

THESIS EXAMINATION GUIDELINES



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Office of Graduate Studies

THESIS EXAMINATION GUIDELINES

1. OFFICE OF GRADUATE STUDIES

OGS mailing address The Office of Graduate Studies
The Chancellery, East Wing
The University of Newcastle
University Drive
Callaghan NSW 2308
Australia

Note: Professional Doctorate HKMA/SEGI candidates are required to submit via the administration staff at HKMA/SEGI.

Phone and Email 61 2 4921 6537 (ph)
61 2 4921 6540 (ph)
61 2 4921 6908 (fax)
thesis@newcastle.edu.au

Websites **Home page:**
<http://www.newcastle.edu.au/students/research-higher-degree/>

Thesis forms:
<http://www.newcastle.edu.au/students/research-higher-degree/current-students/forms.html#thesis>

Policies / Guidelines:
<http://www.newcastle.edu.au/students/research-higher-degree/current-students/policy-and-guidelines.html>

Professional Doctorates:
<http://www.newcastle.edu.au/students/research-higher-degree/professional-doctorates.html>

Maintain contact details via MyHub:
<http://myhub.newcastle.edu.au>

Glossary OGS The Office of Graduate Studies
RHD Research Higher Degree
DEEWR Department of Education, Employment and
Workplace Relations
DIAC Department of Immigration and Citizenship
RTSC Research Training Sub-Committee
ADRT Assistant Dean (Research Training)

THESIS EXAMINATION GUIDELINES

2. PRE – SUBMISSION ADVICE

Candidates:

- Provide an [Intention to Submit Thesis form](#) 6-8 weeks in advance of submission
- Suggest examiners who may or may not be suitable to examine your thesis
- Ensure you are enrolled in the semester of the thesis submission
- Respect the examiner confidentiality rule – do not submit your own appointment of examiners form. EXAMINER DETAILS MUST NOT BE DISCLOSED TO THE CANDIDATE

Intention to Submit - Advice

Candidates are advised to notify the Office of Graduate Studies (OGS) of their intention to submit their thesis approximately 6 - 8 weeks prior to their expected submission date. An [Intention to Submit Thesis form](#) should be used for this purpose.

For research higher degree (RHD) candidates the submission date nominated is not binding and you may notify OGS of changes to the intended submission date.

Professional Doctorate students are required to submit their thesis by a specified date, please refer to the [DBA Dissertation Project Guidelines](#).

The purpose of the advance notice is to ensure candidates are aware of the requirements for thesis examination and to encourage the appointment of examiner process to commence therefore avoiding delays once the thesis is ready for examination.

When OGS receive the [Intention to Submit Thesis form](#), they will contact the principal supervisor and request they nominate suitable examiners, for approval by the Head of School and Faculty Assistant Dean (Research Training)(ADRT). The Dean of Graduate Studies will review the recommended examiner appointments.

Timing of Permissions and Authorship/Collaboration statements

If you intend to use material in your thesis that is owned by another party it is recommended that you seek permission at the time you decide that you will use it. At the latest, all permissions should be sought by the time the thesis is submitted for examination. The information sheet on [Copyright in your Digital Thesis](#) contains further advice. University of Newcastle Library staff can also provide advice on seeking permissions.

<http://www.newcastle.edu.au/service/library/research/copyright/>

Examiners and Examiner Confidentiality

Candidates are permitted to suggest to their supervisors, the names of individuals who may be considered appropriate or not appropriate to examine their thesis. Candidates are not permitted to contact potential examiners and the faculty is responsible for their appointment. Examiner details MUST NOT be disclosed to the candidate. The names of examiners are to remain confidential until the outcome of the thesis has been determined and then, they will only be provided with the permission of the examiner. For this reason candidates are not permitted to submit their own [Appointment of Examiners form](#) to OGS. Where a breach of confidentiality occurs, replacement examiners are to be appointed.

