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“Research students are an integral component of the national innovation system. They challenge ideas and discover new ways of doing and understanding.”
Research education has undergone significant change in recent years. There has been a change in the conceptualisation of what it should accomplish and how this is achieved. In 2001 the federal government introduced performance based funding for research higher degree education and reduced candidature length by a full-time year. All Australian universities thought long and hard about how they would manage these dramatic changes. Universities are now expected to produce graduates with definable skill sets and attributes, requiring a co-ordinated effort by many sections within the university. The responsibility for a candidature no longer lies solely with the supervisor. Most universities have enacted structured processes for dealing with candidature problems and enhancing the research candidate experience.

There is a general movement away from the apprentice-master model of research education towards a culture that embraces supervision as a shared responsibility. Sharing responsibility for supervision has challenged universities to establish frameworks and policies that assist candidates and staff. Colleges, Schools and others actively direct policy, resources and candidature management under the general control of the higher degree governing body for the university, the UWS Research Studies Committee.

While relationships between candidates and academic advisors are more flexible and collegial these days, they remain hierarchical. Your principal supervisor is still your primary academic guide and mentor during your candidature and your relationship with him/her is of critical importance. Supervisors are responsible for guiding the direction and standard of your work. University processes establish an operational framework so that staff and candidates know where they stand; they understand what is expected of them and what they can expect from others. However, rules and policies can only go so far, candidates and supervisors are human and subject to the complex vagaries of interpersonal relationships and personal styles.

The research candidature environment is different from what you previously knew as an undergraduate candidate. An intimate understanding of who is responsible and accountable within the university and where and when you should seek advice or assistance will make you a much more effective candidate and will enhance the relationship with your supervisor by defining boundaries of responsibility. It will enable you to make the most of a system that is designed to help you succeed. This is part of being an independent learner; taking initiative and actively directing your education and your relationship with the university.
Introduction

Knowing Your Environment
Here are some questions to consider as you acclimatise to your new environment:

- What are your responsibilities as a candidate?
- What are the academic governing bodies in research education and what are their responsibilities?
- What research activities, seminars, conferences etc, can you attend?
- Does your centre/school have a research co-ordinator and what is their role?
- Who are the advocates for research candidates?
- Are there candidate representatives on governing bodies?
- What is the role of the candidate organisation?
- What roles do administrative units play?
- Who can you appeal to if there are problems?
- How do you communicate officially with the university?
- What are the course rules and what is the research conduct policy?
- Are there accredited courses or informal courses that you can attend?
- What web resources and handbooks are available for you?
- What resources are you entitled to (books, photocopying, equipment allowances, specialist research advice, travel funds, office space or other physical university resources)?
- Are there web sites, email lists you can join?

Research candidates are members of the research community and are invited to participate in the university research culture. You are encouraged to attend as many events as you can - workshops, skills training programs, orientation programs, seminars and talks. Be demanding, and if you think something could be done better, say so. UWS wants its strategies to work and your suggestions are welcomed as leverage for resource allocation and evidence of the responsiveness of the university to candidate needs.

How to Use this Handbook
The handbook is intended to be a reference on matters that are important to your candidature and to provide a source of information on how to get things done, who in the university to contact and when, and to outline your terms of candidature. Updates of university policies are published on the university web pages at http://policies.uws.edu.au/ and you can reach them using your UWS candidate access.

Other updates are posted on the research candidate web site: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current

This handbook was written and compiled by Mary Krone, Office of Research Services.
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School of Nursing
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Contacts

Office of Research Services
Fax No: 02 4736 0013

Contact Office of Research Services (ORS) for: Advice on policy, rules, Research Studies Committee matters, scholarships, workshops and reporting milestones.

Web site for Higher Degree Candidates
http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current

You will find helpful information about resources and policies at this site.

Mary Krone
Manager, Research Candidate Team
Email: m.krone@uws.edu.au;
Ph: 02 4736 0463
Contact for policy matters, supervisor forums.

Tracy Mills
Scholarships Officer
Email: t.mills@uws.edu.au;
Ph: 02 4736 0966
Contact for all scholarship enquiries.

Sandra Lawrence
Research Studies Project Officer
Email: sg.lawrence@uws.edu.au;
Ph 02 4736 0278
Contact for all reporting milestones (Measures of Achievement, Confirmation of Candidature and Annual Progress Reports) and workshops.
Office of the Academic Registrar
Contact the Office of the Academic Registrar (OAR) for:
Processing of all administration matters: admissions, enrolments and examinations and all enquiries about candidature matters e.g., panel composition, minimum and maximum dates, processing of variations to candidature.

Fax No: 02 4736 0013
Email: sa-research@uws.edu.au
OAR Research Building K, Kingswood
University of Western Sydney
Research Services, Locked Bag 1797,
PENRITH SOUTH DC, NSW 1797, AUSTRALIA

Physical Location:
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International Candidate enquiries and fees

Michelle Collins
Candidate Administration Postgraduate Research Officer
Examination & Graduation enquiries
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Contacts

PAUWS

PAUWS (Postgraduate Association, UWS)  
Email PAUWS at pauws@uws.edu.au

PAUWS is the student representative body for postgraduates at the University of Western Sydney.

PAUWS represents the interests of postgraduate students within the University and the wider community. It offers welfare and case work support to all postgraduate students. For research candidates it runs a Research Student Network. PAUWS is governed by a council, elected by the postgraduate student body.

More information about PAUWS and its services is available from the PAUWS website www.pauws.asn.au

PAUWS has an office on each campus:
Campbelltown Building 2  (02) 4620 3012
Hawkesbury Building K3  (02) 4570 1872
Parramatta Building EY  (02) 9685 9375
Penrith Building N  (02) 4736 0052
Blacktown Building U2  (02) 9852 4057
Bankstown Building 2  (02) 9772 6270
Governance of Research Higher Degrees

The UWS Research Studies Committee (RSC) is a standing committee of Academic Senate and is responsible for the admission, progression and examination of research candidates. The Committee is strongly focussed towards ensuring that UWS provides high quality research education.

The Dean of Research Studies, Professor Lesley Wilkes, chairs the Research Studies Committee. The Research Studies Committee makes policy decisions and recommendations on resources for research candidates. It reviews candidate Annual Progress Reports and advises senior management on the implications for UWS of developments within the national research education arena, including sector practices and federal government policies.

All Colleges have a Research and Higher Degrees Committee. College Research and Higher Degrees Committees have authority to endorse many candidature matters. This ensures that matters are dealt with promptly. Where a matter is complex or controversial it is referred to the Research Studies Committee.

There are student representatives on the Research Studies Committee and College Research and Higher Degrees Committees. If you are interested in acting in this capacity please contact Mary Krone, m.krone@uws.edu.au
All research degrees must be at least two thirds independent research and most UWS degrees are 100% independent research. Some programs may incorporate taught subjects and some candidatures may be tailored to the individuals learning requirements by including taught subjects for that candidature.

**Research Masters:**
MA (Hons), MSc (Hons) M Ed (Hons), M Com (Hons), LLM (Hons), M Eng (Hons), M Nur (Hons)

The research masters degree is completed within 1-2 years full-time, or the part-time equivalent. It is primarily undertaken as a supervised program of original research, though the depth of the research required for a research masters degree is less than that required for a PhD. The research masters degree is aimed at the professional development of a candidate, with particular emphasis on research methodology appropriate to a field of study. It is intended to provide candidates with the opportunity to develop their potential for research, enhance their skills of problem identification and specification, and their ability to develop and present solutions.

**Doctoral Degrees: PhD**
Doctorates are completed within 3 years full-time, with a maximum enrolment of four years full-time, or part-time equivalent. The doctorate aims to produce graduates able to conduct research independently at the highest level of originality and quality. A PhD is a recognition of successful research experience of international standard in the discipline. A PhD candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas.

**Professional Doctorates:**
Doctor of Education (EdD), Doctor of Business Administration (DBA), Doctor of Creative Arts (DCA), Doctor of Cultural Research (DCR)

In addition to the comments on doctorates above, professional doctorates provide extended and advanced training in professional fields where projects and investigations are more applied in nature and more directly oriented to professional practice. The professional doctorate is designed to equip candidates to be critical consumers of research in a professional setting. Professional doctorates may have a structure of creative work plus exegesis, a series of projects and publications or higher level coursework with a thesis. There are specific course rules for each professional doctorate. In professional doctorates the independent research component, however structured, is greater than 67%.
Enrolment

You must re-enrol each year on-line. Notices about re-enrolment will be sent to your student email account.

To re-enrol log-on to: http://myuws.uws.edu.au and follow instructions.

You cannot make changes to your candidature on-line. You need approval from your supervisor and College for changes from full-time to part-time (or the other way), changes to your supervisory panel or for leave of absence. If you need to change these aspects of your enrolment you should complete a ‘Variation of Candidature form’ available at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/variations

Tuition Fees, Australian Citizens and Permanent Residents
Information on course fees for research degrees is available on the web at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/prospective/fees

FEE-HELP is also available for eligible candidates to help pay some or all of your tuition fees. The FEE-HELP booklet has all the information you need. If you wish to access FEE-HELP, and are eligible to do so, please complete the Request for FEE-HELP Assistance form online in MySR (you must return the request for FEE-HELP assistance form) by the census date of the relevant session.

Tuition Fees, International Candidates
You will be sent a candidate fees account at the commencement of each session. For further information: http://sites.uws.edu.au/international/coursefees.html

Go to https://myuwsaccount.uws.edu.au and follow the prompts. Once your MyUWSAccount is active, you can access your student email account at: http://studentmail.uws.edu.au

You will not be able to activate your MyUWSAccount until after you have enrolled.

ID Card
Once you are enrolled you can call into a campus Student Centre to get your ID (identification) card. You will need this for the Library and IT access.

There are Student Centres on all campuses. For further details please access the following web address: http://www.uws.edu.au/students/centres
You have a responsibility to be aware of the requirements for the degree in which you are enrolled and the objectives of that degree. After initial enrolment you will be sent a copy of the current rules for your degree and additional course documents, if you are enrolled in a professional doctorate.

You are strongly encouraged to access UWS policy documents at the website: [http://policies.uws.edu.au/](http://policies.uws.edu.au/) using your UWS login. The Research Higher Degree Candidature Essential Resources Policy is contained in this handbook.

