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Regulations for Higher Degree by Research Programs



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DEFINITIONS

'Absent Without Leave Status'

The candidate has not submitted a Progress Report by the due date and she/he has not applied to the Higher Degrees Committee for Leave of Absence.

'Candidacy'

The process in which enrolled candidates undertaking a Higher Degree by Research have their research program, supervisory arrangements and on-going progress approved by the Higher Degrees Committee in accordance with the Higher Degree by Research Regulations for Doctoral Degrees.

'Conditional Status'

The candidate's enrolment is limited by conditions determined by the Research and Higher Degrees Committee.

'Confirmed Candidature'

Enrolment in the Higher Degree by Research program following approval of Candidacy.

'Higher Degrees Committee'

The Committee responsible for the admission, enrolment, candidature and examination of Higher Degree by Research candidates and which makes recommendations to the Academic Board during the period of the candidate's enrolment.

'Doctoral Degree'

The degree of Doctor of Philosophy, or any other research Doctoral degree as approved by the Academic Board.

'Supervisory Committee'

A supervisory committee formally appointed by the Higher Degrees Committee at the time of approval of Candidacy and associated with a specific candidate as defined in these Regulations. It comprises at least three persons including a Chairperson, Supervisor, and a Senior member of the respective Faculty.

'Overtime'

The term used to identify a candidate who is enrolled but has not submitted a thesis within the prescribed time limits as determined in the Higher Degree by Research Regulations for Doctoral Degrees.

'Provisional Candidature'

Enrolment in the Higher Degree by Research prior to approval of Candidacy.

'Thesis Examining Panel'

The panel that is appointed prior to submission of the thesis and comprises the Chairperson of the Supervisory Committee (ex officio) acting as Chair, and two Examiners both of whom shall be external to the University. Persons who are external to the University will not hold or have held an employment

contract with the University within three months of nomination as an examiner or at any time during the examination process.

'Under Examination Status'

The status held by the candidate following submission of the thesis and prior to determination of the classification of the thesis by the Higher Degrees Committee.

1. Codes of conduct

- (a) The DWU policy on ethical practices in research involving human participants (*appendix i*) shall be deemed to apply for the purpose of these regulations.
- (b) The guidelines for good supervision of candidates doing higher degrees by research (*appendix ii*) should be read in association with these regulations.

2. The degrees

- (a) Subject to and in accordance with these regulations, a Doctoral degree shall be awarded for a thesis as defined in regulation 11 or a combination of a thesis and coursework in which the coursework component does not exceed one third of the Doctoral degree program. In all cases the thesis must in the opinion of the examiners be a substantial original contribution to the knowledge or understanding of a field of study and demonstrate the capacity of the candidate to conceive, design and carry to completion independent research. The Doctoral candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas.
- (b) The Higher Degrees Committee is responsible for the administration of the regulations and in particular the management of the process of examination of all Higher Degree by Research theses.

3. General admission requirements

For admission to a Doctoral degree program an applicant normally shall have studied for a minimum of four years in a tertiary institution and satisfied the Higher Degrees Committee, that at least one of the following eligibility criteria has been met:

- (a) graduated with a Master's degree from a university which requires the completion of a publicly available thesis or research project to an acceptable standard
- (b) graduated with a Bachelor's degree and completed a Postgraduate Diploma or its equivalent, or completed a Master's degree by coursework, with, in both cases, above average grades which indicate the ability to undertake significant research.
- (c) obtained qualifications from another institution which are recognised by tertiary admission authorities in Papua New Guinea and which are deemed to be equivalent to, or a satisfactory substitute for, any of the qualifications prescribed in Regulation 3(a) or (b)
- (d) enrolled in a research Master's degree for the equivalent of at least one semester full-time, and shown exceptional ability in the conduct of the early stages of the research project which is

clearly capable of being extended and converted to Doctoral level. Conversion of enrolment from Master's to a Doctoral program requires the approval of the Academic Board.

4. Enrolment and duration of study

- (a) A candidate may enrol in a Doctoral degree either full-time or part-time. Enrolment shall be continuous with the exception of periods of *Leave of Absence* as approved by the Higher Degrees Committee.
- (b) Enrolment in the Doctoral degree shall be for a minimum period of two years and a maximum period of four years of equivalent full-time study. The time limits shall be adjusted for approved periods of *Leave of Absence*. In exceptional circumstances the periods of enrolment noted above may be varied by the Higher Degrees Committee.
- (c)
 - (i) Enrolment in the thesis unit shall be deemed to terminate on the date of the submission of the thesis for examination. After that time and until examination is completed, the candidate's enrolment status shall be *Under Examination*.
 - (ii) A candidate failing to submit a thesis for examination within the prescribed time limits shall be identified as *Overtime*. The candidate shall also be placed on '*Conditional status*' and will be allowed the equivalent of a further semester of full-time enrolment in which to submit the thesis. Further extensions of enrolment require the written support of the Higher Degrees Committee based upon the recommendation of the candidate's supervisor. If the Higher Degrees Committee does not approve such an extension the candidate's enrolment will be terminated. When a candidate identified as *Overtime* submits a thesis, the candidate's enrolment status shall be amended to *Under Examination*.
- (d) Candidates who seek to enrol part-time must satisfy the Higher Degrees Committee that they are able to devote the time necessary for the satisfactory completion of the research program within the prescribed time limits.
- (e) A candidate enrolled for a Doctoral degree normally shall conduct the research, other than field work, at the University. The candidate's principal supervisor may recommend to the Higher Degrees Committee that a candidate be permitted to conduct the research at another institution or at other places, particularly where special facilities exist, provided that the supervisor is satisfied that the research can be supervised in a safe and satisfactory manner and that appropriate facilities and infrastructure exist.
- (f) The Higher Degrees Committee, upon the recommendation of the candidate's principal supervisor, must be satisfied that an

appropriate level of contact can be maintained between the candidate and the *Supervisory Committee*. Face-to-face contact (either in person or using appropriate technology) with a member of the *Supervisory Committee* shall occur on not less than an average of 10 days each academic year over the period of candidature. The level of face-to-face contact should be agreed between the candidate and the *Supervisory Committee* prior to *Candidacy* and should be reviewed annually. The agreed level should be reported in the semester Progress Report.

- (g) No candidate may be enrolled in a Doctoral degree at the University while simultaneously enrolled in any other higher degree, Bachelor's degree, or diploma course at this or any other institution, without the approval of the Higher Degrees Committee.
- (h) The Higher Degrees Committee may, after consultation with the principal supervisor, allow a full-time candidate to undertake a limited amount of University teaching or other work and, in agreed circumstances, to enrol for study in units other than those prescribed in the Doctoral degree program in accordance with Regulation 4(j). The supervisor must be satisfied that other work commitments will not interfere with progress in the Doctoral degree program.
- (i) A candidate who is unable to pursue her/his studies may be granted *Leave of Absence* and have enrolment suspended for a period of one to twelve months by the Higher Degrees Committee on the recommendation of the Principal supervisor. In exceptional circumstances, the Higher Degrees Committee may approve further periods of *Leave of Absence*. Applications for retrospective periods of *Leave of Absence* may be considered in exceptional circumstances. Candidates are required to lodge the application for Leave of Absence on the prescribed form prior to the start date of the proposed period of leave.
- (j) A Doctoral degree program may contain both coursework and research (thesis) components. For the purposes of these regulations, the research component of a Doctoral degree must comprise at least two thirds of the degree program. The coursework component may be as prescribed in the course description or at the direction of the supervisor following consultation with the candidate and the Supervisory Committee.

5. Application for admission and enrolment

- (a) An application for admission into a Doctoral degree shall be made on the prescribed form and shall be lodged with the Higher Degrees Committee. The applicant shall provide documentation of all previous tertiary studies.

- (b) The Higher Degrees Committee may approve an application for admission provided that:
 - (i) the admission requirements have been met
 - (ii) adequate supervision, infrastructure, and other resources and facilities are available
 - (iii) the applicant has adequate research experience and ability to pursue the proposed research program at Doctoral degree level
 - (iv) adequate arrangements have been made to satisfy Regulation 4(f) regarding contact with the Thesis Committee
 - (v) an applicant whose first degree is in a language other than English has produced evidence of proficiency in English.

Upon approval of admission by the Higher Degrees Committee candidates are deemed to have *Provisional Candidature*. *Provisional Candidature* remains until an *Application for Confirmation of Candidacy* has been approved in accordance with Regulation 6.

- (c) The Higher Degrees Committee shall, following consultation with the candidate, appoint a *Supervisory Committee* comprising a Chairperson, the Principal and Co Supervisors, a Senior member of Faculty and a Senior Academic preferably at Professorial level from a Faculty other than the candidate's discipline of study.
- (d) The Chairperson shall be a member of the academic staff of the university and possess a Doctoral degree qualification or be deemed by the Higher Degrees Committee to be of equivalent status.
- (e) The Principal Supervisor shall be a member of the academic staff of the university. A Principal Supervisor shall possess a Doctoral qualification or be deemed by the Higher Degrees Committee to be of equivalent status with recognised standing in the field of study. Only a full-time staff member shall be appointed as the Supervisor.
- (f) Associate Supervisor(s) or Co supervisors shall be appointed from within or outside the University to assist the Principal Supervisor in the supervision of the Doctoral candidate. A Co Supervisor shall possess a Doctoral qualification in the field of study or be deemed by the Higher Degrees Committee to be of equivalent status with recognised standing in the field of study. If external to the University, the Associate Supervisor(s) shall consent in writing to this appointment.
- (g) A member of staff who is enrolled in a Doctoral program shall not be appointed as a Supervisor of a Doctoral candidate.

- (h) The Higher Degrees Committee shall advise all applicants for admission of the decision of the Committee. Successful applicants shall be provided with an offer of a place and other information necessary for the completion of enrolment into the Doctoral program. A copy of these regulations and any other guidelines which may be approved from time to time shall be provided to the candidate at the time of offer of a place in a Doctoral Program.
- (i) Successful applicants shall confirm *Acceptance of the Offer* of a place by meeting enrolment requirements and completing a *Student Information Sheet*. No enrolment shall be regarded as having been completed until the candidate has been notified by the University Registrar or the Chairperson of the Higher Degrees Committee.
- (j) A candidate who is deemed to have *Provisional Candidature*, will be required to submit a *Summary of Proposed Research Program* for the purposes of Candidacy, as prescribed in Regulation 6. A candidate may not submit a thesis for examination until *Candidacy* has been approved.
- (k) An applicant for admission who has completed more than six months' enrolment for a Doctoral degree in another university may be permitted by the Academic Board, on the recommendation of the Higher Degrees Committee, to count for credit the whole or any part of the period of this enrolment, as a period completed in a Doctoral degree program at this university, provided that:
 - (i) the period of advanced study and research has been carried out under supervision and is directly related to the candidate's proposed course of advanced study and research at this university
 - (ii) the candidate shall have formally withdrawn from enrolment for the higher degree of the other university
 - (iii) the amount of credit which may be so granted shall not exceed the full-time equivalent of one year without the approval of the Academic Board. No candidate who has been granted credit shall present a thesis for examination for the degree earlier than the equivalent of one year of full-time study after *Candidacy* has been granted

6. Application for candidacy

- (a) Doctor of Philosophy candidates with *Provisional Candidature* shall apply for Candidacy on the prescribed form to the Higher Degrees Committee not later than twelve months of equivalent full-time study after initial enrolment. Extension of time may be approved by the Higher Degrees Committee.
- (b) Candidates enrolled in a research doctoral program with a prescribed coursework component with *Provisional Candidature*

shall apply for *Candidacy* on the prescribed form to the Higher Degrees Committee not later than twelve months of equivalent full-time study following successful completion of the assessed course work component to the satisfaction of the *Supervisory Committee*.

- (c) Failure to apply for *Candidacy* within the prescribed time limits may result in the candidate's enrolment status being changed to '*Conditional*' by the Higher Degrees Committee. Should *Candidacy* not be approved within a further period prescribed by the Higher Degrees Committee, the Higher Degrees Committee may terminate a candidate's enrolment.
- (d) Candidacy will be approved by the Higher Degrees Committee on fulfilment of the following conditions:
 - (i) definition of an acceptable research program, including its objectives, methodology, facilities and resources required and a time schedule for its completion
 - (ii) attainment of the necessary level of knowledge and skill to proceed with the proposed research program
 - (iii) acceptance of the nominated *Supervisory Committee*
 - (iv) certification by the *Supervisory Committee* that adequate facilities and resources are available for the proposed research program and health and safety issues are addressed
 - (v) approval from the Ethics Committee for research
 - (vi) acceptance of appropriate arrangements regarding the ownership of intellectual property in accordance with university policy as it may from time to time be amended

Following approval of *Candidacy* a candidate shall be deemed to have *Confirmed Candidature*.

