GUIDELINES FOR PREPARATION, SUBMISSION AND EXAMINATION OF HDR THESSES
# Table of Contents

GUIDELINES ................................................................................................................................. 1
FOR PREPARATION AND ................................................................................................................ 1
SUBMISSION OF .............................................................................................................................. 1
HDR THESES .................................................................................................................................. 1
CONTACT INFORMATION ................................................................................................................. 4
GUIDELINES FOR HIGHER DEGREE RESEARCH (HDR) CANDIDATES ON THE PREPARATION AND
SUBMISSION OF HDR THESES ........................................................................................................ 4

1. Writing the Thesis .......................................................................................................................... 4
   1.1. What are the requirements for the award of my degree? ...................................................... 5
   1.2. How should I format my thesis? ........................................................................................... 5
   1.3. What styles of formats can I use? .......................................................................................... 5
   1.4. Can I use a commercial editor to prepare my thesis? ......................................................... 6
   1.5. Where can I seek further advice on writing my thesis? ..................................................... 6
   1.6. Copyright .............................................................................................................................. 6
   1.7. Intellectual Property ............................................................................................................. 6
   1.8. Misconduct in Research ....................................................................................................... 7
   1.9. Retention of Data .................................................................................................................. 7

2. Preparing the Thesis ...................................................................................................................... 8
   2.1 General Presentation .............................................................................................................. 9
   2.2 Margins and Layout ............................................................................................................... 9
   2.3 Plans, Diagrams, Tables, and Photographs .......................................................................... 9
   2.4 Length of Thesis .................................................................................................................... 10
   2.5 Number of Volumes ............................................................................................................. 10

3. Submitting the Thesis for Examination ....................................................................................... 10
   3.1 Notification of intention to submit ....................................................................................... 10
   3.2 Copies required at time of submission .................................................................................. 11
   3.3 Submission without the principal supervisor’s approval ...................................................... 12

4. The Examination Process ........................................................................................................... 12
   4.1 Number of Examiners required ............................................................................................ 12
   4.2 Selecting Potential Examiners ............................................................................................. 13
   4.3 Completing the nomination of examiners form .................................................................... 14
   4.4 Confidentiality and contacting examiners ............................................................................ 14

*Updated 02-12-2015*
4.5 How long does it take to examine the thesis? .......................................................... 14
5 Examination Outcomes ................................................................................................. 15
  5.1 Examiner’s Report Proforma (PhD) ............................................................................ 15
  5.2 Examiner’s Written Report ....................................................................................... 17
  5.3 The HPS’ Recommendation .................................................................................... 17
  5.4 Role of the Thesis Examination Committee ............................................................... 17
  5.5 Thesis Examination Committee Resolutions ............................................................. 17
  5.6 Making Revisions .................................................................................................... 19
  5.7 Time-frame for making revisions ............................................................................. 20
  5.8 Appeals Against Higher Degree Research Thesis Examination Outcomes ............. 20
6 Submitting the Final Copy and Graduating ................................................................... 20
  6.1 Thesis Submission .................................................................................................... 20
  6.2 Confidential material and freedom of information .................................................... 21
  6.3 Format of Final Copy ............................................................................................... 21
  6.4 Submission of thesis to the UOW Library ................................................................. 21
  6.5 Agreement for deposit of HDR thesis in digital repository ....................................... 21
  6.6 Bound copies of theses ........................................................................................... 22
  6.7 Thesis Binding Expenses ......................................................................................... 22
  6.8 Procedure for Graduation ....................................................................................... 22
APPENDIX A: Requirements for the Award of Doctor of Philosophy (PhD) ....................... 23
APPENDIX B: Requirements for the Award of Master of Philosophy ................................. 24
APPENDIX C: Requirements for the Award of Doctor of Creative Arts ............................. 25
APPENDIX D: Requirements for the Award of Doctor of Education .................................. 27
APPENDIX E: Requirements for the Award of Doctor of Public Health ............................ 28
APPENDIX F: Requirements for the Award of Doctor of Philosophy (Clinical Psychology) 29
APPENDIX G: Requirements for the Award of Doctor of Business Administration .......... 30
APPENDIX H: Requirements for the Award of the Doctor of Psychology (Clinical Psychology) 31
APPENDIX I: Thesis by Compilation Guidelines ................................................................ 32
APPENDIX J: Title Sheet ................................................................................................ 38
APPENDIX K: Thesis Certification ................................................................................... 39
NOTES .............................................................................................................................. 40

Updated 02-12-2015
CONTACT INFORMATION


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E-mail: graduate-research-school@uow.edu.au  
Web: http://www.uow.edu.au/research/rsc/index.html

GUIDELINES FOR HIGHER DEGREE RESEARCH (HDR) CANDIDATES ON THE PREPARATION AND SUBMISSION OF HDR THESSES

The purpose of this document is to provide guidance and information to research higher degree candidates who are preparing to submit their thesis. Research higher degrees include Master of Philosophy, Doctor of Philosophy (PhD), Doctor of Creative Arts (DCA), Doctor of Business Administration (DBA), Doctor of Education (EdD), Doctor of Public Health (DPH) and Doctor of Psychology (DPsyc). These guidelines should not be used in the preparation of a PhD by Published Works. These guidelines are based on the University Rules governing the preparation and submission of theses (refer to Section 10 of the University of Wollongong General Course Rules). Candidates should also seek the advice of their supervisors on the general format of the thesis, including the preparation of references and the use of appendices. It is the supervisors’ responsibility to ensure that the scholarly and physical presentation of the thesis meets the University’s requirements. At the time of submission of the thesis, supervisors are required to certify that any inadequacies in the presentation of the thesis were pointed out to the candidate for correction before the thesis was submitted. However, supervisors are not obliged to proofread the thesis on behalf of the candidate. Nor are supervisors deemed responsible for the outcome of the examination process. This booklet deals with commonly asked questions about the writing and production of a thesis. Candidates should also consult faculty and school handbooks and websites for further information.

1. Writing the Thesis

The main requirement for completion of a research higher degree is the submission of a thesis. A thesis is a written piece of work which reports on the substantive research undertaken during the course of a student’s candidature. A thesis usually includes a statement of a research question, a literature review, a description of the methodology, and a report of the results. Discipline conventions vary with regard to the length and format of a research thesis. Candidates are advised to consult with their supervisors regarding the appropriate format of their thesis, especially any deviations from commonly accepted standards. The thesis will be examined by experts in the field who will have expectations about the intellectual content, format and structure of the thesis.

Candidates should not underestimate the time and care required in writing the thesis. The quality of the research undertaken can only be assessed by examiners on the basis of the information and analysis presented in the thesis. The process of writing a thesis is an iterative one involving the candidate and supervisors and usually takes longer than anticipated. Guidance regarding the research design and techniques should be sought from the candidate’s supervisors;

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1 For further information about PhD by Published Works, see Section 10 of the Course Rules in the University Calendar.  
the actual research must be undertaken by the candidate and the thesis must represent an account by the candidate of their research project.

1.1. What are the requirements for the award of my degree?

Candidates should familiarise themselves with the requirements for the award of the degree for which they are enrolled. The University Handbook (Section 10 of the General Course Rules) outlines the extent to which the thesis should demonstrate an original and significant contribution to knowledge, as well as any other requirements. For information on specific courses, please refer to the UOW Course Handbook at this link: http://www.uow.edu.au/handbook/index.html.

Candidates should be aware that they may not submit as the main content of the thesis any work or material which has previously been submitted for a degree at this University or a similar award from another institution except in the instance where a Doctoral degree thesis has been resubmitted for examination as a Master of Philosophy.

1.2. How should I format my thesis?

All copies of the thesis shall include an abstract, a statement indicating the extent to which the work is the candidate’s own work and a certification signed by the candidate stipulating that the work has not been submitted for a degree to any other university or institution.

Any printed copies of theses provided for examination should be spiral bound, and may be printed single or double sided on the paper.

1.3. What styles of formats can I use?

A thesis may be formatted in traditional monograph style or, if approved by the supervisor, may include chapters written in a format that is consistent with journal article styles. All theses are to be prepared in accordance with the following specifications, except that variation may be approved after application to the Thesis Examination Committee (TEC):

- the text of the thesis, normally in English (unless otherwise approved), shall be in double spaced or one and a half spaced typescript;
- the size of the paper shall approximate International Standards Organization paper size A4 (297mm x 210mm) except for illustrative material such as drawings, photographs, printouts and sleeves for audio records, on which no restriction is placed. The paper used in all copies shall be white opaque paper of good quality;
- the margins on each sheet shall be not less than 40mm on the bound side, 20mm on the unbound side, 30mm at the top and 20mm at the bottom;
- in the binding of a thesis which includes additional material (e.g. mounted photographs or graphs or contains a back pocket), packing shall be inserted at the spine of any printed copies to ensure even thickness of the volume;
- the thesis shall be presented in a permanent and legible form as original typescript, offset printing, or copy by other approved technique; and
- there shall be a title sheet set out in accordance with the approved style sheet.

