the relevant Dean of Research (or delegate) why enrolment and supervision should not be discontinued.

4.5.5 Subject to clause 4.5.6, in exceptional circumstances, in order to complete the degree requirements, the Dean of Research (or delegate) may approve extra time in addition to the maximum allocated time outlined above. Extra time will be subject to the payment of any applicable tuition fees, availability of supervision and subject to progress being monitored on a prescribed basis by the Dean of Research (or delegate).

4.5.6 For international student visa holders:

a. International student visa holders must complete their degree within the expected duration of their program, as specified in their Confirmation of Enrolment (CoE).

b. Extra time will only be considered on the grounds of:
   i. demonstrable evidence of compassionate or compelling circumstances;
   ii. an intervention strategy following a Review of Progress in accordance with clause 9; or
   iii. an approved leave of absence in accordance with clause 4.9.

c. Where extra time has been granted under this clause above, a record of the variation and the reasons for the variation will be recorded on the student record.

d. Where extra time has been granted, Student and Academic Services will issue a new CoE and notify the Australian Government of the approved variation.

e. Where a student does not complete within the duration of the student’s program as specified on the CoE, and extra time has not been approved, the University will not issue a new CoE.

f. Where a student transferring from another Australian Higher Education Provider has prior candidature, this prior candidature length will be deducted from the total program length. If prior candidature reduces the length of the program and CoE, this will be included in the letter of offer.
4.5.7 Requests to go over the allocated time of candidature must be made using the appropriate form. Research degree students must not assume that their request has been approved unless they have been notified in writing by Student and Academic Services.

4.5.8 The minimum period of enrolment which may be approved by the Research Degrees Committee for a Doctoral degree will normally be not less than:

- 18 months full-time equivalent for a Doctoral student [excluding PhD (by Portfolio of Publications)] or
- 12 months full-time equivalent for a Masters by Research student, or
- 12 months full-time equivalent for a Doctoral student (by Portfolio of Publications).

In exceptional circumstances, the period of minimum enrolment may be reduced by the Research Degrees Committee, on a recommendation from the Dean of Research (or delegate).

4.6 Change of load between full-time and part-time enrolment

4.6.1 A research degree student may change load from full-time to part-time candidature, or vice versa, provided that the supervisor and REPL approve the recommendation.

4.6.2 For international student visa holders, a change of load from full-time to part-time candidature can only be approved if it is part of an intervention strategy following a Review of Progress in accordance with clause 8 or if they return permanently to their home country and wish to continue their enrolment as an external student. This will result in the cancellation of any active CoE (see clause 4.7.2).

4.6.3 Normally, research degree students receiving a living allowance will be enrolled full-time. In exceptional circumstances a change of load from full-time to part-time may be considered by the relevant Dean of Research (or delegate) (in accordance with RES-9 Higher Degrees by Research Scholarships Policy (incorporating RTP Scholarships Policy) clause 10).

4.6.4 Requests for change of load should be made via the prescribed application process. Research degree students must not assume that their request has been approved unless they have been notified in writing by Student and Academic Services.

4.7 Change of mode between internal and external enrolment

4.7.1 Subject to clauses 4.7.2 and 4.7.3, a research degree student may change mode from internal to external candidature, or vice versa, provided the supervisor and REPL approve the recommendation.

4.7.2 International student visa holders must be enrolled internally. If an international student permanently remains in their home country and wishes to continue their enrolment they must apply for a change of mode. This will result in the cancellation of any active CoE.

4.7.3 University research degree scholarship conditions require students to reside in South Australia (except in exceptional circumstances), therefore research degree students on a scholarship who apply for a change of mode from internal to external must seek approval from the relevant Dean of Research (or delegate).

4.7.4 Requests for change of mode should be made via the prescribed application process. Research degree students must not assume that their request has been approved unless they have been notified in writing by Student and Academic Services.

4.8 Concurrent enrolment

4.8.1 A research degree student may not enrol in a program leading to the award of another degree at this or another institution while enrolled in a research program at this University, except in exceptional circumstances where the second program complements the research program.
4.8.2 For international student visa holders, enrolling in a second program is dependent upon whether the student will remain able to complete their higher degree by research program within the duration of their CoE and maintain satisfactory progress as required by these Regulations.

4.8.3 The research degree student must make a case to the relevant Dean of Research (or delegate) for permission to enrol in a second program, including evidence of academic achievement that indicates that the studies to be undertaken will not impact adversely on the progress of the research degree. The request must have the support of the supervisors and the REPL.

4.8.4 Any hours devoted to such concurrent study are to be included within the time allowance for paid employment (see clause 4.15).

4.8.5 In each Review of Progress, the supervisors will be required to advise if the concurrent enrolment has impacted adversely on the research degree student's progress in the program. If progress is not satisfactory, approval for concurrent enrolment will be rescinded.

4.8.6 A research degree student may be required to enrol in any such courses or activities at this University as may be prescribed by the Research Degrees Committee or which support the research degree. These courses will be negotiated between the Principal Supervisor and research degree student and included in the Research Induction Plan and Statement of Agreement.

4.9 Recreation leave and leave of absence

4.9.1 Recreation Leave
All students are entitled to 20 working days recreation leave in each full-time equivalent year of enrolment. This is not deemed to be leave of absence for the purpose of calculating consumed candidacy load.

4.9.2 Leave of Absence
Reasons for leave of absence include sick leave, carer’s leave, maternity and adoption leave, parenting leave, and personal leave.

4.9.3 All provisions in these regulations regarding leave of absence are subject to relevant requirements for international student visa holders (see clause 4.9.16).

4.9.4 A research degree student may take a leave of absence after enrolling but not within the period of provisional enrolment unless there are exceptional circumstances.

4.9.5 Any type of leave of absence taken during candidature will count towards the total amount of leave. This applies to both full-time and part-time research degree students.

4.9.6 Prior to commencing the leave, a request for leave of absence must be approved by the supervisor and the REPL. Where the intended period of leave exceeds 20 working days, the student must submit a study plan, endorsed by the supervisor, detailing milestones for the 6 months following expected return from leave.

4.9.7 Retrospective leave will not be approved, except in special circumstances. Leave will be considered retrospective if the commencement date of the leave falls within a Research Period that has ended. If a student requests retrospective leave, they must demonstrate that special circumstances have impacted upon their ability to study, supported by documentary evidence, within 12 months of the enrolment period being applied for. Special circumstances are those which include, but are not limited to, medical, family, personal, employment or program-related circumstances which were:
- beyond the student's control, and
- did not make their full impact on the student until on or after the census date, and
- the circumstances made it impracticable for the student to complete the requirements of the research degree during the study period in which the student ended.
Retrospective leave may also be approved where there has been an administrative error by the University.

4.9.8 The research degree student will be notified by Student and Academic Services of the outcome of their application.

4.9.9 Normally, leave of absence for reasons other than in clause 4.9.14 may only be taken for a maximum of 6 calendar months at any one time. The relevant Dean of Research (or delegate) must approve a request for leave that is 6 months or greater, or where a student has already taken 6 months leave.

4.9.10 Normally, leave of absence will not be approved for a research degree student who has exceeded the allocated period of candidature, except when approved by the relevant Dean of Research (or delegate), due to special circumstances (see clause 4.5). Special circumstances are those which include, but are not limited to, medical, family, personal, employment or program-related circumstances.

4.9.11 The total period of the leave of absence accumulated in a given candidature will not normally exceed 12 calendar months. However, if the relevant Dean of Research (or delegate) deems the circumstances to be exceptional, leave in excess of 12 calendar months may be granted.

4.9.12 A research degree student requiring leave in excess of 24 calendar months must apply to the Dean of Graduate Studies. Any application for this leave must be justified by the research degree student and must include a supporting statement from the Principal Supervisor and be supported by the relevant Dean of Research (or delegate).

4.9.13 Leave periods and entitlement to scholarship payments during periods of leave are dependent on the type of leave and the Scholarship Benefits and Conditions (domestic and international).

4.9.14 In exceptional circumstances, leave of absence of up to 12 calendar months may be granted to a research degree student wishing to enrol for a program leading to the award of another degree or diploma, provided that:
   a. the program is complementary to the research degree student's program of research
   b. the leave and program are justified by the research degree student
   c. the leave has the support of the Principal Supervisor.

   Leave undertaken for this purpose will count towards the total amount of leave (see clause 4.8).

4.9.15 At the discretion of the relevant Dean of Research (or delegate), a research degree student may be placed on administrative leave for up to 6 months where progress is being impeded for reasons such as change of supervision or approval of change to the program of research. Limited support will be available during this period and any scholarship will be suspended for the period of the administrative leave.

4.9.16 In accordance with The National Code 2018, international student visa holders are not permitted to take leave of absence except on the grounds of 'compassionate or compelling circumstances' (i.e. circumstances that are beyond the control of the student and have an impact upon the student's academic progress or wellbeing, as supported by documentary evidence).

Examples of compassionate or compelling circumstances include, but are not limited to:
   a. serious illness or injury as supported by a medical certificate
   b. bereavement of close family members such as parents or grandparents (where possible a death certificate should be provided)
   c. major political upheaval or natural disaster in the home country requiring emergency travel, which has impacted on the student's studies
   d. where a supervisor has been unavailable, due to circumstances outside of the University's control, and this has affected the student's progress

Last updated 30/04/2020
4.11 For international student visa holders, leave of absence may result in cancellation of the student's CoE, which may affect their student visa.

4.10 **Withdrawal from candidature**

4.10.1 A research degree student who wishes to withdraw should discuss their plans for withdrawal with their Principal Supervisor, their Supervisory Panel, and/or their REPL. If, following discussion, the student still wishes to withdraw, they should submit the appropriate form to the relevant Dean of Research (or delegate).

4.10.2 Where an international student visa holder withdraws from their program, their CoE will be cancelled. Scholarship payments cease upon withdrawal from candidature.

4.10.3 A research degree student may apply to be re-admitted to their research program (see clause 19).

4.11 **Transfer to another higher degree by research at the same program level**

4.11.1 A research degree student may be permitted to transfer to a different research degree program provided that the criteria for admission have been met. Recommendations for transfer must:

   a. state that the relevant areas agree to the transfer and that the appropriate resources are available to enable the student to complete the degree

   b. include a review of the Research Proposal or, where the student is transferring to a different Academic Unit/Institute but has the same research topic, approval of the Research Proposal is provided by the relevant Dean of Research (or delegate).

   If approved, the period of enrolment (excluding periods of deferral and leaves of absence) will be counted towards the new degree.

4.11.2 A research degree student who wishes to transfer programs should apply via the prescribed application process.

4.11.3 The research degree student will be notified in writing by Student and Academic Services of the outcome of their application.

4.12 **Transfer from Masters by Research to a doctoral program**

4.12.1 A research degree student may apply to transfer from a Masters by Research to a PhD or Professional Doctorate provided that the criteria for admission have been met.

   If approved, the period of enrolment (excluding periods of deferral and leaves of absence) will be counted towards the new degree.

4.12.2 A research degree student who wishes to transfer from a Masters by Research to a doctoral program should apply via the prescribed application process.