The supervisory panel will expect that you understand:

a) The requirements for the degree in which you are enrolled and the objectives of the degree.

b) That a doctorate or research masters degree is research training with an output in the form of a thesis or major work, which measures the success of that training. It should be planned and carried out within a clear time frame. Part of the training is to be able to plan and execute a project within defined time limits.

c) That the degree is undertaken under supervision. You have a responsibility to establish agreed methods of working and to fulfil your side of any agreement with the principal supervisor and other members of the supervisory panel.

d) That you must complete all compulsory reporting milestones; Measures of Achievement, Confirmation of Candidature and Annual Progress Reports.

e) That you must provide evidence of progress to the panel at regular intervals, in addition to the formal reporting milestones mentioned in the preceding clause. You and your panel should plan together how and when material will be presented and how progress will be evaluated against the timeline.

f) That you must participate in such activities as are determined by the College Research and Higher Degrees Committee. Involvement in research culture is important for your development and candidates have much to offer the University; to supervisors, as models for other candidates and as contributors to the intellectual environment at UWS.

g) That you are responsible for ensuring that you understand and abide by relevant policies such as the Research Code of Practice, the Research Ethics Policy and Misconduct- Research Students Misconduct in Research Policy.

h) That you are responsible for notifying the principal supervisor if you have any difficulties. You should be aware of the mechanisms that exist to resolve these problems.

i) You are responsible for obtaining approval to take time away from candidature or vary the record of candidature.

j) You must ensure that you meet all the administrative requirements of the University, for example, re-enrolling each year and accessing your student email account.

k) You must work with your panel to construct a reasonable timeline and to decide how to judge progress against it and make adjustments when necessary.

l) Scholarship recipients must abide by their Conditions of Award, in addition to the degree rule.

m) You are solely responsible for the content, style and presentation of the thesis or work that is finally presented and for certifying its originality.
Candidate Responsibilities

Candidature Length
Research candidates have a range of time to complete the degree, see table below. It is expected that you will complete in minimum time but you may extend up to the maximum time, if necessary. The university counts time in enrolment load (EFTSL – equivalent full-time study load) and this is determined by your enrolment pattern. This method of counting enrolment takes into account periods of full and part-time enrolment and periods of leave. The EFTSL clock stops during periods of leave. Load (EFTSL) is accrued at 0.25 per part-time session and 0.50 per full-time session.

Completion Times

<table>
<thead>
<tr>
<th>EFTSL</th>
<th>Full-time Years</th>
<th>Full-time Sessions</th>
<th>Part-time Years</th>
<th>Part-time Sessions</th>
</tr>
</thead>
<tbody>
<tr>
<td>M (Hons)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minimum</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Maximum</td>
<td>2</td>
<td>2</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>PhD, Prof Doc</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minimum</td>
<td>3</td>
<td>3</td>
<td>6</td>
<td>12</td>
</tr>
<tr>
<td>Maximum</td>
<td>4</td>
<td>4</td>
<td>8</td>
<td>16</td>
</tr>
</tbody>
</table>

You must work with your panel to construct a reasonable timeline and to decide how you judge your progress against it and make adjustments when necessary.

The amount of time you have for a scholarship is shorter than the maximum allowable time for candidature and if you are a doctoral scholarship holder you should be working towards completion within three years. Sometimes work that first appears to be vital would best be kept for postdoctoral work. Managing the scope of your project requires skill as you must judge what will give you a good thesis and know when to put things aside, perhaps for a paper or to pursue after graduation.

You are encouraged to write often and write early and you are responsible, along with your supervisors, for ensuring that you have sufficient time to write up the thesis or exegesis, and that you know what is necessary in terms of content, style and presentation.
Part-time and full-time expectations
It is expected that a full-time candidate will normally spend a minimum of 35 hours per week on their study and that part-time candidates will spend 20 hours per week. This is offered as a guideline, circumstances may change at different periods of the candidature.

Managing a heavy load is a significant consideration for many doctoral students. For part-time candidates, finding twenty hours a week of effective working time can be difficult. This means time with minimal interruptions, when you are fresh and alert and the time is long enough at a stretch to be useful. Some people are late night workers, others are best early in the morning. Students with heavy family responsibilities need strategies for sharing the load and finding effective study time. Fellow students and student organisations can be very supportive.

Thesis
You are solely responsible for the content, style and presentation of the thesis or work that is finally presented and for certifying its originality.

Rules and Policies
You should be aware of all relevant rules and policy and ensure that your candidature complies with them. They are contained on the UWS policy website (http://policies.uws.edu.au/), accessible using your UWS login.
Candidate Resources

See the Research Higher Degree Candidature Essential Resources Policy contained in this handbook.

Candidature Support
You are entitled to apply for reimbursement of incidental costs directly related to your candidature. Examples of expenses that may be claimed include training, photocopying, transcription, external facilities, field trip vehicles, minor equipment, colour plates, specialist software, travel to exhibitions. These funds are available by applying through your research centre or school. You should keep receipts of all items you may be able to claim.

For further information on entitlements and accessing funds see: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/studentsupport

Workshops for Research Candidates
Workshops are developed by the Learning Skills Unit, the Teaching Development Unit and the Office of Research Services. They are free and available to all research candidates. Workshops include these topics:
- Collaborative Writing for Doctoral Candidates
- Using Interpretive Methodologies
- Thesis Writing Circles
- Preparing Conference Abstracts
- Preparing for the Confirmation of Candidature
- The Literature Review, Part I and II
- N5 NUDIST/NVivo
- Presenting using PowerPoint
- Project Management
- Final Stages
- Intro to Basic Statistics using SPSS

Information about programs and registration is posted on the Office of Research Services website at http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/candidatessupport#1

If the workshop you are interested in is fully booked you may ask to be put on a waiting list and another workshop may be run if there is sufficient interest.

It is wise to read the workshop summaries to work out the best program for you, for example, the workshop on the Literature Review is based on your already having completed the Confirmation of Candidature.

Please ensure that when you book for workshops you are sure that you can attend, notwithstanding emergencies. If you find that you are unable to attend a booked workshop, please advise Sandra Lawrence as soon as possible, sg.lawrence@uws.edu.au

On-Line Resources for Research Candidates
This set of resources is designed for you to work through at your own pace. It also includes lists of relevant books and links to other websites. The site is set up in vUWS* and you will need to click on the following url to be added to the Higher Degree Research site: http://ceam.uws.edu.au/cgi-bin/auth/auto-register.pl?rs2_rsd_hdr

* vUWS is the UWS on-line workshops and tutorial site (Virtual UWS)
This link will only add you to the Higher Degree Research vUWS site if you are a current UWS staff or student. If you experience any problem with being added to the site please contact the E-Learning Service Desk on (02) 4570 1555 or by emailing elearning@uws.edu.au

This site offers online support for higher degree research candidates who may have difficulty attending workshops on campus.

The workshops capture the essence, content and discussions of the attended workshops. The on-line workshops have UWS specific information and links to additional references and web sites.

Topics for commencing candidates include “Beginning the Literature Review”, “Research and Writing – Connecting the Two Processes” and “Writing the Confirmation Document” In the middle stages of candidature topics include: “Preparing a Conference Abstract,” “Writing an Interesting Thesis” and Using MS WORD to simplify the thesis writing process. There are also workshops for the final stages, preparing for examination and further resources for all candidates.

Mathematical and Statistical Analysis Support
The School of Computing and Mathematics provides expert assistance for UWS research candidates who wish to use mathematical and statistical techniques in their research. Researchers from all disciplines are welcome to apply.

Contact Maths and Stats Consulting
A/Prof Richard Ollerton:
rollerton@uws.edu.au

ACSPRI: Australian Consortium for Social and Political Research Incorporated
ACSPRI offers courses in social research methods and research technology. Courses cater for researchers in the social and political sciences, and in areas such as behavioural, health and medical sciences, policy research, education, economics, epidemiology, law, management, marketing, public relations and human resource management. ACSPRI Programs have a high reputation for presenting a practical and applied approach to research methods and data analysis, promoting hands-on learning opportunities, and using highly skilled and experienced instructors.

For more information:
UWS is a member of ACSPRI.
Panels
The University uses a panel system of supervision. Each research candidate has a panel of at least two supervisors, one of whom is designated as principal supervisor, the other(s) as co-supervisor. Panels introduce additional expertise and some candidatures may have several co-supervisors, to access a range of knowledge and skills. Panels provide a backup should the principal supervisor be absent for any reason. Panels provide mentoring for new supervisors in a co-supervisory role and panels are used to involve experts who are external to the University. The operation of your panel will be determined by the principal supervisor in consultation with the you and other panel members.

Graduate Supervisor Register
Principal supervisors are registered on the Graduate Supervisor Register. Registration requires attendance at a Supervisors Forum once every three years and completion of an application form. Normally a principal supervisor will hold qualifications at least at the level they are supervising.

Numbers of Candidates
The principal supervisor will not normally be principal supervisor for greater than the equivalent of three full-time research candidates. The Research Studies Committee may approve more than the equivalent of three full-time candidates in circumstances such as where the principal supervisor is a research-only appointee.

The Principal Supervisor
The principal supervisor has a specific role in leading the panel and taking responsibility for a range of matters. Broadly these are:
- Management of time
- Monitoring of progress
- Encouragement of candidate participation in UWS research culture
- Ensuring that commitments made by the panel and candidate are met
- Providing timely feedback
- Ensuring that reporting milestones are met: Measures of Achievement, Confirmation of Candidature and Annual Progress Reports
- Arranging nomination of examiners, thesis lodgement and responding to examiners reports
- Taking steps to address any problems that may arise
- Advising candidates about Leave of Absence, if required
- Ensuring that candidates are provided with resources
- Advising candidates about the Research Candidate Misconduct in Research Policy, the Research Code of Practice and ensuring that they are aware of UWS policies on IP and plagiarism

An Acting Principal Supervisor of the supervisory panel must be appointed during any significant absence of the principal supervisor i.e., more than a month at a time, and always during periods of absence due to PDP leave. It is never acceptable for a candidate to have their candidature disrupted by staff absences. Please see the information under “Variation of Program” for advice on changing panel membership.
Managing the Candidature

Setting Up The Relationship
This section poses some ideas to consider as you and your supervisory panel get to know each other in the early days of enrolment. The dot points suggest items you may wish to consider as you establish a working relationship with your supervisors. Establishing protocols sets clear boundaries, roles and expectations.

Ideas for Setting-up Initial Meetings
- What will be the frequency and duration?
- Will I have access to supervisor(s) outside scheduled meeting times?
- Who has responsibility to initiate meetings, if they are not regular?
- What is the protocol when one cannot make the meeting?
- Who takes meeting notes and circulates them?
- What will be the protocol for submission and return of work?