In the case of a thesis that includes chapters written in a format that is consistent with journal article styles, the thesis should include:

- an abstract;
- a chapter that provides the thesis examiners with a coherent picture of the context of the body of work and how this contributes to the knowledge in the discipline area. It should include the broad aims, methods and a summary of each of the research chapter/s;
• one or more chapters in the format of journal articles, which describe research conducted by the candidate during their period of candidature. These may be published, submitted for publication, prepared as a manuscript for submission, or any combination thereof. Where published journal articles are included, details of publication must be provided.

For journal articles that include co-authors, the candidate must provide one or more statements that describe their contribution to both the research and each journal article included in the thesis. This statement must be supported and certified by the primary supervisor. It is recommended that the thesis typically include only submissions in which the greater part of the work is directly attributed to the candidate. The candidate should, in most cases, be the senior (first) author of all submissions included:

• Where published journal articles are included, formal permission from the publisher is required in order to ensure copyright compliance
• A brief chapter summarising the conclusions and identifying future directions for the research area should be included.
• A written agreement between the candidate and the primary supervisor that Style 2 is the thesis format to be used should be submitted along with the thesis.

1.4. Can I use a commercial editor to prepare my thesis?

One aspect of the thesis which will be assessed is the candidate’s ability to present the research in a written format. While students may seek general advice from supervisors, colleagues and others regarding the preparation of a thesis, the actual writing must be undertaken by the candidate. Candidates may not use ghost-writers. Supervisors may assist to proofread the thesis, however, the final responsibility for accuracy and literary presentation rests with the candidate. Examiners do not react favourably to carelessly prepared work, and may require the thesis to be re-submitted in order for corrections to be made. The Deans and Directors of Graduate Studies and the Council of Australia Societies of Editors have developed policy relating to editing of Research Theses - [http://www.dcdogs.edu.au/files?folder_id=1238321968](http://www.dcdogs.edu.au/files?folder_id=1238321968).

1.5. Where can I seek further advice on writing my thesis?

It may be useful for candidates to consult thesis writing publications prior to writing their thesis. Supervisors and faculty librarians can provide detailed advice on relevant references. Candidates are also encouraged to read previously examined theses in the relevant field of research. Copies of past University of Wollongong theses are available through the University’s Research Online repository at: [http://www.library.uow.edu.au/theses/index.html](http://www.library.uow.edu.au/theses/index.html).


1.6. Copyright

The candidate normally retains copyright over their thesis unless otherwise agreed in writing (for example as a prerequisite requirement of an external sponsor). For further information about copyright, please contact the Copyright Officer in the Library.

1.7. Intellectual Property

The University has a proprietary interest in all intellectual property developed by students enrolled in the University and using its resources. At the same time, the University acknowledges
that only a proportion of this output is suitable for commercialisation through University procedures. It thus attempts to incorporate a level of flexibility into administration of intellectual property which is compatible with the complexity surrounding intellectual property issues. The Intellectual Property Policy sets out guidelines for determining ownership and exploitation of intellectual property. It is accepted that the originators, whether staff or students, need to be involved in the management of any intellectual property pursued through University procedures outlined in this policy. When the University asserts its proprietary interest in intellectual property developed by staff in the course of their employment, and by students enrolled in the University and using its resources, it will offer a range of services to assist with commercialisation of that intellectual property.

1.8. Misconduct in Research

The Research Misconduct Policy sets out the current policy relating to dealing with problems of research misconduct.

Misconduct in research includes:

- the fabrication of data; that is, claiming results where none has been obtained.
- the falsification of data, including changing records.
- plagiarism, including the direct copying of textual material, the use of other people’s data and/or ideas without acknowledgment;
- misleading ascription of authorship including the listing of authors without their permission, attributing work to anyone who has not contributed to the research, and the lack of appropriate acknowledgment of work primarily produced by a research student/trainee or associate;
- falsely claiming inventorship;
- other practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research. For example, failure to comply with legal requirements of official University processes (eg ethics compliance).

It does not include genuine errors or differences in interpretation or judgements of data. The list above is not meant to be all inclusive. There may be other misdemeanours. For example, in human or animal experimentation departing from approved protocols accepted by a specific discipline might constitute misconduct.

1.9. Retention of Data

Under the Code of Practice – Research, data must be recorded in a durable and appropriately referenced form. Wherever possible, a copy of the original data should be retained in the department or research unit in which they were generated. There may be cases where retention of original data may be difficult, such as:

- a large volume of source material; in these cases source material should be clearly referenced in any published material; or
- data obtained from limited access databases or in a contracted project, in such cases a written indication of the location of the original data or key information regarding the limited access database from which it was extracted must be kept in the department or research unit.

The University expects all researchers, including research students, to ensure that original data are safely held for periods of at least five years.

4 http://www.upw.edu.au/about/policy/UDW058715.html
2 Preparing the Thesis

Candidates should discuss the style (including general format and appearance) of the thesis with their supervisors. Different disciplines often have specific requirements on such aspects as the structure and content of the thesis, as well as referencing styles. Contact your supervisors or postgraduate coordinator for discipline-specific information.

The following guide outlines the common elements of all theses:

<table>
<thead>
<tr>
<th>Contents</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abstract</td>
<td>An abstract is a summary of the thesis. It should outline what the research was about (including the research questions), the purpose or aims of the research, the methodology used, and the major conclusions reached. An abstract will usually be 1-2 pages in length. The abstract provided will be re-produced in an official certificate and presented to the candidate at graduation. It is anticipated that this certificate will be used to demonstrate the research effort to potential employers and others. It is therefore essential that the abstract is accurate, grammatically correct and error-free.</td>
</tr>
<tr>
<td>Acknowledgements</td>
<td>Candidates should acknowledge any assistance received during their research candidature, including academic, technical, secretarial, administrative, financial, or personal (eg. family) assistance. Acknowledgments should not normally exceed one page.</td>
</tr>
<tr>
<td>Appendices</td>
<td>Appendices should contain any supplementary material that the author considers necessary to the interpretation of the text itself. Long tables, essential raw data, detailed reports or computer printouts are generally more appropriately included as an appendix. If there is more than one appendix, the appendices should be numbered or lettered in sequence.</td>
</tr>
<tr>
<td>Bibliography or List of References</td>
<td>Referencing of material used in the thesis is a formal mechanism for giving appropriate acknowledgment of the work of others. The style of referencing used varies between disciplines, but candidates should ensure that they use a single method consistently throughout the thesis.</td>
</tr>
<tr>
<td>Certification</td>
<td>All copies of the thesis must include a certificate signed by the candidate stipulating that the work has not been submitted for a degree to any other university or institution. An example of the certification is included in Appendix J.</td>
</tr>
<tr>
<td>List of Special Names or Abbreviations</td>
<td>A list of any foreign language terms (and definitions) used in the thesis. A list of abbreviations and full name.</td>
</tr>
<tr>
<td>List of Tables, Figures, Illustrations</td>
<td>Tables, figures and illustrations should be numbered, bear an explanatory legend and be referred to within the text. The pages bearing them should also be numbered. Separate lists for each should be included after the table of contents.</td>
</tr>
</tbody>
</table>
2.1 General Presentation

It is important that the thesis be presented clearly and neatly. There should be no hand-written corrections, pasting-in of text or diagrams, or other obvious amendments. Examiners will expect a high quality of English language expression, including spelling, grammar and punctuation. All typographical errors should be corrected prior to submission.

2.2 Margins and Layout

Theses are to be prepared in accordance with the following specifications:

- the text of the thesis (in English) must be in double-spaced or one and a half-spaced typescript;
- the print size of the text in the main body of the thesis should not be less than 10 point;
- International Standards Organization paper size A4 size (297mm x 210mm) white opaque paper of good quality must be used, except for illustrative material such as drawings, photographs, printouts and sleeves for audio records, on which no restriction is placed;
- the text may be printed double-sided or single-sided;
- the margins on each sheet must be not less than 40mm on the left-hand side, 20mm on the right-hand side, 30 mm at the top and 20mm at the bottom. **NB:** If printing double-sided, note that the left and right-hand margins should be reversed on the even numbered pages;
- pages should be numbered sequentially.