   Recommendations for transfer must:

   a. include a review of the Research Proposal, updated to include details of the research project of appropriate scope, level and discovery for a doctoral program, and any other requirements as provided by the Academic Unit;

   b. state that the relevant areas agree to the transfer and that the appropriate resources are available to enable the student to complete the degree;

   c. be accompanied by a recommendation outlining how the student meets the criteria for admission to a doctoral program;

   d. be approved by the relevant Dean of Research (or delegate).
4.12.3 Extension to scholarships resulting from the change in program length will require approval from the scholarship provider. The duration of scholarship support already received will be deducted from the remaining scholarship length.

4.12.4 The research degree student will be notified in writing by Student and Academic Services of the outcome of their application.

4.13 **Transfer from a doctoral program to a Masters by Research**

4.13.1 A research degree student may apply to transfer from a PhD or Professional Doctorate to a Masters by Research program prior to submission of the thesis.

If approved, the period of enrolment (excluding periods of deferral and leaves of absence) will be counted towards the new degree.

4.13.2 A research degree student who wishes to transfer from a doctoral program to a Masters by Research should apply via the prescribed application process.

Recommendations for transfer must:

a. include a review of the Research Proposal, updated to include details of the research project of appropriate scope for a masters program;

b. state that the relevant areas agree to the transfer and that the appropriate resources are available to enable the student to complete the degree;

c. be approved by the relevant Dean of Research (or delegate).

4.13.3 Normally, a change from a doctoral to a Masters by Research program will result in a decrease in the maximum period of scholarship support for students on scholarship. The duration of scholarship support already received will be deducted from the remaining scholarship length.

4.13.4 The research degree student will be notified in writing by Student and Academic Services of the outcome of their application.

4.14 **International students transferring between UniSA research degrees or to another institution**

4.14.1 An international student visa holder who wishes to transfer to another institution and has not completed 6 calendar months of study at this University, will require a release in accordance with A-48 Enrolment Policy (see clause 11.6).

4.14.2 International student visa holders must obtain a new CoE where required and ensure that their visa covers the period in which they will be enrolled in the new program.

4.15 **Where the program change is instigated by the University, students will be informed in writing.**

4.16 **Studying away from the University**

This section applies to research degree students wishing to undertake study away from the university either overseas or interstate. This includes external students who are undertaking study away from their primary study location but excludes students undertaking a Joint or Dual Award PhD and offshore research degree students.

4.16.1 In all cases where a research degree student is studying away from the University to pursue research overseas or interstate the student must obtain written permission from their Principal Supervisor, REPL and Dean of Research (or delegate).

4.16.2 International student visa holders are required to ensure their proposed arrangements to study away from the University do not conflict with their visa requirements.

4.16.3 Applications to study away from the University will be made via the prescribed application process and provide a detailed plan of activities to be undertaken as well as an invitation from the university, institution or organisation the student is visiting (where the student is not visiting a university or institution approval from the appropriate authorities must be provided). A copy must be provided to Student and Academic Services to be retained in the student record.
4.16.4 A request to study away from the University will only be approved once the research degree student's candidature has been confirmed.

4.16.5 Normally, the maximum period of study away from the University will be 6 months.

4.16.6 A research degree student may include recreational travel during their time of study away but approval must be obtained prior to travel (see clause 4.9). For international students this is subject to student visa requirements (including that students must not have more than 28 days without enrolment).

4.16.7 Student enrolment will be maintained during the approved period of time the student is undertaking study away from the University.

4.16.8 A research degree student cannot use the length of time spent undertaking study away from the University as a reason for either an extension of candidacy or scholarship.

4.16.9 Any research degree student permitted to study away from the University must comply with the requirements of the overseas institution, undertake appropriate health and vaccination advice, consult regularly the Australian Government's travel advisory and ensure appropriate insurance cover is held.

4.16.10 Students must adhere to the University's travel guidelines.

4.17 Communication

4.17.1 The University's primary method of communication with students is electronic, through the UniSA student email account and the student portal. All students are expected to check their UniSA student email account and any announcements on the student portal on a regular basis.

4.17.2 During a Formal Inquiry and/or appeal process, a copy of the communication will also be sent to the student's postal address.

4.17.3 Provisions will be made for students who do not have access to electronic communication (see Guidelines on electronic communications with students).

4.17.4 Copies of all formal correspondence with a student and any other relevant documentation pertaining to the procedures outlined in these Regulations will be retained on the student record in Student and Academic Services.

4.18 Recommended working hours

4.18.1 It is recommended that full-time research degree students undertake paid employment for no more than 8 hours per week or for a total of the equivalent of 8 hours per week over a 12-month period. The hours of work include marking and preparation associated with part-time teaching duties.

4.18.2 A student may undertake work outside the research degree subject to the approval of their supervisors. International students must ensure this is consistent with the conditions of their student visa.

4.18.3 A supervisor may not endorse a student undertaking work unless he/she is satisfied that the work will not interfere with the student's study program. The work must be documented in the Reviews of Progress and regularly monitored.

4.18.4 Work commitments cannot be accepted as grounds for an extension to scholarship or application to go overtime.
5. Research Proposal and Confirmation of Candidature

Note: This section does not apply to research degree students admitted to a PhD (by Portfolio of Publications). These students must have their research statement approved prior to commencement of candidature (see clause 3.2.1 and the Guidelines for the preparation of Research Statements).

For all other research degree students, a Research Proposal must be approved by the Dean of Research (or delegate) before a PhD or Masters by Research student can proceed with the research program and move from provisional to confirmed candidature.

5.1.1 The structure and terminology of the Research Proposal may vary between different research degree programs. The form and content of the Research Proposal will be as specified by the Academic Unit for the relevant program.

5.1.2 Within the Research Proposal, the research degree student should explain how the Research Degree Graduate Qualities will be developed during the program (see the Guidelines for the preparation of research proposals).

5.1.3 Research degree students must submit the Statement of Agreement with their Research Proposal (see the Guidelines for the Statement of Agreement).

5.2 Confirmation of Candidature

5.2.1 Unless an extension has been granted:
   - PhD and Masters by Research students must present and have approved a comprehensive Research Proposal, normally before the expiration of a maximum of 6 months full-time study, or up to 12 months where specified by the student's home Academic Unit.
   - Professional Doctorate by Research students must have their Research Proposal developed and approved before they are enrolled in the research component of the degree.

5.2.2 A research degree student who transfers between higher degrees by research programs must have their Confirmation of Candidature approved by the relevant Dean of Research (or delegate), see clause 4.11.

5.2.3 The Dean of Research (or delegate) will establish a Panel to review each research degree student's Research Proposal and will establish guidelines for the composition of the Panel. A Panel meeting may occur face-to-face or by teleconference (see clause 4.3.6).

5.2.4 Each research degree student must present and defend their Research Proposal to the Review Panel and include the Statement of Agreement (see clause 4.3.6).

5.2.5 The Panel will advise the Dean of Research (or delegate) that:
   a. the Research Proposal should be accepted and that the Statement of Agreement is appropriate for supporting the research project and timelines, or
   b. the research degree student should be required to undertake amendments for the proposal and/or the Statement of Agreement to be accepted, or
   c. the Research Proposal and/or Statement of Agreement should not be approved, and the research degree student should be suspended, where the student has had a reasonable opportunity to improve the proposal and still does not meet requirements (see clauses 9 and 10), or
   d. the Research Proposal and/or Statement of Agreement should not be approved, and the research degree student should be transferred to another program, where the student has had a reasonable opportunity to improve the proposal and does not meet requirements.

5.2.6 On the advice of the Panel, the Dean of Research (or delegate) will formally advise the research degree student of the outcome of the Panel meeting. The Panel Chair will provide written feedback from the Panel to the research degree student and the Dean of Research (or delegate).
5.2.7 Based on the outcome of the Panel meeting, the Dean of Research (or delegate) will notify Student and Academic Services for inclusion in the student records.

6. Programs of research

6.1 A research degree student will undertake a program of research under supervision in order to complete a thesis for examination.

6.1.1 A research degree student will enter into a formal Statement of Agreement with the supervisors regarding the completion of the research (see Guidelines for the Statement of Agreement).

6.1.2 The primary role of each full-time PhD and Masters by Research student is to work on their thesis and, for all research degree students, to complete the degree within the maximum allocated time of enrolment.

6.1.3 A research degree student studying on campus is required to attend the Orientation Session. A research degree student studying off campus is required to participate in the online Orientation Program. All students are expected to participate in research and transferable skill development and training activities, through EDGE.

6.1.4 A research degree student studying on campus is required to attend the Orientation Session. A research degree student studying off campus is required to participate in the online Orientation Program. All students are expected to participate in research and transferable skill development and training activities, through EDGE.

6.1.5 The research and study will be carried out either within the University or within an industrial, commercial, government, educational, research or other organisation approved by the Dean of Research (or delegate).

6.1.6 If a Professional Doctorate by Research student is to complete a prescribed practical component in their program, normally the student will be monitored by University staff who are recognised by the relevant Academic Unit as providing leadership in the relevant professional field. In the event that a student is supervised by professional leaders external to the University and approved by the Academic Unit, the Professional Doctorate by Research Program Director will be responsible for monitoring the student's progress.

6.2 Intellectual property

Provisions relating to intellectual property are contained in the RES-22 Intellectual Property: Ownership & Management policy. This policy, and the Statement of Agreement Form outlines the considerations that require the completion of the Student Participation/Intellectual Property Agreement. Copyright in all theses will remain the property of the research degree student.

7. Supervision requirements

7.1 Appointment of Supervisors

The requirements, authorities and procedures for the appointment of postgraduate research supervisors are outlined in policy RES-18 Higher Degree by Research Supervision and the associated procedures. Additionally:

7.1.1 Supervisors are appointed on the basis that their research expertise is appropriate to the research outline indicated in the application. Students will be supervised by a Supervisory Panel, with the Panel composition determined as appropriate for the student's research and intended career path. The Panel will consist of a minimum of 3 people made up of:

a. a Principal Supervisor (mandatory),

b. one or more co-supervisors/associate supervisors from the student's discipline area,

c. one or more co-supervisors/associate supervisors from other disciplines,

d. one or more advisors who are end users of research in the discipline.
7.1.2 At the point of recommendation for admission, the relevant Dean of Research (or delegate) is responsible for ensuring that each PhD and Masters by Research student has a Principal Supervisor and one other supervisor appointed. Where possible, other Panel members should be appointed at the same time.

7.1.3 For Professional Doctorate by Research students, supervisors will be appointed at the commencement of the degree. The requirements will be as specified in the appropriate professional doctorate program information.

7.1.4 A minimum of 2 UniSA supervisors must be appointed to a research degree student at the point of a student’s recommendation for admission. Remaining Panel members must be appointed by Confirmation of Candidature, at the latest.

7.2 Changes to supervisory arrangements

7.2.1 In the event that the designated Principal Supervisor is unavailable or unable to supervise the research degree student for periods of up to 6 weeks a co-supervisor will ensure continuity of supervision during that period.

