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<b>Functional Manager</b>	Graduate School Director		

**Batchelor Institute of Indigenous Tertiary Education  
Northern Territory of Australia**

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As in force at 01/01/2020  
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**RULES**

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

**1. Citation**

These Rules may be cited as the Doctor of Philosophy Rules.

**2. Definitions**

<b>Term</b>	<b>Description</b>
<b>BI</b>	Batchelor Institute.
<b>Body of work</b>	Is a creative or other artefact that is the outcome of a practice-based research project which advances an original point of view as a result of research and is accompanied by an exegesis on submission of a thesis for a research degree qualification.
<b>Candidate</b>	Means a student enrolled in a course leading to a research degree qualification.
<b>Candidature</b>	Means the period of time in which a student is enrolled in a research degree.
<b>Dissertation</b>	Means a substantial essay or piece of writing that advances an original point of view as a result of research.

<b>Exegesis</b>	Is a smaller dissertation which operates as a companion piece accompanying a body of work and which situates the body of work within the relevant field of research. Together the body of work and exegesis form the expression and presentation of a practice-based thesis.
<b>HDR</b>	Higher Degree by Research, includes both the Master by Philosophy and Doctor of Philosophy which are overseen by a Director of the Graduate School.
<b>Practice-based research</b>	Involves an original investigation undertaken in order to gain new knowledge partly by means of practice and the outcomes of that practice. Claims of originality and contribution to knowledge may be demonstrated through creative artefacts. For example using, images, music, performance, exhibition and/or new media to demonstrate and present research. This creative artefact referred to as the body of work is the central product of practice-based research which is submitted for examination. This body of work must however be accompanied by a complimentary exegesis (a short form of dissertation) which situates the body of work within the relevant research field(s). Together the body of work and exegesis form the expression and presentation of a practice-based thesis.
<b>Practice-led research</b>	Concerned with the nature of practice and lead to new knowledge that has operational significance for that practice. Such research includes practice as an integral part of the research methods. While a minor component of the research may be presented or disseminated through alternative forms of research expression, presentation and dissemination this component does not operate as a central body of work and the submission of a practice-led thesis must include a significant dissertation.
<b>Research Committee</b>	Is the overseeing body for all Research activity at the Institute including research ethics, research funding and resources and Higher Degree by Research programmes.
<b>Thesis</b>	A thesis is the product of a Higher Degree by Research project that advances an original point of view as a result of research and is submitted for examination. A thesis can be presented as a dissertation or a creative body of work plus exegesis.

### 3. Eligibility for admission to candidature

3.1 To gain admission to candidature the applicant must have a:

- Honours Degree with a grade of 2A or above and/or equivalent;
- A Masters by Course Work with a substantial research component ;and/or
- A Masters by Research;
- If applying for admission on the basis of there being a practice-based or practice-led component within the research, evidence of experience and/or recognition in the relevant field must be provided.

3.2 An applicant for admission to candidature must submit to the Research Committee:

- 3.2.1 Application cover sheet (website);
- 3.2.2 Certified academic transcripts of relevant awards;
- 3.2.3 Research Proposal (1000 words);
- 3.2.4 A letter of support from a supervisor who has reviewed the proposal before formal submission and which states their capacity and willingness to play a primary supervisory role on the success of the application;
- 3.2.5 Evidence of relevant practice or professional experience and/or recognition if applying to undertake a practice-led and/or practice-based project;
- 3.2.6 Two referee reports.

3.3 General requirements for application and eligibility:

- 3.3.1 Applicants cannot be concurrently enrolled in another research degree;
- 3.3.2 Applicants who have work under examination at the time of application may not be permitted to enrol in the Doctor of Philosophy until that examination has been completed and the final results have been provided to the Research Committee;
- 3.3.3 Applicants may be asked by the Research Committee to attend an interview as part of the application for admission process;
- 3.3.4 Referees may be contacted by the Research Committee or a representative of that Committee as part of the application for admission process.

3.4 Criteria for Research Committee Assessment:

- 3.4.1 The research proposal has academic merit;
- 3.4.2 The applicant has demonstrated capacity and capability to undertake the research award;
- 3.4.3 The research proposal aligns with the Institute's current Research Plan;
- 3.4.4 The Institute has the resources (including supervision capacity) to support the applicant effectively throughout their candidature.