2.3 Plans, Diagrams, Tables, and Photographs

Small diagrams, tables, graphs and photographs should be incorporated into the text. They should be easy to understand without reference to the text, and must therefore include an
appropriate label or caption. Captions for tables are to be inserted above, whereas legends to figures should be placed below the figure.

Occasionally, some theses involve the preparation and presentation of material in large tables or plans greater than A4 size. Such material should be placed after the main body of the thesis and bound in such a manner that it is able to be opened out and read even when the rest of the thesis is closed. Care should be taken that all photographs or images are professionally fixed in place (normal adhesive tape is not acceptable).

When binding a thesis which includes mounted photographs, graphs or plans, you should ensure that adequate packing is inserted into the spine to ensure even thickness of the volume.

2.4 Length of Thesis

There is no prescribed minimum length for a thesis as this will vary with the research topic and the form of presentation. Consult with your supervisors on the length of the thesis, as some disciplines may specify a maximum word length. Candidates should note, however, that if the thesis is longer than 400 pages, examiners are notified and may refuse to be involved in the examination. If your thesis includes large appendices, you may consider binding these in a separate volume.

2.5 Number of Volumes

For theses submitted in printed form, candidates are strongly advised to bind their thesis in one volume (however, binders may not be able to bind a thesis in one volume if it exceeds 300 pages). For a lengthy thesis, candidates may find it appropriate to bind the appendices as a separate volume. Examiners are notified when the thesis is longer than 400 pages, and may choose not to examine a thesis which is of any greater length. Each volume should be clearly labelled and include a separate title page.

3 Submitting the Thesis for Examination

Candidates must be enrolled at the time of submission and cannot submit before the minimum course length specified in the course rules. Theses must first be submitted to the primary supervisor. Once approved, the thesis is submitted to the GRS via the online HDRR thesis submission portal which can be found at: https://mojito.its.uow.edu.au/index.php/77395.

You can submit your thesis at any time of the year. At the time of submission, the Student Management Officer will check to make sure you are enrolled, and that you have submitted the appropriate details along with your thesis. You should also supply your contact details during the examination period. Many students move interstate or overseas after they submit their thesis, and it is vital that we can contact you quickly during the examination period.

3.1 Notification of intention to submit

A candidate is required to give the Head of Postgraduate Studies (HPS) two months written notice of intention to submit the thesis. This allows time for the appointment of examiners and minimises delays once the thesis is submitted. The 'HPS' is a term used by the GRS to refer to the person responsible for examination matters in relation to higher degree research students within the Faculty. If you are unsure who your HPS is, please contact the GRS or your faculty's Research Manager.
3.2 **Copies required at time of submission**

Once thesis examiners have been nominated, the supervisor will contact examiners to ascertain their availability. At this time supervisors will also seek the examiners' preferred option of either pdf via email or printed copy for examination. Depending on examiners' requirements, HDR students submitting a thesis for examination will be required to present the Graduate Research School with the required number of printed copies and submit the electronic copy via the online HDR thesis submission portal.

Printed copies of the thesis and supporting work for submission to examiners are to be prepared in accordance with the following specifications, except that variation may be approved after application to the Thesis Examination Committee (TEC):

i. The text of the thesis, normally in English (unless otherwise approved), shall be in double spaced or one and a half spaced typescript.

ii. The size of the paper shall approximate International Standards Organization paper size A4 (297mm x 210mm) except for illustrative material such as drawings, photographs, printouts and sleeves for audio records, on which no restriction is placed. The paper used in all copies shall be white opaque paper of good quality.

iii. The margins on each sheet shall be not less than 40mm on the bound side, 20mm on the unbound side, 30mm at the top and 20mm at the bottom.

iv. A completed and signed Thesis Certification, as prescribed in Rules 10.50(b) and (c).

v. Shall be included on the first page of the thesis, after the title page.

vi. The thesis shall be presented in a permanent and legible form as original typescript, offset printing, or copy by other approved technique.

Thesis submission will be via the online HDR thesis submission portal.

**All copies of a thesis shall include:**

a) an abstract.

b) a statement indicating the extent to which the work is the candidate's own work

c) a declaration signed by the candidate stipulating that the work has not been submitted for a degree to any other university or institution.

---

1. **Abstract**

   The GRS will use this abstract to prepare your Australian Higher Education Statement (AHEGS). It is essential that this abstract is grammatically correct and error free as it will be reproduced in your AHEGS and presented at graduation.

2. **Graduation Description**

   Doctoral candidates’ research will be briefly described at the graduation ceremonies. So that a wide audience can understand the nature of the research, doctoral
candidates are requested to provide a 15 word (maximum) description in plain English.

3. Online submission of thesis

Submitted via the online HDR thesis submission portal.

The maximum size of the thesis accepted on this online submission system is 10 megabytes. If you need to submit files larger than 10 megabytes, please submit through the University’s sharefile system.

4. Scanned copy of the “Agreement for deposit of HDR thesis in digital repository”

Students must also complete the “Agreement for deposit of HDR thesis in digital repository” form. Also any completed publications resulting from your research degree must be submitted to Research Online, the university’s open access digital archive. For further information please see http://ro.uow.edu.au/. If you receive approval to restrict your thesis from open access you will be required to provide a reason and state the length of time you are seeking to have the thesis restricted.

After examination is complete, a digital copy of the final version of the thesis must be supplied to the GRS before graduation can take place. Information about digital theses is available at: http://www.library.uow.edu.au/theses. Please forward the final copy of the thesis to your Student Management Officer as an email attachment.

Please note that the Nomination of Examiners form (see 4.3) must not be submitted by the candidate as the identity of the examiners must not be disclosed to candidates at this time. If the Nomination of Examiners form is submitted by a candidate, the supervisor may be requested to select new examiners.

3.3 Submission without the principal supervisor’s approval

If your supervisors are unhappy to certify that the thesis is prima facie worthy of examination, they are required to advise you of their concerns in writing. If, following discussions with your supervisors, you still wish to submit your thesis, the matter will be referred to the HPS for advice and counselling.

If you wish to submit your thesis without the support of your supervisor or HPS, the matter will be referred to TEC. You will be required to provide a written statement outlining why the thesis should be submitted without your supervisors’ consent. Supervisors will also be requested to provide a written statement outlining why they do not support the submission. Based on this information, the TEC will make a decision on whether to send the thesis out for examination. Examiners will not be informed that the thesis has been submitted without the supervisors’ support.

4 The Examination Process

4.1 Number of Examiners required

<table>
<thead>
<tr>
<th>Master of Philosophy</th>
<th>Two examiners – one may be internal, one must be external to the University of Wollongong</th>
</tr>
</thead>
<tbody>
<tr>
<td>Doctoral degrees</td>
<td>Two examiners – both external to the University of Wollongong</td>
</tr>
</tbody>
</table>
4.2 Selecting Potential Examiners

The selection of examiners is a process involving both the candidate and the supervisor. The selection of examiners is of critical importance. In considering examiners, account should be taken of the examiner's understanding of and position on the thesis topic and on the methodology employed.

In selecting potential examiners, the candidate and supervisors should consider the following guidelines:

A. Examiners, external and internal, should be, so far as possible, at arm's length from the supervisors and candidate so as to ensure the maximum degree of objectivity

When examiners are nominated, the HPS should specify the nature of any known relationship between the nominated examiners and the HPS, supervisors or student. It could be difficult, both for the TEC and the student, if a relationship not disclosed at the time of the appointment of examiners comes to light prior to, or even subsequent to, the completion of the examination process. External examiners should not be recently moved or retired members of staff, or affiliates of the relevant academic unit, nor recent research collaborators with the HPS, supervisors or student.

B. Policy on selection of examiners

In selection of examiners, the candidate and supervisors should ensure that none of the examiners:

- Has, or has had, a close personal or professional relationship with any of the student’s supervisors;
- Has been an employee of the University of Wollongong in the last 5 years.
- Has graduated with a higher degree from the University of Wollongong in the last 5 years.
- Has engaged in collaborative research with any of the student’s supervisors during the last 5 years.
- Has seen or been involved with drafts of the thesis.
- Has been involved in direct supervision or as part of a supervisory panel in the research and thesis preparation.
- Has examined a thesis put forward by the supervisors whose signatures appear on the nomination of examiner form in the 12 months prior to the date the form is submitted.
- Is currently employed by an organisation where the student is currently seeking or has secured employment.
- Has been an examiner of a thesis submitted by that candidate.

For doctoral degrees:

- Each examiner shall be external to the University.
- No two nominated external examiners are from the same institution.
- No two selected examiners are resident in the same country.
- At least one selected Examiner must be an International examiner.