7.2.2 In the event that the designated Principal Supervisor is unable to supervise the research degree student effectively for a period of 6 weeks or more, the Executive Dean/Institute Director, in consultation with the REPL and research degree student, will nominate a replacement supervisor, in accordance with RES-18 Higher Degrees by Research Supervision and the University’s approved procedures.

7.2.3 In the event that the Research Proposal requires a change in supervision for its approval to occur, the Executive Dean/Institute Director, in conjunction with the research degree student and REPL, will nominate a replacement supervisor in accordance with RES-18 Higher Degrees by Research Supervision and the University’s relevant procedures. The University will exercise due diligence to find suitable supervisory arrangements in such instances. If the University is unable to find replacement supervision, decisions pertaining to the student’s enrolment will ultimately be determined by the Dean of Graduate Studies.

7.2.4 Where a research degree student wishes to change the focus of the research after the Research Proposal is accepted and which requires a change in supervision, the student must apply to the Dean of Research (or delegate) to vary the research. In these circumstances, the University reserves the right to decline the proposed change of focus. In such instances, decisions pertaining to the student’s enrolment will ultimately be determined by the Dean of Graduate Studies.

7.2.5 At any stage of candidature, where additional expertise is required and in consultation with the Principal Supervisor and REPL, a research degree student may add a supervisor or advisor to their Supervisory Panel in accordance with RES-18 Higher Degrees by Research Supervision and the University’s relevant procedures.

8. Monitoring progress

8.1 A research degree student must make satisfactory progress in the research to remain in the research program.

8.2 Professional Doctorate by Research students must also make satisfactory progress during the coursework component to obtain approval for continued enrolment in the program.

8.3 Reviews of Progress must be undertaken in accordance with the relevant University procedures.
8.4 A research degree student shall have the right to discuss any matter pertaining to the progress of the candidature with the Principal Supervisor, any other member of the Supervisory Panel, the REPL, Executive Dean or the relevant Dean of Research (or delegate), as appropriate, to resolve any impediment to that progress. However, where possible a problem will be dealt with at the local level and will involve as few people as possible. Problems should not be escalated before attempting local resolution.

8.5 The purpose of Reviews of Progress is to:
- assist research degree students to progress through their award
- provide support to research degree students with their progression
- allow for intervention where research degree students are not progressing according to plan
- meet legislative and University requirements
- ensure research degree students have access to appropriate resources, and
- ensure the University’s duty of care to research degree students is met.

8.6 Each research degree student, Principal Supervisor and REPL must undertake at least 2 documented planning and review sessions each year (no more than 6 months apart) (for Professional Doctorate by Research students, this occurs in the research component of the program only). These are known as Reviews of Progress. These reviews will inform continued enrolment.

8.7 The Statement of Agreement shall inform the Review of Progress and, along with the student's progress plan, any decisions relating to applications for:
- extensions to scholarships and fee-relief,
- variations to candidature,
- overtime, and
- extensions to CoEs

8.8 A record of the Review of Progress shall be retained on the student record. The following outcomes will be recorded as appropriate:
- Satisfactory: the research degree student is meeting the requirements of the Statement of Agreement and previous Reviews of Progress, and therefore academic progress is deemed to be satisfactory;
- Satisfactory with concerns: concerns were raised but have been resolved to the satisfaction of all concerned and documented;
- Conceded satisfactory: the enrolment is to be subject to the student meeting specified research milestones and timelines agreed with the supervisor, and may be subject to additional Reviews of Progress;
- Unsatisfactory: unsatisfactory progress will be managed in accordance with clause 9. Unsatisfactory Progress.

8.9 Where a research degree student fails to participate in the Reviews of Progress, and an exemption to participation is not in place, they may be administratively withdrawn (see clause 12). Exemptions to participation in Reviews of Progress are limited to extenuating circumstances, on compassionate or medical grounds.

8.10 Where there are concerns about the progress of a research degree student the research degree student will be informed in writing of the requirements necessary to make satisfactory progress. The research degree student may be required to undertake additional Reviews of Progress. A copy of the requirements and intervention strategy (see clause 9.2.1) will be provided to Student and Academic Services and retained on the student record.
8.11 In the event that a problem which is impeding progress is not resolved through the review procedure, the research degree student has the right to submit a case to the Dean of Graduate Studies for investigation. Where possible a problem will be dealt with at the local level and will involve as few people as possible. Problems should not be escalated before attempting local resolution.

9. Unsatisfactory progress

9.1 Definition

Unsatisfactory progress is defined to be where the research degree student:

a. has failed to provide a Research Proposal within the required time
b. has not successfully met the requirements of their Confirmation of Candidature as a result of their Research Proposal deemed not to be acceptable on academic grounds
c. has failed to obtain the appropriate ethics and safety clearances for the conduct of the research
d. has failed to meet agreed timelines and milestones
e. is absent without approved leave for more than 6 months or, in the case of international student visa holders, is absent without approved leave for any period outside of the Recreation Leave permitted in the Regulations
f. has failed to submit their research for examination within the prescribed time
g. has failed to otherwise comply with the Statutes, Policy, Procedures, Codes or Regulations of the University.

9.2 Procedure for managing unsatisfactory progress

9.2.1 If a research degree student's progress is considered to be unsatisfactory (see 9.1) the research degree student will be notified in writing by their Principal Supervisor and REPL, outlining the reasons that have been identified. The notification will include an intervention strategy designed to improve their performance in their research program. A copy of the correspondence and intervention strategy will be provided to the relevant Dean of Research (or delegate) and Student and Academic Services to be retained on the student record.

Possible intervention strategies may include, but are not limited to:

- counselling or training (e.g. EDGE activities, Occupational Health and Safety, ethics and/or research methodology)
- a recommended course of action comprising revised timelines and milestones
- a reduction in load
- a reduction in working hours
- approved leave of absence.

9.2.2 If a research degree student continues to make unsatisfactory progress the Principal Supervisor and REPL will review the research degree student's progress, taking into account the intervention strategies and activities undertaken by the research degree student.

9.2.3 The REPL will advise the relevant Dean of Research (or delegate) that:

a. The research degree student be allowed to continue subject to the conditions as they wish to impose. The REPL is to inform the research degree student in writing of the conditions and the timelines, as well as the possible outcomes should the conditions not be met. For international student visa holders, the outcomes include the possible cancellation of the student's CoE which may result in cancellation of their student visa. A copy of the correspondence must be provided to the Dean of Research (or delegate) and to Student and Academic Services to be retained on the student record, or
b. The research degree student's candidature is to be suspended. The REPL will advise the research degree student that a notification to suspend their candidature has been made to the Dean of Research (or delegate). The research degree student will be notified in writing by the REPL of the following:

i. The reasons for the suspension under clause 9 Unsatisfactory Progress in the Academic Regulations for Higher Degrees by Research.

ii. The process for appealing the suspension (see clause 10 Suspension and Formal Review of Academic Progress).

iii. Their enrolment in the program will be discontinued as a result of the suspension.

iv. (For international students on a student visa only) the suspension of their candidature constitutes a breach of their student visa conditions, and that the University is required by law to notify the Australian Government if they are suspended/terminated. This results in cancellation of their Confirmation of Enrolment (CoE) and possible cancellation of their student visa.

v. Their scholarship may be suspended as an outcome of their candidature suspension.

9.2.4 A copy of the notification letter must be provided to the Dean of Research (or delegate) and Student and Academic Services to be retained on the student record.

10. Suspension and Formal Review of Academic Progress

10.1 Suspension of candidature

10.1.1 Where the Dean of Research (or delegate) makes the decision to suspend a research degree student's candidature (see clause 9.2.4) due to unsatisfactory progress, the Dean of Research (or delegate) will advise the Academic Unit research committee that the research degree student's enrolment will be suspended.

10.1.2 The research degree student will have 20 working days to appeal to the Dean of Graduate Studies the decision to suspend their candidature.

10.1.3 If the research degree student does not appeal the decision within 20 working days of the date of the suspension letter (see clause 9.2.3b), the student's enrolment will be cancelled and they will be notified by the Dean of Research (or delegate).

10.1.4 A research degree student whose enrolment is suspended will have a notation marked on their transcript in accordance with clause 18 of these Regulations.

10.1.5 For an international student visa holder whose candidacy is suspended, their CoE will be cancelled.

10.1.6 Where the research degree student appeals the suspension, the Dean of Graduate Studies will conduct a Formal Review of Academic Progress.

10.2 Formal Review of Academic Progress

10.2.1 Upon receiving an appeal from the research degree student, the Dean of Graduate Studies will establish a Panel consisting of:

- Dean of Graduate Studies (Chair)
- 3 Deans of Research (or delegates) who are members of the University's Register of Current Higher Degree by Research Supervisors. The Dean of Research (or delegate) of the Academic Unit in which the candidate is enrolled is ineligible to serve as a member.
- a nominee of the Director, Student and Academic Services
- a representative from USASA.
- University academic staff members with disciplinary expertise relevant to the case may be co-opted, as required.
The Panel may proceed even if all members are not in attendance, provided there is a quorum of 3 which must include the Chair.

10.2.2 The Dean of Graduate Studies will write to the research degree student notifying them of the Formal Review of Academic Progress under clause 10.2.1. The letter from the Dean of Graduate Studies must, at a minimum:
- detail the reasons that the research degree student's progress has become the subject of a review
- advise of the membership of the Panel appointed under clause 10.2.1
- advise the timing and location of the Panel's meeting
- provide information on the procedures for Formal Review of Academic Progress, and
- advise the research degree student of their right to present a case at the Panel meeting, either in person, via agreed electronic medium, or by production of documentation, as to why the student should be allowed to continue with the degree.

10.2.3 The student will be invited to attend the meeting to present their case and may be assisted or represented at the meeting by:
   a. a representative of USASA
   b. any staff member or student of the University.

This person is not a member of the Formal Review of Academic Progress Panel.

10.2.4 The Dean of Graduate Studies will invite the Dean of Research (or delegate), supervisor(s) and REPL to present their case for suspension of candidature. However, the supervisor(s) and REPL may not be members of the Panel.

10.2.5 The Panel will consider the research degree student's academic progress and whether there are any grounds for suspension of enrolment.

10.2.6 The Panel meeting will proceed on the scheduled date regardless of the research degree student's advised availability to attend, or actual attendance. If the research degree student has not responded to the letter referred to in clause 10.2.2, the University must demonstrate that it has made all reasonable attempts to contact the student about the Panel meeting, including by postal mail and other usual means of University communication (for example email and telephone).

10.2.7 The Panel may decide to:
   a. allow the research degree student to continue subject to such conditions it wishes to impose, or
   b. suspend the student.

10.2.8 Within 10 working days of the Panel meeting, the Dean of Graduate Studies will:
- advise the Academic Unit research committee of the Panel's decision
- notify the research degree student, in writing, of the Formal Review of Academic Progress Panel's decision.