THESIS EXAMINATION GUIDELINES

3. SUBMISSION OF THESIS OR EXEGESIS FOR EXAMINATION

- Candidates must be enrolled at the time of submission of their thesis
- An exegesis in support of an exhibition or performance must be submitted to OGS six weeks prior to the visit by the examiners
- Ensure referencing is correct and the thesis is free from typographical errors
- Adhere to formatting requirements
- Include relevant statements and permissions
- Refer to the requirements for exhibitions or performances
- Submit 4 copies of a PhD thesis or 3 copies of a Masters/Professional Doctorate thesis
- Submit a completed [Thesis Examination Application form](#) with your thesis
- Consider if an embargo is required
- International candidates are to contact DIAC when they submit their thesis

Enrolment

If your RHD thesis is submitted between the first day of the semester and the census date (31 March for semester 1 and 31 August for semester 2), OGS will drop your enrolment for that and any subsequent semesters, effective from the date of submission.

If your thesis is submitted after the census date in any semester, you will remain enrolled for that semester.

For creative arts candidates who hold a current scholarship, the scholarship end date/drop date will be the date of the exhibition/performance.

International candidates who submit their thesis up to one month following the census dates may be entitled to apply for a partial refund of tuition fees. Requests for a partial refund of tuition fees should be made in accordance with the [Refund Policy for Full Fee Paying International Students in Australia](#).

If you are an **international candidate** on a student visa, OGS will notify DEEWR and DIAC of your thesis submission. As this action may affect your student visa, you will be required to contact DIAC for advice. If you wish to remain in Australia during the thesis examination process you must also contact DIAC for visa advice. It is not a requirement of the University of Newcastle for you to remain in Australia during the thesis examination process.

Thesis by Publication

A thesis may be submitted in the form of a series of published papers. Please refer to Rule 53 of the [Rules Governing Research Higher Degrees](#) for full details and consult with your supervisor/s. A [Thesis by Publication Information Sheet](#) is also available from the OGS Forms page.

THESIS EXAMINATION GUIDELINES

Exhibition or Performance Arrangements

If examiners are required to attend an exhibition or performance, the exegesis must be submitted to OGS six weeks prior to the visit by the examiners. Examiners require this time to review the material prior to attending the creative presentation. A separate digital record must be provided to the examiners on the day of the visit. If all of the relevant creative presentation elements are represented in the exegesis there is no need for a further digital recording. Refer to the [Examination of Theses in the Creative Arts Guideline](#) for further details.

Language

The thesis must be written in English unless otherwise approved prior to submission.

Layout

For examination, thesis copies must be bound in a temporary form. Soft bound with card or plastic covers using plastic or wire ring binding. Loose-leaf binding will not be accepted. The thesis must be printed in portrait layout with the binding on the left side (long side).

Paper

Soft bound copies of your thesis submitted for examination may be printed or copied onto standard A4 Metric paper (approx. 21 cm x 30 cm), except for drawings and maps, upon which no restriction is placed. Quality recycled paper may be used.

Formatting – Font/Spacing/Margins

Any reasonable font size or style is acceptable e.g. font size - 10/11, font style - Arial/Times New Roman.

The main argument of the thesis shall be typed in 1½ or double spacing. Your own discretion should be used where variation in spacing is considered desirable for the presentation of tables, quotations etc.

With the exceptions given in below, pages may be double-sided (i.e. printed on both sides) at your discretion.

The margin on each page should be not less than 4 cm on the left, 2 cm on the right, 3 cm at the top and 2 cm at the bottom for right hand pages. For left hand pages the side margins are reversed to 2cm on the left and 4 cm on the right to allow for binding.

The following information should be presented on separate single-sided sheets in the following order:

Title Page

Showing your thesis title, your name in full, previous qualifications held in abbreviated form e.g. BSc(Hons), the full name of the degree for which your thesis is submitted, and the month and year of submission of the thesis for examination.