- (e) After *Candidacy* has been approved, the Higher Degrees Committee may approve changes to the thesis title and composition of the *Supervisory Committee*. Where there is a significant change of focus in the research program, a new *Candidacy* application must be submitted, as prescribed in Regulation 6(d).

7. Transfer and conversion between higher degree by research programs

- (a) Candidates wishing to transfer between Higher Degree by Research programs shall follow the appropriate procedures based on whether or not they have attained *Candidacy* for the course in which they are enrolled at the time of application as follows:
 - (i) *Provisional Candidature*: A candidate enrolled in a Higher Degree by Research who has not yet attained *Candidacy* but who wishes to transfer to another Higher Degree by

Research, shall apply for admission into the new program using the *Application to a Doctoral Program* form. If the application is accepted by the Higher Degrees Committee, the candidate will be withdrawn from the first program and enrolled into the new program. The recorded commencement date shall be that of the original degree.

- (ii) *Confirmed Candidature*: A candidate enrolled in a higher degree by research who has attained *Candidacy* but who wishes to convert her/his enrolment and *Candidacy* to another Higher Degree by Research, shall submit a revised *Application for Change in Candidacy* form to the Higher Degrees Committee. The recorded commencement date for the new program shall be that of the original degree.
- (b) In the case of a candidate converting from a Master's degree to a research Doctoral degree, the Chairperson of the *Supervisory Committee* and the Supervisor shall certify that the outcome of the proposed research program will be a thesis of the standard required in Regulation 2(a).
- (c) The Higher Degrees Committee shall advise the candidate whether or not the application is successful and arrange for the enrolment to be amended as necessary.
- (d) In the case of a candidate converting from a Doctoral degree to a Masters Research degree, the Chairperson of the *Supervisory Committee* and the Supervisor shall certify that the outcome of the proposed research program will be a thesis lesser than the doctoral standard required in Regulation 2(a), but demonstrating substantial research undertaking.
- (e) The Higher Degrees Committee shall advise the candidate whether or not the application is successful and arrange for the enrolment to be amended as necessary.

8. Supervisory committee and supervisor for confirmed candidature

- (a) At the time of application for Candidacy, the Higher Degrees Committee shall, following consultation with the candidate, appoint a *Supervisory Committee* comprising a Chairperson, the Principal and Co Supervisors, a Senior member of Faculty and a Senior Academic preferably at Professorial level from a Faculty other than the candidate's discipline of study.
- (b) The Chairperson shall be a member of the academic staff of the University and possess a Doctoral qualification or be deemed by the Higher Degrees Committee to be of equivalent status.
- (c) The Principal Supervisor shall be a member of the academic staff of the University. A Principal Supervisor shall possess a Doctoral qualification or be deemed by the Higher Degrees Committee to be of equivalent status with recognised standing in

the field of study. Only a full-time staff member shall be the Supervisor.

- (d) The Associate Supervisor (s) or Co Supervisor (s) shall be appointed from within or outside the University to assist the Principal Supervisor in the supervision of the Doctoral candidate. At least one Associate or Co Supervisor shall possess a Doctoral qualification in the field of study or be deemed by the Higher Degrees Committee to be of equivalent status with recognised standing in the field of study. If external to the University, the Associate Supervisor(s) shall consent in writing to this appointment.
- (e) A member of staff who is enrolled in a Doctoral program shall not be appointed a Supervisor of a Doctoral candidate.
- (f) After *Candidacy* has been approved, the Higher Degrees Committee may approve changes to the composition of the Supervisory Committee.
- (g) In the event that an appointed Supervisor is unable to supervise the candidate for a period exceeding three months, the *Supervisory Committee* shall, following consultation with the candidate, nominate a replacement Supervisor for the relevant period for approval by the Higher Degrees Committee.
- (h) In the event that the Chairperson of the *Supervisory Committee* is unable to perform the assigned duties for a period exceeding three months, a replacement Chairperson will be appointed for the relevant period.

9. Progress

- (a) The candidate and Supervisory Committee shall be jointly responsible for ensuring regular and adequate communication throughout the period of candidature.
- (b) The candidate shall submit a Progress Report each semester by the due date specified by the Higher Degrees Committee to demonstrate progress towards the stated objectives of the Doctoral degree. The Dean or the Supervisory Committee may, following consultation with the candidate, require the candidate to submit reports, additional to the semester Progress Report, to monitor progress in the Doctoral degree.
- (c) Candidates making satisfactory progress and likely to complete the research program as prescribed should be accorded the status of 'Good Standing'. Candidates whose progress raises concerns as to their ability to complete the research program as prescribed should be accorded 'Conditional' status. Candidates whose progress is unsatisfactory and who are unable to complete the research program should have their enrolment terminated and/or counselled regarding alternatives. Progress Reports each semester shall assist in the determination of academic status. Recommendations regarding the academic

status of candidates other than those whose status remains 'Good Standing', shall be made by the Supervisory Committee to the Higher Degrees Committee.

- (d) If a candidate fails to submit a Semester Progress Report by the due date, the Supervisor may recommend to the Higher Degrees Committee that the candidate be withdrawn from enrolment and their status be changed to *Absent Without Leave*.
- (e) Candidates shall remain enrolled provided they have been granted 'Good Standing' or 'Conditional' status in accordance with Regulation 9(c).
- (f) Candidates whose status is changed to 'Conditional' shall be notified in writing by the Higher Degrees Committee of the applicable conditions.
- (g) Candidates who have been identified as *Overtime* shall be placed on 'Conditional' status and notified in writing by the Higher Degrees Committee of the applicable conditions.

10. Leave of absence

- (a) In accordance with Regulation 4(a), a candidate shall remain enrolled continuously until the thesis has been submitted for examination to the Thesis Examinations Officer, except during periods of approved *Leave of Absence*.
- (b) A candidate who is not on approved leave of absence and is deemed by the supervisor, not to be actively pursuing their research program may, upon recommendation to the Higher Degrees Committee, be withdrawn from enrolment and have their status changed to *Absent Without Leave* for a period of six months.
- (c) In exceptional circumstances a candidate whose status is *Absent Without Leave* may be re-enrolled on the recommendation of the *Supervisory Committee* after a period of time on whatsoever terms and conditions the Higher Degrees Committee may prescribe consistent with the *Higher Degree by Research regulations for Doctoral Degrees*.
- (d) A candidate whose status is *Absent Without Leave* for a period exceeding six months may have his/her enrolment terminated by the Registrar in accordance with Regulation 16.

11. Thesis submission for examination

- (a) A thesis shall normally be presented in Standard English. Any exceptions to this requirement must, upon the recommendation of the Higher Degrees Committee, be approved by the Academic Board, in which case it may be required that the thesis be accompanied by a translation into Standard English.
- (b) A thesis shall be presented in one of the following forms:
 - (i) a typescript, or

- (ii) a creative or literary work or series of works in any approved medium accompanied by an exegesis (critical explanation), or
 - (iii) a published book or series of published papers presented in accordance with Regulation 11(e).
- (c) A candidate submitting a thesis in a form as specified in Regulation 11(b)(i) or 11(b)(iii) shall submit three bound copies of the thesis to the Higher Degrees Committee. A candidate submitting a thesis in a form as specified in Regulation 11(b)(ii) shall submit to the Higher Degrees Committee three copies of the thesis in a format specified by the Higher Degrees Committee.
- (d) The thesis shall conform to the following conditions:
 - (i) A thesis submitted in the form of a typescript shall not exceed 100,000 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 shall not exceed 60,000 words excluding appendices, tables and illustrative matter.
 - (ii) A thesis submitted in the form of a typescript or a written exegesis forming part of a thesis shall be presented as typed on good quality bond paper of international A4 size, with margins of not less than 3 centimetres on the spine side of the page, and 2.5 centimetres on the opposite side, top and bottom of the page. 1.5 line spacing should be used between lines of text. Text pages shall be numbered sequentially from beginning to end. The candidate is responsible for the correct numbering and collating of the pages.
 - (iii) The title page of the thesis shall show the candidate's full name, the name of the Faculty, the title of the thesis and the year of submission. The page immediately following the title page shall contain the following statement: 'I hereby declare that the work herein now submitted as a thesis for the degree of Doctor of Philosophy of Divine Word University is the result of my own investigations. This thesis contains no material which has been accepted for the award of any other degree or diploma in any university. To the best of my knowledge and belief, this thesis contains no material previously published by any other person except where due acknowledgment has been made'.
 - (iv) The thesis shall include a summary or abstract of at least 300 words.
 - (v) Selection of a format and the referencing system should be made in consultation with the candidate's Principal

Supervisor, if the candidate chooses not to use the approved DWU referencing system, the APA Style.

- (vi) Illustrations, diagrams, tables, maps, etc., to be incorporated in the text shall either be printed within the text or reproduced in a permanent high quality format (eg, ink drawings, photographs, audiovisual recordings, digital images, etc.). Such illustrations, etc., shall be clearly numbered and identified, and referred to by these numbers throughout the text.
- (e) A thesis submitted in the form of a series of published papers shall conform to the following:
- (i) a full explanatory introduction and a review section shall be included to link the separate papers and to place them in the context of an established body of knowledge
 - (ii) a literature review shall be included
 - (iii) if detailed data and descriptions of methods are not otherwise given, they shall be included as appendices
 - (iv) only papers published in refereed scholarly media and based on research conducted during the period of enrolment may be included in a thesis submitted in the form of a series of published papers. However, papers which have been accepted for publication but have not yet appeared in refereed scholarly media may also be included as part of the thesis.
 - (v) the number of papers submitted should be sufficient for the body of work to constitute a substantial and original contribution to knowledge
 - (vi) any published paper of which the candidate is a joint author may only be included in the thesis provided the work done by the candidate is clearly identified. The candidate must provide to the Higher Degrees Committee at the time of submission of the thesis a written statement from each co-author attesting to the candidate's contribution to a joint publication included as part of the thesis.
- (f) The thesis may be presented for examination in electronic portable document format (pdf), providing there is written agreement of the examiner(s) to review an electronic version.
- (g) The sources from which the candidate's information is derived, the extent to which the work of others has been used and/or for which the assistance of individuals, associations or institutions has been obtained, shall be acknowledged generally in a preface or introduction, and specifically in notes, references and appendices.

- (h) The thesis shall not be accepted for examination without a statement from the Principal Supervisor, on behalf of the Supervisory Committee, recommending that the thesis be sent for examination. Notwithstanding the above, if the Supervisor, on behalf of the Supervisory Committee, declines to provide such a statement, the candidate may request the thesis be sent for examination in accordance with Regulation 15 (Grievance Procedures).
- (i) Where a thesis contains material that may reasonably affect the security of persons, nations, industry or commerce, the Higher Degrees Committee may, upon recommendation from the Supervisor prior to submission, declare the thesis to be confidential for a specified period of time, normally not exceeding two years.
- (j) A candidate shall, subject to any pertinent university policy, own the Copyright in the thesis.
- (k) The copies of the thesis submitted by the candidate shall become the property of the University. The copies are subject to any confidentiality agreements entered into by the University, the candidate, and any sponsoring body of the research.
- (l) The candidate is required to submit a digital copy of the final version of the thesis in a format approved by the university Academic Board.

12. Thesis examining panel

- (a) The Higher Degrees Committee shall, on the recommendation of the Supervisory Committee, appoint a Thesis Examining Panel, comprising:
 - (i) the Chairperson of the Supervisory Committee (ex officio) acting as Chairperson, and
 - (ii) two Examiners both of whom shall be external to the University¹.
- (b) No person who is or has at any time been a member of a candidate's Supervisory Committee shall be eligible for appointment as an Examiner.
- (c) In recommending a Thesis Examining Panel, the Supervisory Committee shall take all reasonable steps to ensure that Examiners are free from bias with respect to the candidate, the Supervisor or the University, and shall preserve the integrity and independence of the examination process.

¹ Persons who are external to the University will not hold or have held an employment contract with the University within three months of nomination as an examiner or at any time during the examination process.

- (d) Examiners shall possess a Doctoral qualification or be deemed by the Higher Degrees Committee to be of equivalent status with recognised standing in the field of study.
- (e) Examiners are requested to examine a thesis within six weeks of receipt. If any Examiner is unable to complete the examination within three months, the Supervisory Committee may recommend a replacement Examiner to the Higher Degrees Committee for approval.
- (f) The Higher Degrees Committee may appoint a replacement Examiner, or Adjudicator as appropriate, in the following circumstances:
 - (i) where an Examiner or Adjudicator, is unable to continue an examination for any reason
 - (ii) where an Examiner or Adjudicator, is unable to re-examine for any reason
 - (iii) where an Examiner or Adjudicator, demonstrates bias with respect to the candidate, the Supervisor or the University in their examination report.
- (g) Names of Examiners shall not be released unless the Examiner(s) specifically approves the release of her/his identity. Only the Chairperson of the Higher Degrees Committee may communicate with the Examiners regarding the examination process while the thesis is under examination. Breaches of this Regulation in relation to communication with Examiners will be referred to the Academic Board and may be interpreted as misconduct within the terms of University policy.