10.2.9 Where the Panel decides that the student is to be suspended, the research degree student will be notified by email and registered post that:
- they have the right to appeal the decision of the Panel to the Director, Student and Academic Services (see clause 11.0) within 20 working days of the date on the letter, and the grounds that they may appeal on,
- their enrolment in the program will be discontinued if the student does not appeal, or the appeal is rejected by the Director, Student and Academic Services,
- (for international students on a student visa only) the suspension/termination of their candidature constitutes a breach of their student visa, and that the University is required by law to notify the Australian Government they are suspended. This results in cancellation of their Confirmation of Enrolment (CoE) and may result in the cancellation of their student visa.
10.2.10 The Dean of Graduate Studies will notify Student and Academic Services of the outcome of the Panel and include detailed reasons as to why the research degree student's progress has been found to be unsatisfactory, together with a copy of the relevant correspondence to the student.

10.2.11 If the research degree student does not appeal the decision within 20 days of the date of the letter from the Formal Review of Academic Progress Panel, the research degree student's enrolment will be cancelled by Student and Academic Services and the student and relevant Dean of Research (or delegate) will be notified.

10.2.12 A research degree student whose enrolment is suspended will have a notation marked on his/her transcript in accordance with clause 18 of these Regulations.

10.2.13 For an international student visa holder whose candidacy is suspended, their CoE will be cancelled, which may result in cancellation of their student visa.

11. Appeals process

11.1 Grounds for appeal

The Student Appeals Committee considers appeals by students after all other review processes have occurred.

11.1.1 The following decisions are eligible for consideration by the Student Appeals Committee:

a. outcome of Research Proposal and Confirmation of Candidature (see clause 5)
b. outcome of a Formal Review of Academic Progress (see clause 10). These appeals must be made to the Director, Student and Academic Services. In these instances, the responsibilities of the Dean of Graduate Studies in clause 11 of these regulations are undertaken by the Director, Student and Academic Services.
c. outcome of review of Research Integrity and Misconduct (see clause 14).
d. A decision made by the Examinations and HDR Academic Quality Panel (see clause 17.14). These appeals must be made to the Deputy Vice Chancellor: Research and Enterprise (DVC: R&E). In these instances, the responsibilities of the Dean of Graduate Studies in clause 11 of these regulations are undertaken by the DVC: R&E.

11.1.2 Students are entitled to lodge an appeal with the Dean of Graduate Studies to have their case reviewed by the Student Appeals Committee providing the following conditions are met:

a. the student is appealing a decision referred to in clause 11.1.1 above, and
b. the policy and/or procedures were not correctly observed and/or
c. information is available that supports the student's case for appeal which was not known or not available at the time previous appeals were considered.

11.1.3 Where the appeal is lodged by an international student visa holder, the University will maintain the student's CoE while any internal (i.e. within the University) appeal is ongoing.

11.2 Lodging the appeal

11.2.1 Students wishing to appeal against a decision as specified in clause 11.1.1 must lodge an appeal, in writing, setting out the grounds for appeal to the Dean of Graduate Studies within 20 working days from the date specified in the letter notifying the student of the relevant committee's decision.

11.2.2 The Dean of Graduate Studies will decide whether or not the appeal meets the relevant criteria and will notify the student, in writing, within 5 working days of the lodgement of the appeal that:

a. the appeal has been denied, including grounds for denial, or
b. the appeal has been forwarded to the Student Appeals Committee for consideration.
11.2.3 In considering the grounds for appeal, the Dean of Graduate Studies may refer the case back to the relevant staff member or committee, in order to negotiate a satisfactory outcome. This will not be used to deny a student access to the Student Appeals Committee where they meet the criteria for appeal, but rather as an effective way to resolve issues locally before proceeding to appeal.

11.2.4 The Dean of Graduate Studies will report the outcome of their decision to the relevant Dean of Research (or delegate).

11.2.5 A copy of all correspondence will be provided to Student and Academic Services for inclusion on the student record.

11.2.6 The decision of the Dean of Graduate Studies regarding eligibility for appeal to the Student Appeals Committee will be final. No further avenues of appeal exist within the University.

11.2.7 Students may continue their program of study pending the outcome of an appeal, unless the University considers that to do so places the student, others or the University at risk. In these cases, appropriate documentary evidence must be provided to Student and Academic Services for inclusion on the student record.

11.2.8 Should the student’s appeal be denied, their current enrolment will be amended accordingly.

11.3. Student Appeals Committee

11.3.1 Where the Dean of Graduate Studies upholds the appeal, the appeal will be heard by the Student Appeals Committee, which is a sub-committee of University Council (convened with the following membership):

- the current chair of the Student Appeals Committee (the community member of University Council) (Chair)
- 3 senior University academic staff members listed on the University’s Register of Current Higher Degree by Research Supervisors, nominated by the relevant Executive Dean and endorsed by Research Degrees Committee
- 1 student representative nominated by USASA.

11.3.2 The quorum of the Student Appeals Committee is 3 members, which must include the community member of University Council or their nominee.

11.3.3 The Student Appeals Committee will consider relevant reports and any further written submissions from:

- the student lodging the appeal
- the Principal Supervisor
- the relevant Executive Dean/Institute Director
- the Chair of the Academic Unit research committee which recommended the decision, i.e. the Dean of Research (or delegate)
- the Dean of Graduate Studies
- persons considered relevant to the appeal.

The Student Appeals Committee will then invite the following people to attend the hearing(s) in person or via telephone or video conference if required:

- the research degree student lodging the appeal
- a staff member responsible for the original decision which is under appeal. This may be the Principal Supervisor, the relevant Dean of Research (or delegate), the relevant Executive Dean/Institute Director or the Dean of Graduate Studies.

11.3.4 The research degree student may be assisted or represented by a USASA representative or nominee who is a UniSA staff member or student.
11.3.5 The decision of the Student Appeals Committee is final and no further avenues of appeal exist within the University. For external appeals see clause 11.5.

11.4 Notification of decisions

11.4.1 The Executive Officer to the Student Appeals Committee will notify the student by registered mail within 10 working days of the committee’s decision, and the basis for that decision. Copies of all relevant correspondence will be forwarded to:
   a. the Principal Supervisor concerned
   b. the relevant Dean of Research (or delegate)
   c. the relevant REPL
   d. the Dean of Graduate Studies
   e. Student and Academic Services to be retained on the student record.

11.4.2 Student and Academic Services will amend the grade in the University’s student records system if appropriate, and will ensure that any notation required is entered on the student record (see clause 18).

11.5 Further avenues of appeal

11.5.1 Students have the right to appeal decisions made by the University in relation to these regulations through an external body such as the Office of the State Ombudsman. Contact details can be found on their website.

11.5.2 Where a student pursues their appeal through an external body:
   a. their place in the program will be held, pending the outcome of their appeal. However, the student will not be permitted to enrol in further courses, or incur further fees.
   b. the student must advise the Director: Student and Academic Services in writing that an appeal has been lodged with an external body (and name the external body) within 10 working days of lodging the appeal.
   c. the student must advise the Director: Student and Academic Service in writing of the outcome of the appeal within 10 working days from the date specified in the letter from the external appeal body. The letter will be retained in the student record.

11.5.3 If the appeal is unsuccessful, the University will take the appropriate action irrespective of whether the student chooses to pursue further avenues of external appeal. For international student visa holders, this will mean their CoE will be cancelled which may result in cancellation of their student visa.

12. Administrative withdrawal

12.1 Definition

Where a research degree student has failed to participate in a Review of Progress (see clause 8), maintain enrolment (except where the student is on approved leave of absence) or has failed to maintain contact with the supervisor for more than 6 months, the student may be administratively withdrawn.

12.2 Procedures

12.2.1 The Dean of Research (or delegate) will advise the research degree student that they are at risk of being administratively withdrawn if they do not complete a Review of Progress, enrol or make contact with the supervisor within a reasonable timeframe.

12.2.2 All reasonable attempts should be made to contact the student and records of attempts to contact the student retained. If the student is unable to be contacted or does not respond to requirements set by the Dean of Research (or delegate) within 20 working days, they are to be administratively withdrawn.
12.2.3 A research degree student who is administratively withdrawn may appeal to the Dean of Graduate Studies to be reinstated within 20 working days. Students are entitled to lodge an appeal with the Dean of Graduate Studies where policy and/or procedures were not correctly met.

12.2.4 A research degree student who is administratively withdrawn will have a notation marked on the transcript in accordance with clause 18 of these Regulations.

12.2.5 A research degree student who is an international student visa holder will have their CoE cancelled which may affect their student visa.

13. Responsible Conduct of Research: Research Integrity

The University is committed to generating and maintaining a culture of research integrity across the university. Core elements of research integrity include honest dealing with research data, primary materials and findings; fair attribution of authorship; respect for and acknowledgement of the work of others; handling funding with integrity; careful management of perceived or actual conflicts of interest; accurate and wide dissemination of research findings; responsible conduct of peer review; the promotion of collaboration; attention to human and animal ethics and biosafety requirements; and adherence to all relevant legal and regulatory requirements.

All research degree students and supervisors are required to adhere to high standards of research integrity at all times and comply with the following codes and legislation:

- [Australian Code for the Responsible Conduct of Research](#) (Australian Code)
- [National Statement on Ethical Conduct in Human Research](#) (National Statement)
- [Australian Code for the Care and Use of Animals for Scientific Purposes](#)
- [Gene Technology Act and Regulations](#)
- [Defence Trade Controls Act](#)

In addition, the University has implemented a governance framework for the responsible conduct of research.

Research degree students and supervisors are required to adhere to the following University policies and guidelines if applicable to their discipline and research project:

- [Authorship Policy](#) (RES-12)
- [Biological Hazards and Genetically Modified Organisms](#) (RES-4)
- [Care and Use of Animals for Teaching and Research Purposes](#) (RES-3)
- [Human research ethics](#) (RES-2)
- [Ionising Radiation Policy](#) (HR-29)
- [Non-ionising Radiation Safety](#) (HR-30)
- [Ownership and Retention of Data](#) (RES-17)
- [Relationships between staff and students](#)
- [Research degrees management and supervision](#)
- [Research funded by tobacco companies](#) (RES-14)
- [Responsible practice in research](#) (RES-1.1)
- [Intellectual Property: Ownership & Management policy](#) (RES-22)
- [University activities - Research and Consultancy Guidelines](#) (under review)
14. Research misconduct

14.1 Description

14.1.1 Research misconduct does not include honest differences in judgement in management of the research project, and may not include honest errors that are minor or unintentional.

14.1.2 A complaint or allegation may result in a finding of research misconduct if it involves the following:
- a breach of the Australian Code for the Responsible Conduct of Research (Australian Code)
- intent and deliberation, recklessness or gross and persistent negligence
- serious consequences, such as false information on the public record, or adverse effects on research participants, animals or the environment.