The Panel
- What role will be taken by each supervisor?
- What will be the workload percentages?
- Will the whole panel meet, how often?

Time Frame
- Have we mapped projected progress against time?
- How long will each stage take?
- How will we monitor time/progress?

What is a Thesis?
- What does “thesis” mean?
- Will there be a non-text component?
- Are there specific course guidelines, such as with some Professional Doctorates?
- What is an appropriate structure?
- What is the difference between a thesis that passes and one that is exceptional?
- Titles of good examples in a particular field?
- What is meant by originality?
- When should writing occur?
- What is expected in a literature review?
- Have we sorted out Intellectual Property (IP) issues?

Advice and Support
- Confirmation of Candidature: how much input from the supervisor, how will this proceed?
- Expectations of feedback (style, how much, how often in what form, how soon?)
- Strategies to use when comments/corrections are not understood
- Should the candidate seek feedback from anyone else?
- Support with content, e.g., resources, contacts, how much can be expected given the supervisor’s knowledge of the area?
- What other kinds of knowledge are needed? (e.g., research process, writing skills)
- Any personal circumstances that ought to be considered? (e.g., new baby, ill health)
- Attitudes to supervisor/candidate relationship (mentor/mentee, teacher/candidate, colleagues)
Managing the Candidature

Resources
- Do you have access to resources?
- Do you know about support schemes within UWS: candidature support and conference scholarships etc.?
- Are there any suitable conferences this year?

UWS Requirements
- Do you know what milestone reporting is required in the first year and do you have a plan of approach?
- Do you know of research activities in the School/College/Centre?
- Will you be presenting a seminar (apart from the Confirmation of Candidature)?

Scholarships
If you have a scholarship you must observe the Conditions of Award as well as university rules. You will have received a copy of your Conditions of Award and you can discuss them at any time with the Scholarships Officer, Tracy Mills, t.mills@uws.edu.au

Scholarship holders should view their candidature as their main occupation and focus of their financial income. There are strict limitations to the amount of paid work that can be undertaken. Part-time candidature is permitted only in compelling personal circumstances and according to the Australian Taxation Office, is subject to tax (stipends for full-time study are tax free). All previous enrolment time prior to receiving an award will be deducted from the duration of the award. It is a good idea to discuss the conditions of your award with your supervisors to determine how those conditions may impact on the management of your candidature.

Candidates must notify the Scholarships Officer if they intend to take annual leave and the principal supervisor will be asked to confirm the dates of leave.

Extensions for six months, for doctoral candidates only, may be considered but there are strict criteria and applicants must have sound evidence to support their claim. In some circumstances there will need to be documented evidence throughout the candidature of events that led to the delay and an explanation of why the time plan could not be adjusted to compensate for whatever difficulty was experienced. Please consult your individual award for exact conditions. It is unwise to assume that an extension will be approved automatically, this is not the case. Extensions are given for a maximum of six months. Scholarship extensions are not applicable to research masters candidates.

Writing
You are strongly advised to start writing early and to write often. Mandatory reporting that requires you to write sustained pieces of work assists this process e.g., the Confirmation of Candidature, or presentation of your work within the School/Centre early in the candidature. Listen to your supervisors advice and ask them if you are unsure about your writing. There are courses that can assist you within the university. Writing circles are very popular and effective programs. With the assistance of a learning skills advisor

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candidates meet regularly to share and critique each others work, members bring along a chapter or more and share advice about the writing style, structure and other aspects of the writing. The candidate benefits from the advice of their peers and by thinking critically about other people’s writing. For all candidates, practice at writing is the best way to improve writing skills.


**Publishing**

You are encouraged to publish during your candidature. It is a good idea to discuss this with your supervisory panel and think about the stage at which you publish, the most suitable journal, whether to publish jointly and with whom. There are guidelines for joint authorship in the Research Code of Practice contained on the policy pages of UWS, accessible through your UWS log-in at [http://policies.uws.edu.au/](http://policies.uws.edu.au/)

**Work Books for Laboratory Based Research**

All candidates undertaking laboratory-based work at UWS are required to use UWS laboratory notebooks.

These books are international industry standard for Good Laboratory Practice and mandatory for Intellectual Property (IP) management for all research institutions and Contract Research Organisations. Many regulatory agencies (Food and Drug Administration – USA, Therapeutic Goods Administration, etc) and the USA/AUS Patent offices/courts require the laboratory notebooks to determine validity/efficacy of claims as well as the inventors and dates of idea/data entry in IP disputes. Laboratory notebooks are considered legal documents. Any serious national and international Research and Development investor requires access to the notebooks to substantiate ‘due diligence’ prior to signing licensing agreements. Some leading journals request access to laboratory books in allegations of misconduct.

The laboratory notebooks can be bought at the UWS shops (not the Co-op Book Shop) for approximately $23, and some supervisors keep a stock for their candidates.

There are guidelines (prepared by patent lawyers) in the front pages of every laboratory notebook to assist researchers.
In some circumstances a candidate and supervisory panel may consider an upgrade from a research masters to a doctoral program.

The candidate’s scholarship will be demonstrated by markers such as written research design and analysis, the Confirmation of Candidature document, a literature review, completed chapters and publications. Applicants should be aware that the demands of doctoral research are much higher than the research masters in terms of use of methodology, the significance of the research findings and the contribution of knowledge to the discipline.

The assessment of an upgrade application is a rigorous process and the candidate and panel must provide information that will allow the College Research and Higher Degrees Committee and the UWS Research Studies Committee to be convinced that all criteria (see below) are met and that the candidate has sufficient time to complete a doctorate. Thought must also be given to the type of doctorate being considered, for example, some professional doctorates where the candidate completes a portfolio may not be suitable if there is not sufficient time to address specific course requirements.

The Confirmation of Candidature should be completed as a Masters (Honours). The applicant should provide the confirmation document and the confirmation report with the application to upgrade.

In some circumstances the application will be made at a later stage and the Confirmation of Candidature should be considered in these circumstances as well. However, it may be a good idea to present the case for upgrading to a panel within the College. The principal supervisor should discuss this with the College Associate Dean, Research. In all cases the time spent enrolled in the research masters will be deducted from the time allowable in the doctorate.

Criteria
1. The quality and originality of the research already completed. General quality will be reflected in an original methodology or procedure of originality and merit and/or an original analysis of compelling significance.
2. The scope and complexity of the project. It must be shown that the scope and complexity of the project are at doctoral level and beyond the expectations of a research masters. The complexity must be well thought out and the project must be shown to have a clear focus.
3. Research capabilities of the applicant. The assessment of the research capability of the applicant will normally be demonstrated by the completion of a significant body of material, such as written research design and analysis, the Confirmation of Candidature document, a literature review, completed chapters and publications.
Process
The application must be supported by the supervisory panel and will be considered by the College Research and Higher Degrees Committee and the UWS Research Studies Committee.

Application
Applications must include:
1. A completed cover sheet.
2. A resume of all relevant work and qualifications.
3. A submission making a claim to the quality and scope of the work completed. This should be demonstrated by the inclusion of pieces of written analysis, or other documents, which support the claim. In particular, evidence will need to be provided to illustrate that the project has the breadth and depth required for doctoral studies.
4. A statement of the proposed changes in the project if it was to become a doctoral project, including resource needs.
5. A revised timeline.
6. Other evidence that supports the three criteria listed above.
7. A statement of support from all members of the supervisory panel.
8. International candidates will be required to show evidence that they have approval from their funding body and/or employer in their country of origin (if applicable) and UWS International.

An upgrade coversheet can be found at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/upgrade
Variations of Program

Changes to candidature details must be formally approved and recorded on the candidate record system.

The variation of candidature form is available at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/variations

All enquiries about variations of program and notices of change of personal details may be made to sa-research@uws.edu.au Please use your UWS email when contacting UWS.

Change in personal details
These items are processed by the Office of the Academic Registrar. There is no approval necessary and the university community is informed of changes via the networked candidate record system, Callista.

Supporting documentation, such as marriage certificate (certified copy) or deed poll certificate (certified copy), is required for an official name change.

Variation of Thesis Title
The thesis title is recorded on the candidate record system. You may refine the topic as you progress and use a “working title” in the interim. Major changes that indicate a substantial shift in direction will be questioned. Candidature and/or scholarship duration cannot be extended because of a topic change. Minor changes need not be made until final submission.

Change of Supervisor or Co-Supervisor
Panel membership change requires permission of the College Associate Dean, Research. Sometimes it is a good idea to change membership as additional expertise is required or members are unable to continue in their role.

However, a word of caution is offered about panel changes. It may appear to be an easy fix for a range of problems but is not always the best response to difficulties. The candidate-supervisor relationship can be very intense, which makes it easy for personal issues to become confused with other differences of opinion. You must exercise judgement in calculating the best solution to problems caused by a conflict in personal styles and be aware that at times personal conflicts can be confused with failures of an academic nature.

In most cases of conflict within a panel, the best solution is to work through those issues with the assistance of the School/Centre Coordinator or Associate Dean, Research.

To change panel membership a Variation of Program form must be completed, signed by the relinquishing and new members and endorsed by the College Associate Dean, Research.

A change of principal supervisor is a decision of the College Associate Dean, Research, who will make a determination after discussion with all involved. Supervision of research candidates is a workload issue for academic staff and this will be taken into consideration.
Change of Mode
Candidates may change between full and part-time enrolment if necessary, for example cessation of scholarship and the need to find part-time work. International candidates are not permitted to enrol part-time; this is an Australian government visa requirement. In normal circumstances scholarship holders must be enrolled full-time.

Leave of Absence from Candidature
Candidates may normally apply for a maximum of two sessions leave in any one candidature.

Candidature is recorded in whole sessions. You should apply for leave well before the census dates of the two main research sessions, that is, by the end of March for session one or the end of August for session two.

When should you take a formal Leave of Absence?
You should take leave if you are having problems that are interfering with your progress and there is an expectation that a period of leave will give you time to resolve the problem. The problems may include ill health, health problems within your family, short term professional pressures, grief etc.

Leave of Absence should not be seen as a means of "buying time" in a troubled candidature. It is better to address the issues directly, as it is likely that problems will persist on return to study.

During periods of leave you are not enrolled and may not access UWS resources. This includes contact with the supervisory panel for whom there will be no workload. The candidature clock stops during periods of leave, that is, the maximum period of enrolment is adjusted to account for the period of leave.