13. Thesis examination

- (a) The Examiners shall examine the thesis principally in terms of:
 - (i) the candidate's understanding of the field of study
 - (ii) the originality of the work embodied in the thesis, and
 - (iii) the significance of the thesis as a contribution to knowledge or understanding of knowledge in the field of study
 - (iv) the candidate's demonstrated capacity to conceive, plan and conduct a program of research.

Where a thesis is submitted in the form of a creative work or series of works in any approved medium accompanied by an exegesis in accordance with Regulation 11, the Examiners shall assess the creative works in a format and location as determined by the Higher Degrees Committee following consultation with the candidate and the Chairperson of the Supervisory Committee. The University will promote the use of appropriate technology to allow satisfactory reproductions of creative works to be made available to Examiners to facilitate the examination process.

- (b) The University Academic Board shall require each Examiner to submit an independent, written report on the merits of the thesis which shall contain an assessment of the thesis in relation to the stated thesis objectives and as a requirement for a Doctoral degree. The report shall include one of the following recommendations:
- (i) the thesis be classified as passed unconditionally. The Examiner may specify this category for a thesis which only contains errors of presentation. The Higher Degrees Committee will require that the candidate correct such errors as pointed out by the Examiner, or
 - (ii) the thesis be classified as passed conditionally, subject to amendments being made to the satisfaction of the Chairperson of the Supervisory Committee as outlined in the Examiner's Report. The Examiner may specify this category for a thesis which requires correction of deficiencies other than errors of presentation, but which are not of sufficient importance to warrant submission for re-examination by the original Examiners, and which are amended to the satisfaction of the Chairperson of the Supervisory Committee, or
 - (iii) the thesis be submitted in a revised form for re-examination by the original Examiner. The Examiner may specify this category for a thesis which requires major amendment and submission for re-examination by the original Examiner. In the report the Examiner shall provide detailed guidance to the candidate to assist revision, or
 - (iv) the thesis be classified as failed, without right to resubmit the thesis, on the basis that a limited amount of additional work or modification will not raise the thesis to an acceptable standard.

Notwithstanding the above, the University Academic Board may approve, on recommendation from the Higher Degrees Committee, a variation to the wording used in the classifications 13(b)(i)-(iv) above in order to address more appropriately the nature of the thesis presented, for example exhibited creative works with an accompanying exegesis.

Furthermore, an Examiner or the Chairperson of the Candidate's Supervisory Committee may recommend to the Higher Degrees Committee an oral examination of the candidate in accordance with the provisions of Regulation 14.

- (c) The reports of the Examiners shall be conveyed to the Chairperson of the Supervisory Committee who shall then make a recommendation to the University Academic Board through the Higher Degrees Committee as provided in Regulation 13(d), (h) or (j) below.

- (d) Where the recommendations contained in the Examiners' reports are in substantial agreement, the Chairperson of the Supervisory Committee, having discussed the reports with the Supervisory Committee, shall:
 - (i) recommend to the University Academic Board that the thesis be classified as passed or failed, or
 - (ii) request the candidate to make the amendments required by the Examiner(s) and return the amended thesis, together with a statement outlining the revisions that have been made, to the Chairperson of the Supervisory Committee, or
 - (iii) inform the candidate of the specific requirements which the thesis must meet and the completion time, in order to be reconsidered as passed or failed and request the candidate to submit the thesis in a revised form for re-examination by the original Examiner(s), together with a statement, which must be approved by the Supervisory Committee, outlining the revisions that have been made.
- (e) The length of period for an amendment or submission for re-examination of a thesis shall be determined by the Chairperson of the Supervisory Committee, but in any case shall not exceed twelve months from the date of notification to the candidate. In exceptional cases the Higher Degrees Committee may approve an extension of a period up to a maximum of six months. Failure by the candidate to resubmit a revised thesis within this time frame may result in the candidate's enrolment being terminated.
- (f) On receipt of a re-submitted thesis, the Examiner (see Regulation 13(b)(iii)) shall classify the thesis as passed or failed. In the case of a recommendation of pass, the Examiner may recommend further minor amendments only, to be completed to the satisfaction of the Chairperson of the Supervisory Committee.
- (g) A thesis may be re-submitted for examination in a revised form only once during the examination process.
- (h) Where the thesis is recommended as passed on the basis of amendment or re-submission, the Chairperson of the Supervisory Committee shall attach to the Chairperson's Report a statement documenting the candidate's response to the Examiners' reports. In determining the recommendation to the Higher Degrees Committee regarding whether the candidate should be awarded the Doctoral degree, the Chairperson of the Supervisory Committee shall consider the results of any coursework component of the Doctoral degree program in relation to the course description and any prescribed coursework during the period of candidature.

- (i) Where the recommendations of the Examiners do not allow determination of a result based on a clear weight of opinion⁵ the Chairperson of the Supervisory Committee, having discussed the reports with the Supervisory Committee, shall recommend to the Higher Degrees Committee the appointment of an Adjudicator who shall adjudicate between the Examiners' reports on the basis of the thesis presented (in original form or as resubmitted, whichever is appropriate). The Adjudicator shall be appointed by the Higher Degrees Committee and shall be external to the University. The Adjudicator shall be appointed in a manner consistent with regulations 12(b), (c), (d), (e) and (g) pertaining to the appointment of Examiners.

In consideration of a thesis which has not been previously resubmitted for examination and with due reference to the Examiners' Reports, the report of the Adjudicator shall recommend:

- (i) that the thesis be passed with no further amendment other than correction of errors of presentation, or
- (ii) that the thesis be passed subject to amendments being made to the satisfaction of the Chairperson of the Supervisory Committee⁶, or
- (iii) that the thesis be submitted in a revised form for re-examination by those Examiners who so recommended, or
- (iv) that the thesis be classified as failed, without right to resubmit the thesis, on the basis that a limited amount of additional work or modification will not raise the thesis to an acceptable standard.

In consideration of a thesis which has been previously resubmitted for examination and with due reference to the Examiners' Reports, the report of the Adjudicator shall classify the thesis as passed or failed. In the case of a recommendation of pass, the Adjudicator may recommend further minor amendments only, to be completed to the satisfaction of the Chairperson of the Supervisory Committee.

The report of the Adjudicator shall be conveyed to the Chairperson of the Supervisory Committee who will make a

⁵ The determination of whether or not a clear weight of opinion exists must occur at the time of considering the original Examiners' reports and on receipt of any Examiners' reports following re-submission of a thesis as provided in Regulations 13(b)(iii), 13(d)(iii) and 13(f). This determination must take into account the content and context of the reports (i.e., a qualitative assessment of the reports) and the overall classifications (i.e., a quantitative assessment of the reports). It is not sufficient to consider only the classifications of the Examiners. The role of the Adjudicator is to resolve any situation in which it is not possible to determine a clear weight of opinion.

⁶ In certain circumstances the Adjudicator can recommend this classification (13(i)(ii)) even though such a classification has not been recommended by any of the original Examiners. This classification would be given where the Adjudicator believes the thesis requires amendment to the satisfaction of the Chairperson of the Supervisory Committee but does not warrant resubmission or failure.

recommendation to the Higher Degrees Committee regarding the classification of the thesis.

- (j) The Chairperson of the Thesis Examining Panel may communicate with an Examiner in the following circumstances:
 - (i) to clarify any aspect of a report which may conflict with other reports
 - (ii) to clarify any aspect of a report which may affect the overall classification of the thesis
 - (iii) to ascertain the status of a report during the examination process
 - (iv) when requested to do so by the Chairperson of Higher Degrees Committee or university President or Vice-President Academic

The Chairperson must not reveal the identity of an Examiner to another Examiner without the express permission of the Examiner. Furthermore, where a Chairperson is likely to determine a clear weight of opinion which conflicts with a recommendation by one or more examiners under Regulation 13(b)(iii) [Revise and Resubmit] the Chairperson shall, as far as is practicable, discuss the reasons for such a determination with the relevant Examiner(s) and such information should be conveyed to the Higher Degrees Committee at the time of recommending the classification of the thesis in accordance with Regulation 13(d).

- (k) The University Academic Board shall consider the recommendation of the Higher Degrees Committee regarding the classification of the thesis.
 - (i) Where the Academic Board accepts a recommendation that the candidate has satisfied all the requirements it shall make a recommendation to Council that the degree be awarded. The University Academic Board shall satisfy itself that all the requirements of the regulations have been met (including the provisions of Regulation 18 regarding final binding of the thesis) before recommending to Council that the degree be awarded.
 - (ii) Where the University Academic Board does not accept the recommendation from the Higher Degrees Committee regarding the classification of the thesis, the Higher Degrees Committee shall be requested to further consider its recommendation and provide additional information regarding the classification. The University Academic Board shall consider the additional information and determine the classification of the thesis as appropriate.
- (l) The decision of Council to confer the award shall be conveyed to the candidate by the Council's Executive Officer.

- (m) Where a thesis has been declared Confidential, the University Academic Board shall inform the University Library that circulation of the thesis, including any digital copies, should be restricted in accordance with Regulation 11(h) for the agreed period of time.
- (n) Where the University Academic Board accepts a recommendation from the Higher Degrees Committee that a thesis be classified as failed, the student will be notified by the Chairperson of the Higher Degrees Committee. The Registrar will also be notified of the classification. The Higher Degrees Committee shall retain one of the temporarily bound copies of the thesis for record purposes and the remaining copies shall be returned to the candidate.

14. Oral examination

- (a) An Examiner or the Chairperson of the Supervisory Committee may recommend to the Higher Degrees Committee an oral examination of the candidate to clarify aspects of the thesis submitted for examination.
- (b) An oral examination may only be recommended by an Examiner or Chairperson of the Supervisory Committee following the initial examination of a thesis and is not permitted following consideration by an Examiner(s) of a re-submitted thesis. The detailed reasons for the recommendation should be provided in writing to the Higher Degrees Committee.
- (c) Where the Higher Degrees Committee accepts a recommendation for an oral examination it shall appoint a Convenor to co-ordinate and facilitate the oral examination process. The Convenor shall be a senior member of academic staff of the University in a Faculty other than that in which the candidate undertook his/her research.
- (d) The oral examination shall be conducted at a suitable location determined by the Convenor in consultation with the candidate, the Chairperson of the Supervisory Committee and the examiners. The format of the oral examination shall be determined by the Convenor in consultation with the candidate, the Chairperson of the Supervisory Committee and the Examiners and should involve a brief presentation by the candidate followed by a series of questions without notice from the Examiners and Chairperson of the Supervisory Committee. The total time permitted for the oral examination should not exceed two hours.
- (e) An oral examination must include at least two Examiners either in attendance or via video or teleconference links where appropriate. All Examiners must be given the opportunity to attend or participate using appropriate technology. Members of the Supervisory Committee shall also be permitted to attend the

oral examination but are not permitted, other than the Chairperson, to comment during the examination process.

- (f) All costs involved in the conduct of an oral examination and the associated administrative organisation shall be the responsibility of the Faculty in which the candidate is enrolled.
- (g) An Examiner not in attendance or participating in the oral examination using appropriate technology (a non-participating Examiner) shall be invited to provide written questions to the Convenor prior to the oral examination. The Convenor shall ensure that the questions from a non-participating Examiner are put to the candidate and the responses noted.
- (h) The Convenor and members of the Thesis Examining Panel in attendance at the oral examination shall convene a meeting immediately following the oral examination to consider the candidate's responses. The outcome of the meeting of the Thesis Examining Panel shall be conveyed in writing to the Higher Degrees Committee for consideration. The recommendation of the Higher Degrees Committee shall be conveyed to the University Academic Board for consideration in accordance with Regulation 13(k).
- (i) An oral examination should normally be held within four weeks of the decision of the Higher Degrees Committee that such an examination be held.

15. Grievance procedures

- (a) A candidate who has a complaint or grievance regarding supervision or other matters affecting candidature (other than in relation to classification of theses or termination of enrolment) shall report, in the first instance, to the Chairperson of the Supervisory Committee. If the matter cannot be resolved at this level, the candidate shall have the right to have the matter considered by the Higher Degrees Committee. If a candidate has exhausted all avenues for resolution of the complaint or grievance at these levels, and he/she believes that the matter has not been satisfactorily considered, he/she may write to the Dean of Studies outlining the complaint or grievance.
- (b) Notwithstanding the above, all complaints and grievances will be considered in accordance with the University policies in this regard.