14.1.3 Research misconduct may occur at a personal level, research project level or as a failure to comply with regulatory requirements. Examples of research misconduct under these categories include:

a. at a personal level
   - deception in proposing, carrying out or reporting the results of research
   - falsification or misrepresentation of application information, ethics or Research Proposals or academic records
   - failure to identify and declare serious conflicts of interest
   - willful concealment or facilitation of research misconduct by others.

b. at research project level
   - presentation or collection of data that has been copied, plagiarised, falsified, fabricated or in other ways obtained improperly
   - inclusion of material in individual work that has involved significant assistance from another person, where its inclusion is not permitted by the other person
   - risking the safety of human participants, or the wellbeing of animals.

c. breaching rules that govern research
   - conducting research without ethics approval as required by the National Statement on Ethical Conduct in Human Research and the Australian Code for the Care and Use of Animals for Scientific Purposes
   - plagiarism (see 14.2)
   - failure to comply with the University's Authorship policy
   - deviations from the Australian Code that occur through gross or persistent negligence.

14.2 Plagiarism

Plagiarism is a specific form and serious act of misconduct. It is the use of another person's words or ideas as if they were one's own. It may occur as a result of lack of understanding and/or inexperience about the correct way to acknowledge and reference sources. It may result from poor academic practice, which may include poor note taking, careless downloading of material or failure to take sufficient care in meeting the required standards. It may also occur as a deliberate misuse of the work of others with the intent to deceive. It may include, but is not restricted to:

a. using another person's ideas work, product or research data without acknowledgment
b. arranging for someone else to undertake all or part of a piece of work and presenting that work as one's own.

14.3 Use of text comparison software

14.3.1 As part of the University's procedures for identifying instances of plagiarism, any work that is submitted by a research degree student may be subjected to testing using text comparison software. It is a condition of enrolment in a research degree program that research degree students give their consent to this process.
14.3.2 As part of the Statement of Agreement with the supervisor, the research degree student is required to sign the following statement appearing within the Agreement:

- the research degree student authorises any written material submitted to be tested by the University for plagiarism, using text comparison software. This involves the University or its contractor copying work submitted by the research degree student and storing it on a database to be used in future to test work submitted by others.

14.4 Procedure

Allegations of research misconduct will require specific action by supervisors and responsible officers of Unisa, the procedures for which are outlined in Appendix B of these regulations.

15. Grievance procedures

All grievances and complaints by research degree students not covered under these Regulations should be dealt with under University Policy C-17 Student Complaints Resolution.

16. The thesis

Each research degree student must submit a body of research work for examination. This is known as a thesis.

16.1 Content of the thesis for examination – Doctor of Philosophy, Professional Doctorate and Masters by Research [excluding Doctor of Philosophy (Portfolio by Publications)]

16.1.1 The thesis is the material form of a sustained program of research that has produced original findings. The thesis may comprise either:

- a written text comprised of conventional chapters presented as typescript, or
- a written text containing a combination of peer reviewed publications and conventional chapters presented as typescript (Thesis Containing Published Research), or
- creative or visual works together with an exegesis (a thesis by creative practice).

16.2 Content of Thesis for Doctor of Philosophy (By Portfolio of Publications)

16.2.1 The thesis will consist of:

- a portfolio of refereed publications (as defined in the Guidelines) based on original research
- a substantive integrating written component.

16.2.2 The substantive integrating written component is to set out:

- an argument linking the papers together into a coherent theme and
- the way the publications submitted represent an advance in knowledge in the research degree student's discipline or field, or
- the application of new knowledge or critical inquiry in original ways, or
- new expressions of knowledge or critical creative insight.

16.2.3 The total submission must be at a standard appropriate for the award of the degree of PhD.

16.2.4 The integrating written component must also contain a substantial theoretical component relevant to the research degree student's discipline or field. There is no stipulated word length, as what is appropriate will vary with the nature of the submitted work and the research degree student's discipline or field. Any additional research should only be directed towards the development of the integrating theme.
16.2.5 The publications must have been subjected to a peer review. There is no minimum number of publications specified. It is expected that for the majority of publications, the applicant will be the sole or first named author. The publications submitted should follow a coherent theme and be of a sufficient number for the body of work to constitute a substantial and original contribution to knowledge.

16.2.6 The submission will not include unpublished work, review articles, newspaper articles, articles in non-refereed professional journals, works where the applicant's role was that of editor, or any work that has been previously submitted to meet examination requirements for an award at this or any other higher education institution.

16.3 Form of the thesis for examination

16.3.1 The thesis may be presented for examination in electronic form, and should comply with the Guidelines for presentation.

16.3.2 The research degree student must submit a thesis for examination to the Research Degrees Committee that:
- meets the University’s requirements for research integrity
- is an accurate account of the research program
- is assessable according to examination criteria
- conforms with the appropriate guidelines for presentation (see the Guidelines).

16.3.3 The submission of a non-standard thesis will require the approval of the Dean of Research (or delegate) before being presented for examination.

16.4 Originality and eligibility

16.4.1 The work on which the thesis is based must be the original work of the research degree student.

16.4.2 Work included in the thesis has been conducted during candidature and has not been previously submitted to meet examination requirements for an award at this or any other higher education institution.

16.4.3 A research degree student will normally make a formal presentation of the thesis to an Academic Unit/Institute/Research Centre seminar prior to the commencement of the examination process.

16.4.4 When submitting a thesis, a research degree student must affirm that:
   a. to the best of their knowledge, the thesis contains no material written by another person except where due reference is made in the text of the thesis
   b. the material in the thesis has not been the basis of the award of any other degree or diploma except where due reference is made in the text of the thesis
   c. all substantive contributions by others to the work presented in the thesis, including jointly-authored publications, have been clearly acknowledged.

16.4.5 When the research degree student submits the thesis for examination, the Principal Supervisor and the REPL will verify to the Dean of Research (or delegate) that:
   a. the extent to which the work, that is data collection, data analysis, and writing of the thesis, was carried out by the research degree student and, if an editor was used, the extent of the involvement of the editor
   b. the authorship of the thesis to the best of their knowledge
   c. whether the thesis is properly presented and is worthy of examination
   d. the research has been conducted in a responsible manner and in agreement with approved research policies for human research ethics, animal ethics, or other research policies appropriate to the nature of the research.
16.4.6 If the Principal Supervisor is unable to advise that, in their opinion, the submission is prima facie worthy of examination, the Dean of Research (or delegate) will offer the student the opportunity to withdraw the submission before examination, or for the student to make a case to the Dean of Graduate Studies for the examination to proceed.

16.5 Coursework and practice components of Professional Doctorates by Research

16.5.1 A Professional Doctorate by Research student will undertake the assessment for the prescribed coursework and/or practice in accordance with the approved program documentation as recommended by Research Degrees Committee and approved by Academic Board.

16.5.2 The coursework and practice components will be graded in accordance with the University's Assessment Policies and Procedures Manual.

16.6 Notice (For a thesis by creative practice or exegesis only)

A research degree student must notify the relevant Dean of Research (or delegate) of their intention to submit a thesis for examination. Notification will be in writing and at least one month prior to submission. The notification will include an electronic summary of not more than 500 words regarding the content of the thesis. The notice should indicate that the research degree student is to present creative works within the thesis. The summary will be forwarded to the examiners when they are initially invited to examine the thesis (see clause 17.2).

17. Examination of the thesis

Regulations relating to examination may be varied only where variations are specified in a Dual Award PhD or Jointly Badged PhD agreement and/or student schedule (see RES-19 PhD Program Collaboration).

17.1 Confidentiality

17.1.1 Subject to clauses 17.1.3 and 17.1.4, anonymity must be maintained during the examination process, but normally all reports of examiners will be made available to the research degree student, unless indicated otherwise by the examiner.

17.1.2 A research degree student has the right to be consulted about the choice of examiners, but does not have the right to nominate or veto the selection of examiners, and will not be advised of the identity of the final chosen examiners until the return of the examiner reports.

17.1.3 Normally, dialogue about the examination is not permitted between the supervisors and/or the research degree student with the examiners during the examination process. Any dialogue that occurs must be approved by the Dean of Graduate Studies.

17.1.4 Confidentiality is applicable to students undertaking an oral defence of the thesis until the initial examination of the written thesis is completed and the preliminary examiner reports submitted to Student and Academic Services. Prior to the oral defence, students will be provided with a copy of the written preliminary examiner reports, without the preliminary recommendation outcome.

17.2 Appointment of examiners

17.2.1 Upon receiving notice from a research degree student of intention to submit the thesis for examination the Dean of Research (or delegate), will approve the nomination:
- for 2 examiners external to the University.

17.2.2 A reserve examiner, for appointment in the event that one of the appointed examiners fails to return the examination report within the required time.

17.2.3 Any supervisor of the research degree student may not be appointed as an examiner of that research degree student's thesis.

17.2.4 Where creative works are included with the thesis, the same 2 people will examine both the written component and the creative work(s).
17.2.5 Examiners must:
   a. hold a research degree at the level (or higher) they are examining, or have equivalent professional experience
   b. be of high academic standing and have an international profile in the student’s research field
   c. wherever possible, have recent research activity in that field
   d. have the capacity to arrive at an independent assessment of the thesis
   e. have knowledge about the standards expected for the thesis/research work/creative work
   f. not have given any substantive advice on the research (except in the case of a resubmitted thesis)
   g. not had or have a close personal relationship with the student or supervisors
   h. not have any other conflicts of interest that, in the opinion of the Dean of Research (or delegate), make them unable to assess the thesis objectively.

17.2.6 Examiners must be of the highest quality, and where possible, one of the examiners should be from an overseas university or overseas research organisation.

17.2.7 Following Academic Unit approval of examiners, Student and Academic Services will dispatch the thesis and re-confirm the examiners’ availability within the prescribed timeframe.

17.2.8 Where an examiner fails to return an assessment within the required time of receiving a thesis for examination, the thesis may be dispatched to the approved reserve examiner, or additional examiners appointed by the Dean of Research (or delegate).

17.2.9 Arrangement for the examination of creative works will be made by the Academic Unit in conjunction with Student and Academic Services.

17.3 Criteria for examination

17.3.1 Doctor of Philosophy degree: Examiners will examine the research degree student’s thesis according to the following criteria:
   a. capacity to demonstrate critical analysis and original thought in all aspects of the study
   b. ability to demonstrate a comprehensive and detailed knowledge of the literature and theoretical understandings relevant to the field of study
   c. capacity to design and apply appropriate research methodologies
   d. the extent to which the thesis makes a significant original contribution to knowledge and/or the application of knowledge within the field of study
   e. for the Doctor of Philosophy (by Portfolio of Publications), the research degree student’s ability to review critically their own work in relation to the relevant existing knowledge and demonstrate (and supported in the integrating component) a clear and sustained contribution to the discipline area
   f. the quality of the presentation of the thesis/exhibition, including:
      - the clarity of expression
      - the accuracy and appropriateness of presentation of results
      - the quality and relevance of illustrative material (such as graphs, tables, illustrations)
      - the relevance and accuracy of citations, references, etc.
      - the development of a coherent argument where relevant to the field of study
   g. the quality of creative works, if any, including:
      - the conceptual understanding of the relevant field
      - the ideas and/or imagination demonstrated
      - the technical competence
      - the resolution of the creative works and
      - the complexity and difficulty demonstrated
h. the worthiness of the thesis/exhibition for publication in any appropriate form.