Extensions of Maximum Candidature
Applications for extension beyond maximum time may be considered where there is clear evidence that there have been unexpected delays beyond your control that could not have reasonably been anticipated. The maximum period of candidature differs from the maximum date of a scholarship and candidates should confirm their final date of scholarship with the Scholarships Officer, Tracy Mills t.mills@uws.edu.au; (02) 4736 0966.

It is the responsibility of both you and your supervisor to ensure timely completion. If you are ill it is best to take leave at the time and put the candidature on hold until you recover. Extensions are granted for one session. If you are enrolled on a fee-paying basis you will incur fees for an extension and if you are a funded candidate (RTS) your School or Research Centre must agree to carry you as unfunded load for the duration of the extension. Annual Progress Reports may be considered when reviewing extension applications.
Variations of Program

The application should be made on a Variation of Program form with the following attached:

- An explanation of the delay
- An explanation of how the problem will be addressed
- A revised timeline
- Written support of the supervisory panel
- Written endorsement by the School/Research Centre to carry an unfunded candidature, if applicable
- Written support of the College Associate Dean, Research

Extensions are granted for a maximum period of one session.

Candidates are considered to have completed study when they have lodged an exam ready thesis and fully completed Thesis Lodgement Form with the Office of the Academic Registrar.

Scholarship Extensions
Extensions of up to 26 weeks may be approved under certain circumstances, for some awards. You should consult your “Conditions of Award” for specific guidelines. Generally, extensions will only be granted where it can be proved that there have been delays related to the research, not of a personal nature, and beyond your control. Please contact the Scholarships Officer for advice Tracy Mills, t.mills@uws.edu.au; Ph: 02 4736 0966

Application for Early Submission for Examination
Candidates who wish to submit work for examination before completion of the minimum period of candidature should apply in writing to the Research Studies Committee with the support of their supervisory panel and College. The Research Studies Committee will seek evidence that no purpose would be served by continuing the candidature in terms of academic readiness of the work.

Candidate Communication with the University
The primary form of communication by UWS with research candidates is by your candidate email account. It is UWS policy that you access this account.

Messages about scholarship opportunities, workshops and other matters of interest to candidates are sent to your candidate account.

There is a facility that enables candidate email to be forwarded to another email account. You can choose this when you login to check your mail. You should do this if you cannot, or forget to, access your candidate account on a regular basis.

Processing Variations of Program
Send the application with endorsement and comments by the supervisory panel to the Office of Academic Registrar. They will arrange College consideration.
Office of the Academic Registrar (OAR) Research
University of Western Sydney
Research Services
Locked Bag 1797
PENRITH SOUTH DC
NSW 1797, AUSTRALIA

Physical Location:
Penrith Campus (Kingswood)
Rooms 111-124
First Floor, Building K
Second Avenue
Kingswood NSW 2747, Australia
Facsimile: (02) 4736 0013
First Year Milestones
UWS has a structured first year to help candidates to get focussed early in their candidature. The main features are the Measures of Achievement and the Confirmation of Candidature. Both milestones are compulsory for all candidates and non-compliance may jeopardise continued enrolment.

Measures of Achievement
The Measures of Achievement should be agreed in the early weeks of candidature. This is a good task for one of the first meetings with your panel. The aim is to identify goals that you will achieve early in your candidature. This will involve some mapping of the forthcoming months, setting goals and agreeing how they will be measured. Part of the mapping exercise will be to identify tasks and skills or knowledge that you should seek to acquire in the first weeks or months of the candidature.

You have six months in which to complete the Measures of Achievement but you are strongly encouraged to attend to it early. Generic forms can be found at:
http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/milestones/moa

Measures of Achievement is unique for each candidate and should be achievable within the nominated time and may include things such as:
- Mastering a laboratory research technique
- Attending a relevant coursework component such as a research methods course
- Producing written reports including a draft timetable for the project
- A literature survey
- Other disciplinary specific requirements

Confirmation of Candidature
All candidates must complete the Confirmation of Candidature within the first year of enrolment. Most full-time candidates will complete the task within six months. You should discuss the best timing with your principal supervisor. The Confirmation of Candidature must be successfully achieved for you to enrol in the second year. If the proposal is not approved, you must request an extension from the College Research and Higher Degrees Committee.

Human Ethics applications cannot be submitted until the Confirmation of Candidature has been successfully completed.

The Confirmation of Candidature is a vital exercise in good candidature management and you are encouraged to organise it early. However, to allow flexibility for individual candidate needs (including part-time candidates) and discipline requirements the Research Studies Committee has established the following framework for completion:
Full-time candidates should complete their Confirmation of Candidature within six months wherever possible, but they may take up until December of the first year of enrolment if commencing in session one and up to March 31st if commencing in session two.
Part-time candidates may undertake their Confirmation of Candidature within six months of first enrolling and the commencement of the third session following initial enrolment. For candidates commencing in session one, this will be March of the following year. For candidates commencing in session two, this will be August of the following year.

Some Colleges may require Confirmation of Candidature to be undertaken as part of other College activities such as the College Conference.

The Confirmation of Candidature is a formal and comprehensive process that reviews the progress and plan of the candidature from commencement to completion. The process may identify improvements that can be made and it is an opportunity to receive positive feedback on progress.

The Confirmation of Candidature tests the proposal, research theme or question to be explored; intellectual context; research objectives and research procedures within the framework of the expectations of the degree and the available time frame.

The process of candidacy confirmation consists of:
- Submission of a written document between a minimum of 2,000 and maximum of 10,000 words. Most confirmation documents are 3,000 to 5,000 words. Length is determined in part by the focus of the work and the discipline area. You should discuss a suitable length for their candidacy document with your principal supervisor
- A verbal presentation to an expert academic panel selected by the principal supervisor
- Assessment, advice and any required follow-up or other action recommended by the panel or College Research and Higher Degrees Committee
- You must also attain Ethics approval from the relevant Committee, if applicable. This should be achieved as soon as possible and the supervisory panel will provide advice about timing of the Ethics application.

1.1 Content of the Document

There is capacity for individual initiative and variations in research style, however, the following elements must be included:

1.1.1 Thesis Title

This should be clear, informative and unambiguous.

1.1.2 Research Case

This section is to demonstrate that you understand the research theme or question and are able to define the theme/question in terms that indicate that the research will provide insights into its resolution.

The Research Case should include an outline of:
- A description of the project as a whole
- A thesis statement, comprising:
  The proposition(s) that the thesis will demonstrate
A description of the main focus of the thesis
A description of how the various themes/questions are interrelated
A demonstration of the worthiness of the proposed research with respect to gaps or conflicts in present knowledge or understanding

1.1.3 Intellectual Context
This section should contain
- A detailed discussion of the conceptual and empirical aspects of the research
- A comprehensive and critical literature review related to the problem situation
- An explanation of how the thesis is related to the literature or other research in the discipline
- Account should be given of the theory(ies) that will be considered and the method(s) that will be employed in selecting, organising and analysing the material that will make-up the main body of the thesis
- Likely sources of information, archival resources, field work, survey and other empirical data which will be necessary
- A topical outline and the general content by areas or by chapter, with description and relationship of each to the others may be included
- The expected contribution of the thesis to the advancement of knowledge in the relevant field of study

1.1.4 Research Outcomes
This section should clearly demonstrate that you have identified a potentially solvable or resolvable research proposal and has a plan of action whereby this will be achieved within the required time frame. It may be in the form of a general statement and/or a list of more specific aims that will lead to accomplishing the general objective.

1.1.5 Research Method
This section should set out the logical steps to be followed in meeting the research objective(s). The method should be set forth including an expression of why it is important to the particular research field and how the method will generate and verify the conclusions reached in the thesis.

You should include a time line of expected progress and milestones to be achieved.

1.1.6 Length of Confirmation Document
Confirmation documents vary in length according to the requirements of the topic. Most are from 3,000 to 5,000 words with a minimum of 2,000 and maximum of 10,000.
1.2 Approval Process
You must submit a complete, paginated manuscript to your principal supervisor for review and approval by an advisory panel.

An advisory panel is established as described below. The panel is responsible for ensuring that the you have mastered the relevant literature, that the major research questions have been sharply defined, and that the research strategy is sound. The confirmation presentation offers you an opportunity to crystallise your ideas and to receive feedback from several experienced researchers at an early stage of the work.

1.3 Principal Supervisor’s Responsibilities
The principal supervisor is responsible for:
- Ensuring that the confirmation document is suitable for submission to the advisory panel
- Establishing an advisory panel (with up to 5 members) comprising:
  - College Associate Dean, Research, or nominee (Chair)
  - Principal supervisor and panel members
  - 1 or 2 other persons with relevant expertise either from within the College or from outside it. The committee should comply with university policy on gender representation
- Arranging for each panel member to receive a photocopy of the confirmation document seven days before the meeting
- Arranging a meeting room and formally advising the candidate and all members of the panel in writing of the meeting date and time. The meeting should not be held in a staff office
- Administrative follow-up after the meeting which will include ensuring that the candidate and the Associate Dean, Research are given copies of the report. The panel should agree on the main points to be included in the report on the candidate’s confirmation. The panel chair has responsibility for the panel report on the Confirmation of Candidature document and presentation; however, the principal supervisor should collate the main points discussed at the meeting and prepare a draft report for consideration by all members of the panel and final written endorsement by the panel chair

1.4 The Meeting
- Only you and members of the confirmation panel will attend
- The meeting will be chaired by the College Associate Dean, Research or nominee and should take from one to one and a half hours
- The format of the meeting will be at the discretion of the Chair but usually the candidate will give an oral overview of the confirmation document for approximately 15 minutes and this will be followed by a question and answer session where both you and the panel may ask questions. You may be asked to leave the room for a few minutes while the panel confers and gathers their thoughts
1.5 Feedback
- Preliminary feedback will be given directly to you at the meeting.
- The advisory panel will complete a report to be signed by the panel chair and principal supervisor.
- There are three outcomes of the confirmation process:

A The candidature is confirmed, you are notified within 10 working days by your principal supervisor, in writing, and the information is sent to the College Research and Higher Degrees Committee for noting.

B The panel recommends changes to the document; you are notified within 10 working days and given explicit instructions by the principal supervisor on the additional work, a timeline and a process of review.

C The matter is referred to the College Research and Higher Degrees Committee for further discussion and action. You will be notified of the result by the principal supervisor and given explicit instructions on the additional work, a timeline and a process of review.

