



# Batchelor Institute of Indigenous Tertiary Education

## PhD Degree of Indigenous Knowledges by Research Rules

<b>Date of approval</b>	2008	<b>Approved by</b>	Council
<b>Date of effect</b>	2008		
<b>Contact Officer</b>	Higher Degree by Research Coordinator		

---

## BATCHELOR INSTITUTE OF INDIGENOUS TERTIARY EDUCATION NORTHERN TERRITORY OF AUSTRALIA

---

As in force at 2008

---

### RULES

#### Rules under the *Batchelor Institute of Indigenous Tertiary Education (Rules) By-laws*

#### Citation

These Rules may be cited as the *PhD Degree of Indigenous Knowledges by Research Rules*.

#### Introduction

This document sets out the Regulations governing the award of the degree of Doctor of Philosophy (PhD) by research at the Batchelor Institute of Indigenous Tertiary Education (Batchelor Institute). A simplified version of these regulations will be provided to students during orientation (in the form of a handbook).

## 1. General Conditions

- 1.1. The responsibility for all matters pertaining to the degree of Doctor of Philosophy by research at Batchelor Institute will be delegated by the Batchelor Institute Council to a sub-committee of the Academic Board as per Section 24(i) of the Batchelor Institute Act. This sub-committee will be called the Higher Degrees Committee, and will be controlled by the Batchelor Institute Council, who is also empowered to make and amend regulations.
- 1.2. The Doctor of Philosophy will be awarded subject to the Batchelor Institute Council receiving the following:
- a document indicating that the student has satisfactorily completed a thesis/exegesis\* and a seminar in which the major findings of the research are discussed. This document will be signed by each candidate's Principal Supervisor and the Postgraduate Coordinator;
  - a declaration signed by the student stating original authorship of the thesis/exegesis and acknowledging any assistance provided;
  - an application for the conferral of the degree, signed by the Chair of the Higher Degrees Committee stating that the student has satisfactorily completed the examination process including any revisions or re-examination required by the external examiners;
  - at least one final copy of the thesis/exegesis, in prescribed format in an electronic form, and
  - an abstract of the work, signed by the candidate and Principal Supervisor which will be forwarded to Council.
- 1.3. In special circumstances\*, an application for conferral with substantive evidence of worthiness may be forwarded direct to the Council without passing through the Higher Degrees Committee and the Council may agree to the conferral of an award even though all of the above have not been completed.
- \* see definitions

## 2. Definitions

The following definitions shall apply to these regulations:

**Application** means the process whereby a prospective candidate for a Doctor of Philosophy formally seeks entry. It consists of three steps: application for admission, approval of the research program and enrolment.

**Associate Supervisor** means a supervisor from outside Batchelor Institute. They may be from another research institution or a particular community and will have specialized knowledge or skills directly relevant to a candidate's area of research. They do not have prime responsibility for the candidature, this role must be the responsibility of a Batchelor Institute academic.

- Candidate** means the person who is given permission to enroll on the basis of an approved research proposal. Duration of candidature is calculated from the date the enrolment is entered on the Student Management System.
- Co-supervisor** means an academic from Batchelor Institute, generally with a doctorate, who assists the Principal Supervisor and may assume the role when the Principal Supervisor is temporarily off campus.
- Council** means the Batchelor Institute Council.
- Collaborative research group** means a group of researchers directly involved with the student's research project or a larger research project of which the student's study forms a part. Where all members of the collaborating group are enrolled in the award there must be clearly designated, assessable roles approved by the Higher Degrees Committee before the candidates undertake their research.
- Disclosure** means that candidates are required to declare all pre-existing medical conditions that might impact on their candidature when enrolling.
- Ethics Committee** means the constituted Batchelor Institute committee (Institute Research and Ethics Committee) that reviews research proposals to determine their impacts on individuals, community groups and ecosystems. This committee has the power to reject a proposal or to enforce modifications and/or mitigation strategies.
- Examination** means the formal assessment of the student's thesis to critically evaluate whether the standards and criteria for the award of the degree of Doctor of Philosophy have been met.
- Examiner** means academics, or other experts, not employed by Batchelor Institute, who are appointed to assess the student's thesis or exegesis.
- Exegesis** means a collection of work or product from the research in oral, visual and/or audio form, accompanied by a written explanation of the results and theoretical perspective that is usually not as lengthy as a normal thesis. The format must be approved by the Higher Degrees Committee during the candidature, at least six months before the final work is to be presented. If this form of presentation is selected the candidate for the award must still present a final, durable record of their findings (e.g. in electronic form) after the work has been subjected to any modifications required by the examiners.
- Extension to candidature** means the granting of additional time to submit the thesis/exegesis. All extensions must be approved by the Higher Degrees Committee.
- Full-time** means a student must be able to commit to the course a minimum of 30 hours per week averaged over each year of enrolment.
- Generic capabilities** means skills that all research candidates should be able to demonstrate, irrespective of their research methodology or topic.