17.3.2 Professional Doctorate by Research degree: Examiners will examine the thesis according to the following criteria:
   a. the research degree student's capacity to:
      • demonstrate a significant and original contribution to knowledge about professional practice and a contribution to knowledge of fact and/or theory
      • demonstrate a critical appreciation of the literature relevant to the research project
      • present a well-designed and structured investigation (or set of investigations)
      • present information in a manner consistent with the relevant discipline(s)
      • demonstrate a critical appraisal of their own work relative to that of others
      • present evidence of independent and critical thought
   b. the quality of the presentation of the thesis/exhibition, including:
      • the clarity of expression
      • the accuracy and appropriateness of presentation of results
      • the quality and relevance of illustrative material (such as graphs, tables, illustrations)
      • the relevance and accuracy of citations, references, etc.
      • the development of a coherent argument where relevant to the field of study, and
   c. the worthiness of the thesis/exhibition for publication in any appropriate form.

17.3.3 Masters by Research degree examiners will examine the thesis to determine:
   a. the research degree student's ability to demonstrate an appropriate knowledge of the literature, creative works and theoretical understandings relevant to the field of study
   b. the research degree student's capacity to demonstrate critical analysis in applying research approaches and, where appropriate, interpreting results
   c. the extent to which the thesis makes a contribution to knowledge and/or the application of knowledge within the field of study
   d. the quality of the presentation of the written component, including:
      • the clarity of expression
      • the accuracy and appropriateness of presentation of results
      • the quality and relevance of illustrative material (such as graphs, tables, illustrations)
      • the relevance and accuracy of citations, references, etc.
   e. the development of a coherent argument where relevant to the field of study, and the quality of creative works, if any, including:
      • the conceptual understanding of the relevant field
      • the ideas and/or imagination demonstrated
      • the technical competence
      • the resolution of the creative works and the complexity and difficulty demonstrated.

17.4 Oral Defence of the thesis

17.4.1 Research degree students who commenced after 1 January 2016 are required to undertake an oral defence of the thesis as part of their thesis examination.

17.4.2 Research degree students who commenced prior to 1 January 2016 may elect to undertake an oral defence of the thesis as part of their thesis examination in consultation with their supervisors. Students who elect to undertake an oral defence should advise Student and Academic Services at least 3 months prior to their thesis submission.
17.4.3 The oral defence of the thesis will normally occur via video conference 8-12 weeks after dispatch of the thesis. Students are required to attend the oral defence in person. The oral defence will be facilitated by a Chairperson (Chair) who is a senior member of academic staff, and who is not a supervisor of the student.

17.4.4 Students required to undertake an oral defence of the thesis who require variation to the arrangements for their oral defence due to special circumstances may submit a request for variation to the Examinations and HDR Academic Quality Panel, including any supporting documentation for consideration. Requests for variation must be submitted as soon as circumstances supporting the request for variation are known and must be prior to submission of the thesis. Variations may include an exemption from undertaking the oral defence only in extenuating circumstances.

17.4.5 Where one or both examiners indicate that the thesis is not of the standard required for the PhD, through the return of a recommendation of 5 - Award of a Masters by Research or 6 - Fail, the oral defence will not proceed as scheduled.

17.4.6 The Examinations and HDR Academic Quality Panel may determine that a student may not progress to the oral defence, or that a variation to arrangements be made, at their discretion.

17.4.7 The oral defence will be conducted in accordance with Guidelines for the Defence of the Thesis.

17.5 Examiners' reports

17.5.1 The examiners will independently assess the thesis and recommend to the Research Degrees Committee one of the following assessments:

1. Pass forthwith.
2. Pass, following minor corrections (including typographical errors) being completed and certified by the Dean of Research (or delegate).
3. Pass, following major corrections
   3a. I delegate authority to the University's Research Degrees Committee or nominee the responsibility of being satisfied that the amendments have been made in line with the examiners' reports, OR
   3b. I would like to see the thesis again in order to be satisfied that the amendments have been made in line with my recommendation.
4. Revise and resubmit for re-examination (by the same examiners where possible) after a period of further research.
5. For PhD examinations only, I consider the thesis is not of PhD standard, but is worthy of the awarding of a Masters by Research degree following any corrections indicated in my report. I delegate to the Research Degrees Committee or nominee the responsibility of being satisfied that the corrections have been made.
6. Fail.

17.5.2 On receipt of all examiners’ reports, Student and Academic Services will dispatch the reports to the Principal Supervisor and research degree student, copied to the REPL and Dean of Research (or delegate). For examinations including an oral defence (see clause 17.4) the preliminary reports will also be provided to both examiners, and the Chair of the oral defence.

17.6 Passed thesis - assessment option 1

17.6.1 Where a thesis has been assessed as passed forthwith, the final thesis must be submitted online within 4 weeks of the notification of the examination outcome. The submission will require the student, Principal Supervisor, REPL and the Dean of Research (or delegate) to confirm that the thesis is satisfactory for the award of the degree. Student and Academic Services will arrange for reporting of the completion to Research Degrees Committee.
17.7 Minor corrections - assessment option 2

17.7.1 In the case that a thesis has been assessed as passed following minor corrections, the revised thesis must be submitted online within 6 weeks of the notification to the student of the requirement for revision.

17.7.2 The submission requires the student, Principal Supervisor, REPL and the Dean of Research (or delegate) to confirm that the revisions have been made, or addressed, and that the thesis is satisfactory for the award of the degree.

17.8 Amendment - assessment options 3(a) and 3(b)

17.8.1 Where a thesis has been assessed as passed following major corrections, the revised thesis will be submitted online within 3 months of the notification of the need for revision.

17.8.2 In the case where an examiner has recommended assessment option 3(a), the submission will require:
- the student
- the Principal Supervisor
- an independent reviewer as nominated by the Dean of Research (or delegate)
- the REPL, and
- the Dean of Research (or delegate)

to confirm that the revisions have been made and that the thesis is satisfactory for the award of the degree.

17.8.3 In the case where an examiner has recommended assessment option 3(b), the revised thesis will be submitted together with a summary of amendments, and confirmation by:
- the student
- the Principal Supervisor
- an independent reviewer as nominated by the Dean of Research (or delegate)
- the REPL, and
- the Dean of Research (or delegate)

that the revisions have been made. The thesis will be reviewed by the examiner before the final submission is considered by Research Degrees Committee.

17.9 Re-submission and re-examination - assessment option 4

17.9.1 Where a thesis is to be re-submitted for examination after major revision:
   a. the thesis may be submitted once only in the revised form
   b. the written component should be submitted online within 6 months of the notification to the student of the requirement for revision
   c. the submission will be accompanied by a summary of amendments and confirmation by:
      - the student;
      - the Principal Supervisor;
      - an independent reviewer nominated by the Dean of Research (or delegate);
      - the REPL; and
      - the Dean of Research (or delegate)

that the revisions have been made and the thesis is worthy of re-examination.
   d. re-examination of the written component of the thesis will be arranged by Student and Academic Services
   e. re-examination of creative works will be conducted within the relevant Academic Unit in conjunction with Dean of Research (or delegate), and the results forwarded to the Research Degrees Committee
f. normally, the same examiner(s) will be appointed
g. the examiner(s) may recommend only that the thesis be:
   i. passed forthwith, or
   ii. passed with specified amendments required but the award process may proceed, or
   iii. for PhD examinations only, a recommendation that the thesis is not of PhD standard, but is
   iv. worthy of the awarding of a Masters by Research degree, or

17.9.2 The research degree student may be required to pay fees for the period required to undertake
corrections.

17.10 For PhD examinations only, awarding a Masters Degree by Research - assessment option 5

17.10.1 In the case of a thesis which has been assessed as not of PhD standard, but worthy of awarding a
Masters by Research degree following any corrections indicated in the examiners' reports, the revised
thesis will be submitted within 3 months of the notification of the need for revision.

17.10.2 The submission will be accompanied by a statement by:
   • the Principal Supervisor;
   • an independent reviewer as nominated by the Dean of Research (or delegate); and
   • the Dean of Research (or delegate);
   each confirming that the revisions have been made and that the thesis is satisfactory for the award of
   a Masters by Research degree.

17.11 Failed thesis and appeal - assessment option 6

17.11.1 Where both examiners recommend that the thesis be failed, the Examinations and HDR
Academic Quality Panel will deem the thesis to have failed.

17.11.2 Where one examiner recommends that the thesis be failed and the other recommends that the thesis
be passed (or passed with corrections or amendments or revised and re-submitted), a student may
submit an appeal to the Examinations and HDR Academic Quality Panel (see clause 17.13).

17.11.3 A thesis which has been failed may not be resubmitted for the award of the degree and the
enrolment will be terminated, except as provided in clause 17.13.

17.12 Completion of corrections and submission of the thesis.

17.12.1 If a case is made by the research degree student and the Principal Supervisor that amendments
cannot be completed satisfactorily within the prescribed time according to the assessment
outcome provided in clauses 17.6 to 17.10, the relevant Dean of Research (or delegate) may grant
an extension. Student and Academic Services will record the extension on the student record.

17.12.2 A thesis which is not re-submitted within the prescribed time according to the assessment outcome
will, in the absence of evidence of extenuating circumstances, be deemed by the Examinations and
HDR Academic Quality Panel to have failed.

17.13 Appeal

17.13.1 A research degree student may submit an appeal to the Examinations and HDR Academic Quality Panel
to have the thesis re-examined once only, provided that evidence is submitted to the satisfaction of
Examinations and HDR Academic Quality Panel that one or more of the examiners:
   a. was unqualified to examine the work, or
   b. substantially misinterpreted the work, or
   c. was prejudiced or biased in the assessment of the thesis.
17.13.2 Where a research degree student is appealing to have the thesis re-examined, the Principal Supervisor and research degree student will provide documentation and a recommendation as to the proposed course of action to the Dean of Research (or delegate) within 6 weeks of receipt of the examiners' reports. All examiners' reports are to be taken into account when preparing a recommendation.

17.14 Examinations and HDR Academic Quality Panel

17.14.1 The Examinations and HDR Academic Quality Panel will consider the appeal and determine a course of action.

The Examinations and HDR Academic Quality Panel may determine that:

a. dialogue be conducted with all or any one of the examiners, or between the examiners
b. another examiner be appointed
c. an independent adjudicator be appointed, or
d. any other action as deemed appropriate.

17.14.2 The Examinations and HDR Academic Quality Panel will not approve an alternative result to that provided by the examiners.

17.14.3 The Examinations and HDR Academic Quality Panel will provide a written record of the discussion and agreed actions to the Dean of Research (or delegate) for action.

17.14.4 The student may, within 20 working days, lodge an appeal against a decision of the Examinations and HDR Academic Quality Panel with the Deputy Vice Chancellor: Research and Enterprise, for the appeal to be heard by the Student Appeals Committee in accordance with clause 11. The decision of the Student Appeals Committee will be final.

17.15 Appointment of an adjudicator

17.15.1 Where an independent adjudicator is required, the Dean of Research (or delegate) will appoint the adjudicator, who normally will be external to the University.

17.15.2 The adjudicator is not an additional examiner, but a judge requested to pronounce on the relative soundness, correctness and appropriateness of the initial 2 examiners' recommendations.