3.5 The Chair of the Research Committee is required to formally respond to the applicant in a reasonable timeframe with one of the following outcomes:

- 3.5.1 Offer of admission to the Programme;
- 3.5.2 Request for further information, clarification or resubmission;
- 3.5.3 Rejection of application for admission.

\* If the rejection is based not on the merit or capacity of the applicant but rather on the Institute's supervision capacity, it is the responsibility of the Research Committee through the Chair to provide the applicant with information regarding options for applying through other Institutions or key contacts that may be able to provide assistance.

## **4. Supervisor arrangements**

4.1 Supervisory Panel:

- 4.1.1 It is preferred that an Institute based supervisor is appointed prior to admission and enrolment in the Doctor of Philosophy. This supervisor will fulfil the role of primary supervisor (unless an exemption is approved by the Research Committee). The primary supervisor will operate as the Chair of Supervision Panel meetings and have responsibilities for the Institute candidature administration requirements including the submission of 6 monthly progress reports;

- 4.1.2 On admission and enrolment in the Doctor of Philosophy candidates in collaboration with their primary supervisor will identify potential and relevant Supervision Panel members;
- 4.1.3 Candidates must have at least one supervisor who has previously supervised a Higher Degree by Research candidate to successful completion;
- 4.1.4 It is recommended that the Panel includes two academics with appropriate discipline specific knowledge and at least one Aboriginal and/or Torres Strait Islander member;
- 4.1.5 Panel members may be invited from the community, the Institute, partner organisations, industry, professional, commercial and/or other research establishments;
- 4.1.6 It is the responsibility of the primary supervisor to initially contact possible Panel members to ascertain their interest in participating on the Panel and how they could contribute;
- 4.1.7 The Director of the Graduate School when informed by the primary supervisor will follow up on their interest and facilitate the signing of a formal supervision agreement with their host institution or employer

#### 4.2 Supervisor responsibilities:

- 4.2.1 Primary supervisors and panel members are required to attend 6 monthly progress reviews for all candidates under their guidance;
- 4.2.2 Primary supervisors are required to submit a progress report from the review to the Director of the Graduate School which identifies the satisfactory or unsatisfactory progress of candidates under their guidance;
- 4.2.3 It is recommended that primary supervisors meet with their candidates on a 2-weekly basis at minimum;
- 4.2.4 It is recommended that panel members meet with their candidate on a monthly basis where feasible.

#### 4.3 Supervisor Training Requirements:

- 4.3.1 All supervisors employed by the Institute must undertake a training course targeted at building effective skills for the supervision of candidates. This training must include a component focused on Indigenous research methodologies;
- 4.3.2 All supervisors are encouraged to participate in additional supervisor training workshops and peer-to-peer mentoring events when feasible.

## 5. Resources and work environment

- 5.1 All candidates must be informed of and able to access the minimum resources identified.
- 5.2 The Research Committee must ensure that supervision, equipment and access to research resources (including library access and technology) meet all reasonable needs of individual candidates

## 6. General rules on candidature

- 6.1 Applicants who do not take up an offer of admission within 12 months of the date of offer will be required to re-apply unless their deferral has been formally approved.
- 6.2 Over the duration of their candidature candidates are required to successfully complete: four research training units; confirmation through proposal presentation to confirmation panel; ethics application submission and approval; submission of thesis for examination.
- 6.3 A candidate must identify either part-time or full-time enrolment for each semester of study.
- 6.4 If a candidate holds a scholarship enrolment conditions and employment allowances of that scholarships must be adhered to.
- 6.5 Candidates who are enrolled full-time should not be engaged in more than 15 hours of paid work a week unless this work on the judgement of the Research Committee is viewed as not interfering with the pursuit of the research award.
- 6.6 Maximum duration of Candidature is four years full-time.
- 6.7 The Research Committee may extend candidature timeframes or deadlines on a case by case basis where there are reasonable grounds for extension and there is a strong likelihood that the candidate will complete.
- 6.8 The award of Doctor of Philosophy will be awarded by the Research Committee (after considering the examiners reports) in recognition of original, independent and successful research of international standard in the relevant discipline(s). A Doctoral candidate should make a substantial original contribution to knowledge in the form of new knowledge or significant and original adaptation, application and interpretation of existing knowledge.
- 6.9 A Leave of Absence/Intermission:
  - 6.9.1 Candidature can apply for a maximum of 12 months leave of absence through the Research Committee;
  - 6.9.2 A Candidate who does not re-enrol upon the expiry of the Intermission period must re-apply for admission to study at the Institute;
  - 6.9.3 In addition to the maximum 12 months leave of absence a candidate can on written application apply for up to 12 months leave for reasons such as pregnancy and childbirth, parental leave for the primary carer of a child or children, caring for family members, cultural obligations and changes to employment conditions;
  - 6.9.4 The Research Committee in recognition of exceptional circumstances, may approve a further leave of absence/intermission.
- 6.10 Termination of Candidature:
  - 6.10.1 Unless otherwise approved by the Research Committee, if a candidate's thesis is not submitted within the maximum specified length of candidature, candidature will automatically be terminated;
  - 6.10.2 Candidature will be terminated if the candidate does not meet the requirements for confirmation determined by the Confirmation Panel;
  - 6.10.3 Candidature will be terminated in the event of an unsuccessful 'show cause' case (refer to BI Academic Rules - 8. Progression and exclusion);
  - 6.10.4 Candidature will be terminated for misconduct (refer to BI Academic Rules - 8. Progression and exclusion).