16. Termination of enrolment

- (a) The enrolment of a candidate may be terminated by the University Academic Board, upon the recommendation of the Higher Degrees Committee, in any of the following circumstances:
 - (i) where the candidate has failed to submit a thesis within prescribed time limits, including extensions of enrolment

- as approved by the Higher Degrees Committee (see Regulation 4(c)(ii)),
 - (ii) where the candidate has failed to submit an application for Candidacy within prescribed time limits, including extensions of time as approved by the Higher Degrees Committee (see Regulation 6(c)),
 - (iii) where the progress of the candidate is deemed to be unsatisfactory by the Supervisory Committee (see Regulation 9(c)),
 - (iv) where the candidate is *Absent Without Leave* for a period exceeding six months (see Regulation 10(b)),
 - (v) where the candidate has failed to otherwise comply with these regulations.
- (b) Where a recommendation that a candidate's enrolment be terminated is accepted by the University Academic Board, the candidate shall be notified of the grounds for the recommendation in writing.
 - (c) A candidate may appeal against a recommendation by the University Academic Board of termination of enrolment in accordance with regulations 17(a) to (d) inclusive.
 - (c) In exceptional circumstances a former candidate whose enrolment was previously terminated may be re-admitted on the recommendation of the relevant Supervisor after a period of time as determined by the Higher Degrees Committee and on whatsoever terms and conditions it may prescribe consistent with the Higher Degree by Research regulations for Doctoral Degrees.

17. Appeals procedures

Appeals Against Termination of Enrolment

- (a) The candidate may, within 28 days of date of letter of notification of termination of enrolment, appeal in writing to the Vice President Academic against the decision that the candidate's enrolment be terminated. Appeals will be permitted on procedural grounds only. Appeals by candidates simply rejecting an assessment of the merit of their work will not be permitted nor will an appeal on the grounds of complaint about the inadequacy of supervision or other arrangements during the period of study. In these latter cases the grievance procedures (see Regulation 15) should be used at the appropriate time.
- (b) Upon receipt of an appeal, the Dean of Studies shall determine if a case exists for reconsideration of the candidate's termination of enrolment. If it is determined that a case does exist, the Dean of Studies will convene an Appeals Committee comprising:
 - (i) Dean of Studies, or nominee, as Chairperson of the Appeals Committee

- (ii) another member of the Academic Board who holds a research Doctoral qualification, and
- (iii) a Doctoral research candidate as a student representative, that nominee not being the appellant.

A candidate's Supervisory Committee may not be members of the Appeals Committee.

- (c) The Appeals Committee shall resolve either to uphold the decision to terminate or permit the candidate to re-enrol and resume candidature under whatsoever conditions the Committee determines.
- (d) The decision of the Appeals Committee shall be final.

Appeals Against Classification of Theses

For the purposes of this regulation, the thesis under consideration shall be the version that has been classified as failed.

- (e) A candidate whose thesis has been classified as failed may, within 28 days of date of letter of notification of the failed classification, appeal in writing against this classification to the Dean of Studies. Appeals will be permitted on the following grounds only:
 - (i) procedural irregularities in the examination of the thesis or in the conduct of any examination which forms part of the determination of the result. In this case it is necessary for the candidate to demonstrate that an aspect(s) of the examination process, as determined in the regulations, was not appropriately followed and that this caused, or was likely to have substantially contributed to, the award of a fail grade, or
 - (ii) documented evidence of prejudice or bias on the part of one or more of the Examiners.
- (f) Upon receipt of an appeal, the Dean of Studies shall determine if a case exists for reconsideration of the fail classification of the candidate's thesis. If it is determined that a case does exist, the Dean of Studies will convene an Appeals Committee comprising:
 - (i) Dean of Studies, or nominee, as Chairperson of the Appeals Committee
 - (ii) another member of the Academic Board who holds a research Doctoral qualification, and
 - (iii) a Doctoral research candidate as a student representative, that nominee not being the appellant.
- (g) On hearing the appeal, the Appeals Committee may resolve that:

- (i) the candidate be permitted to resubmit the thesis for examination by a new Examiner or Examiners in accordance with regulations 12(b) to (g) inclusive, or
 - (ii) the thesis and Examiners' reports be sent to an Adjudicator in accordance with Regulation 13(i), or
 - (iii) the thesis be confirmed as failed.
- (h) The new Examiner(s), appointed under 17(g)(i), shall examine the thesis and submit a written recommendation under the same provisions as the original Examiners as prescribed in Regulation 13(a) and (b),
 - (i) An Adjudicator, appointed under 17(g)(ii), shall adjudicate on the reports of the Examiners under the same provisions as prescribed in Regulation 13(e).
 - (j) The decision of the Appeals Committee shall be final.

18. Binding and distribution of thesis copies

- (a) In order for a thesis submitted for examination to be classified as passed by the University Academic Board, three copies of the final version of the thesis in appropriate binding or in a format specified by the Higher Degrees Committee shall be presented for distribution as follows:
 - (i) one copy to the University Librarian to be retained in the Reference Library
 - (ii) one copy to the Supervisor
 - (iii) one copy to the Candidate.
- (b) Candidates are required to also submit their thesis in digital format to the Library.

19. Doctor of philosophy degree by submission of published work by staff of the university

A member of staff who, during the course of their employment, has published a work or series of works may make application to the Higher Degrees Committee to submit the published works for examination for the award of the degree of Doctor of Philosophy. The application must satisfy all of the following criteria:

- (a) A person who has, for not less than three consecutive years during the preceding five years, been employed as a full-time member of the staff of the University (whether or not the person is currently so employed) may apply for admission to the degree on the grounds that the person has, by published work⁸ of which the person is the author or a joint author, made a substantial contribution to learning and demonstrated a capacity to relate the work done by the person to the broader framework of the

⁸ Here 'published work' should be interpreted broadly as the publication of a scholarly work in a peer-reviewed medium, including accepted publication, exhibition or performance of a literary or creative work.

discipline within which it falls at the standard internationally recognised for a Doctor of Philosophy degree in the relevant discipline or disciplines.

- (b) The published work, or collection of published works, on which the applicant relies shall be comparable in quantity and academic quality to that which is required for a Doctor of Philosophy degree in the same general field of study.
- (c) This Regulation does not apply in relation to a published work or collection of published works unless:
 - (i) in the case in which the person is the sole author of the work or collection, a substantial proportion of the work or collection is the outcome of research undertaken by the person at the University, or
 - (ii) in the case in which the person is a joint author of the work or collection, a substantial proportion of the person's contribution to the work of the collection is the outcome of research undertaken by the person at the University.
- (d) An application for the Doctor of Philosophy Degree under this Regulation shall be made to the Higher Degrees Committee as follows:
 - (i) the applicant shall submit to the Higher Degrees Committee a descriptive summary of the proposed body of published work for initial review.
 - (ii) the Higher Degrees Committee shall form a PhD by Supplication Review Committee, chaired by the Vice President Academic (or nominee) and including two or more experts in the relevant discipline, which shall
 - i. review the proposed body of published work and approve that it be put in the form of a thesis, providing that the requirements of regulations 19(a), (b) and (c) have been met,
 - ii. provide advice to the applicant regarding the preparation of the thesis, and
 - iii. if deemed appropriate, appoint a mentor to assist the candidate to prepare the thesis. The mentor shall meet the same criteria as supervisor (see Regulation 5(e)).

If, in the opinion of the Higher Degrees Committee on the advice of the Review Committee, regulations 19(a), (b) or (c) have not been met, advice shall be given to the applicant on the nature of the additional work required in order to proceed with the application.
- (e) The application shall be in the form of a thesis in one of the following forms:

- (i) a typescript comprising copies of each published work incorporating a full explanatory introduction detailing the contribution of the author, a review section to link the separate works and to place them in the context of an established body of knowledge, a literature review, and detailed data and descriptions of methods, if not otherwise given, shall be included as appendices. Any published work of which the applicant is a joint author may only be included in the thesis provided the work done by the applicant is clearly identified. The applicant must provide to the Higher Degrees Committee at the time of submission of the thesis a written statement from each co-author attesting to the candidate's contribution to a jointly published work included as part of the thesis. The thesis shall be in a form of binding as prescribed in Regulation 11(c). or
- (ii) a series of literary or creative works accompanied by an exegesis incorporating a full explanatory introduction detailing the contribution of the author, a review section to link the separate works and to place them in the context of an established body of knowledge, a literature review, and a description of methods where appropriate. Any literary or creative work of which the applicant is a joint author/creator may only be included in the thesis provided the work done by the applicant is clearly identified. The applicant must provide to the Higher Degrees Committee at the time of submission of the thesis a written statement from each co-author/creator attesting to the candidate's contribution to a jointly authored/created work included as part of the thesis. The thesis shall be in a format as prescribed in Regulation 11(c).
- (f) Subject to regulations 19(g) and (h), the Higher Degrees Committee shall direct the examination of the thesis as provided in regulations 19(i), (j), (k) and (l).
- (g) The applicant shall clearly mark in the thesis material which has been previously submitted for the purpose of obtaining a degree of any university.
- (h) The Higher Degrees Committee shall not direct an examination of the publications unless in its opinion they consist predominantly of material which was not previously submitted for the purpose of obtaining a degree of any university.
- (i) The Higher Degrees Committee may refuse to direct an examination of the thesis if the applicant has previously pursued a Doctoral degree course under these Higher Degree by Research regulations for Doctoral Degrees.
- (j) The Higher Degrees Committee shall, if an examination is directed, appoint three Examiners in accordance with Regulation 12, all of whom are external to the University.

- (k) An applicant under this rule may be orally examined in a manner determined by the Higher Degrees Committee and in accordance with Regulation 14.
- (l) Examiners of the thesis must submit to the Higher Degrees Committee a report in a form as prescribed in Regulation 13 in which they shall recommend that the applicant be awarded or be not awarded the degree of Doctor of Philosophy.
- (m) The Chairperson of the PhD by Supplication Review Committee shall receive the Examiners' reports and, after consideration by the Review Committee, report to the University Higher Degrees Committee. Subsequently the Higher Degrees Committee may:
 - (i) recommend to Council, through the Academic Board, that the applicant be awarded the degree of Doctor of Philosophy, or
 - (ii) resolve that the applicant be not recommended for the award of the degree of Doctor of Philosophy.
- (n) An applicant may appeal against a recommendation by the Higher Degrees Committee that the degree of Doctor of Philosophy not be awarded in accordance with Regulation 17(e) to 17(j) inclusive.

20. Effects of changes in the regulations

A candidate shall comply with these regulations as from time to time amended or remade except that, where the Higher Degrees Committee is of the opinion that any candidate has been or may be adversely affected by a change in the regulations since initial enrolment, the candidate may be permitted to continue under such Regulation or regulations in force at any time during the period of candidature and on conditions the Higher Degrees Committee may prescribe.

Updated: May 2011

Appendix i.



DIVINE WORD UNIVERSITY

Post graduate Research Centre

POLICY ON ETHICAL PRACTICES IN RESEARCH INVOLVING HUMAN PARTICIPANTS

Divine Word University recognises the freedom of academic staff to engage in research and to teach and assess students in the manner they consider best promotes learning. For these freedoms to be real there must be an environment in which members of the academic community can question and test received wisdom, put forward new ideas and state controversial or unpopular opinions. The price of academic freedom, however, is the University's assurance that research and teaching are conducted in accordance with the highest ethical standards. The measures that the University takes to attain these standards must stand up to public scrutiny. This policy is directed at these ends.

1. Purpose

The purpose of this policy is to promote ethical practices in research. It seeks to ensure that all researchers are aware of ethical issues concerning research activities that involve human participants. It prescribes principles and procedures for determining whether research proposals involving human participants meet appropriate ethical standards. Researchers, teachers and other members of DWU should always consider whether their work requires ethical approval in accordance with this policy.

2. Research proposals that require ethical approval

Ethical approval is required for any research proposal in the University which:

- involves individuals or groups as the subject of experimentation or study
- involves human tissue or samples or
- otherwise concerns individuals' personal information, rights and freedoms.

***Research* means any research involving human participants or human tissue:**

- conducted by any student or employee of DWU while in the course of his or her study or employment with the university, including research projects carried out by students as part of course requirements and surveys or questionnaires undertaken by DWU administration or student services concerning organisational practices, or
- conducted within the precincts of DWU, or
- conducted by an outside agency at the request or under the auspices of DWU.

Research does not include the analysis of data collected elsewhere.

A *participant* is any person:

- whose behaviour, actions, condition, state of health or other characteristics the researcher proposes to study, or
- whose personal information the researcher proposes to collect or use, and
- includes subjects, clients, informants, students and patients.

Personal Information means any information about an individual who maybe identifiable from the data once it has been recorded in some lasting and usable format, or from any completed research.

2.1 Proposals which require approval from DWU Ethics Committee

Any proposal, which involves any of the following, may not commence without approval from the DWU Ethics Committee.

A research proposal requires approval if it involves:

- Personal information – any information about an individual who may be identifiable from the data once it has been recorded in some lasting and usable format, or from any completed research
- The taking or handling of any form of tissue or fluid sample from humans or cadavers
- Any form of physical or psychological stress
- Situations which might place the safety of participants or researchers at any risk
- The administration or restriction of food, fluid or a drug to a participant
- A potential conflict between the applicant's activities as a researcher, clinician or teacher and their interests as a professional or private individual
- The participation of minors or other vulnerable individuals

- Any form of deception that might threaten an individual's emotional or psychological well-being.