17.15.3 The following material is sent to the adjudicator:

a. original thesis
b. examiners' reports (anonymised)
c. rejoinder from the student and supervisor
d. criteria for examination.

17.15.4 The adjudicator will evaluate the above material and advise the Examinations and HDR Academic Quality Panel about whether the examiners have:

a. fully grasped the substance of the research degree student's thesis/research work
b. erred in their judgement of the thesis; and/or assessed the thesis at the appropriate level (see clause 17.5).

18. Final grades and transcript notations for research degree students

The final grades and transcript notations for research degree students are outlined in Section 8 of the Academic Policy and Procedure Manual.
19. Reinstatement/re-admission

19.1 Applications

19.1.1 A research degree student who has withdrawn or whose enrolment was suspended or administratively withdrawn may apply to the Dean of Graduate Studies for reinstatement, provided they have had less than 3 years absence and will continue their previous research project.

19.1.2 An application must be supported by the Principal Supervisor; REPL, Dean of Research (or delegate) and Executive Dean. The application must be in writing and include the reason why the student should be reinstated.

19.1.3 The Principal Supervisor of a reinstated research degree student will be required to establish milestones with the research degree student to ensure completion within the required timeframe and the Dean of Research (or delegate) will be required to agree to these milestones and to monitor progress against milestones.

19.1.4 Reinstatement will be allowed only once.

19.1.5 A research degree student who is reinstated will be liable for tuition fees if they are over their allocated candidature time.

19.1.6 Any previous debt owed to the University must be cleared before reinstatement occurs (see A-47 Student Fees and Loans policy).

19.1.7 If an application is not supported the student will be advised in writing by the Dean of Graduate Studies.

20. Eligibility for the degree

If the Research Degrees Committee is of the opinion that a research degree student has satisfied the requirements for the award of the degree, it will certify to Council that the research degree student is eligible to be admitted to the degree.

21. Lodgement of the thesis with University Library

21.1 Requirements

21.1.1 The final electronic thesis submitted to Student and Academic Services will be lodged with the University Library. The digital copy of the thesis will be made available in the University's institutional repository, Research Outputs Repository.

21.1.2 The final digital version should include an appropriate record of creative works, e.g. photographs, video recording. Personal information such as signatures or addresses of the student, supervisors and other parties should be removed from the final digital version submitted online.

21.1.3 In order to protect intellectual property rights, a research degree student may restrict access to the thesis (see clause 6.2). Restrictions to access will be outlined in the student's Statement of Agreement at the commencement of their candidature.

21.2 Availability and/or restriction on circulation/electronic access of thesis

21.2.1 The research degree student, as author, will be asked to consent in writing to full text access to the digital thesis. Student and Academic Services will send a digital copy of the aforementioned notice of consent with the copy deposited in the Library. The digital copy will be made available on open access through the institutional repository, except where a restriction is imposed by the Dean of Research (or delegate), as provided for in clause 21.2.2.
21.2.2 Where written consent to the digital thesis being made available for access is not given by the author, the Dean of Research (or delegate) may restrict access of the thesis.

21.2.3 If the Dean of Research (or delegate) approves a restriction on access, the digital thesis will become available for access 2 years after the thesis has been deposited with the University, unless a longer period has been approved by the Dean of Research (or delegate).

21.2.4 Student and Academic Services will report to Research Degrees Committee on those theses where a restriction on access has been approved.

22. Quality control

The Research Degrees Committee will review these Regulations and their implementation annually.
Appendix A: Statement of minimum resources for higher degrees by research degree students

Preamble

The University of South Australia (UniSA) has research degree students studying full-time or part-time, on-campus or externally in a range of locations in Australia and offshore, and including offshore through industry partners. Research degree students at UniSA are expected to produce work of a very high standard and require facilities of an equivalent standard with which to do this. All research degree students should be able to undertake educational activities with the University in an environment promoting the principles of equity and social justice and free of unlawful discrimination, harassment, bullying and victimisation. Academic Units receive annual funding from the University's budget to provide resources and facilities for research degree students.

Approval of resources will occur in 2 stages:

1. in signing the Recommendation Form the University agrees to fund basic facilities and resources for that research degree student, access to which is agreed upon in the Induction Form
2. in approving the Statement of Agreement and Confirmation of Candidature, the University agrees to fund the negotiated project specific resources for that research degree student.

Funding for resources must be approved by the relevant authorising persons.

Postgraduate Research Degree Supervisor expertise and time

The most important resource that UniSA provides to research degree students is the expertise and time of the Supervisory Panel. Supervisors are required to be familiar with the Code of Good Practice: Research Degrees Management and Supervision and to adhere to its principles. Under Research Policy RES-18 Higher Degree by Research Supervision, supervisors must remain aware of current supervisory practices and policy environment by participating in supervisor development programs provided by the University.

University research resources

The University will provide the following resources to all research degree students:

- access to a strong and supportive research culture where they will be supported by a critical mass of researchers, address significant research questions, and witness high calibre research leadership in action
- access to information resources and Library services relevant to the research process, including: scholarly electronic and print collections, inter-library loans, a digital research repository, support and advice on research data management, data storage, research tools and services, ICT support, on campus and on-line information skills workshops accessed through the EDGEx system and access to expert advice from professional librarians and information technology staff
- copyright advice about rights and responsibilities on issues which might arise through the use of third party copyrighted works
- advice about Intellectual Property and Commercialisation
- access to research development activities online and on campus, available through the EDGEx system.

Academic Unit / Institute research resources

In signing the Recommendation Form to accept a research degree student, the Executive Dean/Institute Director and Dean of Research (or delegate)/Chair of Academic Unit research committee commits the area to provide the following basic facilities and resources that research degree students can access while completing their degree. Access will be negotiated in the Research Induction Plan and Statement of Agreement. Access will be reviewed via the Review of Progress process.
On campus students

On campus research degree students will be provided with the following facilities, available 24 hours a day, subject to safety requirements. Access will be negotiated with each student taking into account their needs, including any disability-related services, and preferred mode of study. Part-time research degree students will have pro rata access to the same facilities as full-time research degree students negotiated on a case-by-case basis. For full-time on campus students, resources will include:

- appropriate office facilities including a workstation compliant with Occupational Health, Safety and Welfare (OHS&W) requirements
- appropriate access to UniSA Information Technology (IT) facilities and computing resources including a desktop computer, Microsoft Office software, email and internet access consistent with staff standards
- appropriate access to a photocopier and computer printing facilities
- access to a telephone for local calls for research purposes
- secure storage for research materials appropriate to the research area
- technical and IT support
- maintenance allowance of at least $300 per annum to cover expenses associated with photocopying and printing costs, postage, fax, phone calls, stationery. The allowances can be claimed via the prescribe application process and receipts/explanation must be provided. This allowance may be provided through access to Academic Unit resources, rather than reimbursement of expenses.
- at least $800 available to each research degree student for the purpose of delivering paper/s, preferably refereed, at conferences. Consultation with the supervisor is required to determine the choice of conference.

External students

Where research degree students study off campus such that they relinquish direct access to study facilities, the University will provide them with resources outlined below. Part-time external research degree students will have pro rata access to the same facilities as full-time external research degree students, negotiated on a case-by-case basis. For full-time external students, resources will include:

- technical and IT support
- library assistance via phone or online, electronic document delivery to desktop and postal delivery of loan items and documents
- maintenance allowance of at least $500 per annum (details as per on campus students, above)
- at least $800 available to each research degree student for the purpose of delivering paper/s, preferably refereed, at conferences. Consultation with the supervisor is required to determine the choice of conference.

Students enrolled in collaborative PhD programs

Students enrolled in a collaborative PhD program (i.e. Dual or Joint Award) will have, at minimum, pro-rata access to the usual provision of resources for the period of time during which they are present at UniSA. The allocation of resources will be determined according to the relevant collaboration agreement and student schedule (see also RES-19 PhD Program Collaboration policy).

Internal students based within a partner organisation

Where students are enrolled internally but based within a partner, the provision of resources is dependent on the agreement between the partner and the University in relation to resources. Part-time research degree students will have pro rata access to the same facilities as full-time research degree students.

- appropriate facilities compliant with Occupational Health, Safety and Welfare (OHS&W) requirements
- technical and IT support
- library assistance via phone or online, electronic document delivery to desktop and postal delivery of loan items and documents
- maintenance allowance of at least $500 per annum (details as per on campus students, above)
• at least $800 available to each research degree student for the purpose of delivering paper/s, preferably refereed, at conferences. Consultation with the supervisor is required to determine the choice of conference.

Offshore students with a partner institution

Where students study offshore through a partner institution, the provision of the following resources is dependent on the agreement signed between the offshore partner and the University in relation to resources, establishment of program fees and fee split. Part-time offshore research degree students will have pro rata access to the same facilities as full-time offshore research degree students, negotiated on a case-by-case basis. Having considered the terms of the agreement and the agreed upon fees for each offshore research degree program, offshore students will have access to:

• partner institution libraries that enable research degree students to access research material most appropriate for their area of research as well as phone and online assistance and electronic document delivery to desktop from the UniSA Library
• financial support as negotiated with their supervisor to deliver conference paper/s, preferably refereed, during the course of their candidature.

The Local Program Management Partner (LPMP) is expected to provide a team of professional managers to work closely with UniSA for the local promotion and management of UniSA programs. Its responsibilities include providing the following local administrative and management support:

• a program manager who co-ordinates, administers and manages the program locally
• publication of updates (newsletters) to guide and direct the progress of the program in accordance with UniSA requirements
• provision of facilities for information sessions, commencement and induction seminars, coursework seminars, research seminars, supervisor and student meetings, etc.
• collection of assignments, draft research papers and thesis for onward transmission to UniSA
• internet/email facilities for students who do not have direct access to email facilities
• facilitation and co-ordination of communications between UniSA administration and academic staff and students
• formation of research groups for students of similar research interests (if appropriate)
• collection of program fees and remitting the same to UniSA as per contract
• attending to students’ administrative requests which need only local action, within 24 hours
• providing regular feedback to UniSA on the progress of the program through course evaluations.

Project specific resources

The University recognises that each research degree student may require specific equipment, e-research infrastructure, laboratory or studio space and funds adequate for the completion of the research program. Expenses may include travel arising from field work, experiments and data collection and the cost of consumables.

These project specific costs are to be identified by the research degree student and supervisor during the preparation of the Research Proposal Statement of Agreement. Where the student's project is a subset of the supervisor's funded research project, such costs could be allocated from the project's budget. Costs must be presented and negotiated with the Executive Dean/Institute Director prior to confirmation of candidacy. Should a change of proposal prove necessary, resources may be renegotiated between the research degree student, the supervisors and the Executive Dean/Institute Director, and the Statement of Agreement updated to reflect the changes. Research Degrees Committee, in conjunction with the appropriate areas of the University, will review this statement on a regular basis.
Appendix B: Research integrity

1. Possible breach of examination procedures

1.1 A possible breach of examination procedure may be raised by an external party, including an examiner or academic from another university, or by a staff member or another research degree student. Possible breaches should be discussed in the first instance with the Dean of Research (or delegate).