For masters by research degrees not more than one selected examiner shall be internal to the University.

C. Examiners should be qualified to examine

The nominated examiners’ knowledge in the field of study must be unchallengeable and they must be of acknowledged high repute.
The nominated examiners themselves must have qualifications at least at the level of the candidate’s thesis.

D. **Examiners should be respected in their field**

The University views the use of external examiners as being as much for the student’s benefit as for preserving the integrity of its degrees. HPS should therefore seek to obtain examiners of acknowledged high repute.

### 4.3 Completing the nomination of examiners form

In consultation with their supervisors, candidates should nominate at least four (4) potential examiners on the Nomination of Examiners form. The supervisors will select two examiners from this list. Candidates must not be informed who the final examiners selected are.

The supervisor/s will forward the Nomination of Examiners form to the HPS for final approval. The HPS will then forward the form to the GRS.

Supervisors must contact both of the selected examiners prior to submission of thesis and obtain the examiners’ consent to receive the thesis and confirm if they wish to receive and examine a pdf via email or printed copy of the thesis.

### 4.4 Confidentiality and contacting examiners

Examiners are advised that the task of examination must be undertaken on a confidential basis. If necessary, an examiner can be asked to sign a confidentiality agreement.

Neither the candidate nor the supervisors must contact the examiner with regard to the thesis for any reason during the examination process. The identity of the examiners may be revealed once the examination process is completed. If you are contacted by your examiners during this time, please refer the examiner to your Student Management Officer, GRS. There may be occasions when you will meet with persons listed as potential examiners at professional conferences or other such events. If this occurs, you should refrain from discussing the examination with them.

### 4.5 How long does it take to examine the thesis?

Examiners are given six to seven weeks from the date of receipt of the thesis in which to assess and return their reports. If the reports are not received by the deadline, your Student Management Officer will contact the examiner on a weekly basis to follow up on the progress of the examination. It normally takes from three to six months from the date the thesis is sent out for examination for a recommendation regarding the award of the degree to be finalized. The examination process may take if examiners submit their reports late or if candidates are required to make substantial revisions to their thesis.

5 Examination Outcomes

5.1 Examiner's Report Proforma (PhD)

All examiners are provided with a report proforma to complete. The proforma contains two sections – a) a report on the quality of the thesis; and b) a recommendation in relation to the examination outcome. In each section, the examiners are asked a series of questions and are required to circle an appropriate response.

EXAMINER'S PROFORMA DOCTORAL DEGREE

Section 1. Report

I report that in my opinion:

a) the thesis provides evidence that the candidate conducted original research;
b) the thesis demonstrates that the candidate has made a significant contribution to the knowledge of the subject concerned;
c) the thesis reveals that the candidate has a broad understanding of the discipline within which the work was conducted;
d) the thesis contains material suitable for publication;
e) the candidate has presented the thesis in a manner and level appropriate to the field of research; and
f) the literary standard of the thesis is adequate.

Section 2. Recommendation

I recommend that:

a) the candidate be awarded the degree without revision;
b) the candidate be awarded the degree subject to the minor revisions specified being completed to the satisfaction of the HPS;
c) the candidate be awarded the degree subject to substantial revisions specified being completed to the satisfaction of the HPS;
d) the candidate be awarded the degree subject to the substantial revisions specified being completed to the satisfaction of the HPS and being sighted by the examiner(s) for confirmation of the revisions to their satisfaction;
e) the candidate be required to resubmit the thesis in revised form for examination after a suitable period of study and/or research; in this event, are you prepared to examine the revised thesis?;
f) as there are exceptional circumstances, the candidate be required to attend an oral examination to determine whether a satisfactory standard of competence in the work has been attained;
g) (i) the candidate be awarded the degree of Masters Research without further examination; or (ii) the candidate be permitted to submit the revised thesis for examination for a Masters Research degree;
h) the candidate be not awarded the degree.
EXAMINER'S PROFORMA MASTERS DEGREE

**Section 1. Report**

I report that in my opinion:

a) the thesis provides evidence that the candidate conducted original research;

b) the thesis demonstrates that the candidate has made a significant contribution to the knowledge of the subject concerned;

c) the thesis reveals that the candidate has a broad understanding of the discipline within which the work was conducted;

d) the thesis contains material suitable for publication;

e) the candidate has presented the thesis in a manner and level appropriate to the field of research; and

f) the literary standard of the thesis is adequate.

**Section 2. Recommendation**

I recommend that:

a) the candidate be awarded the degree without revision;

b) the candidate be awarded the degree subject to the minor revisions specified being completed to the satisfaction of the HPS;

c) the candidate be awarded the degree subject to substantial revisions specified being completed to the satisfaction of the HPS;

d) the candidate be awarded the degree subject to the substantial revisions specified being completed to the satisfaction of the HPS and being sighted by the examiner(s) for confirmation of the revisions to their satisfaction;

e) the candidate be required to resubmit the thesis in revised form for examination after a suitable period of study and/or research; in this event, are you prepared to examine the revised thesis?

f) as there are exceptional circumstances, the candidate be required to attend an oral examination to determine whether a satisfactory standard of competence in the work has been attained;

(i) the candidate be awarded the degree of Masters Research without further examination; or

(ii) the candidate be permitted to submit the revised thesis for examination for a Masters Research degree;

g) the candidate be not awarded the degree.
5.2 Examiner's Written Report

In addition to completing an examiner’s report proforma, examiners are expected to provide a written report on the thesis. The length of the written report may vary depending on the nature of any suggested revisions. The role of the examiner is to provide feedback and suggestions for improvement rather than as a marker who will pass/fail the thesis. For this reason, written reports are often several pages in length and contain suggestions and comments. The written report provides advice to the TEC on the nature and type of revisions that may be required.

5.3 The HPS’ Recommendation

Once both examiners’ reports have been received by the GRS, copies are sent to the HPS and supervisors who will review the results.

Candidates do NOT receive copies of the examiners’ reports at this stage.

A HPS report form is sent to the GRS with a draft resolution to go before the TEC. The report identifies any revisions suggested by the examiners, which are NOT required to be made in the opinion of the HPS and must also contain reasons why those revisions do not need to be made.

5.4 Role of the Thesis Examination Committee

The TEC is responsible for determining an examination resolution based on the examiners’ reports and the report from the HPS. The TEC meets every month, except January, to consider any reports which have been received. The Committee consists of a Chair, Deputy Chair, a representative from each of the five faculties and three members nominated by the Dean of Research.

Once the TEC determines a resolution, the candidate, HPS and examiners are advised in writing. This is the first time the candidate will receive advice about the examination outcome. The candidate is also sent copies of the examiners’ reports, and the HPS’ comments. If revisions are required, the candidate is requested to contact their supervisors and the HPS.

5.5 Thesis Examination Committee Resolutions

TEC resolutions fall into the following categories:

a. Straightforward matters
b. Revisions required
c. Third examiner required
d. Further study required
e. Oral examination required
f. Downgrade of award (for PhD only)
g. Fail

A. Awarded without revision:
   
   • the candidate be awarded the degree without revision

   In this instance, the candidate is not required to make revisions and can supply a digital copy of the final thesis to the relevant Student Management Officer, as an email
attachment, as soon as possible (see next chapter).

B. Revisions required:

- the candidate be awarded the degree subject to the **minor revisions** specified being completed to the satisfaction of the HPS.
- the candidate be awarded the degree subject to the **substantial revisions** specified being completed to the satisfaction of the HPS.
- the candidate be awarded the degree subject to the substantial revisions specified being completed to the satisfaction of the HPS and being **sighted** by the examiner(s) for confirmation of the revisions to their satisfaction.
- the candidate be awarded the degree subject to the substantial revisions specified being completed to the satisfaction of the HPS and being **re-examined** by the examiner(s).

See section below – Making Revisions.

C. Third examiner required:

- the thesis to be sent to a third examiner for **adjudication**.
- the thesis to be sent to a third examiner for **examination**.

A third examiner may be appointed if the two reports are conflicting. The third examiner may be required to adjudicate or to examine the thesis without input from the other examiners. In the case of adjudication, the examiner is supplied with a copy of the thesis and the two examiners’ reports, and is asked to determine a resolution of the conflicting reports. This option is rarely taken. In the case of examination, the third examiner is provided with a copy of the thesis for examination and is not informed that the thesis has already been examined by two other examiners.

Once the third examiner’s report is received, the matter goes back to the TEC for consideration. The previous two reports are also considered by the TEC to enable a final resolution to be made.