THESIS EXAMINATION GUIDELINES

After the title page you must include a page with the following signed statement/s:

Statement of Originality

Your thesis must contain a statement by you (see below), that the contents of the thesis relate to your own work, taking into account normal candidate-supervisor relations.

*The thesis contains no material which has been accepted for the award of any other degree or diploma in any university or other tertiary institution and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made in the text. I give consent to this copy of my thesis, when deposited in the University Library**, being made available for loan and photocopying subject to the provisions of the Copyright Act 1968.*

***Unless an Embargo has been approved for a determined period.*

Each copy of the thesis must be signed by the candidate following this statement.

Include as many of the following statements as are applicable:

Statement of Collaboration

If any of your work has been done in collaboration with other researchers, or carried out in other institutions, your thesis must contain a statement clearly outlining the extent of collaboration, with whom and under what auspices.

I hereby certify that the work embodied in this thesis has been done in collaboration with other researchers, or carried out in other institutions (delete if not applicable). I have included as part of the thesis a statement clearly outlining the extent of collaboration, with whom and under what auspices.

Statement of Authorship

If the body of the thesis includes a co-authored published paper or co-authored scholarly work, or a substantive component of a co-authored published paper or co-authored scholarly work, your thesis must contain a statement, endorsed by your supervisor, attesting to your contribution to the joint publication/s/scholarly work. A statement is not required when publications/scholarly work are included as an appendix.

I hereby certify that the work embodied in this thesis contains a published paper/s/scholarly work of which I am a joint author. I have included as part of the thesis a written statement, endorsed by my supervisor, attesting to my contribution to the joint publication/s/scholarly work.

Thesis by Publication (Refer to Rule 53 of the Rules Governing Research Higher Degrees).

I hereby certify that this thesis is in the form of a series of published papers of which I am a joint author. I have included as part of the thesis a written statement from each co-author, endorsed by the Faculty Assistant Dean (Research Training), attesting to my contribution to the joint publications.

THESIS EXAMINATION GUIDELINES

Other acknowledgments and/or a dedication should follow on a separate page. These entries are not part of the required format and are made at your discretion.

Contents

The table of contents is the next page.

The synopsis or abstract consisting of approximately 300 words should follow the table of contents.

It is recommended that a doctoral thesis should not normally exceed 100,000 words, excluding appendices, tables and illustrative matter. A master's thesis should not normally exceed 80,000 words, excluding appendices, tables and illustrative matter. An exegesis forming part of a thesis and accompanying a creative or literary work or series of works should not normally exceed 40,000 words excluding appendices, tables and illustrative matter.

Figures and tables may be integrated into the main text (within the normal publication style for the discipline) with the exception that photographs, charts, maps and diagrams of some substance should not be mounted on the back of typed pages.

Pages should be numbered consecutively.

Referencing and Accuracy

Thesis references should be in a form consistent with the normal publication requirements of the discipline. This will require that references be correct and cited in a consistent and accepted manner. Errors in spelling or of typographical or syntactical nature should not occur.

For guidance with references, abbreviations, bibliography etc., see *Style Manual for Authors, Editors and Printers*, 2002, AGPS, Canberra. Copies are available in the University Library.

Please refer to [The Editing of Research Theses by Professional Editors Policy](#).

Material to Submit

The research shall primarily be embodied in the thesis; other work approved by the Faculty ADRT may also be submitted and considered in conjunction with the thesis.

Candidates are to submit the following number of individually signed soft bound copies of their thesis to OGS:

FOUR copies for a **PhD** thesis;
THREE copies for a **Masters** thesis;
THREE copies for a **Professional Doctorate**.

Note: Professional Doctorate HKMA/SEGI candidates are required to submit via the administration staff at HKMA/SEGI.

THESIS EXAMINATION GUIDELINES

One soft bound copy of your thesis will be retained by OGS during the examination process and the remaining copies will be forwarded to the examiners. Examiners are invited to retain their copy of the thesis.

A completed [Thesis Examination Application form](#) must accompany the thesis copies. The form may be faxed or scanned and emailed with the candidate and supervisor signatures. An email from the supervisor containing Section 5 or 6 of the form will also be accepted.