2.2 Exempt proposals

Proposals involving existing publicly available documents or data (for example, analysis of archival records which are publicly available) do not require approval under this policy, unless they otherwise fall within the criteria of (2.1) above.

3. Principles and policies governing ethical approval

The following principles are consistent with DWU's obligations to maintain the highest ethical standards in the exercise of academic freedom. They apply to research proposals that require ethical approval.

A proposal must demonstrate:

- Research merit
- Participants' informed consent which is given free from any form of coercion
- Respect for participants' rights of privacy and confidentiality
- Minimisation of the risk of harm to participants
- Special care for vulnerable participants
- Limitation of, and justification for, any deception
- Appropriately qualified supervision
- Avoidance of any conflict of interest
- Respect for societies and cultures of participants
- Freedom to publish the results of research, while maintaining the anonymity of individuals.

DWU's policies develop from these principles and the University expects researchers to comply with them.

3.1 Research merit

Good research design is critical. Poor design and inadequate safeguards have implications for the safety of participants. The Research Committee has a duty to assess or have assessed the methodology of proposals either directly or through obtaining knowledge elsewhere. The Ethics Committee will interpret the signature of the Chairperson of the Research Committee on an application for a research proposal as an assurance that the methodology is sound. The Ethics Committee may, however, seek independent verification of methodology or scientific validity.

3.2 Informed consent

Participation of humans in research projects that come under the guidelines of 2.1 must be voluntary and obtained through informed consent. To meet the requirements of informed consent the information provided to the participant must:

- Be adequate and appropriate, using language that prospective participants can understand
- Describe any attendant discomforts or material risk

- Explain the purpose of the research and include a description of any benefits that the researcher expects
- Disclose all financial implications for participants including payment of expenses or fees, and explain all compensation or indemnity arrangements
- Include an offer to answer any questions and the name, university phone number, email and fax addresses (as applicable) of the person from whom further information can be obtained during the course of the research, and a summary of the results when the project is complete
- Include an offer of assistance in case of distress, and provide contact details.

Consent must be voluntary and therefore obtained without duress, undue influence or disproportionate financial inducements. There must be a statement to the effect that:

- Potential participants who decline to participate will suffer no adverse effect
- Participants are free to withdraw their consent and discontinue participation in the research at any time without disadvantage.

Consent in writing is mandatory, except in minimally intrusive research (e.g. questionnaires eliciting non-personal information) or where the researcher can provide the Ethics Committee with good reason.

3.3 Vulnerable participants

Research involving participants at particular risk requires researchers to take special care. These include minors, prisoners, mentally infirm or unconscious persons. Where the vulnerable participant is not competent to give consent, the researcher must seek a proxy consent from a person legally representing the person's interests. Where the vulnerable participant can understand his or her interests, the researcher must seek the individual's informed consent. In the case of children, however, the researcher must in any event obtain the consent of the child's legal guardian. Where either the child or the legal guardian declines consent, the child cannot participate in the project. The vulnerable person's decision not to participate has priority over any other valid proxy consent (e.g., by legal guardians or representatives).

3.4 Privacy

Researchers must protect participants' personal information at all stages of a research project unless the participant has given a prior written consent for disclosure. Researchers should:

- Note that it is preferable to collect personal information directly from the individual concerned
- Take steps to ensure that participants know that the researcher is collecting information, why he or she is collecting it, who will receive the information, and what consequences there are, if any, of not supplying the information

- Ensure participants know of their rights of access to and correction of personal information
- Ensure that they collect only that personal information which is relevant, accurate, up to date, complete and not misleading
- Keep personal information secure and for only as long as is required, but, if it constitutes original data for the purposes of the research project, for at least five years
- Use personal information only for the purpose for which they acquired it, unless they obtain the authorisation of the individuals concerned.

3.5 Minimisation of harm

The researcher must balance inconvenience and discomfort to participants against the benefit to the participant or to society and the importance of the knowledge to be gained.

3.6 Limitation of deception

Deception of participants in research projects is justified only where the impact of the deception on the participant is minimal, the potential knowledge to be gained is significant, and no less a deceptive means is reasonably available. Wherever possible, projects involving a measure of deception must incorporate an appropriate debriefing of the participants at the end of the project. The researcher must provide the participants with an explanation of the research goals and procedures. Researchers also have an obligation to be available after participants have participated in the project should any stress, harm or other concerns arise.

3.7 Appropriately qualified supervision

Appropriately qualified personnel must supervise research involving human participants.

3.8 Conflict of interest

Generally, applicants must avoid any project that puts them in a position where their activities as a researcher, clinician or teacher might come in conflict with their interests as a professional or private individual. Applicants must explain to the Ethics Committee the nature of any potential conflict, and what actions if any they propose to take to minimise, avoid or resolve the conflict.

3.9 Cultural and social sensitivity

Researchers must ensure that their actions are appropriately sensitive to participants' cultural and social frameworks. Non-PNG researchers must discuss any issues relating to PNG cultural or ethical values with experts from and on Papua New Guinea.

3.10 Publication of results

Participants may not attempt to prevent or limit the researcher's right to publish the results of the research. This right of publication is qualified by the need to ensure appropriate preservation of participants' anonymity and to report results

accurately. Where possible, researchers must convey findings to participants in a form comprehensible to them.

4. Compliance with other standards

Research proposals must conform to any other relevant professional codes relating to research. Where there is any inconsistency between the DWU policy and a professional code, the researcher must advise the Committee of the inconsistency and the Committee shall determine what is to apply.

5. Remuneration of participants

5.1 Remuneration which is permitted

Reimbursement for participants' out-of-pocket expenses, time, and any discomfort or inconvenience is permissible, only to the extent that this constitutes recompense.

5.2 Remuneration which is not permitted

The following types or circumstances of remuneration are not permitted:

- Remuneration which might operate to induce participation of persons whose circumstances disqualify them from participation in the research
- Remuneration which, in the circumstances, discriminates improperly between participants and non-participants
- Remuneration which discriminates improperly between different participants or different classes of participants.

5.3 Remuneration in circumstances of withdrawal

Where a participant withdraws from a project after it has begun, he or she must receive a payment proportional to his or her participation. A participant who withdraws from a research project or teaching activity must in no way suffer any academic disadvantage consequent on withdrawal.

6. Functions of the Ethics Committee

The functions of the Ethics Committee are to:

- Ensure that all research within DWU, or under the auspices of DWU, which involves human participants or the use of personal information is carried out in accordance with DWU's policies on ethics by:
 - considering and, where appropriate, approving proposals
 - recognising or noting approvals granted by other accredited bodies
- Consider any matter of ethical concern relating to the involvement of human participants in research which any student or member of staff of DWU raises with the Committee
- Ensure that research proposals are carried out in accordance with the currently applicable International Standards for University Ethics Committees, and other relevant professional codes relating to research
- Review at least at three yearly intervals the policies and procedures for giving ethical approval to research proposals and to foster an

awareness of those procedures and of ethical principles in general within DWU

- Report annually to the University Council and otherwise as necessary.

7. Composition of the Ethics Committee

The Committee nominally comprises not fewer than 6 members, of whom at least one shall be a lay member (i.e. a person who is neither a professional researcher nor employed by DWU in a research or teaching capacity). Members of the Committee shall be chosen not only because of the area of their expertise but also for their personal qualities. The Committee may co-opt experts when necessary. The Committee's membership shall at any time reflect an appropriate diversity of knowledge and experience in ethics, philosophy, law, research design and PNG culture.

7.1 Powers and Procedures of the Ethics Committee

7.1.1 No Procedure may proceed without approval

No proposal that falls within 2.1 may begin until the Committee approves the proposal, and notifies the applicant in writing.

7.1.2 Method of application

The Committee will consider proposals at scheduled meetings.

The Committee will interpret the signature of the Chairperson of the Research Committee on the application as an assurance that the proposal is soundly based.

7.1.3 Meetings and quorum

The Committee will meet monthly if and when there are proposals to consider.

A quorum for the purposes of considering proposals shall be half the membership plus one, of whom at least one must have direct experience of research and one must be a lay member.

7.1.4 Decisions

The Committee may seek expert advice as it requires on any proposal. The Committee may approve only those proposals that comply with DWU's principles and policies on ethical practices.

Where a proposal does not comply with DWU's principles and policies, the Committee may:

- Provisionally approve a proposal subject to changes made to the Committee's satisfaction. The Committee will give reasons to the applicant for the changes it requires. The Convenor may give final approval after the researcher has made the required amendments.
- Decline a proposal. If it does this, the Committee will give reasons to the researcher.

7.1.5 Members' conflicts of interest

Any member of the Ethics Committee who has a proposal before the Committee or who has a conflict of interest

whereby the impartiality of that member could be questioned will withdraw from the Committee's assessment of that proposal.

7.1.6 *Subsequent changes to proposals*

If the nature, content, procedures, location or principal investigator of a research proposal changes after the Committee has approved it, the applicant must seek a further approval from the Committee. Applicants are responsible for informing the Committee if any of these changes occur. The Convenor of the Committee may approve minor changes without reference to the Committee.

7.1.7 *Reconsideration and appeals of decisions of the Committee*

An applicant who is dissatisfied with the Committee's decision may request the Committee to reconsider the decision. In reconsidering the original decision, the Ethics Committee may seek and consider additional information.

Appendix ii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Research Proposal Guidelines

The following text is presented as a guide to both supervisors and graduate research students at Divine Word University.

Who needs to present a Research Proposal?

All students who are research students must present a Research Proposal. These students will include:

- ❖ PhD students
- ❖ Professional Doctorate students
- ❖ All postgraduate students whose degree includes a research component that consists of 50% or more of the allowed degree time and units
- ❖ Other postgraduate degree students whose program requires a Research Proposal Presentation.

Doctoral candidates are expected to present both a Substantive Written Proposal and a Verbal presentation at a seminar to the University. A Supervisory Team or Panel of reviewers will be appointed. Proposals will be reviewed, where possible, by at least the Chair of the Supervisory Team. Masters by research Degrees candidates are expected to present a written Proposal that will be reviewed by internal Evaluator.

When should the Research Proposal be presented?

The Research Proposal should be presented after the first semester and within the first year of the fulltime research period. The successful presentation of a Research Proposal is required before the collection of any primary data. Thus, the research proper may not start until the University accepts the Research Proposal. Variations to these guidelines must be requested in good time before the expected due date. Such requests will normally be argued in writing and addressed to the Higher Degrees Committee.

What is a Research Proposal?

The following points are not meant to become headings in the Research Proposal. They are guidelines to ensure that all the necessary components of a good Research Proposal are included and are adequately discussed.

- ❖ Title
- ❖ Purposes and background of the proposed research
- ❖ Review of the significant literature. This will include a thorough discussion of significant terms and explanation of major concepts
- ❖ An unambiguous research question, problem or thematic development that can be operationalised and articulated into pertinent relevant parts
- ❖ A proposed theoretical framework that will be used to explore the research problem
- ❖ A clear statement and rationalization of the chosen methodology
- ❖ An argument showing the types of data, if any, that will be required to answer the research question
- ❖ An ethical statement and process that acknowledges both university and external ethical requirements (National and State regulations pertaining to the particular type of research proposed). This will include aspects of anonymity and confidentiality, care for research participants/subjects and data integrity and protocols for dealing with issues of sampling, informed consent and rights of participants/research subjects. Within discussions with one's supervisor, and if required the advice of the Research and Higher Degrees Committee, an Ethical Clearance request to the University Ethics Committee should accompany the Research Proposal.
- ❖ An explicit articulation of the methods chosen based on the methodology to achieve the data required by the research question
- ❖ A plan to achieve an appropriate sample and a defense of the sample as both adequate and informative of the research question
- ❖ As a minimum, a planned method of analyzing the data to be collected. Good Proposals will give an extensive treatment to how the data will be analyzed and brought to bear on the research question. This may be part of the literature review
- ❖ A statement of ethical commitments.
- ❖ An estimate of costs of time and resources of the research plan, including a clear outline of those costs for which the student will request some level of support
- ❖ An explicit timeline for the research process including data collection, analysis, writing of the thesis and submission of the final product. This will include an estimate of the patterns of enrolment: what periods will be part time and at what rate [e.g. 33%, 50% or other] and when enrolment might be fulltime [e.g. for data collection or writing stages depending on the nature and rhythms of the intended project].

- ❖ A copy of the formal Ethical Clearance Request to the University's Ethics Committee. If formal Ethical clearance has not yet been requested, this request of the Ethics committee must also be made by the time that the Research Proposal is submitted.

The Proposal should be typed double-spaced on single sided white A4 pages. Margins should be of 3cm. An approved method of citation and referencing must be consistently employed in accordance with the university requirements. The document should have a *Title Page*, *Table of Contents*, and *References* at the back and be bound in a firm manner [staples are usually sufficient].