- A copy of the written report to you with the signed cover sheet attached should be lodged with the Office of Research Services for filing.
- A copy of the confirmation document and cover sheet should be lodged with the College.

Annual reports
http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/milestones

All continuing candidates must complete an Annual Progress Report. First year candidates do not complete an Annual Progress Report.

Annual Progress Reports are used to formally document your progress. They are used to reflect on your achievements and to assess your completion plan. The report should identify problems, of any nature, and they are used to record successes such as publications and conference attendance.

Annual reports recommend specific actions in candidatures where progress is not satisfactory. This may include setting a series of tasks, with due dates and a period of review. The College may request termination of a candidature as a result of the annual report process.

The Research Studies Committee reviews all reports and makes resource and policy decisions using summative information and there may be direct intervention in individual candidatures. Annual reports are checked when candidates apply for leave or an extension or when the candidate or panel may question aspects of the candidature, particularly in relation to satisfactory progress. Failure to complete and return this report will jeopardise enrolment.

Australian Postgraduate Awards – Industry (APA/I) candidates must also complete an Australian Research Council (ARC) Report. The Office of Research Services will contact you if an ARC report is required.
Dealing with Difficulties

There are informal and formal ways to deal with difficulties. It is always best to solve problems by the most simple and direct method. Sometimes, a seemingly intractable problem can be overcome fairly easily, without animosity or continuation of the problem.

Informal means of problem solving can start with discussing the issue with your supervisor. This can work where there are mismatches in understanding of some issue. Sometimes, it might be helpful to involve a third party, for example, another academic staff member, a member of the panel or the school/centre research co-ordinator. Informal problem solving may include identification of a problem, e.g., writing skills, and agreement on the nature of the problem and how it might be overcome. You and your supervisor may agree to review the progress of your solution, in case there needs to be a change of strategy if the solution has not worked as well as you had anticipated. The school or centre research co-ordinator is a good resource for discussing these matters and may be able to make helpful suggestions.

The candidate-supervisor relationship can be very intense which makes it easy for personal issues to become confused with other differences of opinion. You must exercise judgement in calculating the best solution to problems caused by a conflict in personal styles and be aware that at times personal conflicts can be confused with failures of an academic nature.

You should take action if you believe that your supervisor is not meeting his/her responsibilities. Start by discussing the matter with other panel members or the school/centre co-ordinator. You should also consider the role of the student organisation and other units within the university that act as advocates for candidates, to assist in finding a resolution and to provide support.

Many issues can arise in a candidature, problems are often complex and effective resolution requires an accurate understanding of the underlying causes. Strong protocols are a good practice and an insurance policy. Things are less likely to go wrong if everyone knows their role and responsibilities and understands that they will be held accountable. The university community is concerned about your candidature and there are structures and specialist units to share the load with your supervisor and to assist you.

You are an independent learner, which means taking active responsibility for your candidature and knowing your environment, from accessing resources and understanding your entitlements, to knowing who will act as your advocate and when you should take formal action about a problem. Independent learners cultivate alarm bells and act early. Independent learners participate in their research community and embrace opportunities for skills development. Managing your life and study as a doctoral student is a challenge and there are supports and strategies, such as project management principles and peer groups that can help you. Relationships with supervisors sometimes fall
apart. However, it is wise to fully determine the nature of problematic candidatures to ensure that remedial action is effective.

There are methods of dealing with troubled candidatures that are between informal approaches and formal reporting to the Research Studies Committee. This will usually involve the College Associate Dean, Research. Sometimes, it is helpful to expand the supervisory panel for a specific period. This may include formal meetings with the Associate Dean, Research or school/centre representative in addition to regular panel meetings with the candidate to check on progress. Candidates may be asked to undertake a specific set of tasks within a defined timeframe, with a view to making a decision on progress when the tasks are assessed or the panel may recommend an additional Confirmation of Candidature to test progress and the plan for completion. Candidates may wish to talk to the postgraduate association, PAUWS at this stage. Contact information for PAUWS is in the front of this handbook. Candidates may contact the Dean of Research Studies, Professor Lesley Wilkes, for advice.

Formal steps may be taken as part of the annual reporting process. Supervisors can recommend one of the following outcomes and this will be referred to the College Associate Dean Research for action or the Research Studies Committee, if required.

**Annual Report Recommendations;**
- Continuation of candidature
- Continuation of candidature with specific qualifications
- Continuation of candidature with interim review
- Candidate should transfer from doctorate to research masters
- Termination of candidature

Additionally, the degree rules specify formal means of dealing with failure to progress.

Candidate may be terminated for failure to make academic progress during the period of candidature, and for academic misconduct as described under the UWS Guidelines for Responsible Practice in Research, contained in section two of this handbook.

If the principal supervisor is of the opinion that the candidate is not making satisfactory progress, in consultation with the supervisory panel, they should recommend to the College Associate Dean, Research that the candidate be invited to “show cause” why the candidature should not be terminated. Candidates will be provided with the contact details for the PAUWS candidate advocate on their campus of enrolment so that they can seek advocacy and support, should they wish to do so.

The College Associate Dean, Research will bring a recommendation to the Research Studies Committee, which will also consider the “show cause”.

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The candidate will have the right of appeal under the Appeals and Appeals Procedures under Higher Degree Rules policy in respect of decisions made by the Research Studies Committee under this clause. Candidates will be provided with the contact details for the PAUWS candidate advocate on their campus of enrolment so that they can seek advocacy and support, should they wish to do so.

Plagiarism
Protect yourself by ensuring that you have a comprehensive understanding of plagiarism and how to avoid it.

There are very helpful web sites to assist you. Start with the UWS Library pages on Citing Resources http://library.uws.edu.au/onlineTut.phtml?case=citing

These pages also contain links to Referencing Styles

The UWS Library site has links to other pages that will assist you in understanding plagiarism, for example:
http://www.indiana.edu/~wts/pamphlets.shtml

Keeping track of references.
The Library holds training workshops on the use of End Note each session, see also:
http://library.uws.edu.au/training.phtml

Is it possible to self-plagiarise?
Failure to acknowledge publication of your work is not modesty but a form of “double dipping” in some cases and it may be a misrepresentation of the context of your scholarly endeavour. Some self plagiarism may be acceptable outside the academy but it is not permissible in scholarly work if the material has previously been published.
UWS Library is the primary scholarly information service provider of the university. Through its seven campus-based libraries and its website, the Library provides both personal and web-based access to information resources and services integral to the academic endeavours of candidates, staff and researchers of the University.

**Assistance**

UWS Library provides a range of reference and information services to the candidates and staff of the university. As well as web-based assistance, each campus library has Liaison Librarians for the schools on site. A full listing of these staff is available from the Library webpage. Liaison Librarians offer a high degree of subject expertise and can assist research candidates in locating relevant scholarly information. They can be contacted via phone, email and in person. Research candidates are welcome to make appointments for help with specific information needs.

The Library also offers information sessions to provide research candidates with in-depth advice on information sources and effective search techniques. These sessions are advertised via the Library website and include training in the citation management software, EndNote. Research supervisors are welcome to contact the relevant Liaison Librarians to discuss customised training.

**Resources**

The Library currently holds almost 800,000 print volumes and provides access to approximately 64,000 serial titles, with close to 90% accessible in full text via the web. In addition to monographs, journals and non-book materials (including videos, DVDs, CD ROMs), the Library subscribes to over 230 electronic databases. Print materials can be requested for delivery between campuses (intercampus delivery) and material not held by UWS Library can be made available to research candidates via Document Delivery to UWS from other libraries.

**Library website**

The UWS Library homepage [http://library.uws.edu.au/](http://library.uws.edu.au/) provides access to online resources and services, either within the university network or off-campus. This includes:

- **Resources**: catalogues of UWS Library, Australian and International Libraries, electronic databases and e-journal collections, digitised theses, citation management software (EndNote)
- **Information**: on the Library’s opening hours/locations and your own loan details, policies, services
- **Services**: document delivery, intercampus delivery, requests. See Services for Postgraduate candidates on the Library homepage for more details
- **Direction**: to appropriate resources through e-subject guides and online tutorials
- **Assistance**: for candidates via Liaison Librarians, web guides, FAQ, email and chat-based reference service (Online Librarian)
## UWS Campus Libraries

### Opening Hours:

[http://library.uws.edu.au/infoOpenHours.phtml](http://library.uws.edu.au/infoOpenHours.phtml)

<table>
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<tr>
<th>Campus</th>
<th>Building</th>
<th>Enquiries:</th>
<th>Email:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bankstown Campus</td>
<td>Building 9</td>
<td>(02) 9772 6285</td>
<td><a href="mailto:uws-banlo@uws.edu.au">uws-banlo@uws.edu.au</a></td>
</tr>
<tr>
<td>Blacktown Campus</td>
<td>Building C21</td>
<td>(02) 9852 4230</td>
<td><a href="mailto:uws-blalo@uws.edu.au">uws-blalo@uws.edu.au</a></td>
</tr>
<tr>
<td>Campbelltown Campus</td>
<td>Building 1</td>
<td>(02) 4620 3113</td>
<td><a href="mailto:uws-camlo@uws.edu.au">uws-camlo@uws.edu.au</a></td>
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<tr>
<td>Hawkesbury Campus</td>
<td>Building G1</td>
<td>(02) 4570 1226</td>
<td><a href="mailto:uws-hawlo@uws.edu.au">uws-hawlo@uws.edu.au</a></td>
</tr>
<tr>
<td>Parramatta Campus</td>
<td>Building EN</td>
<td>(02) 9685 9290</td>
<td><a href="mailto:uws-parlo@uws.edu.au">uws-parlo@uws.edu.au</a></td>
</tr>
<tr>
<td>Penrith Campus</td>
<td>Allen Library, Building O (Kingswood)</td>
<td>(02) 4736 0339</td>
<td><a href="mailto:uws-pealo@uws.edu.au">uws-pealo@uws.edu.au</a></td>
</tr>
<tr>
<td></td>
<td>Ward Library, Building BA (Werr'n Sth)</td>
<td>(02) 9852 5888</td>
<td><a href="mailto:uws-pewlo@uws.edu.au">uws-pewlo@uws.edu.au</a></td>
</tr>
</tbody>
</table>

### Further information

Please contact Margaret Pavincich Client Services Librarian (Information Services, (02) 9852 5931 m.pavincich@uws.edu.au)
Ethics and ethical principles extend to all spheres of human activity. They apply to our dealing with each other, with animals and with the environment. They also govern our interaction in conducting research. Ethics serve to identify, good, desirable or acceptable conducts and provides reasons for these conclusions.’ (National Health and Medical Research Council 2003)

In 2007 the Commonwealth launched major changes to the national human ethics review process. In response, UWS has developed a new review framework, including developing and embedding quality assurance processes relating to research merit and integrity within Colleges.