The [Thesis Examination Application form](#) requires candidates to endorse a number of statements with regard to their thesis and the form must be signed by the principal supervisor advising that the candidate has completed the prescribed program and certifying that the thesis is of sufficient merit to warrant examination. If your supervisor is unwilling to sign Section 5 you may request that the thesis be accepted for examination by the Head of School and Faculty ADRT.

Any additional documentation e.g. video, CDs etc may be included with the thesis.

Scholarship recipients who meet the relevant scholarship conditions regarding timing and thesis allowances must provide original receipts to claim the allowance. The [Research Scholarship Allowance Claim form](#) should be used for this purpose.

Confidentiality of Research/Embargo

If candidates require an embargo to be placed on the thesis due to confidentiality or intellectual property issues, the embargo must be requested at the time of the thesis submission. An Embargo is initially approved for twelve months with the possibility of an extension. An [Application for Embargo on Thesis form](#) should be used for this purpose.

Once approved, the office copy of the thesis will remain in a secure cabinet in OGS until the embargo expires and the examiners will be requested to confirm agreement to keep the content of the thesis confidential until such time as the embargo expires.

A further embargo may, where necessary, be requested for the final digital copy of your thesis. Application and approval is required.

In the case of commercial-in-confidence, the principal supervisor must identify a thesis that is commercial-in-confidence on the [Appointment of Examiners form](#). Examiners will be requested to confirm agreement to keep the thesis confidential until such time as the degree has been awarded.

THESIS EXAMINATION GUIDELINES

4. EXAMINATION

Timing

The University requires examiners to provide their examination report within two months of receipt of the thesis. However, for varying reasons, the thesis examination process can take between three and six months. The most appropriate examiners are not always able to comply with our deadlines or may experience unforeseen delays.

Outcomes cannot be determined until all examiner reports have been received.

OGS conducts follow-up on examiner reports at regular intervals and may involve the supervisor where there are delays. If significant delays are being experienced, the faculty may choose to access the reserve examiner. OGS understands the anxious wait that candidates experience during the thesis examination process and aim to keep candidates updated where delays occur.

Notification

Candidates will be advised via an email sent to their NUmail account once all examiners' reports have been returned to OGS.

Copies of examiner reports are then forwarded to a Sub-Committee comprising of the supervisor, Head of School, Faculty ADRT and Chair of the Research Training Sub-Committee. This Sub-Committee will make a recommendation to the full Research Training Sub-Committee (RTSC).

Determinations

It is the responsibility of the principal supervisor to provide comments on the examiners' reports to the Head of School and Faculty ADRT. The Faculty ADRT assesses comments from the examiners, supervisor/s and Head of School and provides the faculty recommendation to the RTSC, which makes an outcome determination.

The RTSC meets on the first Monday of every month except January.

THESIS EXAMINATION GUIDELINES

5. OUTCOMES

Following the RTSC determination, candidates will be advised of the Committee's decision and copies of the examiners' reports will be provided at that point.

The outcome letter and examiners' reports will be sent to the candidate's NUmil account and a hard copy of the documents will be posted to the candidate's mailing address.

For thesis submissions from 2012 the Committee's recommendation will be one of the following:

1. Award = the thesis be classified as passed. This category is for a thesis that does not require any amendments. The Committee will require that the final thesis be submitted by the candidate to the University's digital repository, NOVA, within one (1) month of the date of the outcome letter.

2. Require-Minor Corrections = the thesis be classified as passed conditionally, subject to minor corrections, as outlined in the Examiner's Reports, being made to the satisfaction of the supervisor/s. This category is for a thesis which requires correction of errors of presentation and minor deficiencies, but which are not of sufficient importance to warrant major corrections; such amendments must be made within the timeframe specified below.