- Higher Degrees Committee** means the committee constituted from nominated Batchelor Institute staff, and any other co-opted members of tertiary institutions or other organizations, responsible for the management and oversight of all higher degree students. This committee does not have to seek the endorsement of the Academic Board for its decisions on research students.
- Leave of Absence** is when a student takes up to a year away from study due to, for example, illness or parenting leave. This leave is not included as part of the overall enrolment period.
- Mentor** is a member of staff who may not have the necessary qualifications to take on the role of supervisor, but may become part of a supervisory team because of his/her ability to provide pastoral care or other forms of guidance to the candidate.
- Part-time** means a student must be able to commit to the course a minimum of 15 hours per week averaged over each year of enrolment.
- Principal Supervisor** means a staff member from Batchelor Institute with a doctorate\*, who has the prime responsibility for the candidate's research training, academic guidance and fulfillment of administrative requirements.
- Recognised institution** means any tertiary education or research institution accepted by the Higher Degrees Committee for the purposes of these Regulations.
- Referee** is a person who can comment on the prospective candidate's academic achievements, their potential to carry out research, and present the findings of the research at the required standard.  
 \* A candidate may request that a staff member with a Masters by research assumes this role. The request would most usually be on the basis of specialized expertise and would be forwarded to the Higher Degrees Committee for approval.
- Research Proposal** is a document of 4 - 5,000 words detailing the research question, significance of the topic and question, description of the project including situational analysis, methodology and research plan. This must be submitted to the Higher Degrees Committee after admission to the award is granted, but before enrolment.
- Review Period** means a period of up to five months after completion of the six month progress report during which the student is required to do more work including supplementary coursework until the Higher Degrees Committee advises that the enrolment should be continued or terminated.
- Schools** means the organizational units of Batchelor Institute that are responsible for academic programs.
- Special circumstances** refers to situations where the candidate or their family needs the conferral of the award fast-tracked. This may occur due to illness or death or in instances where the candidate is leaving the Territory or country.

**Thesis** means the collection of work, produced by a candidate and submitted in written form, in a prescribed format, for assessment.

**Transfer of Candidature** means an internal transfer from Masters to PhD or vice versa on the recommendation of supervisors and approval by the Higher Degrees Committee. The transfer of candidatures from other tertiary Institutions will be considered on merit by the Higher Degrees Committee.

### 3. Admission Requirements

3.1. To gain admission to the award of Doctor of Philosophy a candidate must have completed:

- a degree with honours
- a Masters by research, or
- other combinations as approved by the Higher Degrees Committee

3.2. Applicants must demonstrate sufficient command of English to complete the proposed course of study in English, that is, the initial proposal, final Seminar, and the written thesis or the written sections of the exegesis.

Where the initial proposal indicates the applicant's English comprehension will not enable them to communicate their work to other English-speaking academics at the level required, the supervisor must bring this to the attention of the Higher Degrees Committee who may recommend strategies, including academic programs to overcome this difficulty, or terminate the candidature.

3.3. Applicants may not normally be concurrently enrolled in another research degree. Where special circumstances exist, the applicant must seek the approval of the Higher Degrees Committee to continue both programs.

3.4. Admission is subject to an appropriate supervisor being identified and appointed. In the advent of a supervisor leaving Batchelor Institute, temporarily or permanently, the Higher Degrees committee must appoint another Batchelor Institute academic to take over the temporary role of supervision, 21 working days after receiving notification. A permanent replacement supervisor should be identified within 42 working days of notification.

3.5. Transfer from a Master of Indigenous Knowledges (by Research)

In order to be eligible to transfer from a Master of Indigenous Knowledges to Doctor of Philosophy candidature, the applicant must:

- be enrolled in the Batchelor Institute Master of Indigenous Knowledges and engaged in a research project that has the potential to be extended to meet the higher standards of the doctoral award;
- be recommended for transfer by their supervisor(s), on the basis of having demonstrated the capacity to undertake work at a doctoral level;

- present a written document to the Higher Degrees Committee that outlines the current state of progress of the research work and the further work that would make the completed work worthy of a doctoral level award.

#### **4. Procedure for admission**

- 4.1. An “Application for Admission to a Post-graduate Award” (form 06/01) must be completed and forwarded to the postgraduate coordinator.
- 4.2. The application must include the following:
  - relevant professional, academic and research experience;
  - the proposed field of study;
  - a brief (200-500 words) outline of the research project to be undertaken, including a brief rationale, key questions and methodology and whether or not ethics committee approval will be necessary;
  - the School in which the research is to be undertaken\*;
  - names of at least 2 academic referees
  - the signature of the proposed Principal Supervisor, and
  - a certified copy of the student's academic record. \* See 5.11
- 4.3. The application must be approved by the Higher Degrees Committee, which will determine whether the applicant meets the criteria for admission (Section 3). If the applicant does not meet the criteria then the Higher Degrees Committee will inform the applicant what the deficiencies are and how they can be addressed.
- 4.4. The Higher Degrees Committee shall then determine one of the following:
  - the applicant is admitted to the Doctor of Philosophy research candidature and may proceed with enrolment, or
  - the applicant is conditionally admitted and before being allowed to enroll must submit further information which shall be considered at a subsequent meeting of the Higher Degrees Committee; or
  - the applicant will not be admitted.

#### **5. Production of a Research Proposal, Disclosure and Enrolment**

- 5.1. Once a candidate accepts an offer of admission, a document of 4 - 5,000 words detailing the research question, significance of the topic and question, description of the project including methodology and research plan must be submitted to the Higher Degrees Committee along with a completed enrolment form within 21 working days.
  - 5.1.1. Those whose projects will involve work with children or vulnerable adults will also be required to complete a criminal history check\* which should be forwarded to the Chair, the Higher Degrees Committee, Bachelor Institute.

