

POSTGRADUATE RESEARCH THESIS SUBMISSION & EXAMINATION UNSW@ADFA

SUBMITTING A POSTGRADUATE RESEARCH THESIS AT UNIVERSITY COLLEGE UNSW

The following notes have been prepared to guide you through the University College of UNSW thesis examination process. You should work through the steps with your supervisor. The document provides you with the information you need to ensure that the examination of your thesis is completed in the shortest time possible and that you have completed all necessary forms and processes.

If at any time you need advice or clarification about any of the steps please contact Student Administrative Services on (02) 6268 6000 or email sas@adfa.edu.au.

PRIOR TO SUBMISSION

In the two months prior to submission, you and your supervisor should aim to ensure that all the necessary steps are taken to appoint examiners for your thesis. If this is achieved then it will be possible for your thesis to be sent to the examiners immediately upon submission.

Notification of intention to submit your thesis

You should give at least 8 weeks notice in writing to Research and Research Training Office, d.robinson@adfa.edu.au of your intention to submit your thesis and an estimated date of submission. This allows prompt appointment of examiners so that the thesis may be sent for examination as soon as it is submitted.

If you find that you are unable to submit by the original date nominated, you should advise the Research and Research Training Office of a revised estimated submission date.

Theses containing commercially sensitive material

Examiners are instructed to keep confidential all matters relating to the content of the thesis they are sent for examination. The University acknowledges, however, that where a thesis contains commercially sensitive material, the student may wish a prospective examiner to sign an agreement to keep the contents of the thesis strictly confidential for two years and to return the thesis at the conclusion of the examination. If you require the examiners to sign such an agreement, you should submit your request in writing at the time of lodging notification of intention to submit your thesis. The request will need to include a justification and be supported by Head of School.

Restricting access to the library copy of your thesis following examination

Students are required to sign a declaration relating to the disposition of the thesis at the time of thesis submission. The declaration is included on the *Thesis/Project Report Sheet*. The declaration relates to the retention and use of theses and acknowledges that the 'University retains the copies submitted for examination and is free to allow them to be consulted or borrowed'. If you wish to restrict access to the library copy of your thesis following examination, you should write to Student Administrative Services

of the College setting out your justification for restriction. The request will be forwarded to the University Registrar if necessary.

Nomination of examiners

Your supervisor, in consultation with the Head of School (HOS), is responsible for nominating examiners for your thesis. Your supervisor should aim to have the examiners endorsed by the Head of School and approved by the Research Committee at least two weeks before the intended date of submission. It is University policy that the names of examiners appointed should not be revealed to you until the examination process is complete.

Three examiners must be appointed for a Doctoral thesis and two for a Masters thesis. No more than one of the examiners may be internal to UNSW. Your supervisor and co-supervisor(s) may not be appointed as examiners.

There are a number of steps involved in this process:

- i) consultation with the student about potential examiners in accordance with the *Policy on Examination of Research Degrees* (available from Student Administrative Services on request).

Your supervisor must ask you either to provide the names of any persons about whose potential role as an examiner you may have concern or to identify any names on a list of proposed examiners about whose potential role you may have concern.

- ii) agreement of examiners to act.

Your supervisor or HOS must secure the agreement of the nominated examiners (but not disclose any of the final selection) before submitting the names for Research Committee approval. The examiners should be informed of the proposed date of submission and of the expectation that they will complete the thesis examination within eight weeks of receipt of the thesis. Some variation of the deadline is acceptable if all parties agree.

- iii) completion of Nomination of Examiners form

The Nomination of Examiners form should be completed by your supervisor and signed by Head of School. For each examiner nominated, a brief written justification for appointment should be provided. There must also be a statement certifying that the nominated examiners do not have a potential conflict of interest in assessing the research of the candidate. A conflict of interest may arise, for example, where there has been prior collaboration between the student and the proposed examiner, where the parties have co-authored a paper or where the proposed examiner is a potential employer of the student.

- iv) Head of School approval

The HOS must sign the completed Nomination of Examiners form and forward it to the Research Committee officer for approval. The form must include the final thesis title for approval.