If the RTSC outcome is 'Require-Minor Corrections', the corrections must be completed within three (3) months of the date of the outcome letter. The approved [Corrections Approval form](#) and a statement of corrections made must be submitted to OGS prior to the submission of the final electronic copy to the University's digital repository, NOVA. Candidates are not required to re-enrol for this period but are expected to consult with their supervisor/s regarding the corrections.

Note: Professional Doctorate candidates need to complete the requirements within six (6) weeks of the date of the outcome letter.

3. Require-Major Corrections = the thesis be classified as passed conditionally, subject to corrections, as outlined in the Examiner's Reports, being made to the satisfaction of the supervisor/s, Head of School and Faculty Assistant Dean (Research Training) as specified by the Committee. This category is for a thesis which requires correction of deficiencies other than errors of presentation and minor deficiencies, but which are not of sufficient importance to warrant submission for re-examination by the original examiner. Such amendments must be made within the timeframe specified below.

If the RTSC outcome is 'Require-Major Corrections' the corrections must be completed within six (6) months of the date of the outcome letter. The approved [Corrections Approval form](#) and a statement of corrections made must be submitted to OGS prior to the submission of the final electronic copy to the University's digital repository, NOVA. Candidates are not required to re-enrol for this period but are expected to consult with their supervisor/s regarding the corrections.

Note: Professional Doctorate candidates need to complete the requirements within eight (8) weeks of the date of the outcome letter.

THESIS EXAMINATION GUIDELINES

4. Revise and Resubmit = the thesis be submitted in a revised form for re-examination by the original examiner(s) where appropriate. This category is for a thesis which requires major, substantive amendment and submission for re-examination within the timeframe specified below. In the Examiner's Report, the examiner shall provide detailed guidance to the candidate to assist revision and the thesis must be resubmitted together with a statement by the candidate outlining the revisions that have been made.

If the RTSC outcome is 'revise and resubmit', candidates are required to re-enrol. The revised thesis, a *Corrections Approval* form and a statement by the candidate outlining the revisions made, must be submitted within twelve (12) months of the date of the outcome letter. The statement outlining the revisions is provided to the examiners to assist with the re-examination process. Candidates have one opportunity to revise and resubmit their thesis. The thesis is normally returned to the original examiners and the recommendation will either be passed, conditionally passed or fail.

Note: According to the Rules Governing Professional Doctorates (clause 39) the candidate must enrol in a further 20 unit course in the next available term closest to the date of the advice. The candidate must submit the revised thesis within that term or their candidature may be terminated.

5. Fail = the thesis be classified as failed, without right to resubmit the thesis, on the basis that a significant amount of additional research work and/or major, substantive revision will not raise the thesis to an acceptable standard.

Where the final outcome is fail, candidates will be invited by the RTSC to provide an academic defence of their thesis.

THESIS EXAMINATION GUIDELINES

6. SUBMISSION OF FINAL THESIS

Digital Repository - NOVA

You are required to submit an electronic version of your corrected thesis online via the University's institutional digital repository - NOVA. By submitting your thesis online, you provide worldwide access to your research via the internet. The 'Thesis Deposit form' can be found at: <http://ogma.newcastle.edu.au:8888/valet/submit.cgi?view=uon3>.

Library assistance is available by phoning (02) 4921 7104 or emailing library-thesis@newcastle.edu.au.

For this reason you are responsible for taking appropriate action to avoid copyright infringement (see below).

Soft bound copies of the thesis will be stored in OGS until submission of the final copy, at which point any uncollected copies will be confidentially destroyed.

NOTE: Candidates are responsible for ensuring they avoid copyright infringement

Third Party Copyright and Web Access

While it has been acceptable to include third party copyrighted material with appropriate referencing, in a print thesis with limited circulation, it is a different matter to digitise this material and make it generally available on the web. Candidates need to obtain written permission from copyright owners to include the material in the online version of the thesis if the thesis contains copyright material. This includes: text, music scores, computer software, film, animation, music, sound and images (including drawings, cartoons, paintings, graphs, maps, photographs, tables, etc). It doesn't matter whether the item comes from a print or physical source or from the internet – copyright will still apply. In most cases copyright lasts 70 years from the death of the creator.