A key innovation will be the use of the new national web-based software application for generating human research ethics applications. The National Ethics Application Form (NEAF) software should be used by UWS researchers.

At UWS, research is carried out in accordance with the Research Code of Practice.

UWS ethics policy and review is guided by the following national guidelines:
- Australian Code for the Responsible Conduct of Research (2007)
- National Statement on Ethical Conduct in Research Involving Humans (2007)
- Australian code of practice for the care and use of animals for scientific purposes (2004)
- Health Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (2003)

UWS Biosafety and Radiation Safety review is guided by national and State guidelines and standards:
- Office of the Gene Technology Regulator
- Australian Standard AS 2243.3 Safety in the Laboratory, Part 3: Microbiology. This standard can be viewed via the UWS Library website

All inquiries about the approval process can be directed to the Human Ethics Officer, Kay Buckley, k.buckley@uws.edu.au, tel: (02) 4736 0883.

Time lines
You need to allow sufficient time for the processing of your Ethics application. A suggestion is to work from the proposed date of your intention to collect data from research participants, and to submit the application at least two months before hand. Tabled applications cannot be considered.

Compliance with Legislation
The following legislation is taken into account in the review of research with human participants:
- The National Statement on Ethical Conduct in Research Involving Humans – June 1999
- Values and Ethics – Guidelines for Ethical Conduct in Aboriginal and Torres Strait Island Health Research, June 2003
- Privacy Act 1988 – Guidelines approved under Section 95 & 95A of the Act
- NSW Privacy & Personal Information Protection Act 1988
- NSW Health Records and Information Privacy Act 2002
- NSW Department of Education Research Guidelines, June 2001
- Therapeutic Goods Administration – Clinical Trial Notification Scheme – Department of Health and Aged Care
- Joint NHMRC & AV-CC Statement & Guidelines in Research Practice 1997
- The UWS Research Code of Practice 2005
All inquiries about the approval process relating to the Animal Care and Ethics Committee can be directed to the Research Ethics Co-ordinator Ms Sharon Falleiro tel (02) 4736 0884.

Any teaching or research activity at UWS that include keeping or using vertebrate animals must have prior approval of the ACEC.

Animal work carried out at another institution by UWS staff or candidates must have approval from that institution’s animal ethics committee. In addition, a copy of the application and the approval must be submitted to the UWS ACEC for noting. Any animal work conducted at UWS premises or facilities by anybody must have approval from the UWS ACEC.

Work conducted by candidates is the responsibility of the supervisor, so the application for approval must be made jointly by the supervisor and the candidate(s), with the supervisor listed as the principal investigator. (The supervisor, with their qualifications, experience/expertise in handling animals, supervises and guides the candidate).

Where proposals are undertaken in other countries in conjunction with UWS, an application to the ACEC must be made to conduct the work in those countries.

**Meeting dates and application forms:**

You are advised to lodge your proposal between 1–2 months before the proposed start of your project. Please ensure that you present your application in the manner requested, to avoid delays.

**What will the ACEC allow?**
Each application is assessed on its merits; that means that each applicant must argue a case for their proposed use of animals.

It is wise to ensure that your application addresses these key issues:
- Pain and distress/welfare of the animal
- Numbers of animals used
- Most appropriate species
- Experimental techniques
- Experimental design and scientific validity
- Environmental enrichment
- Appropriate methods of euthanasia
- Alternatives sought

The supervisor and candidate are invited to attend the ACEC meeting briefly to discuss their proposal and answer any queries. The ACEC also considers the qualifications and experience of the people involved in the research project.

The outcome is communicated in writing both to the supervisor and the candidate. This usually takes between 1-10 working days. The proposal may be approved outright or approved with conditions, which are explained.
in the approval letter. Approvals are granted for 1-3 years.

The approval letter will also include the Animal Research Authority (ARA) which is a legal instrument issued by the ACEC on behalf of the accredited establishment to all personnel listed in the application involved in the use of animals associated with the proposal.

It is an offence under the NSW Animal Research Act 1985 for a person to conduct animal research without an ARA. An ARA remains in force for twelve months from the date of issue or for a shorter, specified period. An ARA may be cancelled at any time by UWS.

Supervisors and their candidates are required to fill in separate ARA application forms, when applying to renew their ARA’s for an ongoing project and submit a progress report at the time of renewal.

You must apply immediately to the ACEC if there is any variation/amendment to your approved proposal. Amendments must be approved before commencement.

Approved proposals are monitored by submission of an annual progress or final report. However, it can also involve an inspection by ACEC members. It is the responsibility of the principal investigator to provide a progress report at the time of renewal of the Animal Research Authority (annually) or a final report on completion.

**Compliance with the legislation:**

Compliance with other guidelines and codes of practice will depend on the nature of the research. Your supervisors will alert you to guidelines issued by the Office of the Gene Technology Regulator (OGTR), National Parks and Wildlife Services (NPWS), State Fisheries, Australian Quarantine Inspection Services (AQIS) etc. It is also important to note that each state has its own Animal Welfare Legislation.

**Reporting to NSW DPI and NHMRC:**

As an accredited research establishment, UWS provides the Department of Primary Industry with statistics on the numbers of animals used in research and teaching proposals and the level of invasiveness associated with each research activity. A similar report is also sent to the NHMRC each year. You and your supervisor will receive requests from the Ethics Officer for information on the actual number of animals used in approved proposals for the preparation of these reports. These requests are sent in January of each calendar year.
The UWS Biosafety and Radiation Safety Committee approves projects involving:
- genetically modified organisms (gmo)
- the use of micro-organisms of Risk group 2 or higher
- ionising radiation sources
- specimens of human/animal origin (including blood products)
- the use of biohazardous substances
- in vivo use of imported biological products

Contact: The Research Ethics Co-ordinator
Ms Sharon Falleiro tel (02) 4736 0884.

Work carried out at another institution by UWS staff or candidates must have approval from that institution’s biosafety committee. In addition, a copy of the application and the approval must be submitted to the UWS BRSC for noting. Any work conducted at UWS premises or facilities by anybody must have approval from our BRSC.

Any work conducted by candidates is the responsibility of the supervisor, so the application for approval must be made jointly by the supervisor and the candidate(s), with the supervisor listed as the principal investigator. (The supervisor, with their qualifications, experience/expertise in handling animals, supervises and guides the candidate).

Information about meeting dates, application forms:
BRSC meetings are held bi-monthly, from February to November. Application forms, report forms, guidelines, meeting dates and close of business dates are available on the Research Services web page:

http://www.uws.edu.au/about/adminorg/devint/ors/ethics/biosafety

Forms (twelve copies, including the original) should be submitted to the Ethics Officer of the BRSC by the relevant closing date.

It is best to lodge the proposal between 1–2 months before the proposed start of the project.

The Office of the Gene Technology Regulator (OGTR) is the federal body that regulates the use of genetically modified organisms and it replaces the former Genetic Manipulation Advisory Committee (GMAC). Under the National regulatory scheme, dealings with genetically modified organisms are prohibited unless they are licensed (DIR; Dealings involving intentional release), DNIR (dealings not involving intentional release), NLRD (Notifiable low risk dealing), exempt or on the Register. This scheme also provides a comprehensive process for the accreditation of institutions, their institutional biosafety committee’s and certification of physical containment facilities. Information about these procedures can be found in the Handbook on the Regulation of Gene Technology in Australia: A user’s guide to the Gene technology Act 2000 and related legislation.

What will the BRSC allow?
Proposals are assessed using a risk analysis model. This involves risk assessment, risk management and risk communication. Activities must comply with the correct laboratory procedures for dealing with biological products.
When the BRSC considers a proposal, the supervisor and candidate are invited to attend the meeting briefly to discuss their proposal and answer any queries. At this time the BRSC also considers the qualifications, training and experience of the people and the laboratory procedures for dealing with biological products. Access to certified laboratories is also considered.

The outcome is communicated in writing both to the supervisor and the candidate. This usually takes between 1–10 working days. The proposal may be approved outright or approved with conditions that are explained in the approval letter. Approvals are granted for 1-3 years.

If your project involves the use of animals and there are potential biohazards (e.g., in vivo use of imported biological products) both the ACEC and the Biosafety and Radiation Safety Committee must review the proposal. The Australian Quarantine and Inspection Service (AQIS) permits will need to be lodged to import biological materials into the country.

Please refer to the University Occupational Health and Safety Manual for information on general laboratory safety which can be found at: http://policies.uws.edu.au/view.current.php?id=00081

You should apply immediately to the BRSC if there is any variation/amendment to the approved proposal. Amendments must be approved before commencement.

Monitoring of approved proposals is by submission of a progress or final report annually. It is the responsibility of the principal investigator to provide a progress report or a final report on completion.

Contact Sharon Falleiro, the Research Ethics Co-ordinator in Office of Research Services, Building K1.43, Penrith Campus, on 02-4736 0884 or by e-mail (s.falleiro@uws.edu.au).
Examinations

In recent years, the examination results of UWS research candidates has changed with an increase in the number of candidates attaining an initial outcome of “Award the Degree”, no changes necessary and more candidates having to make changes of a minor editorial nature as opposed to more substantial rewriting. Additionally, UWS has vastly improved the completions to load ratio, which has significant impact in the new funding environment.

Towards the end of candidature, you are advised to read the Mullins and Kiley article on examinations (Mullins, G. and Kiley, M. 2002, ‘It’s a PhD, not a Nobel Prize’: how experienced examiners assess research theses’. Studies in Higher Education, vol 2, no 4. This article contains interesting insights into the examination experience from the perspective of examiners in Australia.

There is usually a “Final Stages” workshop for candidates each session.

These workshops are designed for research candidates who plan to submit their thesis for examination within the next year. Participants and presenters discuss the processes of preparing for submission, the appointment of examiners, the rules and responsibilities of supervisors and candidates, the lodgement of the thesis, what to expect, what are the possible outcomes, who decides the outcome and what to do if things don’t go smoothly. The workshop includes discussion about what examiners look for in a thesis. Presenters have information about the latest research into the research higher degree examination process within Australia. To register see: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/studentsupport#1

Nomination of Examiners

The principal supervisor nominates an examining panel to the College Associate Dean, Research. Supervisors are advised to nominate examiners up to three months before final submission of the thesis to allow time for approval of the nominees and for contact to be made with minimum delay of the examination process.