STUDENT CHECKLIST	SUPERVISOR'S CHECKLIST
<ul style="list-style-type: none"> <input type="checkbox"/> Give 8 weeks written notice to Student Administrative Services <input type="checkbox"/> Identify any potential examiners you may have concerns about <input type="checkbox"/> If applicable, advise supervisor whether examiner may keep copy of the thesis 	<ul style="list-style-type: none"> <input type="checkbox"/> Consult student about potential examiners <input type="checkbox"/> If applicable, ask student whether an examiner may keep a copy of the thesis <input type="checkbox"/> Contact potential examiners and obtain agreement to act <input type="checkbox"/> Forward names, contact details and justification for each examiner and final thesis title to Head of School on official form

SUBMISSION OF THESIS

You are required to submit 4 copies of a Doctoral thesis or 3 copies of a Masters thesis in appropriate binding (additional copies may be required by the School). The thesis copies may be delivered in person to the Research and Research Training Office. It is acceptable to present your thesis in temporary binding providing that the binding is secure enough to endure the examination process (head binding process only). At the conclusion of the examination you are required to provide one hard bound copy of the final version of the thesis for deposit in the ADFA Library.

You must ensure that each copy of the thesis contains a signed *Certificate of Originality* (wording available in the ADFA handbook or from Student Administrative Services) and a completed and signed *Thesis Receipt Form* (available on the website or from Student Administrative Services). A completed *Intention to Graduate* form must also be submitted after finalisation of examination (provided by Student Administrative Services).

Your supervisor should ensure that the signed Supervisor's Certificate (available from Student Administrative Services) is received by the Research and Research Training Office on or before the date the thesis is submitted. The thesis cannot be sent to the examiners until the Supervisor's Certificate is received.

The Supervisor's Certificate asks your supervisor to certify A) that the thesis is in a form suitable for examination and that the abstract accurately represents the thesis content and B) that the thesis is worthy of examination and that proper attribution has been given. If the supervisor signs section A) only, then it will be up to the Research Committee to decide whether the thesis should be sent for examination.

INTERNATIONAL STUDENTS

If your student visa expires while your thesis is under examination and you wish to remain in Australia until the result is known (and complete minor corrections if applicable) you may apply for a marker's visa for a period of up to six months. Application forms for a marker's visa are available from Student Administrative Services upon request.

STUDENT CHECKLIST	SUPERVISOR'S CHECKLIST
<input type="checkbox"/> Submit thesis with signed certificate, signed and completed Thesis Receipt form	<input type="checkbox"/> Forward signed Supervisor's Certificate to Student Administrative Services

THESIS EXAMINATION

Student Administrative Services sends the thesis copies to the examiners, specifying a deadline for the completion of the reports. The deadline is calculated as eight weeks from the anticipated date of receipt of the thesis by the examiners. One copy of the thesis is retained by Student Administrative Services as a back-up. Student Administrative Services sends follow up letters for outstanding reports, as appropriate.

You must remember that the names of the examiners are confidential until the examination has been completed. If you come to know the identity of one or more of the examiners **you must not contact the examiner** unless you have written permission to do so from your Head of School. Violation of this requirement may be construed as an attempt to influence the examination and may give rise to a charge of academic misconduct.

You may obtain information about the progress of the examination from Student Administrative Services on sas@adfa.edu.au. In view of the confidential nature of the examination, only information on the number of reports returned will be provided prior to the Research Committee's consideration of the case. Student Administrative Services **cannot** tell you

- i) the names of examiners who have returned or not returned reports
- ii) the recommendations contained in the examiners' reports prior to Research Committee consideration
- iii) the recommendation of the HOS

OUTCOME OF EXAMINATION

When all reports have been received, the examiners' reports are sent to the HOS for a recommendation. The recommendation and examiners' reports are then considered by the Research Committee. Early release of reports is normally allowed when the recommendations from the examiners fall into certain categories.

If all examiners recommend that the thesis be accepted without correction, you will be notified of the Research Committee's decision in writing and provided with copies of the examiners' reports (see the section on graduation below).

COMPLETING 1) MINOR CORRECTIONS OR 2) FURTHER WORK

If minor corrections or further work is required you will be notified of the requirements, provided with copies of the examiners' reports (without the examiners' names) and be asked to consult with your supervisor or Head of School on how to address examiners' comments.

You are not required to re-enrol whilst completing the revisions.

You must document all revisions so that the supervisor and HOS may verify that action has been taken in accordance with the examiners' recommendations. In the event of disagreement with an examiner's comments, you must present a cogent argument for your decision not to revise the thesis. Completed minor corrections will be reported to Student Administrative Services and to the Research committee by the HOS. Further work will need to be reported to the Research Committee by the Head of School. A detailed statement verified by supervisor and Head of School will be tabled at a meeting of the Research Committee.