Evidence of permissions will need to be provided before a thesis can be deposited electronically. Please refer to [Copyright in your Digital Thesis](#) for further information and advice.

Requirements for Award of Degree

The submission of the final (corrected) thesis to NOVA will be the final requirement in support of the award of a Research Higher Degree. A recommendation to award the degree cannot be made until the final thesis is submitted to NOVA.

OGS will automatically receive a copy of the electronic thesis deposit confirmation.

In the case of Professional Doctorate candidates, upon receipt of the electronic thesis deposit confirmation, OGS will advise the Pro Vice-Chancellor of the relevant faculty that the requirements for the research component of the program have been met.

THESIS EXAMINATION GUIDELINES

7. AWARD OF DEGREE

RHD Process

Following receipt of the [Corrections Approval form](#) and statement of corrections (where necessary) and the electronic thesis deposit confirmation, OGS will forward the candidate's details to the Deputy Vice-Chancellor (Research), the President of the Academic Senate and the Vice-Chancellor for formal ratification of the award of the degree. This process occurs on a fortnightly basis.

Upon formal ratification of the award of the degree, OGS will write to candidates confirming successful completion of the degree. The testamur and transcript will be presented to the candidate at the next available graduation ceremony.

Citing your Qualification (For RHD only)

The completion letter that will be sent to you from OGS will contain the date that your degree was officially awarded. You may cite your award and if applicable, use the title of Doctor, from that date.

Professional Doctorate Process

Upon receipt the [Corrections Approval form](#) and statement of corrections (where necessary) and the electronic thesis deposit confirmation, OGS will advise the Pro Vice-Chancellor of the relevant faculty that the candidate has met the requirements of the research component of the program. Faculty staff will then check that the requirements of the degree have been met and complete the process to award the degree. This process may take up to four weeks to complete. Once eligibility is confirmed, a recommendation will be forwarded to the President of Academic Senate and the Vice-Chancellor for the degree to be awarded.

OGS is responsible for processing the thesis examination component only. Please forward any enquiries regarding a request for a completion letter, the award of the degree and attending Graduation to the Senior Program Officer in the relevant faculty.

THESIS EXAMINATION GUIDELINES

8. GRADUATION

All graduates will be invited to attend a graduation ceremony. All graduation matters are managed by the Graduation and Prizes Office:

<http://www.newcastle.edu.au/service/graduation/>

Graduation ceremonies are normally held in each semester at Callaghan and Ourimbah campuses and once each year in Hong Kong and Singapore. The timing of the award of your degree will determine which ceremony you are eligible for. OGS will provide relevant cut-off dates to help you organise your submission for a particular graduation ceremony.

If a candidate chooses not to attend either a local or offshore graduation ceremony, the testamur and transcript will be forwarded by registered post as soon as possible after the next ceremony. This is usually 6-8 weeks after the ceremonies.

If documents are required prior to the next ceremony a [Request for Early Release of Testamur form](#), along with proof of payment of the associated fee, may be submitted to the Graduation and Prizes Office.

For RHD candidates only: If the testamur and transcript are required for employment or immigration purposes, candidates may apply to the Dean of Graduate Studies for the associated fee to be waived. Requests for a fee waiver should be sent to thesis@newcastle.edu.au and include details of the circumstances that require you to obtain this documentation early.

Candidates who are indebted to the University of Newcastle are not permitted to receive their testamur and transcript. Please resolve any debts as soon as possible.

Information and Enquires for Graduates

<http://www.newcastle.edu.au/service/graduation/>

Enquiries regarding Graduation should be forwarded to the Graduation and Prizes Office.

Graduation and Prizes

The University of Newcastle
Callaghan NSW 2308
Australia

Telephone: (+61 2) 4921 5000

Facsimile: (+61 2) 4921 7166

Contact: [Ask UoN](#)