D. Further study required:

- the candidate be required to resubmit the thesis in revised form for examination after a suitable period of study and/or research.

If the TEC determines that further study and/or research is required, the candidate must re-enrol and pay any necessary fees. The HPS and supervisors will determine what program of study and/or research is required. After this period of further work, the thesis will be revised and re-submitted. New examiners may be appointed, according to the TEC resolution, and the process of examination begins again.

E. Oral Examination required:

- the candidate be required to attend an oral examination to determine whether a satisfactory standard of competence in the work has been attained.

Oral examination of candidates is exceptional and will only be conducted when doubts about a thesis judged as ‘border-line’ may be resolved by such examination. An oral examination may then be used to:

- Examine the depth of the candidate’s understanding in respect of any particular area of the thesis;
- Clarify interpretations placed on experimental/empirical work; and/or
• Test a candidate's general knowledge in areas related to the specific work.

In cases where an oral examination is to be conducted, the examination will normally take place at the University of Wollongong. The examining panel will usually consist of the examiners of the thesis, however, examiners are invited to submit questions to be put to the candidate on their behalf. Please note that oral examinations are rarely undertaken at the University of Wollongong.

F. Downgrade of award (PhD only)

• the candidate be awarded the degree of Master of Philosophy without further examination.
• the candidate be permitted to submit the revised thesis for examination for the Master of Philosophy degree.

In exceptional cases, the TEC may determine that a thesis submitted for a PhD is only of sufficient quality for a Master of Philosophy degree. The award may be granted by the TEC, or, it may be revised and sent out to new examiners for re-examination as a Master of Philosophy degree.

G. Fail:

• the candidate be not awarded the degree.

On very rare occasions, the TEC may determine that on the basis of the examiners’ reports, a fail be awarded in relation to the degree program.

5.6 Making Revisions

If no revisions are required, the candidate sends a copy of the final thesis by email attachment to the relevant Student Management Officer.

If revisions are required to the satisfaction of the HPS and/or examiner(s):

• the candidate makes the revisions and writes a memo informing the supervisors and the HPS that the changes have been made. The candidate should identify the revisions through the use of post-it-notes or bookmarks, and should include a written statement outlining what revisions were made.
• the supervisors check that the revisions have been made, and advise the HPS.
• after consultation with the supervisors, the HPS advises the GRS advising that s/he is satisfied with the revisions.

If the revised thesis is to be sent to the examiners:

• the HPS advises the GRS in writing that s/he is satisfied with the revisions;
• the GRS sends the copy of the revised thesis to the examiner/s.:
• if the examiner(s) is satisfied with the revisions, the HPS and the candidate are informed that the final thesis should be submitted to the GRS; by way of email attachment.

OR

• if the examiner is not satisfied with the revisions, the matter goes back to the TEC.
5.7 Time-frame for making revisions

Under the course rules, candidates have 12 months from the date of the TEC Resolution to make their revisions and re-submit their thesis. The candidate and their supervisor may make a request to the Manager, GRS for an extension to this period under exceptional circumstances. If the revised thesis is not received by the GRS within 12 months, the candidate may be awarded a fail.

5.8 Appeals Against Higher Degree Research Thesis Examination Outcomes

The University has an established procedure which gives students, in certain circumstances, the right of appeal against the examination and evaluation of their candidature. Appeals are permitted on procedural grounds only, and only where a fail has been awarded or where a candidate has not been permitted to re-submit their thesis for re-examination. Appeals by disgruntled students simply rejecting the assessment of the merit of their work are not permitted. Appeals on grounds of inadequacy of supervisory or other arrangements during the period of study, are normally not permitted, unless the student can show that persistent efforts to deal with these issues were not adequately addressed. The Appeals Process is outlined in the Higher Degree Research (HDR) Student Academic Complaints Policy.

Grounds for Appeal:

The only grounds normally permitted for an appeal against a decision not to award a higher research degree or not to allow re-submission of a thesis for re-examination, are:

- procedural irregularities in the conduct of the examination, that may have had an effect on the outcome of the examination;
- circumstances affecting the student’s performance of which the examiners were not aware;
- documented evidence of prejudice or of bias on the part of one or more of the examiners;
- failure to consult the student about the choice of potential examiners.

Procedure:

Appeals must be made by the candidate to the Student Ombudsman nominee, in writing, within one month of the decision of the TEC. The candidate must set out fully the grounds for the appeal and provide documentary evidence in support of the appeal. Details of the Higher Degree Research (HDR) Student Academic Complaints Policy at [http://www.uow.edu.au/about/policy/UOW058652.html](http://www.uow.edu.au/about/policy/UOW058652.html).

6 Submitting the Final Copy and Graduating

6.1 Thesis Submission

Following examination of the thesis and completion of required corrections, candidates are required to submit a pdf of the final version of the thesis to the relevant Student Management Officer in GRS. The thesis will be accessible subject to approved access restrictions requested by the author through the University of Wollongong’s web site, a national database of Australian theses and through web search engines. An agreement for the deposit of HDR thesis in digital repository, completed by the candidate and principal supervisor, must accompany the pdf copy of the thesis.

The Graduate Research School does not require a bound copy of the final thesis, however some faculties will request a bound copy for faculty records.
6.2 **Confidential material and freedom of information**

The University is committed to making the outcomes of research publicly available. There may be instances when a thesis contains confidential information which cannot be made freely accessible. Such confidentiality may relate to the substance of the information or the source of the information. For example, the thesis may contain material for which the author intends to apply for patent protection or there are other possible commercial benefits. In other instances, an industry partner or research participant may request that material contained in the thesis is restricted.

In most cases, confidentiality will apply to a part or parts of the thesis only. If practical, confidential material should form a separate confidential appendix. Alternatively, it may be possible to apply for the thesis to be embargoed for a period of time. Candidates intending to restrict access to the Library copy of their thesis should seek the advice of their supervisors. The period of restriction normally granted will be 12 months. Requests to restrict access for a longer term will only be approved in exceptional circumstances. All applications must explain the reasons for which embargo is requested, and include the signatures of the supervisor.

Candidates should consider carefully the impact that a period of embargo or restriction will have on their ability to publish and/or seek employment.

6.3 **Format of Final Copy**

Once all examiners’ recommendations and TEC resolutions have been satisfactorily completed by the HDR student and the final version of the thesis has been approved by the HPS, the student shall submit a digital copy of the final thesis, according to the guidelines set out by the Graduate Research School.

6.4 **Submission of thesis to the UOW Library**

A digital copy of the thesis will be accessible, subject to approved access restrictions requested by the author or supervisor, through the University of Wollongong’s web site, a national database of Australian theses and through web search engines. Access restrictions are possible in accordance with Rule 10.74(b).

A thesis submitted for a higher degree shall be retained in the University of Wollongong Library for record purposes, within copyright privileges of the author, and shall be public property and accessible for consultation at the discretion of the University Librarian. Normally, the University expects that free access to all theses deposited in the Library should be permitted, but recognises that in exceptional circumstances, such as commercial confidences, it may be necessary to restrict access for a period of time. Where access is restricted, it should be for as short a time as possible.

6.5 **Agreement for deposit of HDR thesis in digital repository**

To stipulate the wishes of a candidate for a higher degree regarding utilization of the contents of the thesis, the candidate is required to complete “Agreement for Deposit of HDR Thesis in Digital Repository”, available on the thesis submission website, to permit the University Librarian to retain a copy of the digital thesis for record purposes, grant public access to it or to restrict access, if requested by the Supervisor.

The degree will not be conferred until an appropriately approved final electronic copy is lodged with the Graduate Research School accompanied by a letter or email sent directly from the HPS.
certifying that required corrections have been satisfactorily completed.

6.6 Bound copies of theses

The Graduate Research School does not require hard bound theses to be submitted. If requested by the Academic Unit or Supervisor(s) the candidate must provide hard bound copies for Academic Unit and Supervisor retention.

6.7 Thesis Binding Expenses

Recipients of Australian Postgraduate Awards (APA) and University Postgraduate Awards (UPA) prior to 2013 and some faculty scholarships receive a thesis allowance which assists with the costs directly associated with the production of the thesis, including typing, photocopying, temporary and final binding. Candidates must cover this expenditure themselves and then present the account to the GRS for reimbursement. Claims can only be made after submission of the thesis. The costs of buying computers or computer equipment cannot be claimed.

Candidates who do not receive a thesis allowance through a scholarship are responsible for their own thesis binding expenses.

6.8 Procedure for Graduation

Candidates can apply to graduate in the next available graduation ceremony via SOLS once they submit their thesis.