The ideal length of a Research Proposal is based on minimum number of pages required to thoroughly convey details of the study. There is no value in stretching out a shorter document to conform to some preoccupation with size. For a doctoral project it is likely that good proposal may need 25-50 pages to make their arguments at sufficient depth to be defensible at this level. Headings, Tables, Appendices and Figures can all be used to improve communication and these should conform to academic conventions.

Three hard copies should be submitted (together with an electronic copy) and all should be signed signifying that the work within is that of the student. The student should keep at least one copy and give a copy to each supervisor. Electronic copies should always be preserved. If support via an external scholarship or sponsorship of the research is an issue, the extent of external assistance, conditions and limits of data ownership, and any obligations that require reporting or limit reporting of data and findings, must be clearly declared.

The Research Proposal is prepared under the guidance of the principal supervisor. Preparation of the Research Proposal will involve extensive discussions, reading of the literature, drafting and re-drafting of documents and possible papers. In some sense this period of working together allows both supervisor and student to develop a rapport that will enable them to each commit to the research phase of the project.

The format and style of the Research Proposal must conform to academic conventions. It is strongly suggested that students use the thesis.dot style sheet supplied in MicroSoft Word™ and hence ensure a consistency of formatting throughout their document. References are best cited using the American Psychological Association (APA) Referencing System. The APA is also compatible with the Endnote program. Endnote™ is available from the IT department and should be installed in the computers at the Postgraduate Moramoro Laboratory

The Research Proposal must be submitted to the Higher Degrees Committee. The Proposal should be accompanied by a letter from the principal supervisor, with whom the student has developed the Proposal. This letter will state that the supervisor

1. Agrees that the Research Proposal is timely

2. Accepts that the student can achieve the work outlined, and
3. The conditions under which the principal supervisor is prepared to continue his/her supervision of the student into the research phase of the project.

The Research Proposal is a substantial document. A doctoral Research Proposal describes a significant concentration of personal resources over an extended time and will need to explain to the evaluators how this research will be performed. More restricted research projects (i.e. dissertations) may be well detailed in a more concise Proposal. Obviously, the length is not the point. The aim of the Research Proposal is that the university can answer several simple questions of the research student before the student's research candidacy is ratified and hence the student properly represents her/himself as a Divine Word University research student. Students enrolled in coursework and dissertation mode Masters and the Professional Doctorate may prefer to present their Proposal while still doing coursework in order to maximize their primary data collection time. The basic questions that the University asks of each student are:

1. Is the Research Question a substantial and worthwhile question?
2. Does the student know enough about the content area to be able to have a good sense of the question and its problems?
3. Does the student know enough about the proposed methods to have a reasonable chance of avoiding predictable pitfalls and to gather the required data in a meaningful fashion?
4. Can the student do the work in the required time and can the University adequately support this work?

The Research Proposal is really a two-part process. The first, substantial and assessed component is the Written Proposal. The second component is the Oral Presentation. The oral presentation will be formally assessed to determine the status of candidature, which is an important part of the University's commitment to developing an academic research culture, a spirit of collegial and open enquiry and the communication of its research undertakings. As such, the Research Oral Presentation is a public function at which the University takes pride in the reporting of the planned research of its students.

Arrangements to Coordinate the Research Proposal

The Director, Postgraduate Programs, on behalf of the Higher Degrees Committee, coordinates the Research Proposals.

Normally, the student and her/his principal supervisor work towards the satisfactory presentation of the Research Proposal as a written and oral presentation. The written document is delivered at least 3 weeks before the public presentation so that the Evaluators can have adequate time to read and make comments upon the text.

The Dean of the Faculty should be offered, as a matter of courtesy, a copy of the Proposal to ratify that it is ready to be presented. When the Proposal is ready, the Principal Supervisor will write a letter to the Higher Degrees Committee supporting the Proposal. The student will submit 3 soft-bound copies of the Proposal [spiral binding will suffice] and one electronic copy in MSWord doc or rtf format on either a diskette or CD ROM.

The Higher Degrees Committee appoints a Supervisory Team to serve as evaluators or assessors. The Evaluators are selected in consultation with the student's supervisor/s and the Faculty. The number of Evaluators is at the discretion of the Higher Degrees Committee but for doctoral candidates, there should be at least three. The concern is not to achieve consensus but to enable a critique of the Proposal that covers the major issues of the research plan. Their task is to report on both the content and methodology of the proposed research. Evaluators are appointed based on their acknowledged expertise in particular areas. Their reports are advisory to the Higher Degrees Committee.

The oral presentation of the Research Proposal has the following structure. The presentation is a public function of the University and an open invitation to staff and students will be issued. It is expected that the supervisor/s attend in a role best described as active listening. After an introduction by the chairperson, normally the Director, Postgraduate Programs, the student presents the Research Proposal for 30-40 minutes. This presentation needs to respect both the intrinsic worth of the research question as well as the general audience. Following the presentation a period of questions will follow. Generally, the Evaluators start these questions with a few comments and these are followed by questions from the audience.

It is the personal responsibility of the candidate to ensure that the spirit of this presentation time-line be preserved. This guide is to ensure that the main matters of the research plan are presented, that significant Evaluators get the chance to respond and that the audience, who come along in support and interest, can have the chance to make a real contribution and comment on the work of the candidate and the University.

Outline of the Research Proposal Presentation

Component	Duration	Comments
Introduction	2-5 minutes	Chairperson, usually a member of the Research and Higher Degrees Committee, welcomes participants and briefly explains the process
Research Student Presentation	35-45 minutes	Topic is explored. The background and importance of the topic may take up to 10 minutes. The remainder of the time must be spent explaining methodology, method, sample and proposed instruments, time line and anticipated budget and expenses. AV often helps a presentation, and a 1 page handout to the audience is encouraged.
Evaluators Responses	10-15 minutes	Evaluators, who will submit a written report, are invited by the Chairperson to lead with comments and questions to the candidate. The candidate will be invited to respond, in a brief manner, to any questions.
Questions from the floor	Minimum 15 minutes	The Chairperson invites questions and comments from the floor. The candidate may wish to respond to some of these questions.
Total duration	No longer than 90 minutes	These times should be strictly observed. Should the Chair have to enforce these times, s/he may do so by stopping a presentation. Indications would be that, the presentation is ill-prepared and/or comprising a poorly focused research proposal. There is also the issue of courtesy to the audience.

Appendix iii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Research proposal evaluation guidelines

D = Done adequately I = Inadequate ND = Not Done	D	I	ND
1. Expertise			
a. Does the researcher demonstrate an understanding of the paradigm/s and the particular methods being used?	D	I	ND
b. Are appropriate references cited?	D	I	ND
2. Problem and/or Research Question/s			
a. Is the problem clearly delineated with an appropriate rationale for using the chosen approach?	D	I	ND
b. Is there a single, broad research question? More?	D	I	ND
c. Is the scope of the questions(s) manageable within the timeframe and context of the study?	D	I	ND
3. Purpose			
a. Is the purpose for the study one of discovery and description, conceptualization (theory building), illustration, or sensitization?	D	I	ND
b. Is the purpose clearly stated?	D	I	ND
4. Literature Review			
a. Does the particular method call for a literature review and/or conceptual framework prior to initiating the fieldwork?	D	I	ND
b. If so, is the review sufficiently comprehensive?	D	I	ND
c. Are major concepts identified and defined?	D	I	ND
d. Is an initial framework appropriate? If so, is it presented?	D	I	ND
e. If a literature review is appropriate only after data collection, does the researcher outline a process for accomplishing this?	D	I	ND
f. If bracketing assumptions are an important component of the method selected, is this process explained? Other technical aspects of the methodology chosen are well explained?	D	I	ND
5. Context			
a. Is the content for the study adequately described?	D	I	ND
b. Is a plan for gaining access to the setting given?	D	I	ND
c. Is the researcher-respondent relationship described and	D	I	ND

D = Done adequately I = Inadequate ND = Not Done	D	I	ND
understood?			
d. Is the role of the researcher as 'research tool' apparent?	D	I	ND
6. Sample			
a. Are the unique issues of sampling in this methodology adequately addressed?	D	I	ND
b. Are the potential characteristics of the sample outlined?	D	I	ND
c. Are possible problems with sampling recognized and some planning made to accommodate these?	D	I	ND
7. Data Collection			
a. Does the researcher demonstrate knowledge of general research strategies useful to collecting and storing data?	D	I	ND
b. Are the data collection strategies congruent with the purpose of the study, the research question, and the type of research methodology selected?	D	I	ND
c. Will additional methods (other methods within the same methodology or methods from different methodologies) be used?	D	I	ND
d. If so, does the researcher demonstrate skills in their use and understanding of their characteristics?	D	I	ND
e. Are problems of validity and reliability addressed from a methodologically appropriate perspective?	D	I	ND
8. Data Processing, Plans for Analysis			
a. Does the researcher outline a plan for keeping data organised and retrievable?	D	I	ND
b. Is the plan also secure in terms of privacy, confidentiality and anonymity considerations (where appropriate)?	D	I	ND
c. Are tentative frameworks for analysis appropriated?	D	I	ND
d. Are they explored?	D	I	ND
e. If the framework is to be derived directly from the data, does the researcher show how this will be accomplished?	D	I	ND
9. Human subjects			
a. Does the researcher demonstrate an understanding of the measures necessary for the protection of subjects in this research?	D	I	ND
b. Is there clear evidence of ethical guidelines being consulted and observed?	D	I	ND
c. If a written contract is called for, is an example included in the proposal?	D	I	ND
10. Importance as research			
a. Is this research worth doing in terms of the inputs (resources, time) and outputs (likely or possible)?	D	I	ND
b. Is this research of theoretical importance to increase our knowledge and understanding?	D	I	ND
c. Is this research of practical importance to inform and improve our present practices?	D	I	ND

D = Done adequately I = Inadequate ND = Not Done	D	I	ND
11. Reporting			
a. Is the Proposal written in a style that is easy to read and follow?	D	I	ND
b. Is the grammar and syntax of a professional standard?	D	I	ND
c. Does this Report suggest that the final report will be readily accessible to its intended readership?	D	I	ND
d. Are Figures, Tables, Diagrams and illustrations appropriately used?	D	I	ND
e. Does the Report show evidence of competent and appropriate citations and referencing	D	I	ND
12. Global Issues			
a. Are reliability issues presented and dealt with in a meaningful way throughout the proposal (data collection, analysis and reporting)?	D	I	ND
b. Are validity issues presented and dealt with in a meaningful way throughout the proposal (data collection, analysis and reporting)?	D	I	ND
c. Are ethical issues presented and dealt with in a meaningful way throughout the proposal (sampling, data collection, analysis and reporting)?	D	I	ND
d. Timeline of research reasonable and practical?	D	I	ND

Cobb A. & Hagemaster J. (1987). Ten Criteria for Evaluating Qualitative Research Proposals, *Journal of Nursing Education*, 26, (4).

Appendix iv.



DIVINE WORD UNIVERSITY

POSTGRADUATE RESEARCH CENTRE

**GUIDELINES FOR GOOD SUPERVISION OF CANDIDATES DOING
HIGHER DEGREES BY RESEARCH**

1. Introduction

1.1 The supervision of research higher degree candidates is part of a university's core business. Although it is a crucial facet of the transmission of ideas and knowledge, research supervision is also an integral part of the extension of knowledge. Leading universities recognize that the work of postgraduate research students forms a vital part of an institution's overall research effort and that research students contribute importantly to the university's research profile. It is hardly surprising, therefore, that many universities strive to improve supervisory practice. Excellence in supervisory practice helps students to fulfil their potential and contributes to the institution's research profile. A reputation for supervisory excellence and a prominent research profile lead in turn, to the attraction of further high calibre students.

1.2 There are several components of the supervision of research higher degree candidates and a complete statement of what constitutes good supervision requires that each of those components be addressed. They include:

- the work of individual supervisors
- the infrastructure support available through faculties
- the institution's policies with respect to postgraduate research and
- the extent to which administrative structures and procedures are designed to assist research students.

1.3 This document is concerned with the work of individual supervisors

2. Procedures

2.1 Many discussions of higher degrees by research and the supervision of that work divide candidature into three discrete stages:

- the early stages with a focus on reading and analysis
- a middle stage with a focus on data collection and analysis or on further critical reading, and

- a final stage that primarily involves writing.

Although it is convenient to divide candidature into stages for the purposes of discussion, candidature itself should not be thought of as involving clear and discrete stages. Rather, the elements that make up higher degree research can be viewed as involving a series of cascading processes.

- 2.2 The present approach has been to structure the discussion around a number of organizing themes that appear to be central to good supervision.