- 5.1.2. Ethics approval will not be required at the point of enrolment, in order to allow those candidates who are required to complete the Indigenous Ethics training unit to do so, and to provide sufficient time for all candidates to obtain feedback on their proposal from the Higher Degrees Committee and Supervisors.
- 5.2. Once the Higher Degrees Committee has approved /approved with modifications the research proposal and is satisfied that any declared disability on the candidates enrolment form will not impair their candidature the form will be signed and passed onto the Student Management section. The candidature commences from the date that the enrollment form is recorded on the Student Management system. \*The criminal check can be instigated by completing an 'Authority to Release Criminal History' form, available at:  
[http://www.nt.gov.au/infrastructure/techspecs/rules/documents/PF\\_166\\_Authority\\_to\\_Release\\_Criminal\\_History\\_NTPFES\\_Contractors.pdf](http://www.nt.gov.au/infrastructure/techspecs/rules/documents/PF_166_Authority_to_Release_Criminal_History_NTPFES_Contractors.pdf)  
Candidates will be responsible for any fees incurred.
- 5.2.1. As indicated in the definitions the candidate will be required to identify any condition that may impair their candidature at point of enrolment. Failure to do so may result in cancellation of enrolment.
- 5.3. A candidate must select either to be full or part-time. Scholarship holders must enroll full-time when it is a condition of the scholarship.
- 5.4. Candidates enrolled full time may only undertake paid work, including tutoring, teaching, marking and research assistant duties, if their Principal Supervisor is satisfied that it will not interfere with the study program and result in the candidate failing to complete within the designated time.
- 5.5. A candidate in receipt of a scholarship is subject to additional restrictions on the amount of paid work allowable as described in the relevant scholarship guidelines. This is usually eight hours a week. It is the responsibility of the candidate to ensure that the conditions of their scholarship are not contravened.
- 5.6. It is the candidate's responsibility to remain enrolled from the date of commencement until the thesis is submitted for examination unless a leave of absence or deferral has been granted. The candidate must therefore re-enroll every year of their candidature.
- 5.6.1. If circumstances change that may affect the candidature between an enrolment period, it is the responsibility of the candidate to communicate these changed circumstances to the Higher Degree Committee in writing.
- 5.7. The candidate and their Principal Supervisor will be required to discuss what the candidate has achieved, their goals for the next 6 months, and what problems they are encountering and to submit a summary on a prescribed form, every six months.
- 5.7.1. It is the responsibility of the postgraduate coordinator to initiate and collect these reports and to forward them to the Higher Degrees Committee.

- 5.7.2. It is the duty of the Higher Degrees Committee to review these reports and to suggest strategies to overcome any major problems that have been identified by the candidate or their supervisors.
- 5.7.3. The Higher Degrees Committee may request a meeting with the candidate and their supervisors.
- 5.8. Enrolment may be cancelled if:-
- the candidate's progress is determined to be unsatisfactory by the Higher Degrees Committee, or
  - the candidate has failed to submit two consecutive progress reports; or
  - the quality and progress of research gives no reasonable expectation of successful completion of the award. This judgment will be made by the Higher Degrees Committee based on progress reports completed by both the candidate and the Principal Supervisor; or
  - the candidate is found guilty of a charge of misconduct defined in the Batchelor Institute's Student Code of Conduct Rules and Procedures.
- 5.9. The Higher Degrees Committee may, after reviewing a candidate's progress, recommend that the candidature is transferred from the Doctoral award to the Master by research award. This decision can only be made after consultation with the Principal Supervisor and candidate.
- 5.10. A student whose enrolment has lapsed or has been cancelled, and who wishes subsequently to re-enroll to complete work undertaken, must apply in writing to the Higher Degrees Committee.
- 5.11. Doctoral students will, wherever possible be affiliated with the School of their Principal Supervisor and complete their program within the designated School unless:
- the research is multidisciplinary and requires a special arrangement approved by the Higher Degrees Committee;
  - the School cannot continue to provide the necessary supervision and/or support;
  - the Principal Supervisor transfers to another School; or
  - the student requests to be transferred to another School.

## **6. Planned Research Program**

- 6.1. A candidate for the degree of Doctor of Philosophy must successfully complete a planned research program in the area of Indigenous knowledge. Research may include the reworking of already collected but not documented, knowledge and/or the comparison of the Indigenous perspective on a specific form of knowledge or issue to that of documented Western interpretations.
- 6.2. The planned research program should include:
- participation in Institute scholarly activities such as research seminars, teaching or publication;

- regular interaction with supervisors;
  - a program of supervised research and investigation;
  - short courses that enable the candidate to enhance and/ or improve their generic capabilities and life skills.
- 6.3. The Doctor of Philosophy research program demands a capacity for critical analysis and a specialization of research interests not normally available or expected in an undergraduate program. Where a student has been enrolled conditionally, or requires extra support, supplementary coursework can be undertaken in a number of ways by:
- participation in approved coursework;
  - seminars in which Batchelor Institute staff and students present critical studies of selected problems within the subject field;
  - independent study or reading programs under Higher Degrees Committee supervision; and
  - essays or selected short passages of work.

These support activities will be recommended by the Higher Degrees Committee and will be assessed and monitored by the Principal Supervisor.

- 6.4. Where a program of research and investigation is carried out jointly in Batchelor Institute and another industrial, commercial, professional or research establishment, a clear statement indicating the proportion of the candidate's investigation in relation to the overall project, and the ownership of any intellectual property, signed by the relevant organization, candidate and Principal Supervisor must be provided to the Higher Degrees committee for approval. The permission of the head of the Institution must also be obtained in writing (Form 06/03) and an intellectual property agreement must also be completed on the prescribed form.
- 6.5. The candidate's individual research must make a significant and original contribution to knowledge.