Once your supervisor and HOS are satisfied that the required corrections or further work has been made and the reporting and approval process is completed, you will be required to provide one corrected copy of your thesis bound in accordance with UNSW requirements. The HOS then sends the corrected copy of the thesis to Student Administrative Services.

STUDENT CHECKLIST	SUPERVISOR'S CHECKLIST
<input type="checkbox"/> submit corrected bound thesis copy with log of changes to supervisor	<input type="checkbox"/> Check revised thesis and, if satisfied, send with written recommendation to Head of School for reporting to the Research Committee as appropriate

INTERNATIONAL STUDENTS

If you remain at UNSW whilst you complete further work you must re-enrol. You will not be charged tuition fees for this period. If you need to apply for an extension of your visa, you should contact Student Administrative Services.

STUDENT CHECKLIST	SUPERVISOR'S CHECKLIST
<input type="checkbox"/> Re-enrol if required <input type="checkbox"/> Submit corrected thesis copy	<input type="checkbox"/> Check revised thesis and, if satisfied, send with written log of changes to supervisor recommendation to Head of School

RESUBMISSION AND RE-EXAMINATION

If you are required to resubmit your thesis for re-examination you will be notified in writing by Student Administrative Services and be set a deadline for resubmission. You are required to re-enrol for an additional period of candidature. International students will be required to pay tuition fees for this period and local students may be required to pay fees under the Research Training Scheme guidelines. As with initial thesis submission, you will be required to give two months' notice of intention to resubmit.

The thesis is usually re-examined by one of more of the original examiners as determined by the Research Committee. Your supervisor or HOS should confirm the availability of the examiners for re-examination. If a new examiner is nominated, your supervisor is responsible for ensuring that you are

consulted about any objections to the appointment of potential examiners in accordance with the *Policy on Examination of Research Degrees*.

Your resubmitted thesis, in appropriate binding, must contain a signed *Certificate of Originality* and a completed and signed *Thesis Receipt Form* and be accompanied by a completed *Intention to Graduate* form. You need to submit a thesis copy for each examiner appointed to re-examine the thesis plus a back-up copy for Student Administrative Services.

Your supervisor is required to complete a Supervisor's Certificate for the revised thesis.

Your thesis will be re-examined in accordance with the procedures set out on page 5. If corrections or further work are required then you must follow the procedures detailed below:

STUDENT CHECKLIST	SUPERVISOR'S CHECKLIST
<input type="checkbox"/> Re-enrol <input type="checkbox"/> Give 8 weeks written notice to Student Administrative Services	<input type="checkbox"/> Forward signed Supervisor's Certificate to Student Administrative Services prior to resubmission

GRADUATION

Once the Research Committee has determined that the thesis merits the award of the degree, you will be notified in writing by Student Administrative Services (SAS) and provided with copies of the examiners' reports with the consenting examiners' names identified. Your name will be added to the graduation list for the next round of ceremonies (the last date to add a name is usually one month before the ceremony). You will be provided with a form for this purpose.

You are reminded that you will not be permitted to proceed to graduation if you have not submitted a hard bound & digital copy (pdf without bars, security or digital signatures) of the thesis to Student Administrative Services. The thesis must include a signed UNSW Thesis/Project Report sheet loosely inserted inside the front cover. Students with outstanding debts to the University also will not be permitted to graduate until the debt has been fully cleared.

You should also ensure that Student Administrative Services is kept informed of any mailing and e-mail address changes.

Details about the ceremony, including information about tickets and academic dress will be mailed to you by Student Administrative Services. There is one graduation ceremony each December.

Forms

Notification of Submission
 Nomination of Examiners
 Supervisor's Certificate
 Certificate of Originality
 Thesis/Project Report Sheet
 Thesis Receipt
 Intention to Graduate

Related Policy Documents

UNSW Guidelines for the Supervision of Postgraduate Research – Examination.
Policy on Examination of Research Degrees
Preparation and Submission of Project Reports and Theses for Higher Degrees

Further Information

Further information may be obtained from Student Administrative Services.

Telephone: (02) 6268 6000

Fascimile: (02) 6268 8666

Email: sas@adfa.edu.au

Address: Student Administrative Services
University College
Australian Defence Force Academy
Canberra ACT 2600