3. Provision of structure

- 3.1 The provision of structure by supervisors is crucial at all stages of candidature, but probably more so at the beginning. Good supervisors do this initially by providing material to be read, analysed and discussed and by providing advice about the limits or boundaries of the thesis topic. Many students experience anxiety about the boundaries of a topic and this manifests itself as an inability to distinguish between what is essential reading and what is not. Good supervisors are alert to this problem and can guide students with advice on material to be read. Of course, students must learn how to search and summarize a literature. The point here is that in the early stages of candidature, a structured approach to reading is essential.
- 3.2 Guidance in material to be read is often an important part of the negotiation of a thesis topic. Although supervisors obviously should not provide students with topics, research questions and detailed research plans, there is nevertheless a certain amount of appropriate guidance towards areas that supervisors know will yield interesting and challenging thesis topics. This can be done by directing students to particular areas of reading and by shaping the reading requirements to make them progressively more focussed. This "funnel" approach to reading requirements means inevitably that there are choice points with respect to directions and it is here that students and supervisors "negotiate" topics. Choices often represent a compromise between the student's interests and the interests and expertise of the supervisor. It is important that students have a clear picture of the supervisor's research so that there is no ambiguity about the boundaries between the student's and the supervisor's work.
- 3.3 The careful selection of material to be read is of little use unless that material is then discussed and the ideas that flow from it evaluated. It is the iteration of reading/discussion/evaluation that helps to define the research topic and the research aims. It is also crucial in developing in the student a facility for critical analysis and that in turn lays the foundation for a literature review (if appropriate) that will lead to a detailed research plan. The provision of structure early in candidature is also important in developing a broad timetable for completion of the thesis. Obviously the timetable cannot at this stage be too detailed, but it is essential that some broad time lines be agreed at this stage with a

view to completion of the PhD thesis in around 3.5 years (full-time equivalent) and 2 years (full time equivalent) for a MPhil.

- 3.4 The provision of structure is also important at other times. For example, supervisors are responsible for ensuring that students have an understanding of the relevant theories and the methodological and technical skills that are necessary for the research. They also need to ensure that students have mastery of the data analytic techniques that are necessary to answer the questions posed in the research. As part of the monitoring of progress, supervisors need to keep a careful watch on the analyses performed and the results obtained. Although not universally the case, there is a tendency in some disciplines for students to over-analyse data or to pursue theoretical issues too far and to lose sight of the questions being asked. Good supervisors ensure that the appropriate analyses are performed and invest a good deal of time and effort in discussion of the interpretation of the results.

4. The development of writing skills

- 4.1 The best supervision requires that students begin writing almost at the commencement of candidature. Material that has been read should be summarized and subjected to critical analysis and submitted to the supervisor for comment. This procedure not only establishes a context for the provision of feedback, but provides a mechanism which helps the student to develop her/his ideas and to formulate research questions. The development of writing skills is a gradual process and if left until towards the end of candidature, will often cause considerable pain to both student and supervisor.
- 4.2 If the development of writing skills is neglected until thesis writing has begun, there is sometimes a fine line to be drawn between appropriate direction and guidance and the implication that the thesis has been written more by the supervisor than by the student. In addition, there is a risk that the student will find the process of writing so aversive that he or she will either take an inordinately long time or withdraw from the degree program.
- 4.3 Insistence on the submission of written work early in candidature can avoid many of the difficulties, but only if timely and appropriate feedback is provided. Good supervisors provide two broad types of feedback.
- The first concerns the substantive nature of what has been written and is almost invariably amplified through extensive discussion. Obvious points concern theoretical notions, methodological issues and interpretations of evidence.
 - The second concerns what may be termed 'editing' and ranges from teaching students how to construct sentences that are correct grammatically to the more subtle points of how best to write for a particular audience or a particular journal. Although the editing function is an important part of the supervisory process, it is something that should occur less and less frequently as more written material is submitted. Good supervisors are explicit in telling their students that they (the supervisors) expect to edit less as

students acquire writing skills. There may be some instances in which writing skills cannot be fostered by the supervisor alone. In such cases, supervisors need to ensure that appropriate help is arranged.

5. Provision of feedback

- 5.1 Performance is affected by feedback and more so by rapid than by slow feedback. Good supervision involves the provision of feedback on all aspects of performance, whether this be critical analysis of an individual paper or an entire literature, the articulation of a research design, approaches to analysis, or formal oral presentations. However, the feedback must be timely. Of all the difficulties experienced by students, an inability to obtain feedback ranks as the most important.
- 5.2 Part of the difficulty in the provision of feedback is that there is often a mismatch between the student's and the supervisor's expectations. For this reason, good supervision requires that supervisors provide students with realistic times for the provision of feedback and then ensure that they adhere to the timetable that has been agreed. Students should be encouraged to provide written material in a way that allows relatively rapid feedback. At the thesis writing stage, for example, individual chapters or perhaps in some instances, parts of chapters, should be submitted for comment.

6. Associate supervision

- 6.1 Associate supervision is an important part of the university's policy on supervision. In encouraging associate supervision, it needs to be recognized that associate supervisors fulfil a range of roles. For example, some associate supervisors are appointed because of general expertise in the area of the thesis, whereas others have specific skills on which a student can rely. Good supervision ensures that associate supervisors are kept up to date with student progress and that they are aware of potential difficulties in candidature. The particular role to be played by an associate supervisor and his/her responsibilities need to be discussed and understood early in candidature.

7. Communication and expectations

- 7.1 It is essential that supervisors and students have a shared set of expectations about all aspects of supervision. Each needs to understand the constraints that operate on the other and the effects that these might have on supervision. Good supervisors have a clear set of expectations that are made explicit to the student. For example, good supervisors are explicit about the need for regular meetings, the need to set goals and times for their completion, the benefits of seminar and conference presentations, the importance of publication, the need for mastery of methodological skills, and the necessity for completion within 3-4 years (full-time). Similarly, students should be explicit about their expectations with respect to supervisor availability, the provision of feedback and the timeliness of that feedback.
- 7.2 Clear and forthright discussions about each other's expectations at the outset of candidature can help to avoid some of the problems that are

sometimes seen later in candidature. It is clear from analysing these cases that not only do students and supervisors sometimes hold different expectations, but that they are unaware of each other's views. Early discussion, negotiation if necessary, and agreement with respect to the parameters of supervision is essential if later problems are to be minimized.

8. Monitoring of Progress

- 8.1 Good supervision involves regular meetings between student and supervisor. Although the frequency of meetings may vary depending on topic and stage of research, the regularity of meetings is paramount. Meetings arranged on an informal basis can often lead to a situation in which the supervisor is not as familiar as she/he should be with what the student is doing and with the progress being made. Frequent and regular meetings are crucial during the early stages of candidature when the topic and research questions are being defined.
- 8.2 University policy requires that alternative supervisory arrangements be made when a principal supervisor is absent on leave for an extended period of time. In some instances, the primary supervisory responsibilities can be taken on by an associate supervisor. However, good supervisors try to maintain contact by e-mail and facsimile during extended periods of leave. Moreover, effective supervisors constructively plan with their students detailed work plans and goals for their periods of absence.
- 8.3 An important aspect of the monitoring of progress involves the joint development of work plans and the setting of tasks to be completed by particular deadlines. Doctoral work involves programmatic research within a 3-4 year time period and given this overall time constraint, it is crucial that students learn that component research tasks have to be completed within agreed deadlines. Effective supervisors make it clear to students that time lines must be set and must be observed.
- 8.4 Finally, the formal yearly and half-yearly reports provide an opportunity for both students and supervisors to reflect on the quality of work and the progress made. Importantly, it is also an opportunity to identify any difficulties that are impeding research progress and to bring these to the attention of departmental postgraduate coordinators, Heads of Schools, and the Dean of Postgraduate Students. Formal reports provide all those concerned with a student's progress with an opportunity to develop strategies designed to overcome candidature difficulties.

9. Development of independence

- 9.1 Although the provision of structure is crucial early in candidature, it is also important that supervisors work to develop independent skills in their students. Although each aspect of research requires some initiation and subsequent guidance by the supervisor, the balance of responsibility should shift gradually to the student. Such a transition is consistent with the development of independent research skills and in the best cases will lead to the development of new lines of enquiry and the initiation of new research by the student. In many cases, it will also

lead to longer-term collaboration between supervisors and former students. Good supervision ensure that a transition to independent colleague occurs.

10. Publications and conference presentations

- 10.1 Research involves not only the acquisition of new knowledge or new interpretations and syntheses of existing material, but the communication of the results of research to a wider community of researchers and scholars. It follows that good supervision involves encouragement of and assistance for students to attend and present work at national and international conferences and to publish their work in appropriate scholarly outlets.
- 10.2 One argument that is advanced sometimes is that publication during candidature distracts students from the thesis work and prolongs candidature. On the other hand, the research has to be reported in the thesis and there is little doubt that in most disciplines, publication of at least some of the work during candidature makes thesis preparation an easier task. It is also the case that the preparation of papers helps to clarify the questions that have to be addressed in subsequent work. Moreover, publication during candidature improves students' prospects of obtaining postdoctoral or other academic or research-related positions after graduation. Finally, publication represents a rite of passage in which students become recognized members of a research community. Similar arguments can be advanced with respect to conference presentations. The majority of PhD graduates from this University obtain academic or research-only positions in which the ability to present ideas and data is crucial. Accordingly, good supervision should involve not only encouragement and support for conference presentations, but training and feedback with respect to the skills involved in effective oral presentations.

11. Intellectual property and authorship

- 11.1 Issues about intellectual property are increasingly important and supervisors should ensure that students are familiar with the university's policy in this area. In addition, supervisors and students should discuss intellectual property issues early in candidature so that there is agreement about the principles on which decisions will be made in the event that commercialization of findings is a possibility.
- 11.2 As noted elsewhere in this policy, publication by students is to be encouraged strongly. Many students publish with their supervisors and sometimes questions are raised about the order of authors on a paper. Supervisors and students should discuss authorship early in candidature and should reach agreement on the way in which authorship is to be determined. Most learned and professional societies have well-developed guidelines for the order of authorship.
- 11.3 The intention of this policy is not to be prescriptive about authorship. Good supervision involves early and continuing discussion with students so that principles on which authorship decisions will be made are agreed.

12. Information skills

- 12.1 In addition to any technical, methodological and analytic skills that must be acquired during candidature, there are what might be termed meta research skills that are becoming increasingly important for successful research higher degree study. In general, these refer to the acquisition and management of information and specifically to topics such as the use of CD-ROM databases, Citation Indexes and Current Contents, the Internet, searching a literature using on-line access to library databases, and Personal Reference Database software. The necessity for effective use of information technology is increasing rapidly and good supervisory practice requires that students receive training in the technology-based skills that are required. Supervisors need to encourage students to establish personal reference databases at the outset of candidature. Databases established then can be used during both PhD candidature and subsequently in their career.

13. Fostering interactions

- 13.1 A major problem that has been identified in the literature is that research students often experience isolation and that this can contribute to slow progress or even to withdrawal from the program. This problem is obviously more acute in some disciplines than in others. There are several ways in which it can be overcome.
- 13.2 First, good supervisors in experimental disciplines almost invariably hold laboratory meetings on a regular basis. These meetings are attended by Postdoctoral Fellows, research students and sometimes, honours students. Laboratory meetings not only provide a mechanism by which students can interact and learn from each other, but also provide them with a bigger picture of where the group's research is headed and how their own research contributes to the broader effort. A similar function can be served in non-experimental disciplines by regular reading or discussion groups. Although regular group research meetings may not be usual in some disciplines, attempts to promote group activity in supervision are to be encouraged. Good supervisors experiment with different formats for regular group meetings so that the maximum benefits can be obtained.
- 13.3 Second, good supervisors emphasize the importance of departmental and interest group seminars and colloquia, and insist that their students attend and take an active part.
- 13.4 Thirdly, every effort should be made to foster interaction between students and the supervisor's national and international colleagues. Finally, good supervision may often involve the fostering of interactions between faculties so that students can place their work within a wider intellectual and multidisciplinary context.

14. Dealing with personal problems

- 14.1 Students sometimes experience personal difficulties. These can include family difficulties, problems in personal relationships, financial pressures and problems associated with employment. The importance of these various problems should not be under-emphasized. There are data which indicate that the extent of personal problems distinguishes between students who complete PhDs and those who withdraw.
- 14.2 Supervisors are not trained counsellors and cannot be expected to help in a professional sense with some of the personal problems experienced by students. Nor should supervisors intrude into the personal lives of their students with what might be unwanted advice. On the other hand, supervisors should try to ensure that their relationships with students are such that students will not feel inhibited in telling supervisors that they are experiencing personal difficulties. Students are unlikely to discuss such issues, at least initially, with a Head of School or the Dean of Postgraduate Students.
- 14.3 It is crucial that the supervisor be alerted to actual or impending problems so that he or she can take appropriate action. That action might be to re-arrange a work timetable or to help with part-time employment. In other cases, it might involve referral to appropriate support staff.