## **7. Place and Conditions of Work**

- 7.1. Batchelor Institute should provide a suitable environment for scholarly activities on campus, although the candidate will not be compelled to work on campus. The student will be required to identify on campus space and resource needs in their initial research proposal.
- 7.2. The Higher Degrees Committee must ensure that supervision, accommodation, equipment and access to library, computing and experimental facilities meet the needs of the approved planned research program for the duration of the enrolment.
- 7.2.1. The Higher Degrees Committee will comply with the requirements outlined in the Minimum Resources Policy [Refer to accreditation Document 3]

- 7.3. The Higher Degrees Committee must also be satisfied that appropriate arrangements can be made for each student regarding participation in scholarly activities, supervision, travel and other special needs.
- 7.4. The Higher Degrees Committee may permit a Doctoral student to conduct their research elsewhere in Australia or overseas, but the student will still be required to complete progress reports (form 06/04), to participate in seminars by video-link or in person, and to complete any other specific scholarly activities in their approved research program.
- 7.5. Where it is proposed to carry out research work at a location external to the campus, the candidate and the Principal Supervisor, as part of the admission process must provide written evidence to the Higher Degrees Committee that:-
- the candidate has the opportunity to participate in scholarly activities;
  - academic standards in the conduct of the research can be assured;
  - a suitable program of contacts between the candidate and the Principal Supervisor can be maintained and the methods by which this will be achieved are explained;
  - a suitable Associate Supervisor will be available for regular supervision. An Associate supervisor must be available at the external establishment and be contactable by email;
  - the external establishment is both able and willing to provide the resources required for the study for the duration of the enrolment, and
  - that the candidate is covered by the external establishment's insurance.

In exceptional circumstances the candidate, Principal Supervisor and the Higher Degrees Committee may present a case for exemption from the above requirements, taking account of arrangements for regular communication between the student and the Supervisor.

## **8. Period of Time for Completion of Planned Research Program**

- 8.1. The expected/Standard period of enrolment\* is:

\* See: <http://www.dest.gov.au/NR/rdonlyres/FEB7FE6F-7185-413A-9084-AD5D221847FB/15307/2007RTSPSconditionsofgrant.rtf>

- full-time students: a maximum of four years from the date of commencement
- part-time students :a maximum of eight years from the date of commencement

In special cases, the Higher Degrees Committee may approve a shorter period.

- 8.2. Where a candidate wishes to change from full-time to part-time enrolment or from part-time to dfull-time, application must be made on the prescribed form (06/05) and returned to the Higher Degrees Committee.
- 8.3. A candidate must submit their thesis/exegesis to the Higher Degrees Committee, for external examination no later than the date designated by the Higher Degrees Committee after enrolment.

- 8.4. A candidate who does not expect to submit their thesis/exegesis by the maximum enrolment date must apply for an extension on the prescribed form (06/05) and return it to the Higher Degrees Committee for consideration prior to the expiry of the maximum enrolment date. The application must include the reasons for the extension, the written endorsement of the supervisor/s and a revised time-line for completion. Applications for extensions will not normally be considered by the Higher Degrees Committee unless the reasons for the delays have been documented in previous progress reports (ref. Section 10).
- 8.5. The maximum period of extension for which a student may be given approval is six months past the original maximum enrolment date for full-time students and twelve months for part-time students. In exceptional circumstances, which must be documented, the Higher Degrees Committee may approve a further extension.
- 8.6. A candidate who wishes to take leave of absence for a specified period from their Doctoral research must apply in advance on the prescribed form (06/06) and return it to the Higher Degrees Committee through their supervisor. The application must include the reasons for the leave of absence, the written endorsement of the Principal Supervisor and the start and end dates of the period of leave. If the period of leave of absence is approved, the duration of the specified period will be added to the minimum and maximum submission dates of the enrolment.
- 8.7. The maximum period of leave of absence for which a candidate may be given approval is six months for a full-time student and twelve months for a part-time student. A candidate who wishes to take leave of absence for a longer period must withdraw from enrolment and apply for re-entry at a later date, on the prescribed form.
- 8.8. A candidate whose enrollment lapses for a period greater than twelve months will be deemed to have ceased their program of study and their enrolment will be terminated.
- 8.9. Candidates are entitled to receive up to twelve months parental (maternity/paternity/adoption) leave. The Higher Degrees Committee must be notified on the prescribed form (06/06) and supplied with a medical certificate (and in the case of paternity leave a marriage certificate or statutory declaration showing the student's relationship to the mother), and the written endorsement of the Principal Supervisor. Periods of parental leave shall not be included as part of the six or twelve month leave of absence maximum.

## **9. Supervision**

- 9.1. The Principal Supervisor should be a Batchelor Institute staff member with a Doctorate. In exceptional circumstances application may be made to the Higher Degrees Committee for permission for a candidate to be supervised by a staff member with a research Masters. This may be necessary if the staff member has expertise essential to the success of a specific candidature. In this instance a Co or Associate Supervisor should hold a doctorate [See 9.3 below].