1.2 The Dean of Research (or delegate) will direct any possible breach of examination procedure to be managed by the Examination and HDR Academic Quality Panel.

1.3 The Examination and HDR Academic Quality Panel will determine the appropriate course of action to ensure the integrity of the examination process and outcome.

2. Alleged Research Misconduct

2.1 Where a staff member or another research degree student has concerns that the action of a research degree student may involve research misconduct, an initial inquiry will take place, and will follow the process detailed in clause 3 of this Appendix.

2.2 Where an external party, including an examiner or academic from another university, has concerns that the action of a research degree student may involve research misconduct, the issue may proceed straight to a Formal Inquiry process, as detailed in clause 4 of this Appendix.

2.3 Where a research degree student who is the subject of alleged research misconduct is also employed by the University, the processes detailed in the Managing Research Misconduct Procedure for UniSA staff may apply, and also Section 9 - Disciplinary Procedures of the University of South Australia Enterprise Agreement.

3. Initial inquiry into alleged research misconduct

3.1 Where a staff member or another research degree student has concerns that the action of a research degree student may involve research misconduct, they will first discuss the issue with an appropriate REPL.

3.2 The REPL may request information or material from the research degree student to assist in their inquiries.

3.3 If the REPL believes the issue warrants further explanation he/she will notify the research degree student and Principal Supervisor within 5 working days, detailing their concerns and requesting that the research degree student attend a meeting with the supervisor(s) and REPL to discuss the matter. The meeting should occur within 20 working days of the initial notification to the student.

3.4 The initial inquiry meeting may proceed whether or not the research degree student responds or attends.

3.5 At the initial inquiry meeting, the research degree student may be assisted or represented by:
   a. a representative of USASA, or in the case of offshore students, a representative of the UniSA partner institution, or
   b. any staff member or student of the University.

3.6 As a result of the initial inquiry meeting with the research degree student and the supervisor(s), the REPL may determine that no research misconduct has occurred. In this instance, no further action will be taken and no record of the allegation will be entered into the research degree student record.
3.7 If, as a result of the initial inquiry meeting with the research degree student and supervisor(s), the REPL determines that the actions of the research degree student did involve research misconduct and there is evidence to support this, the REPL will provide academic counselling to the research degree student and may also stipulate one of the following courses of action:

3.7.1 A requirement that the research degree student undertakes further research, and if necessary:
   - resubmits the work, and
   - corrects the public record for any publications arising.

3.7.2 A recommendation that the matter proceeds to a Formal Inquiry.

3.7.3 An alternative course of action, appropriate to the case.

3.8 A record of the outcome determined according to clause 3.7 will be provided to the research degree student and Principal Supervisor within 5 working days of the initial inquiry meeting, and a copy will be retained on the student record.

3.9 If the REPL determines a course of action other than 3.7.2, and the research degree student does not agree with the proposed course of action, the matter will proceed to a Formal Inquiry.

4. **Formal Inquiry into alleged research misconduct**

4.1 A Formal Inquiry can be initiated in one of two ways:

4.1.1 Upon receipt of advice from the REPL following an initial inquiry, the Dean of Research (or delegate) will review the case and the evidence provided to determine whether the case should proceed to Formal Inquiry. The Dean of Research (or delegate) may request further information or material from the research degree student.

   The Dean of Research (or delegate) will, within 10 working days, provide the research degree student and the Principal Supervisor with notification of the Formal Inquiry, and a report providing details of the allegations and documentary evidence from the initial inquiry stage. If the Dean of Research (or delegate) determines that a Formal Inquiry will not proceed, they will notify the REPL, student and Principal Supervisor of this decision. A copy of the correspondence and the report will be sent to Student and Academic Services to be retained on the student record.

4.1.2 Where an external party, including an examiner or an academic from another university, has concerns that the action of a research degree student may involve research misconduct, the issue will proceed straight to a Formal Inquiry. Upon receipt of advice from an external party to the Director: Student and Academic Services, Student and Academic Services will notify the Dean of Graduate Studies. A staff member or student who receives an allegation from an external party must notify the Director: Student and Academic Services in the first instance.

4.2 When notified of an allegation of research misconduct, the Dean of Graduate Studies:
   a. Will seek preliminary investigation of the allegation by the Dean of Research (or delegate) to determine if a Formal Inquiry should proceed.
   b. May, where the thesis is currently under examination, advise the research degree student that the examination process has halted pending an investigation, and may request that both examiners cease examination pending the investigation;

4.2.1 The Dean of Research (or delegate) will review the case and the evidence provided to determine whether the case should proceed to Formal Inquiry. The Dean of Research (or delegate) may request further information or material from the research degree student.

4.2.2 If the Dean of Research (or delegate) determines that a Formal Inquiry should not proceed, they will notify the Dean of Graduate Studies in writing and will include the basis for this decision. A copy of the correspondence and the report will be sent to Student and Academic Services to be retained on the student’s record.
4.2.3 If the Dean of Research (or delegate) determines that a Formal Inquiry should proceed, they will notify, in writing, the research degree student and the Principal Supervisor within 10 working days. The notification will include details of the Formal Inquiry meeting, and a report providing details of the allegations and any documentary evidence. A copy of the correspondence and the report will be sent to Student and Academic Services to be retained on the student's record.

4.3 Where the case proceeds to a Formal Inquiry Panel, the Dean of Research (or delegate) will establish a committee consisting of:
   a. the Dean of Research (or delegate) (Chair)
   b. an academic staff representative from an independent Academic Unit/Research Centre or Institute
   c. a nominee of the Director, Student and Academic Services
   d. a representative from USASA.

4.4 In addition to the members of the Formal Inquiry Panel, up to 2 other senior research staff members may be co-opted to the Panel.

4.5 Under no circumstances can the student’s supervisor(s) (current or past) or any member of the Student Appeals Committee serve as a member of the Formal Inquiry Panel.

4.6 The Panel may invite the staff member, research degree student, or external party, where relevant, who originally raised the allegation of research misconduct to provide evidence to the Formal Inquiry, but they may not serve as a member of the Formal Inquiry Panel.

4.7 As specified in 4.1 or 4.5, the Chair will write to the research degree student providing details of the alleged misconduct and invite the research degree student to attend (in person or via agreed technology) to present their case to the Formal Inquiry Panel regarding the allegation. The letter to the research degree student must include:
   a. a copy of this regulation; and
   b. copies of all information and documents to be considered at the Formal Inquiry.

4.8 The Formal Inquiry must occur at least 5 working days after, and normally within 20 working days of the date recorded on the letter sent to the research degree student, detailed in 4.10 above.

4.9 The research degree student may be assisted or represented at the Formal Inquiry by a USASA representative, or any staff member or student of the University. This person is not a member of the Formal Inquiry Panel.

4.10 The Formal Inquiry may proceed:
   a. whether or not the research degree student responds or attends.
   b. even if all members are not in attendance, provided there is a quorum of 3 which must include the chair.

4.11 Where the Formal Inquiry concludes that the action of the student does not constitute research misconduct no further action will be taken. If necessary, the research degree student may be permitted to undertake further research and re-submit the work.

4.12 Where the Formal Inquiry concludes that the action of the student was research misconduct, the Panel will determine an appropriate outcome. Formal Inquiry outcomes may include:
   a. failure in the course (if part of a professional doctorate), or
   b. suspension from the University for a period not exceeding 3 years, or
   c. another appropriate outcome with an impact less serious than termination of candidature, or
   d. termination of candidature.
4.13 The Dean of Research (or delegate) will notify the following people in writing within 10 working days of the Formal Inquiry of the decision, and the basis for that decision:
   a. the student
   b. the supervisors
   c. the REPL
d. the Dean of Graduate Studies
e. Student and Academic Services, to be retained on the student record
f. The Manager: Research Integrity.

4.14 Where the Panel has determined that the action of the student was research misconduct, the letter must be sent via Registered Post, and include:
   a. a copy of this regulation
   b. the student's right to appeal the decision of the committee to the Dean of Graduate Studies (see clause 11).

4.15 The Dean of Graduate Studies may report any adverse or non-adverse findings of Research Misconduct to any such entities and persons if the Dean of Graduate Studies determines that it is necessary to do so.

4.16 For international student visa holders, the University need only await the outcome of a final internal (i.e. within the University) appeal which supports the University's decision before cancelling the student's CoE, unless extenuating circumstances relating to the welfare of the student apply (in which case cancellation of the student's CoE can take place immediately).

4.17 All correspondence relating to the Formal Inquiry and its outcome is to be forwarded to Student and Academic Services and retained on the student record.

5. Recording outcomes of research misconduct and breaches of examination procedures

5.1 The University will store data about research misconduct and breaches of examination procedures in the research degree student record.

5.2 No data will be stored on the student record where it is determined at the initial inquiry that no research misconduct occurred.

5.3 No data will be stored on the student record where it is determined that no examination procedures have been breached.

5.4 All Deans of Research (or delegates) and the Dean of Graduate Studies will have access to any data stored in a research degree student record.

5.5 Where a research degree student has breached an examination procedure, and the breach does not constitute research misconduct, a record of the case will be forwarded to Student and Academic Services to be recorded on the research degree student record. The record will consist of:
   a. details of the student, the program and the examination
   b. the type of breach
c. the counselling provided to the research degree student.

5.6 Where it is determined that research misconduct occurred, a record of the case will be forwarded to Student and Academic Services to be recorded on the research degree student's record. The record will consist of:
   a. details of the student, the program and the research work
   b. the type of research misconduct
c. the factors taken into consideration
d. the evidence or other material on which the findings were based
e. the outcome and the reasons for its determination
f. the student's agreement to the specified outcome.
5.7 Where, as a result of an initial inquiry, the REPL (or equivalent) concludes that the evidence in the case is sufficient to proceed they will ensure that a record is retained on the research degree student record to indicate whether the case was referred to a Formal Inquiry Panel, or the research degree student allowed to re-submit work, and the factors taken into consideration in making that decision.

5.8 Where a Formal Inquiry Panel is constituted, the Panel, through the Chair, will have access to the data stored regarding the initial inquiry relating to that case, and to any other cases recorded against that research degree student, in order to assist in their determination. The Panel will add a record of their determination to the research degree student record, including:
   a. The factors taken into consideration in determining an outcome
   b. The evidence or other material on which the findings were based
   c. The outcome and the reasons for its determination.

5.9 Where a research degree student appeals the outcome of a Formal Inquiry, in accordance with Section 11 of these Regulations, the Student Appeals Committee through the Chair, will have access to the data stored regarding the initial inquiry and Formal Inquiry relating to that case, and to any other cases recorded against that research degree student, in order to assist in the determination.

Guidelines for the preparation of research statements for the degree of Doctor of Philosophy (by Portfolio of Publications)

Guidelines for the Statement of Agreement

Guidelines for the preparation of research proposals

Guidelines for the presentation of the thesis, or exegesis (consolidated)

Guidelines for the oral defence of the thesis

Supervisory Panels at UniSA: Framework and Guidelines