- Examiners will normally hold qualifications at least at the level at which they are asked to examine.
- UWS staff may not be nominated.
- All examiners should be leaders in the field of research undertaken by the candidate.
- A person may not be appointed as an examiner if they have ever been a member of the supervisory panel of the candidate.
- Supervisors need to think about the mix of experience of the examiners. It is unwise to select an examining panel with more than one inexperienced examiner.
- Principal supervisors may wish to consider nominating an examiner in the home country of international candidates who may possibly act as a mentor for the candidate after their graduation and return to the home country.

Supervisors should make an informal approach to potential examiners and ask them:

- For a brief CV (as supervisors are asked to provide information on the proposed
examiner’s experience in supervision and examination of theses), relation of the proposed examiners field of expertise to the thesis, qualifications, publications summary and affiliations. This information helps the College Associate Dean, Research to make decisions.

- Whether the proposed nominee can examine the thesis within six weeks of receipt. The principal supervisor should have a good idea of when the thesis will be ready to post.

It is the responsibility of the Office of the Academic Registrar to make all formal contact with the examiner and to provide them with information and instructions. However, supervisors may want to tell the proposed examiner as part of the informal approach:

- The nature of the thesis topic and lines of inquiry.
- That the Office of the Academic Registrar will post instructions on the examination with the thesis.
- That they will be paid an honorarium of the Australian Vice-Chancellors Committee (AV-CC) recommended amount. Information available at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/examinations/examadvice
- If necessary, information about Australian research degrees.

Candidates and selection of examiners:

- Candidates are encouraged to contribute to the discussion on who should (or should not) be their examiners.
- Candidates should not know the final composition of their examining panel at the time of examination.
- Candidates may learn the identity of their examiners if the examiner agrees to their name being disclosed on the thesis report. Examiners may request that their identity not be disclosed.

Number of examiners:

- Three examiners for research masters. Two examiners are required plus a reserve. An additional examiner may be appointed.
- Three examiners for doctorates (Includes professional doctorates). Two examiners are required plus a reserve. An additional examiner may be appointed.

A reserve must always be included. They are used quite frequently as unforeseen circumstances may prevent other examiners from proceeding.

Accessing a nomination form

The form may be found at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/examinations/examadvice

Processing the Nomination Form

The principal supervisor should complete the nomination form with accurate contact information, sign to attest that the nominees have not contributed to the thesis and attach the additional information (CV’s) and send it the College Associate Dean, Research for endorsement. Email addresses will speed up the process. Principal supervisors are asked to provide them wherever possible.
Examinations

The Office of the Academic Registrar will formally approach the examiner on behalf of UWS and will organise all formal contact with the examiners.

Form of the Thesis
The thesis (or other agreed work) is the examinable result of rigorous study and research. Expectations and conventions on the content and presentation of a thesis vary from discipline to discipline.

The principal supervisor is required to declare that a thesis is in a suitable form for examination. This relates to the presentation of a thesis including legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication of the quality of the work. The university will not proceed with the examination of a thesis which is not considered to be in a suitable form for examination.

Presentation
Doctoral candidates are required to submit three copies of their thesis for examination. Research masters candidates are required to submit three copies. One copy remains in the safekeeping of the Office of the Academic Registrar while others are being examined.

The thesis may be submitted in a bound form, sewn and bound in boards covered with book cloth or buckram or other binding fabric. Temporary binding in the form of perfect binding or heat tape binding is acceptable. Spiral binding is not permitted on the grounds that it can fall apart which is irritating to examiners.

The thesis should be printed on International Standard A4 size paper.

If you are using cloth binding the following guidelines apply:

The front cover and the title page should contain:
- the title of the thesis
- the candidate's initials and surname
- the title of the degree
- the year of submission
- University of Western Sydney

The spine of hard bound copies should include:
- an abbreviated thesis title
- candidate's initials and surname
- abbreviated title of the degree
- year of submission

Candidates should bind in the front of their theses a 300 word summary for doctorates or a 200 word summary for a research masters and a signed certificate to the effect that the work has not been submitted for a higher degree at any other institution. You may like to look at examples of summaries written by UWS graduates at the Library digital theses collection: http://library.uws.edu.au/adt.phtml

Candidates are required to state in general terms in the preface, and more specifically in the notes, sources and the extent to which the work of others has been used and that portion of the thesis claimed to be an original contribution.
Generally speaking, candidates will be not permitted to incorporate in their thesis work that may have been submitted for another degree. Candidates must discuss this with the College Associate Dean, Research if the issue is relevant to them.

Supporting material should be bound in the back of the thesis in an appendix section or in a separate set of covers. It is a good idea to bind all published work or references to it into the thesis.

Library Copy
On successful completion of the degree, a candidate must submit to the Office of the Academic Registrar one digitised (CD or disc in PDF format) copy of the thesis incorporating all amendments and/or rewriting that was required as an outcome of the examination. Detailed advice on format of the digital copy can be found at http://www.library.unsw.edu.au/thesis/adt-ADT/info/filename.html

Candidates may like to get themselves some bound copies of their thesis, for themselves, friends and relatives. It may be difficult to do this later on. Candidates should also present their supervisor with a copy.

Length
UWS does not prescribe a word limit and candidates should seek the advice of the supervisory panel. However, 80,000 words are considered the upper limit for research masters. Most disciplines have a general expectation of a minimum of 40,000 words for a research masters. 100,000 words are considered to be the upper limit for doctorates. Most disciplines have a general expectation of a minimum of 60,000 words for a doctorate.

Publications
It is recommended that candidates co-author conference papers and journal articles with their supervisors, or on their own, during their candidature. However, it is not necessarily recommended that the text of the co-authored paper be directly inserted into the thesis. Normally, the style and structure of a paper would be quite different to that required for the thesis. By inserting a co-authored paper as a complete chapter it is impossible for the examiners to know just who did the research and the write-up. It is better to include in the thesis (as an Appendix) a list of published papers produced from the research. However, this should be discussed with the supervisory panel as discipline practices may differ.

Confidential material
It is university policy that a candidate should not normally be permitted to undertake a program of advanced study and research that is likely to result in a thesis which cannot be available immediately. Candidates are required to acknowledge this when applying for admission and when submitting their thesis.

Notwithstanding the above, candidates may apply for examiners to sign a confidentiality agreement for the purposes of examination. This should be approved by the College Associate Dean, Research and the Office of the Academic Registrar must be notified when the examiners are nominated.
Examinations

When the degree is awarded, one copy of the thesis is lodged in the University Library where it becomes immediately available for consultation and is subject to the author’s copyright entitlements. In certain instances graduates may withhold public access to their thesis for a specified period and must indicate this on the Right of Access to Thesis form. Candidates who believe their interests would be at risk if the thesis were made immediately available may apply in writing to the College Associate Dean, Research (with the support of the supervisory panel) for a deferment of its public availability.

Thesis Lodgement

The Thesis Lodgement Form is available at: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/examinations/thesislodgement

A thesis lodgement form must be included when lodging with the Office of the Academic Registrar. The first section is a statement that the candidate has presented their work for examination. The candidate should take their examination copies of the thesis and the lodgement form to their principal supervisor. In the second section the supervisory panel signs to attest that the thesis and/or other work is of a standard suitable for examination. If the supervisory panel does not agree that the work is ready for examination, the candidate may refer the matter to the College Higher Degrees and Research Committee for determination of whether examination of the thesis can proceed. If examination has been refused because the thesis does not meet the prescribed format and presentation the examination will not proceed. The College Higher Degrees and Research Committee may refer the matter to the UWS Research Studies Committee for a determination if the College is unable to reach agreement. If the examination is refused the candidate will be asked to remain enrolled and to take advice on further work from their principal supervisor.

The third section is an acknowledgment of the above by the College Associate Dean, Research. Theses will not be posted to examiners unless an endorsed thesis lodgement form has been received by the Office of the Academic Registrar. For purposes of meeting submission by the DEST census day, the exam ready thesis must be presented to the Office of the Academic Registrar with a signed thesis lodgement form by close of business on the census day (31 March and 31 August).

Advice given to examiners by the Office of Academic Registrar as formal notice of expectations of the examination can be found at this site: http://www.uws.edu.au/about/adminorg/devint/ors/degrees/current/examinations/examadvice

Examination Results

Examiners are asked to recommend one of the following outcomes
A the degree be awarded
M the degree be awarded, subject to minor editorial amendments (as identified by the examiners) to the satisfaction of the supervisory panel and the College Associate Dean, Research
R the candidate be required to undertake rewriting (as identified by the examiners) to the satisfaction of the supervisory panel and Associate Dean, Research before the degree is awarded

X the candidate be required to revise and resubmit for further examination within a specified time

F the degree not be awarded

**Option X**
- Shall be available only for initial examination of the thesis
- A re-examination under option X will be conducted in the basis of specific advice given to the candidate on what must be achieved in rewriting
- The specific instructions to the candidate for rewriting for re-examination will be approved by the Research Studies Committee
- The rewriting instructions will be written by the supervisory panel and endorsed by the College Associate Dean, Research
- These instructions will be provided to the examiner for the re-examination as they will form the basis of the second examination
- No new criticisms may be introduced by the examiner in the second examination
- The examiner(s) who recommended that the thesis be re-examined shall be invited to undertake the re-examination
- The rewritten thesis will be presented for the second examination with a thesis lodgement form

Under Option F the Research Studies Committee may recommend resubmission for a research masters award. The work may have to be rewritten before it is submitted for examination at research masters level.

**Basis of Examination:**
The research masters degree is aimed at the professional development of the candidate, with particular emphasis on research methodology appropriate to the field of study. It is intended to provide candidates with the opportunity to develop their potential for research, enhance their skills of problem identification and specification, and their ability to develop and present solutions.

The doctoral program provides training which aims to produce graduates able to conduct research independently at the highest level of originality and quality. The doctorate is recognition of successful research experience of international standards in the discipline. A doctoral candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas. The thesis as a whole makes an original contribution to the knowledge of the subject with which it deals.