- 9.2. The Principal Supervisor has the prime responsibility for supervising the student and must be readily accessible to the candidate. They must also have an established research record, preferably in the area of the proposed project and will be required to enter into a written contract with the student [Form 06/02].
- 9.3. It is desirable that a candidate has more than one supervisor. A second supervisor from Batchelor Institute who assists the Principal Supervisor will be described as a Co-supervisor.
- 9.4. Associate Supervisors may be also co-opted from appropriate industrial, professional, commercial or research establishments. In some cases, subject to approval by the Higher Degrees Committee, they may be community members with special knowledge.
- 9.5. Associate Supervisors should possess appropriate expertise in the research field and must sign an agreement to supervise (06/02).
  - Employers of the external Associate Supervisors must approve a completed Memorandum of Understanding (06/03) to confirm the appointment of the supervisor and permission for the candidate to work on the premises and use resources.
- 9.6. Doctoral students can opt to have a supervisory panel that includes a Principal supervisor, Co-supervisor or Associate supervisor and a mentor. The mentor does not have to the academic or knowledge qualifications of a supervisor, but should be someone that can play a role in the pastoral care of the student and may in some cases mediate between supervisor(s) and candidate.
- 9.7. Supervision of Doctor of Philosophy students shall be conducted according to the Batchelor Institute Code of Conduct for Research.
- 9.8. A person who is a Doctor of Philosophy candidate (at Batchelor Institute or elsewhere) may not act as a Principal Supervisor for another Doctorate by Research candidate at Batchelor Institute.
- 9.9. Where the Principal Supervisor will be absent from Batchelor Institute for a period of three consecutive months or longer during the period of enrolment, the Co-supervisor will become acting Principal Supervisor for this period. If a candidate does not have a Co-supervisor, then the Higher Degrees Committee should appoint a temporary replacement within 21 days of being notified.
- 9.10. If the Principal Supervisor leaves the staff of Batchelor Institute, the Co-supervisor will normally fill the role of acting Principal Supervisor until a new Principal Supervisor is appointed by the Higher Degrees Committee. Where there is an Associate Supervisor who is not a Batchelor Institute staff member, the Higher Degrees Committee will appoint a temporary, on-campus supervisor. A formal appointment of a new Principal Supervisor must be made within three months of the original Principal Supervisor's departure.

## **10. Reporting Procedures**

- 10.1. The Principal Supervisor and student are required to complete a Progress Report every six months after a discussion about the student's progress. Reports are to

be signed by both the student and the Principal Supervisor. The report will then be forwarded and reviewed by the Higher Degrees Committee. (Form 06/04)

- 10.2. Where the student's progress is deemed satisfactory, the Higher Degrees Committee shall approve continuation of enrolment.
- 10.3. Where progress is deemed unsatisfactory, the student will normally be placed under review for a period of up to three months from the date that the student is advised in writing of the decision. Based on the advice provided by the Principal Supervisor the student will be informed of the required action.
  - 10.3.1. If progress is still unsatisfactory after the Review Period, the student will be asked to show cause why their enrolment should not be terminated. This will involve the candidate being sent a formal letter signed by the Chair of the Higher Degrees Committee, in which the candidate is asked to reply within 14 working days. The chair of the Higher Degrees Committee will be required to set up a panel of three PhDs to review the candidates reply to the show cause within 21 days of receiving the reply.
  - 10.3.2. A student who has been placed under review after an unsatisfactory six monthly or interim report may not take leave of absence until the continuation of the enrolment has been approved.
- 10.4. When a student's progress has been reported as unsatisfactory in any two consecutive reports during the enrolment, the student will be asked to show cause why their enrolment should not be terminated. The process will be that outlined in 10.3.1.
- 10.5. If a student fails to submit a progress report through their Principal Supervisor to the Higher Degrees Committee by the due date without applying, in writing, for an extension on the prescribed form at least two weeks prior to the due date (Form 06/05), the student may be asked to show cause as to why their enrolment should not be terminated. The process will be that outlined in 10.3.1.
- 10.6. Applications for extensions of enrolment or scholarships or leave of absence due to delays or problems with the planned research program will not normally be considered, unless the delays or problems have been documented in previous reports or unless they have been caused by events beyond the control of the student such as the sudden death of a close relative or natural disasters.
- 10.7. If the student does not show cause (refer to Rule 10.3.1) why the enrolment should not be terminated, the Higher Degrees Committee may terminate the student's enrolment.

## **11. Thesis/Exegesis Guidelines**

- 11.1. The research findings can either be presented in written form ( a thesis) or in some other culturally appropriate form that has to be agreed on by the Higher Degrees Committee at the time of admission (an exegesis).
- 11.2. Written theses must be presented in accordance with the requirements of the Batchelor Institute Council, including any accompanying declarations and in accordance with - Requirements for Thesis/Exegesis Presentation (Section 12).

The main body of the text (not including table of contents, abstract, reference list or appendices) must not exceed 100,000 words.

- 11.3. Except with the specific permission of the Higher Degrees Committee the thesis must be presented in the English language. Such permission must be sought at the application for admission stage and will not be granted solely on the grounds that the student's ability to satisfy the external examiners will be affected adversely by the requirement to present the thesis in English.
- 11.4. Where a student's research program forms part of the work of a research team or larger research project, there must be a clear statement at the beginning of the thesis indicating the contribution the extent to which co-workers contributed.
- 11.5. Subject to Batchelor Institute's Intellectual Property Policy the copyright of the thesis is vested in the student.
- 11.6. Where a candidate or the sponsoring establishment wishes the thesis to remain confidential for a period of time after the completion of the work, written application for approval stating the reasons must be made to the Higher Degrees Committee when the thesis is submitted for external examination. The period of confidentiality normally shall not exceed two years from the date on which the Council agrees to the conferral of the award.
- 11.7. A student may not present in the thesis/exegesis any work for which another degree or diploma has been awarded by Batchelor Institute or any other academic institution, but a student can incorporate relevant extracts from such work in the thesis/exegesis provided that the sum of these extracts does not constitute more than 10% of the thesis/exegesis and provided also that the source of each extract is explicitly stated.
- 11.8. A student may submit other kinds of material (such as films, audio tape recordings, video tape recordings, CD -ROMS, DVDs, models, software programs, evidence of exhibitions, or other materials for the purposes of illustration) which shall be accompanied by evidence of the extent to which the student has been responsible for their preparation and of its relevance to the research. This would normally form an exegesis.
- 11.9. A Doctorate by Research may be awarded on the basis of the submission of a creative work as per the Regulations set out in Section 13.
- 11.10. When the submitting a traditional written thesis for examination, three loosely bound copies must be presented to the Higher Degrees Committee along with the appropriate form.
- 11.11. A student who passes a written thesis, subject to revisions, must lodge the final bound and electronic copies of the thesis, along with a written report indicating the changes or justification why changes have not been made, with the Higher Degrees Committee, no later than 6 months after the date of receipt of examiners' reports or the student shall be deemed to have failed. An extension may be approved by the Higher Degrees Committee.
- 11.12. If a thesis had been initially presented in any other form other than written, a student who passes subject to revisions, must provide detailed electronic proof of the changes and a written report indicating the changes, or justification why