## **7. Research training units**

7.1 Candidates must complete over the duration of their candidature four research training units delivered by the Institute or by an approved partner institution. The Doctor of Philosophy will not be awarded unless these units have been satisfactorily completed.

7.2 It is recommended that the four research training units are completed in the first 12 months of candidature for full time candidates (24 months for part-time candidates).

## **8. Candidate confirmation**

8.1 To complete confirmation candidates must present a research proposal to the satisfaction of a confirmation panel:

8.1.1 The Research proposal must include two components:

- 1) An oral, performance based, visual and/or multimedia presentation (20-minute duration);
- 2) A written proposal of 10,000 words.

8.2 Confirmation Panel

8.2.1 The confirmation panel must have two Aboriginal and/or Torres Strait members and include:

- At least one representative from the candidates Supervision Panel;
- An (independent) accomplished academic from an appropriate discipline area;
- A relevant community and/or industry representative;
- The Director of the Graduate School who will fill the role of secretariat.

8.3 The weighting of these two components for assessment will be determined by the confirmation panel in relation to the candidate's discipline area and their proposed research expression, presentation and dissemination:

8.3.1 The Confirmation Panel must come to a consensus and must formally inform the Research Committee of the candidates satisfactory, revision required, or unsatisfactory proposal;

8.3.2 If satisfactory the candidate is eligible to continue with their candidature;

8.3.3 If unsatisfactory the candidate is ineligible to continue with their candidature;

8.3.4 If revision is requested the candidate is required to respond to the Confirmation Panels' feedback and re-present their proposal no longer than 4 months full-time equivalent from the initial presentation;

8.3.5 If on the (second) proposal submission/presentation the Confirmation Panel concludes that the proposal is unsatisfactory. The candidate is ineligible to enrol and their candidature is terminated;

8.3.6 Candidates can appeal the Confirmation Panels decision (refer to BI Academic Rules - 10. Appeals against academic decisions).

## **9. Progress monitoring**

- 9.1 It is the primary supervisor's responsibility to provide a signed progress report which summarises the Supervision Panel review meeting and which includes justifications of any changes to the candidate's research milestones, and notification of the satisfactory or unsatisfactory progress towards research milestones to the Director of the Graduate School on a six-monthly basis throughout candidature.
- 9.2 The candidate is also required to submit a signed progress report on a six-monthly basis throughout candidature to the Director of the Graduate School.
- 9.3 If a candidate's progress towards research milestones is deemed unsatisfactory by the Panel and identified as such by the primary supervisor in a progress report the candidate will be sent an 'at risk' letter by the Head of Division and will be placed under review for a three-month period:
- 9.3.1 The three-month review period will require the candidate to meet certain conditions as identified in the 'at risk' letter;
  - 9.3.2 On failure to meet these conditions a candidate will be requested to 'show cause' as to why their candidature should not be terminated (refer to BI Academic Rules - 8. Progression and exclusion).

## **10. Research ethics and accountability**

- 10.1 All Candidates are required to submit a research ethics application and gain clearance through the currently approved Research Ethics process.