The University conducts four graduation ceremonies each year:

<table>
<thead>
<tr>
<th>Faculty:</th>
<th>Graduation ceremony held:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Law, Humanities &amp; the Arts</td>
<td>April and October/November</td>
</tr>
<tr>
<td>Science, Medicine &amp; Health</td>
<td></td>
</tr>
<tr>
<td>Social Sciences</td>
<td></td>
</tr>
<tr>
<td>Business</td>
<td>July and December</td>
</tr>
<tr>
<td>Engineering &amp; Information Sciences</td>
<td></td>
</tr>
</tbody>
</table>

Please note that the Application Closing dates also apply to Postgraduate Research students.


Once the final digital thesis is lodged with the GRS, accompanied by a letter from the HPS certifying that any revisions (where required) have been satisfactorily completed, together with the completed and signed Digital Repository Form, you are eligible to graduate. You can nominate to graduate at a ceremony or be conferred by the Vice-Chancellor. Further information about the graduation process is available at: [http://www.uow.edu.au/student/graduation/index.html](http://www.uow.edu.au/student/graduation/index.html).
APPENDIX A:
Requirements for the Award of Doctor of Philosophy (PhD)

The principal criterion for the award of the degree of Doctor of Philosophy is whether the thesis represents an original and significant contribution to knowledge, either by the discovery of new facts and/or the exercising of independent critical ability and/or the articulation of a new or novel approach to the research question.

An original contribution to knowledge may be reflected in a number of ways. The candidate may have raised an important new problem or have addressed an existing problem in a novel way. A candidate may have investigated previously ignored material, developed new techniques for investigating issues, or have applied existing techniques to a new area of research.

Whether a candidate’s work constitutes a “significant contribution to knowledge” could be gauged by the extent to which the thesis is publishable. Normally a satisfactory Doctoral thesis might be expected to form the basis for one or more articles in recognised refereed research journals, or in some disciplines, to form the basis of a monograph. Examiners are invited to offer an opinion on whether the thesis contains material suitable for publication.

The thesis may include for consideration any material previously published, provided the research was undertaken during the candidature for this Doctor of Philosophy.

The research thesis should demonstrate the candidate’s ability to present the research in a written format; it should be free of typographical and grammatical errors and communicate the purpose and result of the research in a concise and effective manner.

The candidate should be able to assess critically the present state of knowledge in the subject and understand the place of the research in relation to the field.
APPENDIX B:
Requirements for the Award of Master of Philosophy

Candidates will be required to demonstrate they have received adequate training in research and research methods. While the candidate is expected to contribute to knowledge in his/her field, he/she will be more closely supervised than would a doctoral candidate; the Masters degree is seen primarily as a degree providing advanced training in research design and technique.

The examiner is therefore requested to consider the thesis from the perspective of its approach to a problem and its grasp of procedure and technique. It should not be assumed that the candidate will have chosen the topic. Candidates who have completed an Honours degree at first class standard, or undertaken equivalent research work prior to their admission, are normally required to complete one full-time year of research: candidates without these qualifications on admission are required to complete 6 months of equivalent full-time study by coursework followed by one year of research. An examiner may assume that a candidate has successfully completed the coursework prior to submission of the thesis.

The thesis may include material previously published, provided the research was undertaken during candidature for this Masters by Research degree.

The research thesis should demonstrate the candidate’s ability to present the research in a written format; it should be free of typographical and grammatical errors and communicate the purpose and result of the research in a concise and effective manner.

The candidate should be able to assess critically the present state of knowledge in the subject and understand the place of their research in relation to the field.
APPENDIX C:
Requirements for the Award of Doctor of Creative Arts

The submission for the Doctor of Creative Arts comprises the creative work together with its accompanying documentation. The documentation will be primarily in written form, and may include other forms as a record of the creative work (for example, photographic, sound and video recordings).

The documentation is intended to supplement the creative work, with the primary emphasis and focus of this degree on the creative work. There should be an integral relationship between the creative work and the documentation. The documentation, in effect, aims to demonstrate that the submission meets the criteria for the awarding of the degree. It should assist the examiners to determine whether, and in what ways the submission makes an original and significant contribution to the creative discipline(s) and/or the area(s) of inquiry within which the work is located.

Creative discipline(s) is used here to refer to the practice and conceptual base of the relevant art form(s), such as painting, music composition, prose fiction, theatre design. Note that the creative work may span more than one creative discipline, or be interdisciplinary in relation to creative disciplines, or explore new art forms for which there is no established disciplinary location. Area of inquiry is used here to refer to the way in which the submission may constitute an investigation of an area of knowledge other than the creative discipline(s). Put simply, the creative work may be about something other than its own contribution to the creative discipline(s). The documentation should clarify the intention of the candidate in relation to the creative discipline(s) and the area(s) of inquiry of the submission.

The Report indicates whether, in the opinion of the examiner, the submission meets the criteria for the awarding of the degree of Doctor of Creative Arts. The principal criteria are those of original creative work and significant contribution to the creative discipline(s) and/or area(s) of inquiry. The following notes may assist the examiner in preparing the Report:

a) The candidate’s production of original creative work should be evidenced in the creative work itself, supported by the documentation. (For example, the documentation may discuss previous work in the relevant field(s) in order to demonstrate the advance or innovation to the body of work made by the creative work)

b) The candidate’s significant contribution should be evidenced in the creative work itself and in the documentation. In general, the documentation should indicate the nature of the contribution and indicate the grounds on which its significance may be inferred.

c) The candidate’s broad understanding of the creative discipline(s) should be evidenced in the creative work itself and may be a focus of the documentation. Where the submission addresses area(s) of inquiry beyond the creative discipline, generally the documentation will demonstrate the nature and extent of the research involved.

d) The examiner is requested to report on whether the submission contains material suitable for publication. Publication is used here in the broad sense to include exhibition, performance and recordings. Frequently the creative work which forms one component of the submission is presented for examination in a public and professional context, such as a public exhibition or performance. In addition, creative work produced in the context of the candidacy, and referred to in the documentation, is likely to have been previously published, performed or exhibited. The examiner is not constrained by actual publication in forming an opinion about the suitability of the work for publication. Suitability represents a judgement about the worthiness of the submission (in part or in its entirety) for public promulgation, in particular directed towards professional, creative and/or scholarly audiences or readerships.

e) The examiner is requested to report on whether the submission achieves appropriate standards and modes of presentation. Examiners are likely to consider the creative work in relation to appropriate standards and expectations of professional practice within the creative discipline(s) concerned. In judging the written documentation, the examiner should report on whether it meets adequate and
appropriate literary standards. Where the documentation includes material in other forms (most frequently, photographic, video, or sound recording), the examiner may report on whether the technical and aesthetic standards achieved are adequate.
APPENDIX D:
Requirements for the Award of Doctor of Education

The Doctor of Education (EdD) is an advanced degree granted on successful completion of an approved program of coursework and an independent and original investigation of an educational issue relevant to the education profession. The purpose of the degree of Doctor of Education is to prepare professional leaders in Education and related fields. Candidates undertake a focused program of study, including coursework in research methodology, a specialist area of education studies, and a thesis.

The presentation of the investigation and results should be in an acceptable form for examination as a thesis. The thesis should report original work, the research may be of an applied nature, into issues of professional or policy concern. The EdD thesis comprises two-thirds of the total program, 96 cp of the 144 cp program (approximately 95,000 words).

The principal criteria for the award of the degree of Doctor of Education is whether the thesis represents an original and significant contribution to knowledge and/or professional practice, either by the discovery of new facts or understandings, and/or the exercising of independent critical ability and/or the articulation of a new or novel approach to the research question.

An original contribution to knowledge may be reflected in a number of ways. The candidate may have raised an important new problem or have addressed an existing problem in a novel way. A candidate may have investigated previously ignored material, developed new techniques for investigating issues, or have applied existing techniques to a new area of study.

Whether a candidate’s work constitutes a “significant contribution to knowledge” could be gauged by the extent to which material from the thesis is publishable. Normally a satisfactory Doctoral thesis might be expected to form the basis for one or more articles in recognised refereed professional journals, or be the basis for a monograph. Examiners are invited to offer an opinion on the publishable content of a thesis.

The thesis may include for consideration any material previously published, provided the research forms an integral part of their thesis and was undertaken during the candidature for this Doctor of Education.