changes have not been made to the Higher Degrees Committee, no later than 6 months after the date of receipt of examiners' reports or the student shall be deemed to have failed. In some circumstances extensions may be granted by the Higher Degrees Committee.

- 11.13. The Higher Degrees Committee shall decide if any changes requested by the examiners have been adequately addressed, and if so, shall notify the student in writing, requesting a bound and electronic copy.
- 11.14. A student's name will not be placed on the list for graduation until, in the case of written theses, final bound and electronic copies of the thesis are received by the Higher Degrees Committee. In the case of non-written theses, electronic copies must be lodged.
- 11.15. When a final copy of the thesis/exegesis has been lodged with the Higher Degrees Committee in electronic and final bound form, the names of the examiners will be released to the student on request, providing that the examiner has not indicated otherwise.

## **12. Requirements for thesis/exegesis presentation**

- 12.1. The Principal Supervisor is required to declare that a thesis/exegesis is in a suitable form for examination. In the case of a written thesis, this relates to the presentation of a thesis including accuracy, clarity of expression and general freedom from typographical and grammatical errors, but is not an indication of the quality of the work. In the case of a non-written thesis the same standards of clarity will be required for both oral and pictorial presentations. the Higher Degrees Committee can return a thesis/exegesis which is not considered to be in a suitable form for examination to the candidate and require a re-submission.
- 12.2. Candidates are required to submit three copies of their final draft thesis for examination. Temporary loose leaf or soft binding is acceptable for submission to examiners, to allow for changes. One copy remains in the safekeeping of the Higher Degrees Committee while the others are being examined.
- 12.3. Any written thesis that has received a satisfactory assessment by the examiners or has been subjected to the changes requested by examiners, and meets the approval of the Higher Degrees Committee will be regarded as the final thesis. This must then be submitted in a permanent bound form.
- 12.4. All written theses whether soft or hard bound copies, will be printed on International Standard A4 size paper. The copy to be retained by Batchelor Institute must be printed on acid-free paper. Students of Batchelor Institute are encouraged to present written theses in a colourful cover with art or pictorial work.
- 12.5. The front cover and the title page of any submitted written thesis should contain:
  - the title of the thesis
  - the student's initials and surname
  - the title of the degree
  - the year of submission

- Batchelor Institute of Indigenous Tertiary Education

12.6. The spine should include:

- an abbreviated thesis title
- student's initials and surname
- abbreviated title of the degree
- year of submission.

12.7. Where the thesis is not presented in written form, the identifying features outlined in 12.5 above must accompany and identify the work in both non-electronic and electronic form.

12.8. Guide for presentation of a Written Thesis

This is a basic guide and therefore not all theses will contain all of the following. However all thesis must contain the elements in bold print. The supervisor/s will provide more detailed presentation information as it applies to the chosen discipline

**Title Page**

**Table of contents**

**Abstract-** a one to two page summary of the thesis.

**Declaration-** a signed statement of the theses originality and that the work has not been submitted for a higher degree at any other institution.

Acknowledgements

**Chapters**

Appendices - supporting materials

Endnotes

**Bibliography or References**

Length- The general expectation for a Doctorate written thesis is a minimum of 60 000 words and an upward limit of 100 000 words.

**Page Layout**

- Margins – 3.5cm left, 2cm right, up and down.
- Double spaced
- Font should be Times New Roman, size 12
- Work should be only printed on one side of the paper.

## **13. Presentation of Doctor of Philosophy Theses by Creative Works**

### 13.1. Preamble

13.1.1. In the case of a thesis submitted in the area of artistic practice, presentation may be in one of two forms: a theoretical thesis or artwork and a critical explanation of a text. The artwork may be in the form of exhibition, performance, literary work, film, CD Rom or other approved format. The artwork and critical explanation of a text will be examined as an integrated whole. The artwork should provide a coherent demonstration that the student has reached an appropriate standard in the research and has made a significant and original contribution to knowledge in the area. The critical explanation of a text should describe the research process and elaborate, elucidate, and place in context, the artistic practice undertaken. In the case of visual or performing arts, the examiners will attend the exhibition/performance, at which time they will be given a copy of the critical explanation of a text in temporary binding. A final copy of the critical explanation of a text will be provided to the examiners within three months of their viewing the artwork or performance.

### 13.2. Examination of a Creative Work Other Than a Printed Thesis

13.2.1. Where other materials are to be examined, such as in the areas of visual, performing, literary or media arts, the candidate must seek approval from the Higher Degrees Committee for the form and presentation of the final work at least 12 months before the work is due to be submitted.