## **11. Presentation of research**

### 11.1 Format of a dissertation:

- 11.1.1 The sources from which a student's information is derived, the extent to which the work of others has been used and to which the assistance of individuals, associations or institutions has been obtained, must be acknowledged generally in a preface, specifically in notes, a bibliography or appendices, and must be, though out the dissertation, shown clearly and fully by appropriate references;
- 11.1.2 A dissertation, including footnotes but excluding words in tables, maps, endnotes, bibliographies, appendices and other illustrative matter, normally must be a minimum of 75,000 words and not exceed 100,000 words;
- 11.1.3 If a component of the dissertation is to be presented and submitted for examination in an alternative form (as may be the case in a practice-led project) this must have been identified in their proposal and approved by their confirmation panel;
- 11.1.4 The first page of the dissertation should give the thesis title, the candidates name in full and the month and year of its submission for examination. It must include the following statement  
"A dissertation submitted for the degree of Doctor of Philosophy;"
- 11.1.5 The second page must contain a statement signed by the candidate indicating the extent to which the dissertation is his or her own original work;
- 11.1.6 Acknowledgements should be included on the following pages;
- 11.1.7 An abstract or brief précis is also required and should not exceed one page;
- 11.1.8 A table of contents appears at the beginning of the dissertation;
- 11.1.9 A bibliography of works to which reference has been made must be included at the end of the dissertation;
- 11.1.10 Page Layout and Printing of a dissertation:

- Dissertations must be printed in single sided form;

- Dissertations should be printed on International Standards Organisation A4 size paper (297mm x 210mm);
- A dissertation which includes diagrams, tables, etc., which do not fit well on to A4 sized paper, may be printed on I.S.O. B4 size (353mm x 250mm);
- Computer typeset dissertations must use fonts that are easy to read, and no smaller than 11 points for text and 9 points for footnote text;
- Line spacing should be at least 2 points greater than text size;
- Double spacing or one and a half spacing may be used; single spacing is not acceptable (apart from indented quotations, footnotes and bibliographies) except in special circumstances;
- To ensure readability after binding, margins should be no narrower than:
  - left hand: 4cm
  - top, right and bottom: 2cm
- Page numbers should be within the margins.

#### 11.2 Format of a body of work plus exegesis:

- 11.2.1 The presentation of a practice-based research project must include a body of work plus an exegesis;
- 11.2.2 The body of work and exegesis must be strongly connected, and the connection must be demonstrated clearly in the exegesis;
- 11.2.3 Negotiation regarding the most suitable and effective way of submitting a body of work will occur throughout candidature between the candidate, Supervision Panel and Research Committee and a decision made to enable submission for examination when required;
- 11.2.4 The exegesis normally accounts for no less than 25 percent of the research presentation and normally must be a minimum of 10,000 words and not exceed 25,000 words;
- 11.2.5 If a component of the exegesis is to be presented and submitted for examination in an alternative (non-written) form this must have been identified in their proposal and approved by their Confirmation Panel;
- 11.2.6 Page Layout and Printing of a exegesis
  - Exegesis must be printed in single sided form;
  - Exegesis should be printed on International Standards Organisation A4 size paper (297mm x 210mm);
  - An exegesis which includes diagrams, tables, etc., which do not fit well on to A4 sized paper, may be printed on I.S.O. B4 size (353mm x 250mm);
  - Computer typeset theses must use fonts that are easy to read, and no smaller than 11 points for text and 9 points for footnote text. Line spacing should be at least 2 points greater than text size;
  - Double spacing or one and a half spacing may be used; single spacing is not acceptable (apart from indented quotations, footnotes and bibliographies) except in special circumstances
  - To ensure readability after binding, margins should be no narrower than:
    - left hand: 4cm
    - top, right and bottom: 2cm
  - Page numbers should be within the margins.

## 12. Submission of thesis for examination

- 12.1 A candidate can submit their thesis for examination with the approval of their primary supervisor or, if this is withheld, the approval of the Research Committee.
- 12.2 The thesis must be accompanied by certification from the supervisor(s) and/or the Research Committee that the form and content are suitable for examination.
- 12.3 The Research Committee may, in exceptional circumstances, accept for examination a thesis or body of work plus exegesis without the certification of supervisor(s) and may, after an examination is complete, notify the examiner(s) that the thesis or body of work plus exegesis was submitted without this support.
- 12.4 A candidate must submit for examination three printed copies of the written dissertation or exegesis in temporary binding and must provide a full electronic copy on request.
- 12.5 Except in exceptional circumstances and with the permission of the Research Committee, a candidate will not be permitted to withdraw, alter or add to a thesis or body of work plus exegesis after it has been submitted in a suitable form for examination.
- 12.6 On submission of a thesis a candidate's official enrolment ceases.