The thesis should demonstrate the candidate’s ability to present the research in a written format with related technologies as appropriate; it should be free of typographical and grammatical errors and communicate the purpose and result of the research project in a concise and effective manner. It should demonstrate that key findings have been appropriately communicated to significant stakeholders. The candidate should be able to assess critically the present state of knowledge in the subject and understand the place of their research project in relation to the field.
APPENDIX E:
Requirements for the Award of Doctor of Public Health

The total workload of the Doctor of Public Health degree is the same as for other doctoral degrees. The requirements for the degree should, if the candidate progresses well, be completed in three years full-time study, or longer if the study program is not full-time. Coursework makes up one-third of this workload (48 credit points), the other two-thirds (96 credit points) consisting of the research component, submitted as a thesis. It is expected that the total amount of time allocated to the research component will be only two-thirds the normal allocation for a full Doctor of Philosophy research program (also taken to be three years full-time). The work required to construct the thesis is less than for a thesis submitted for a Doctor of Philosophy degree and (perhaps) the scope is more limited, but the quality and level of research should be similar.

The principal criterion for the award of the degree of Doctor of Public Health is whether the thesis represents an original and significant contribution to knowledge and/or professional practice, either by the discovery of new facts and/or understanding and/or the exercising of independent critical ability and/or the articulation of a new or novel approach to the research question.

An original contribution to knowledge may be reflected in a number of ways. The candidate may have raised an important new problem or have addressed an existing problem in a novel way. A candidate may have investigated previously ignored material, developed new techniques for investigating issues, or have applied existing theory and/or techniques in a new situation of significance.

Whether a candidate’s work constitutes a “significant contribution to knowledge” could be gauged by the extent to which the thesis is publishable. Normally a satisfactory Doctoral thesis might be expected to form the basis for one or more articles in a recognised refereed journal, or in some disciplines, on the basis of a monograph. Examiners are invited to offer an opinion on the publishable content of a thesis.

The thesis may include for consideration any material previously published provided the research forms an integral part of the thesis and was undertaken during the candidature for this Doctorate of Public Health.

The thesis should demonstrate the candidate’s ability to present the research in a written format; it should be free of typographical and grammatical errors and communicate the purpose and result of the research in a concise and effective manner.

The candidate should be able to assess critically the present state of knowledge in the subject and understand the place of their research in relation to the field.
APPENDIX F:
Requirements for the Award of Doctor of Philosophy
(Clinical Psychology)

The total workload of the Doctor of Philosophy (Clinical Psychology) degree is the same as for other doctoral degrees. Coursework makes up one-third of this workload, the other two-thirds consisting of the research component which is examined by submission of the thesis.

The principal criterion for the award of the degree of Doctor of Philosophy is whether the thesis represents an original and significant contribution to knowledge, either by the discovery of new facts and/or the exercising of independent critical ability and/or the articulation of a new or novel approach to the research question.

An original contribution to knowledge may be reflected in a number of ways. The candidate may have raised an important new problem or have addressed an existing problem in a novel way. A candidate may have investigated previously ignored material, developed new techniques for investigating issues, or have applied existing techniques to a new area of research.

Whether a candidate’s work constitutes a “significant contribution to knowledge” could be gauged by the extent to which the thesis is publishable. Normally a satisfactory Doctoral thesis might be expected to form the basis for one or more articles in a recognised refereed journal, or in some disciplines, on the basis of a monograph. Examiners are invited to offer an opinion on the publishable content of a thesis.

The thesis may include for consideration any material previously published provided the research was undertaken during the candidature for this Doctor of Philosophy.

The thesis should demonstrate the candidate’s ability to present the research in a written format; it should be free of typographical and grammatical errors and communicate the purpose and result of the research in a concise and effective manner.

The candidate should be able to assess critically the present state of knowledge in the subject, and understand the place of their research in relation to the field.
APPENDIX G:  
Requirements for the Award of Doctor of Business Administration

The Doctor of Business Administration (DBA) is an advanced degree granted on successful completion of an approved program of coursework and an independent and original investigation of a research problem within a professional environment. The purpose of the DBA is to prepare professional leaders in Business and related fields. Candidates undertake a focused program of study, including coursework in research methodology, and a thesis.

The DBA will be completed in 2 stages:

Stage 1 will require the successful completion of the following four core subjects:

- Business Research: principles and processes (12 credits)
- Methodology – Qualitative and Quantitative (12 credits)
- Literature Review and Annotated Bibliography – 10,000 words (12 credits)
- Proposal and Defence – 10,000 words (12 credits)

Progression to stage 2 requires a grading of no less than 65% in each of the DBA’s four core subjects.

Failure to reach this grade, but gaining at least 50% in each subject will allow the student to graduate with a Masters of Business (Research)

Stage 2 is the field work and research thesis element of the program. This will be deemed to be of equivalent standing to that of the PhD. It must therefore be an original work with significant contribution to the chosen field of research. Two supervisors must be nominated for each candidate. The thesis should report original work, the research may be of an applied nature, into issues of professional or policy concern. The DBA thesis comprises two-thirds of the total program, (approximately 70,000 words).

The principal criteria for the award of the degree of DBA is whether the thesis represents an original and significant contribution to knowledge and/or professional practice, either by the discovery of new facts or understandings, and/or the exercising of independent critical ability and/or the articulation of a new or novel approach to the research question.
APPENDIX H:
Requirements for the Award of the Doctor of Psychology
(Clinical Psychology)

The Doctor of Psychology (DPsyc) was revised in 2005 so that it complies with national guidelines for a Research higher degree.

The Doctor of Psychology will be awarded on successful completion of an approved program of coursework and practicums, and completion of a supervised research program on a topic that is consistent with the key research interests of the Academic unit and the Faculty.

The coursework component makes up one-third of the work load and the other two-thirds consists of the research component. The practicum components are integrated with the coursework to encourage the seamless transition from theory to practicum training.

Completion of this degree will equip students with the high level research skills required for a professional in psychology. Students will be involved in all aspects of an independent research program including a comprehensive review and critique of current literature, and the designing, conduction and reporting of one or more empirical studies. Together with other research components within the degree, the study will culminate in a doctoral thesis that constitutes a significant contribution to research or scholarship.

Research and coursework will be completed in parallel and the entire degree will be completed in four years of full-time study (or part-time equivalent).
APPENDIX I:
Thesis by Compilation Guidelines

HIGHER DEGREE RESEARCH (HDR) THESIS BY COMPILATION
GUIDELINES

1. PURPOSE ...........................................................................................................................................1

2. PREAMBLE ........................................................................................................................................1

3. GUIDELINES .....................................................................................................................................1
   3.1 APPROVAL ...................................................................................................................................2
   3.2 NUMBER AND STATUS OF PAPERS ..........................................................................................2
   3.3 AUTHORSHIP .................................................................................................................................2
   3.4 CONSTRUCTION OF THE THESIS ...............................................................................................2
   3.5 FORMAT .........................................................................................................................................3

4. COPYRIGHT .......................................................................................................................................4

5. EXAMINATION ..................................................................................................................................4

6. CORRECTIONS TO FINAL THESIS .................................................................................................4

7. UNIVERSITY COURSE RULES .......................................................................................................4

APPENDIX A ..........................................................................................................................................5

1. Purpose

There is an increasing expectation in many disciplines that HDR students should publish journal articles during and shortly after their degrees. A HDR thesis by compilation allows a student to include in their thesis publishable or published journal articles and book chapters.

2. Preamble

As disciplines vary extensively, the guidelines are not prescriptive in details such as number of papers required. Overall, the quantity and quality of the material presented for examination needs to equate to that which would otherwise be presented in the traditional thesis format in the relevant discipline and requests for revisions from examiners must be treated in the same manner as revisions requested for a thesis prepared in a traditional format.

3. Guidelines

The papers must have been researched and written during the course of the candidature.

A thesis by compilation may include video recordings, film or other works of visual or sonic arts, computer software, digital material or other non-written material for which approval has been given
for submission in alternative format.

3.1 Approval

The option to submit a thesis by compilation will require the approval and support of the supervisors and HPS well in advance of the submission. Supervisors should discuss the option early in the student’s candidature and offer practical guidance about expected numbers of peer-reviewed publications and publication timeframes in their discipline. The approval process ensures that the student has received discipline-specific guidance on the appropriate quantity and quality of papers for submission as a thesis and is made aware that requests for revisions of the thesis requested by examiners will be treated the same way as for a thesis prepared in a traditional format.

3.2 Number and status of papers

The thesis will consist of a number of chapters each based on papers published in, accepted by, under review at, or in preparation for high-quality, peer-reviewed journals. In some disciplines the expectation will be that the majority of such chapters will be based on journal articles that are already fully published or have received final acceptance for publication. It is important to note that there can be significant differences in expectations between different discipline areas. For example, in mathematics a single long monograph may be acceptable; in other disciplines the expectation might be 4–5 peer-reviewed papers. All chapters will be examined in the same fashion regardless of whether or not they are based on published journal articles. Schools and supervisors should provide sound disciplinary advice on appropriate numbers of publications and publication status.