13.2.2. Artistic practice may be examined by a theoretical thesis or by artwork and exegesis. The artwork and the exegesis will not be examined separately but as an integrated whole constituting the original contribution to knowledge required from doctoral students.

13.2.2.1. A theoretical thesis is a written document which would conform in all respects to the remainder of this policy.

13.2.3. Studio-based inquiry may result in a thesis presented by artwork and exegesis. The artwork should be the research outcome, while the exegesis should describe the research process and elaborate, elucidate and place in context the artistic practice undertaken.

13.2.4. The exegesis would normally not exceed 40,000 words and would conform in all respects to the remainder of this policy. It should also contain a description of the form and presentation of the artistic practice which constitutes the remainder of the thesis.

### 13.3. Presentation

13.3.1. Any written thesis must be presented in accordance with the requirements of the Batchelor Institute Council, including any accompanying declarations and in accordance with the Requirements for Theses Presentation. This document requires that at least one hard copy

and one electronic copy of the thesis will normally be provided to the Higher Degrees Committee when all corrections have been finalised and approved.

## 14. Examinations

- 14.1. At least three months prior to the maximum enrolment date (or anticipated completion date) the Principal Supervisor having obtained the agreement of the Higher Degrees Committee, shall recommend the composition of a proposed Examination Committee.
- 14.2. The Examination Committee shall normally comprise three external examiners who will examine the thesis plus a reserve external examiner to be called upon only if the first three examiners are in disagreement. (ref. Section 18)
- 14.3. Any person who has acted as the student's Principal or Associate Supervisor; or participated in the student's research group or in any capacity where a conflict of interest is seen to exist shall not be nominated by the Higher Degrees Committee as an examiner.
  - 14.3.1. Ex-Bachelor Institute staff and students will not normally be approved as external examiners for 2 years following their departure from Bachelor Institute.
  - 14.3.2. Two external examiners from the same organizational component of the same educational or other institution will not normally be approved.
- 14.4. Examiners :
  - must have demonstrable research experience in the area under investigation;
  - should ideally have substantial publications in the area. It may however, be necessary to use examiners who have respect and standing in their communities because of knowledge which may be localized and not published in the western sense;
  - preferably have a Doctorate themselves, and/or be widely recognised as an “expert” in the relevant field, and
  - should also have significant experience in cross-cultural or Indigenous contexts and have an appreciation of “both-ways” education and research and of research from an Indigenous perspective/ knowledge and understanding of what is meant by “Indigenous knowledge systems”.

At least one of the nominated examiners should be from an internationally recognised Institute or equivalent research institution, but:

- all of the examiners may be from Australian institutions provided that they are widely recognised as experts in the relevant field of research, &
- at least one examiner must also have had substantial experience of examining research degree students at the doctoral level.

- 14.5. Agreement will be sought from examiners to examine the thesis/exegesis within 8 weeks of its receipt.
- 14.6. If more than three months has elapsed between the nomination of examiners and the submission of the thesis/exegesis, the Higher Degrees Committee must notify the Principal Supervisor that the nominated examiners are still willing and able to examine the thesis within 8 weeks of its receipt.
- 14.7. If any previously nominated examiner is unable to examine the thesis/exegesis, a replacement examiner must be nominated by the Principal Supervisor with the agreement of the Higher Degrees Committee.
- 14.8. The thesis/exegesis must be accompanied by a form (06/08) endorsed by the Principal Supervisor and the Higher Degrees Committee stating that all reasonable efforts have been made to ensure that:
- the thesis/exegesis makes an original and significant contribution to the field of research;
  - the methodology applied in the student's research is effective and appropriate for the thesis/exegesis topic and the award of Doctor of Philosophy;
  - the thesis/exegesis reflects competence in the survey of literature or other relevant forms of information and documentation of statements;
  - the thesis/exegesis is of the required standard for examination;
  - the thesis/exegesis is well written having due consideration to relevant writing conventions and style guidelines.
  - the thesis/exegesis is within the prescribed word limit;
  - the candidate has maintained their enrolment at Batchelor Institute during the course of their candidature ;
  - acknowledgment is given regarding the inclusion of all published and other sources of information, together with any substantial financial assistance received for the project.
- 14.9. In the case of written theses, the initial submission should be three loosely bound copies in the prescribed format. They must be submitted to the Higher Degrees Committee, no later than the maximum enrolment period.
- 14.10. In the case of non-written theses, individual arrangements for examiners to view/listen or participate may have to be made, but at least one electronic record of the work must be submitted.
- 14.11. The Higher Degrees Committee shall provide each of the examiners with a copy of the thesis and of the Council's Regulations for the Award of Doctor of Philosophy and any other relevant information.
- 14.12. Each examiner will be asked to provide a written report on the student's thesis and to recommend one of the following courses of action:
- Recommendation 1 : The student should be awarded the degree without the requirement for revision, further examination or

modification (minor corrections and typographical errors only); or

Recommendation 2 : The student should be awarded the degree subject to minor nominated revisions being completed to the satisfaction of the Higher Degrees Committee and Principal Supervisor; or

Recommendation 3 : The student should be awarded the degree following the completion of major nominated revisions to the satisfaction of the Higher Degrees Committee and Principal Supervisor; or

Recommendation 4 : The student should be permitted to substantially revise and submit the thesis for re-examination with tracking of the changes, to the Higher Degrees Committee within twelve months after a specified amount of further work (which may alter the substantive conclusions of the thesis) has been completed under approved supervision and the thesis appropriately amended to reflect the additional research, or

Recommendation 5 : The thesis should be rejected, the degree should not be awarded and the student should not be permitted to submit the thesis for re- examination for the Doctorate degree.