## 13. Nomination and appointment of examiners and examination

- 13.1 Three months prior to the submission of a thesis the Supervision Panel through the primary supervisor (as chair of Panel) must submit to the Director of the Graduate School the names of two examiners and a reserve third examiner:
- Nominated examiners must be external to the Institute and have played no role nor been actively engaged with the candidates work prior to examining that work;
  - Nominated examiners must hold at least a Doctor of Philosophy qualification;
  - Nominated examiners must have demonstrated research experience in the candidate's field(s) of research;
  - It is recommended that at a minimum one of the nominated examiners is of Aboriginal and/or Torres Strait Islander background or in relevant cases an Indigenous person from the relevant international arena.
- 13.2 The Director of the Graduate School must formally invite nominated examiners and on their willingness and availability to examine within the timeframes and gain approval from the Research Committee, which may seek such other advice as it thinks desirable, including a detailed report from the candidate's Supervision Panel.
- 13.3 The formal appointment of the examiners is undertaken by the Research Committee.
- 13.4 The appointed examiners are provided with broad assessment criteria.
- 13.5 The names of examiners are not withheld from candidates.
- 13.6 Examiners will be asked to provide a detailed written report on the candidate's thesis or body of work plus exegesis and to recommend one of the following courses of action:
- Recommendation 1:* The candidate should be awarded the degree, with or without distinction without the requirement for revision, further examination or modification;
- Recommendation 2:* The candidate should be awarded the degree, with or without distinction, subject to minor nominated revisions or amendments being completed to the satisfaction of the Research Committee;

*Recommendation 3:* The candidate should be permitted to substantially revise and submit the thesis or body of work plus exegesis for re-examination;

*Recommendation 4:* The thesis or body of work plus exegesis should be rejected, the degree should not be awarded and the student should not be permitted to submit the thesis for re-examination for a Doctor of Philosophy award.

13.7 Candidates, supervisors or other Institute staff (e.g. Head of Division or Director of the Graduate School) must not discuss any aspect of the examination with examiners during the examination process.

13.8 Examiners must not, before submitting their independent reports, consult or otherwise communicate with each other or anyone connected with the preparation of the thesis or body of work plus exegesis.

13.9 The Research Committee may ask examiners to consult or otherwise communicate with each other before, or after, receipt of their individual reports.

13.10 The Research Committee, after considering the examiner reports classifies the thesis or body of work plus exegesis as:

- Passed with no requirement for correction or amendment;
- Passed subject to correction or amendment;
- Resubmit;
- Failed.

13.10 A thesis classified as passed subject to correction or amendment must, once the revisions have been carried out to the satisfaction of the Research Committee, be classified as passed.

13.11 A candidate whose work has been classified as passed subject to correction or amendment must complete the revisions within four months of the date of notification of classification. The candidate is not required to be enrolled for these revisions.

13.12 The Research Committee must not classify a thesis as resubmit unless, having considered the examiner's reports and any other relevant information, it agrees that the thesis shows some merit and may, by a specified amount of further work under approved supervision, be sufficiently improved for re-submission.

13.13 If the Research Committee classifies a thesis as Resubmit, it must inform the candidate of the further work which is required before it may be resubmitted.

13.14 A candidate whose thesis is classified as Resubmit must:

- Resubmit the thesis within one calendar year of the date of notification or classification;
- Re-enrol and remain enrolled until the thesis is resubmitted for examination;
- Submit with the thesis a detailed report on the revisions or new work undertaken since initial examination which is signed by their primary supervisor and/or Supervision Panel.

13.15 At the discretion of the Research Committee the resubmitted thesis and the report on the revisions are submitted to:

- One or more of the original examiners who have indicated their willingness to re-examine the work; or
- One of the original examiners and a new examiner; or
- Two new examiners.

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## **ENDNOTES**

### **1. KEY**

No other relevant abbreviations

### **2. LIST OF LEGISLATION**

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

### **3. LIST OF AMENDMENTS**

This is the new version of the rules effective 01/01/2020.