In addition, for both research masters and doctoral examinations, the examiner should determine if:
- The thesis provides a sufficiently comprehensive study of the topic appropriate to the degree in the discipline area, or in related interdisciplinary areas
- The methods adopted are appropriate to the subject matter and are appropriately applied
Examinations

- The research findings are suitably set out, accompanied by adequate exposition and are discussed critically in the context of the discipline
- The quality of English and general presentation is satisfactory

Examiners Reports
The reports are sent to the Office of the Academic Register and forwarded to the College Associate Dean, Research. The supervisory panel will be invited to comment on the reports and prepare a recommendation on the overall outcome.

The supervisors report should address all points raised by the examiners. Where the supervisors do not accept a point made by an examiner they must provide an academic argument justifying their view. Examiners recommendations are not averaged for a final decision. Each is considered for its content and in relation to the other reports and the supervisor's comments.

- In some cases there may be a discrepancy between the nominal outcome recommended by the examiner and the content of the report. In these cases decisions on outcome will be guided by the intention of the text
- The principal supervisor’s report will be considered by the College Associate Dean, Research
- The College Associate Dean, Research may refer the matter to the full committee of the College Board of Studies Research Committee or the University Research Studies Committee
- If one or more of the examiners nominate either X or F, the College recommendation will be referred to the Research Studies Committee (RSC) for consideration. The Chair of the RSC may make a decision on

executive authority
- The Office of the Academic Registrar will advise the candidate of the decision
- Examination outcomes remain confidential until a final recommendation is decided
- The Research Studies Committee may specify the time within which any additional work shall be completed. Normally all corrections will be made within one session of the candidate being advised to make changes or rewrite for re-examination

The principal supervisor should advise the Office of the Academic Registrar if a candidate who is re-writing will need to access the library and other facilities.

In certain circumstances where the outcome is not clear, before making any determination, the Research Studies Committee may take one or more of the following actions:
- appoint an additional examiner
- appoint an arbiter
- invite the examiners to confer with each other and/or with the Research Studies Committee with a view to the presentation of a consolidated recommendation
- direct that the candidate undertake such further examinations either oral, written or practical as the Research Studies Committee may specify.

Candidates will be given a copy of each examiner's report upon request unless he/she requests, in writing, that his/her name be withheld.

When the Research Studies Committee is satisfied that all requirements have been met, it shall recommend to the Academic Senate that the degree be awarded.
University Policies

University policies are published on the university website at:
http://policies.uws.edu.au/

Important policies for your candidature are:
- Doctor of Education Policy
- Doctor of Philosophy Rule
- Masters (Honours) Policy
- Misconduct – Research Students Misconduct in Research Policy
- Misconduct – Student Non-Academic Misconduct Policy
- Professional Doctorate Policy
- Research Code of Practice
- Research Ethics Policy
- Research Higher Degree Candidature Essential Resources Policy, appendix 1
- Higher Degree Rules – Appeals Policy
Appendix 1: Research Higher Degree Candidature
Essential Resources Policy

Section 1 – Purpose and Context
1. The policy identifies, defines and articulates the entitlement and access to essential resources for research candidature.
2. It applies to all Academic Units of the University – Schools, Research Centres, Research Groups and Institutes in which an HDR candidate is supervised and carries out a program of research study.
3. Its purpose is to:
   (a) support choices for Higher Degree Research (HDR) candidates (how and where they work, and how their requirements may change as research progresses);
   (b) enable flexibility in meeting the requirements of candidates working in broadly different areas of academic enquiry, as well as on- and off-campus; and
   (c) guide consistency across all Colleges so that there is equivalence between candidates.

Section 2 – Definitions
4. For the purpose of this policy:
   (a) standard support – means on-campus work space and secure storage; computing and information technology facilities; office materials; and candidature support funds.
   (b) work space – is a standard space provided for the purpose of desk-based research and writing. The workspace will:
      (i) meet health and safety regulations;
      (ii) be suitably insulated from noise
      (iii) be accessible to people of all abilities
      (iv) have 24-hour access to both women and men
      (v) be free of discrimination on the basis of age, gender, race and sexuality; and
      (vi) be free of sexual harassment.
      (Adapted from the Council of Australian Postgraduate Associations’ 2004 Statement of Minimum Resources for Postgraduate Study)

Section 3 – Policy Statement
5. HDR candidates, both full-time and part-time, are to be regarded as members of the research community. The University will provide resources and infrastructure to support HDR candidates within the financial constraints of the University and consistent with principles of equity.
6. All commencing HDR candidates and supervisors are to be advised of the availability of this policy at the time of induction. This advice will include up to date information as to how to access copies of the policy.
7. Resources and infrastructure provision will also be governed by policies on Occupational Health and Safety (OHS) and Equal Employment Opportunity.

Section 4 – Procedures
8. Before the endorsement of admission by the Research Studies Committee, the leader of the Academic Unit will either:
   (a) sign-off on a broad commitment, included on the ranking/admission application, indicating that standard resources can be provided, or;
(b) indicate to the College and the Office of Research Services that an offer should not be made where the academic unit is not in a position to provide the additional resources required and specified in the candidate’s application.

9. An orientation programme will be attended by all HDR candidates following admission.

10. HDR candidates will be asked to state on their application form whether they expect to work on- or off-campus, and if appropriate, in what proportion.

11. Following enrolment HDR candidates will be given the opportunity to discuss resource requirements that differ from the standard provision of support mentioned above, e.g. laboratory, exhibition space, information technology (software or hardware), or other special resources.

12. The support arrangements for each candidate, including standard provision and any special provisions agreed at the time of enrolment, shall be reviewed by the College Research and Higher Degree Studies Committee and confirmed as a formal element of the Measures of Achievement or Confirmation of Candidature process when HDR candidates, along with their supervisory panel, will try to determine the resources required to support the rest of candidature.

Section 5 – Guidelines

13. The nature and extent of resources and infrastructure available to support individual candidates will be widely promulgated to include HDR candidates, supervisors, heads of school, research centre directors, and research group leaders. It will be readily accessible on the UWS website; placed on notice boards in research candidate areas; and be part of supervisor training sessions and prominent in handbooks.

14. Standard support is reviewed on a regular basis, no less than every two years.

Part A - On-campus Workspace and Secure Storage

15. HDR candidates working on campus will be provided access to:
   (a) work space, including a chair and desk;
   (b) tea room and wash room facilities;
   (c) adequate lockable storage, accessible 24 hours a day during research candidature.

16. Space and storage requirements may be met by shared use of desks where candidates indicate that they will not be working full-time on campus.

17. HDR candidates will be asked to indicate their time requirements at the beginning of each semester and appropriate rosters formalised.

18. Use of space will be monitored and data used to inform time allocations for future sessions.

19. Part-time HDR candidates will be expected to share workspaces.

20. Where an HDR candidate’s research requires space to be configured in such a way as to implement particular methodologies or to comply with confidentiality or other ethical requirements, this will be dealt with under the process outlined in Section 4 above.
Part B – Computing and Information Technology Facilities

Software and Network Access
21. HDR candidates will normally be provided with access to UWS licensed software on the same basis as academic staff for example: Windows XP, Outlook, Office, SPSS for Windows, NVivo, and Minitab and off campus access to Web Outlook.
22. HDR candidates working primarily off-campus, or those who require additional licensed software which is not available on a UWS wide basis, will normally be provided with ‘self management’ rights on Layer 3, enabling the use of UWS software.
23. HDR candidates will only be able to use UWS licensed software on UWS owned laptop machines.

Personal Computer Hardware
24. HDR candidates working primarily on-campus will be provided with access to computer facilities associated with, and on the same terms as, the workspace referred to in the sub-section ‘On-campus workspace and storage’.
25. Access to hardware may be rostered, but access to the candidate’s Layer 3 desktop will remain available from other machines, libraries or laboratories.
26. Personally owned laptops will be able to connect to the UWS network and access web-enabled services such as email, personal folders, WebCT, web-based file shares, and any generic services that do not require a specific UWS licence.

Part C – Office materials
27. HDR candidates shall have access to telephone, fax and photocopier at School/Centre/Group or Institute level. Reasonable access for private purposes should be both acceptable and covered by privacy conditions.
28. HDR candidates shall also have reasonable access to appropriate School/Centre/Group or Institute stationery and postage for the purposes of their research and will be provided an on-campus postal address Mailbox. Large mail outs for research purposes will be requested from Candidate Project Funds (see below Section 5, Part E – HDR Candidature Project Funds).

Part D – Library
29. Access to core library holdings and electronic access to support research.
30. Free document delivery through the library web pages.
32. Subsidised direct borrowing access from one other Australian academic library.
33. Free download and training for specialist software such as Endnote.

Part E – HDR Candidate Project Funds
34. An Academic Unit is required to use part of its Research Training Scheme budget for HDR Candidate Project Funds (CPF).
35. CPF is a pool of money that can be accessed for legitimate claims of up to $2000 per candidate per full-time year in the humanities and social sciences. In
consumable-intensive areas such as the sciences, and where extensive fieldwork is undertaken, it is expected that the maximum allocation would be $3000. It is also acknowledged that not all candidates require the full sum each year. Schools, Centres and Research Groups will manage the disbursement of funds, working to guidelines provided by the Office of Research Services. A flexible approach may be considered that permits allocation to an individual more than the nominal annual sum.

36 CPF will be strategically managed and may also used for broader aspects of research culture development such as workshops, symposia, guest speakers.

37. The UWS Office of Research Services and all Academic Units will describe on their web pages the details of CPF and the procedures for application.

38. CPF funds include a range of items including skill development programmes, research materials or equipment, field work, transcription costs, participant reimbursement, travel for conference attendance, registration fees, technical costs associated with exhibition, recording, filming, thesis binding, special software purchases, office materials and, in some areas of research endeavour, mandatory OHS awareness and training.

39. CPF may be made available, upon application, to assist candidates to meet the incidental costs of their research and/or research training program.

40. Applications will be made to the Academic Unit of enrolment and require the support of the candidate’s Principal Supervisor.

41. Discussion of a plan for CPF expenditure should also form part of the Confirmation of Candidature process.

42. Academic Units will report annually on their application procedures for, and disbursement, of CPF.
The University of Western Sydney reserves the right at all times to withdraw or vary courses listed within this publication. Variations may include but are not limited to location of its courses on UWS campuses or other locations. In the event that a course within this publication is to be changed or withdrawn, applicants will be advised by mail to the address specified by them on their UAC application before the last date for the change of preferences for the main round. In respect of course location change students should be aware of the need to accommodate such changes for the whole or part of courses for which they enrol.

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