[Note: No recommendation has been made that the thesis be awarded the lower grade – Masters, because students who are struggling should be identified well before final submission.]

- 14.13. After the three examiners' reports are received they will be forwarded to the Higher Degrees Committee who will meet and review the findings and forward them to the Principal Supervisor and the student with an appropriate covering letter. (Until such time as the examination process is complete the identity of the examiners will be withheld from the student.)

## **15. Examiners in Agreement**

15.1. Where both examiners recommend that the student should be awarded the degree (Recommendation 1, 2 or 3) the Higher Degrees Committee, or nominee will consult with the Principal Supervisor and/or Postgraduate Studies Coordinator as required to discuss any corrections or revisions that the student may be required to make and where revisions are required.

15.2. When all corrections or revisions have been made to the satisfaction of the Principal Supervisor, they will be forwarded to the Higher Degrees Committee who can recommend acceptance of the thesis in fulfillment of the conditions for the award of Doctor of Philosophy or ask that the work is returned to the candidate for further minor revisions and is resubmitted.

15.3. Where all examiners recommend that the thesis/exegesis be revised and resubmitted for examination (Examiners Report Recommendation 4), after

consultation with the Principal Supervisor and the Higher Degrees Committee, will make written recommendation within seven days of the receipt of the Examiners Reports listing any revisions required. Once these are approved by the Higher Degrees Committee, they will inform the student of the revisions and/or any action required.

## **16. Examiners Not In Agreement**

- 16.1. Where the recommendations of the external examiners are not in agreement as to whether the thesis/exegesis should be accepted for the award of Doctor of Philosophy or as to whether the thesis/exegesis may be revised and resubmitted, the thesis/exegesis will be sent to the third nominated examiner except when the examiners' recommendations are similar, for example, recommendations 3 and 4, in which case the Higher Degrees Committee chair shall determine the course of action.
- 16.2. Upon receipt of the third examiner's report, a majority decision shall be adopted taking into account the comments of all three examiners.
- 16.3. Where the majority decision is that the thesis/exegesis should be accepted for the award or the thesis/exegesis be rejected and the student not be permitted to resubmit, the procedures in Section 15 shall apply.
- 16.4. Where the majority decision is that the candidate should re-submit for re-examination or the thesis/exegesis fails, the procedures in Section 15 shall apply.
- 16.5. Where the recommendations of the three examiners clearly differ and no clear majority exists, the Higher Degrees Committee or nominee shall liaise with the Principal Supervisor to determine the further course of action.

## **17. Re-examination**

- 17.1. A student who is required to submit for re-examination may be re-examined only once except in the case of an upheld appeal.
- 17.2. Re-examination shall take place within six months from the date on which the student is advised in writing by the Higher Degrees Committee or nominee of such re-examination. The Higher Degrees Committee may, on written application by the student and supported by the Principal Supervisor with suitable justification, approve an extension to this period which, under normal circumstances, may be a maximum of a further twelve months.
- 17.3. A student who is required to submit their thesis/exegesis for re-examination must re-enroll in the award of Doctor of Philosophy.
- 17.4. The thesis/exegesis shall be re-examined by the same two examiners unless:
  - any of the examiners is unable to re-examine the thesis in which case the Higher Degrees Committee or nominee with the agreement of the Principal Supervisor shall nominate a replacement examiner(s); or

- the Higher Degrees Committee replaces one or more of the examiners with suitable justification.
- 17.5. Examiners re-examining a thesis/exegesis will be asked to provide a written report on the student's thesis/exegesis and to recommend one of the following courses of action:
- 17.5.1 the student should be awarded the degree with or without minor nominated revisions; or
- 17.5.2 the thesis/exegesis should be rejected and the degree should not be awarded.
- 17.6. Regulations applicable to the examination of materials for the Doctor of Philosophy shall apply to the re-examination.

## **18. Appeals**

- 18.1. A student whose thesis/exegesis has been failed may lodge an appeal against the outcome of the examination process.
- 18.2. The grounds for appeal may be on matters of process only, ie procedural irregularities in the conduct of the examination or documented evidence of examiner bias as evidenced by comments in the examiners' reports.
- 18.3. An appeal must be lodged within sixty (60) days of the date of written advice from the Higher Degrees Committee on the outcome of the examination. This appeal must include the specific grounds on which the appeal is based.
- 18.4. Appeals as described in Section 19 must be submitted, in writing, to the Higher Degrees Committee, who will determine whether a potential conflict of interest exists in relation to their consideration of the appeal.
- 18.5. In cases where a conflict of interest exists, the Higher Degrees Committee will appoint a panel of three academic staff members, with expertise in research student supervision, to consider the appeal.
- 18.6. The panel outlined in 18.5 above will decide whether a case exists and may seek the advice of the Higher Degrees Committee as appropriate.
- 18.7. The appeal may be allowed or dismissed. If an appeal is allowed, the Higher Degrees Committee, or appointee cannot recommend that the degree be awarded but shall recommend that: the thesis be re-examined. This re-examination shall be carried out in accordance with Section 18 taking account of the issues raised in the successful appeal.
- 18.8. The Higher Degrees Committee or appointee will make a determination on the appeal as soon as practicable and will advise appellants, in writing, of the result of the appeal.

## ENDNOTES

**1 KEY**

*No other abbreviations*

**2 LIST OF LEGISLATION**

*Batchelor Institute of Indigenous Tertiary Education (Rules) By-laws*

**3 LIST OF AMENDMENTS**

These are new rules

---