3.3 Authorship

Students who are undertaking a thesis by compilation should seek advice before signing publisher’s agreements to ensure each agreement does not preclude the inclusion or modification of published work in their thesis, or changes if required by a thesis examiner and the Thesis Examination Committee.

Whether or not the candidate is sole author of all, some or any of the papers will vary by discipline and schools and supervisors/HPS should provide advice on what is most appropriate. Where the candidate is not the sole author of a paper, they must demonstrate that they have made significant contributions to the paper.

3.4 Construction of the thesis

A number of distinct papers are expected, and while some overlap between related papers is acceptable, they should nevertheless be substantially different in focus or content. The thesis must present each chapter in a logical and coherent way, and may require the addition of linking text to establish the relationship between one chapter and the next. This could, for example, be achieved by the inclusion of a foreword to each chapter.

An extended context statement demonstrating the relationship between all aspects of the research is also required as part of the thesis. This will include an introduction to the field of study and the hypothesis or research questions, how these are addressed through the ensuing chapters, and a general account of the theory and methodological components of the research where these components may be distributed across separate papers/chapters. The context statement should be in the order of 5,000 to 10,000 words in length. The outcomes of the project and the author’s conclusions will either be summarised in the context statement, or covered in a concluding chapter.

While the Course rules allow for a thesis to be submitted with publications included this is not a thesis by publication. Information concerning the admission requirements for the PhD
by publication degree, and the rules governing its examination process, may be found in the General Course Rules, Sections 13.10 – 13.12 and 10.61 – 10.69, respectively.

Students should generally include a literature review that clearly details the research question, and a concluding general discussion that integrates the work and places it into context of the research question posed in the literature review. The thesis may also include relevant appendices containing raw data, programs, questionnaires and other material that would normally appear in a standard PhD thesis.

A thesis by compilation must include a signed declaration that specifies:

- Title, authorship and publication outlet of each paper.
- The current status of each paper (in press, accepted, under review, in preparation).
- The extent of the contribution of the candidate to the research and the authorship of each paper.

For each paper where the candidate is not the sole author, the collaborating authors must also sign the declaration.

3.5 Format

The entire thesis, including the published papers, must be formatted in an acceptable PhD thesis style. The papers and supplementary material should be on A4 paper (or similar), bound or formatted together in a single volume if a printed copy is requested by the examiner/s.

The thesis formatting should be uniform and have an overall professional appearance. The publications should all be formatted the same (including referencing style) and be embedded as chapters within the thesis, to help provide a coherent format to the thesis.

It is often necessary to include additional material, as journal publications are often abbreviated and important data or methods are left out or abbreviated in their preparation. The candidate may think it appropriate to include additional material to augment the publications.

The thesis must have an integrated conceptual framework. The overall aim is to provide the examiner with a full and coherent story of the research program without unnecessary repetition. The thesis should not appear disjointed and the argument should flow logically throughout the thesis. To achieve this, other supporting commentary may be needed, such as a foreword or summary statement at the beginning of each chapter/publication to establish the link to previous chapters and explain how it relates to the overall thesis argument. The chapters could also contain internal references to each other to avoid repetition.

The order of chapters should be chosen carefully. Publications should be presented in a sequential order that is logical to the progression of the thesis argument, and not necessarily in the order in which the work was undertaken or published. The thesis chapter in some cases could be an expanded version of the publication. Unnecessary dissection of data sets should be avoided so that the analysis as a whole is still apparent. While some studies will naturally form a series of discrete experiments, other studies (particularly qualitative research) often consist of one large dataset that needs to be analysed as a whole. In this case, publications from the thesis may consist of a critique of methodology and explanation of innovative practices, an empirical/experimental paper, and a critical review or discussion paper.
See appendix A for suggested format.

4. Copyright

Students are expected to seek permission from journals to include publications in their thesis for the purpose of examination. The final thesis is published on the UOW Digital Repository, Research Online, but there is an option for students to request "restricted access" for a set period of time where there is copyright in place for already published articles, or where the student is hoping to publish from their work. This means the final thesis is submitted and stored, but is not publicly available until after the embargo period has passed.

5. Examination

Following submission of the thesis the standard UOW examination procedures will apply. The same “Information for Examiners” document is used for all examinations, whether the thesis includes publications or not.

6. Corrections to Final Thesis

Students must complete all of the examiners’ requested corrections as determined by the Thesis Examination Committee (TEC) to the actual thesis and noted in the applicable TEC resolution.

A HDR thesis is held to higher examination than individual journal articles. Where an examiner requests revisions to chapters based on accepted or published journal articles in the thesis, it is mandatory that those revisions that have been approved by the TEC are to be made in the body of the thesis.

7. University Course Rules

A Candidate undertaking a Thesis by Compilation shall conform to the University Rules.
APPENDIX A. SUGGESTED FORMAT OF THESIS WITH PUBLICATION

Candidates should follow the general presentation guidelines indicated in UOW Course Rules.

1 Title Page

2 Abstract of no more than 500 words.

3 Acknowledgements by the Candidate of help given or work carried out by any other person or organisation who is not listed as a co-author on publications that form the basis of thesis chapters.

4 Statement indicating what style of thesis has been used.

Common concerns and criticisms of examiners of compilation style theses include that they were uncertain whether or not chapters were based on published journal articles, a high level of repetition between chapters, particularly of introductory material and experimental details, and a lack of deeper analysis of the overall body of work beyond that apparent from reading the discussion/conclusions sections of a single chapter. In view of these issues, the candidate must provide a statement indicating that the thesis has been prepared in journal article compilation style format. The candidate can also indicate why they believe a journal article compilation style format was appropriate for their thesis. Such a statement does not, however, mitigate against criticism from examiners concerning the issues outlined above.

5 List of publications included as part of the thesis.

For work that has already been published or accepted for publication at the time of submission, list the full bibliographic citations in the order they appear in the thesis. For publications with copyright issues, include a statement that permission regarding copyright has been obtained from the publishers where necessary.

6. Statement of Contribution of Others

The purpose of this statement is to summarise and clearly identify the nature and extent of the intellectual input by the candidate and any co-authors for all chapters based on journal articles or book chapters. The statement must be signed by the candidate, supervisor(s) and HPS and included with the nomination of examiners form at the time of submission and must be included as an appendix in the thesis. See point 6, above.

7. Table of Contents

8. Critical overview

The candidate is required to present an academic explanation of the submitted work and/or a description of the linkages between the works, thus presenting the thesis as a coherent whole. Candidates can present this overview as a single chapter at the beginning of the thesis (called the “Critical Review”), or as one chapter at the beginning of the thesis (called the “General Introduction”) plus a chapter at the end of the thesis (called the “General Discussion”).

9 Literature Review
10 **Publications/thesis chapters.** The publications should usually all be formatted the same and embedded as chapters within the thesis. The full bibliographic citation of the publication should be stated on the first page, with a Summary Statement (see section 4.6) if required.

11 **General Conclusion**

This section should synthesise the key findings of the thesis and draw the main conclusions, as per a traditional thesis. It may also include sections such as Recommendations or Further Research.

12 **Appendices**

These may include statements from co-authors, permission letters regarding copyright and evidence demonstrating some form of peer review of the publications. If detailed descriptions of methods and additional data are not provided within the publications, they should be included as an appendix to the thesis. PDF proofs of published work should also be provided.

13 **Bibliography**

All references must be provided at the end of the thesis or, more likely for a thesis in journal article compilation format, at the end of every chapter.
APPENDIX J: Title Sheet

(TITLE OF THESIS)

*A thesis submitted in (partial) fulfilment of the requirements for the award of the degree

(NAME OF DEGREE)

from

UNIVERSITY OF WOLLONGONG

by

(AUTHOR’S NAME, DEGREE(S) HELD)

(NAME OF ACADEMIC UNIT)

(YEAR)

* Where the thesis is in partial fulfilment of the requirement for the award of the degree the word “partial” must be inserted immediately before the word “fulfilment”.

38
APPENDIX K:
Thesis Certification

Sample Certification for inclusion in Thesis:

CERTIFICATION

I, Karen M. Smith, declare that this thesis, submitted in partial fulfilment of the requirements for the award of Doctor of Philosophy, in the Department of Biological Sciences, University of Wollongong, is wholly my own work unless otherwise referenced or acknowledged. The document has not been submitted for qualifications at any other academic institution.

(Signature) Karen M. Smith

27 January 2009