Appendix v.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Guidelines for Confirmation of Candidature

The assessment of the oral “Confirmation of Candidature” seminar is conducted in this manner. The Office of Postgraduate Programs will publicly advertise the Confirmation of Candidature Seminar. All members of the Supervisory Committee will be in attendance. The Director, Postgraduate Programs will chair the session.

The seminar should last one hour. The candidate will be given 30 – 40 minutes to present her/his research proposal and a further 20- 30 minutes for comments, questions and discussions. Immediately after the seminar, the Supervisory Committee will meet to arrive at a consensus decision as to whether the status of the candidate should be confirmed or further extended for a specified time. The candidate is informed verbally and together with all members of the Supervisory team sign the report (refer to *Confirmation of Candidature Report*). The Chair of the Supervisory Committee will submit a written report with recommendations to the Higher Degrees Committee. The decision can be made along these lines:

1. Confirmation of candidature
2. Confirmation of candidature subject to additional work specified
3. Confirmation of candidature not approved. Independent assessment required

The Committee uses this information, as well as other feedback, to determine the progress of the student. There are a range of options open to the Higher Degrees Committee, which will be communicated in writing to the supervisor/s and the student. These options include:

- Confirmation of candidacy and agreement that the student commences the collection of primary data
- Request for further development of the Proposal to satisfy particular points and concerns. The Committee may require the revised proposal be submitted to the satisfaction of the supervisor/s or of the Committee itself. Candidacy remains provisional until the Committee confirms in writing that candidacy is confirmed.

- Re-submission of the Proposal at another Presentation. This indicates that significant work needs to be done in major areas of the Proposal. Candidacy remains provisional until the Committee confirms in writing that candidacy is confirmed.
- Failure and termination of the candidacy of the student in the research degree or component.

The student and/or the supervisor may request from the Higher Degrees Committee further explanation of its decision within one month of receipt of the Committee's decision.

Only the first option, confirmation of candidacy, permits the student to collect primary data and represent her/himself as a research student of the University. All other options require further work to achieve the necessary confirmed candidature.

What about later changes to the planned research?

Once a student's candidacy is approved, the University recognizes and expects that the student and the supervisor discuss all aspects of the research. Minor changes are to be expected in the life of a developing research project and it is the supervisor's professional responsibility to oversee these.

If there are significant changes in direction or by force of circumstance a change of project research question and/or topic, the supervisor should:

- ❖ Notify the Higher Degrees Committee in writing
- ❖ Recommend to the Higher Degrees Committee whether it is the supervisor's professional opinion that there is need to represent a modified form of Research Proposal
- ❖ Inform the Higher Degrees Committee whether or not the supervisor is prepared to continue in this role.

The Higher Degrees Committee will reply in writing.

Full Research Candidacy

Once full candidacy has been confirmed, the student works under the guidance of the principal supervisor. This guidance is expected to include:

- ❖ Regular meetings in a manner and frequency as mutually determined to be beneficial
- ❖ Completion and submission of such tasks as directed by the principal supervisor
- ❖ Frank and honest discussion of the research progress, difficulties and concerns
- ❖ Regular reflection on the process of supervision
- ❖ Completion and timely submission of Progress Reports as requested by the Office of Postgraduate Studies.

The Supervision Process

Much can be said about research supervision. It can also be said that few supervision relationships, between supervisor and student, are the same. It is common in the social sciences that two very strong images are used to discuss postgraduate research supervision: mentor and critical friend. Both these images are rich and offer ways of understanding the processes and rhythms of supervision. It is also important that occasionally supervision time is spent examining the progress of the relationship and ways that it can be improved.

The supervision relationship is a co-joint one. Both parties have responsibilities in the relationship, which is a professional, adult, learning experience for both parties.

Appendix vi.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Confirmation of Candidature Report

<p>Name of Candidate:</p> <p>Candidate ID Number:</p> <p>Degree (EdD, PhD):.....</p> <p>Thesis Title:</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>Date of Seminar: Venue:</p> <p>Time:</p>

This form should be completed by you, the candidate, in consultation with your Supervisory Committee at the time of your confirmation of candidature.

1. You should complete Section 1, 2 and 4 (The Project Proposal, Candidate's Comments and Checklist of Research Compliances)
2. Your Principal Supervisor should then complete Section 3 (Supervisor's Comments)
3. Sections 5 and 6 are to be completed by your Supervisory Committee following the confirmation seminar and after a meeting with you to discuss your progress.

You are required to:

1. Submit a written proposal (6,000 words) a week before the confirmation seminar
2. Make a 30 - 40 minute oral presentation on the research project plus 20 minutes for question time and general discussion

3. Fill in relevant sections of this Form in consultation with the principal supervisor

Section 1. The Research Proposal (6,000 words)

The content and structure will vary across disciplines but should include:

1. A concise statement of the research question(s)
2. A critical summary and analysis of relevant literature (the candidate must demonstrate the capacity for critical review)
3. An explanation of the conceptual framework to be used and/or a summary of experimental methods and equipment requirements (as appropriate to the discipline)
4. A summary of progress to date including preliminary data, resources developed etc.
5. An argument for the relevance and importance of the study
6. A proposed schedule and timeline for the phases of the study, including a date for submission
7. A risk analysis outlining the risks of study not being successful and a plan to manage these risks
8. A brief bibliography
9. A list of publications produced and presentations during the candidature to date

Section 2. Candidate's comments

1. How often do you consult with your supervisor?
Daily Weekly Monthly Other specify.....

To what extent has this met your needs?
.....

2. Have there been any interruptions to your supervision?
Yes No

If yes, please elaborate
.....
.....

3. Have there been any difficulties affecting the progress of your work?
Yes No

If yes, please elaborate
.....
.....

4. Would you like additional help in the area of language/writing/communication skills?

Yes No

If yes, please elaborate

.....
.....

5. Do you anticipate any difficulties completing in the allowed time?

Yes No

If yes, what factors are likely to delay completion

.....
.....
.....

Section 3. Supervisor's comments

1. Are supervision arrangements for the candidate finalized for the whole of the coming year?

Yes No

2. Has the candidate submitted a substantive piece of writing in addition to the research proposal?

Yes No

If you have ticked No to any of the above, please comment:

.....
.....
.....

3. Has the candidate:

(Please circle one number)

diligently and effectively applied
himself/herself to his/her project?

Unsatisfactory 1 2 3 4 5
Excellent

shown initiative consistent with the requirements of the research program/course and the level of study ?

Unsatisfactory 1 2 3 4 5
Excellent

made satisfactory progress to date?

Unsatisfactory 1 2 3 4 5
Excellent

shown that working at the pace of provisional candidature he/she will be able to complete the thesis by the due date?

Unlikely 1 2 3 4 5
Likely

4. Have any of the following issues affected progress during the provisional period of candidature?

- | | | | |
|--|---|---|----------------------------------|
| Academic background <input type="checkbox"/> | Health/Personal <input type="checkbox"/> | Project Infrastructure <input type="checkbox"/> | Funding <input type="checkbox"/> |
| English (written or oral) <input type="checkbox"/> | Access to current literature <input type="checkbox"/> | Understanding of work expected <input type="checkbox"/> | |

Please indicate what steps you have taken to help overcome these problems.....
.....
.....

Section 4. Checklist of Research Compliances

- Does your research project or its location involve issues of human ethics?
Yes No
- Have you made an application for appropriate ethics approval?
Yes No
- Has ethics approval been granted?
Yes No
If No, elaborate
.....
.....

4. Does your research project or its location involve cultural sensitivities?

Yes No

4.1 Have these been identified and appropriate protocols discussed with your supervisor?

Yes No

4.2 Does your research project or its location involve indigenous people or matters?

Yes No

a. Have these been identified and appropriate protocols discussed with your supervisor?

Yes No

Signature of candidate:

Date:

Section 5. Confirmation of Candidature

EVALUATION OF SEMINAR (To be completed by the Supervisory Committee)

Theoretical Background (Circle one)

- | | | | |
|--|-------------|------------|-----|
| • Clear statement of aims of research | Appropriate | Inadequate | N/A |
| • Understanding of theory | Appropriate | Inadequate | N/A |
| • Fluency of presentation | Appropriate | Inadequate | N/A |
| • Development of hypotheses / research questions | Appropriate | Inadequate | N/A |
| • Overall comprehensiveness | Appropriate | Inadequate | N/A |
| • Project proposal demonstrates a capacity for critical review | Appropriate | Inadequate | N/A |

Methodology

- | | | | |
|--------------------------------------|-------------|------------|-----|
| • Appropriateness of Method to study | Appropriate | Inadequate | N/A |
|--------------------------------------|-------------|------------|-----|

- Understanding of methods Appropriate Inadequate N/A
- Training in Use of Methods
selected Appropriate Inadequate N/A
- Has a research plan been
prepared? Appropriate Inadequate N/A
- Have the risks to the project
been identified and a plan to
manage the risks been included? Appropriate Inadequate N/A

Data Analysis (May be marked as “not appropriate”)

- Appropriateness of Analysis Appropriate Inadequate N/A
- Clarity of Presentation Appropriate Inadequate N/A
- Relation of Outcome to
Hypotheses / Research
Questions Appropriate Inadequate N/A

Conclusions

- Summary Appropriate Inadequate N/A

Academic Writing Skills

- Assessment of written piece of
work Appropriate Inadequate N/A

Additional Factors

- Is the project multi-disciplinary? Yes No
- Does the project involve working
with human communities? Yes No
- If so, is appropriate supervision
in place? Yes No N/A
- Has timetable for completion
been prepared? Yes No
- Has any required ethical
clearance been obtained?
(animal, human including
indigenous) Yes No N/A
- Has the student undertaken
coursework or skills training at
the beginning of his/her
candidature? (writing, computing,
statistics Yes No

- Is it necessary to do more? Yes No
- If yes, please indicate under additional comments below
- Is the Supervisory Committee Yes No
satisfied that sufficient funds are to support the research project?
- If not, how is this problem addressed or going to be addressed.....
.....
- Is adequate infrastructure for the Yes No
project available at DWU?
- If not, how is the problem addressed or going to be addressed?.....
.....

Supervisory Committee Report

1. The project proposal and additional substantive written work has been received and approved Yes No
2. The candidate has made a presentation of his/her proposed research at a postgraduate seminar. Yes No
3. The candidate has met any special additional requirements noted on enrolment and required for confirmation of candidature N/A Yes No
4. The Supervisory Committee has met with the candidate after the seminar to review his/her progress and feedback has been given on the project proposal supervisory arrangements and resources available Yes No

Recommendation of the Supervisor Committee

DO NOT SUBMIT THIS FORM IF PROVISIONAL CANDIDATURE IS TO BE EXTENDED

Candidate's name:

.....

Confirmation of
(Name of Degree)

Candidature confirmed on
(Date)

Confirmation of candidature subject to additional work specified below:

.....
.....
.....
.....

Additional comments especially on

(1) needs for skills development by student, and/or

(2) additional funding/infrastructure

.....
.....
.....
.....

Confirmation of candidature is not approved, independent assessment required

Section 6. Signatures

Supervisory committee members (please print name)	Signature	Date
Professor/Senior Academic from another Faculty		
Dean of Studies		
Principal supervisor		
Co supervisor		
Dean of Faculty		
Head of Department		
Candidate to confirm: I have met with my Supervisory Committee and have discussed and understand the outcomes of my confirmation of candidature seminar	Name: Signature:	

Statistical design checked and approved by a Statistician Yes No

Not applicable

Ethics approval obtained Yes No Not applicable

Note: Candidature will be confirmed after the statistical design has been approved and ethics approval has been granted.

Executive action by the Director, Postgraduate Programs Yes No
(to be considered by HDC)

Recommendation of Supervisory Committee approved Yes No
(Supervisor interview required)

Signature, Director, Postgraduate Programs:

..... Date:.....

Additional comments for

candidate.....

.....

.....

.....

Appendix vii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

HALF YEARLY REPORT FOR DOCTORAL CANDIDATES, (*month, year*)

**Section 1 is to be completed by the candidate and handed to the Principal Supervisor by
The supervisor should complete Section 2 (on reverse) and forward the report to the Head of
Department by**

Candidate’s Name Initials
Department.....

Supervisor Date of Admission

SECTION 1 – CANDIDATE’S REPORT	Status	Full-Time
		Part-Time

- Indicate:**
- (i) **the work completed since your previous half yearly report**
 - (ii) **plan for completing work in each remaining year until these submitted:**
 - (iii) **any problems – personal, technical etc. which prevent submission of thesis within 3 ½ years of admission**

Expected completion of Thesis..... Years Completed: Full-time..... Part time.....
Semester/year

How many hours individual consultation have you had with your supervisor in the past 6 months

If this was not sufficient, indicate the assistance needed:

ETHICAL CLEARANCE (Tick appropriate box)

I have ethical clearance for current or proposed experiments involving humans or animals?

I do not need ethical clearance for current or proposed experiments involving humans or animals?

I did not obtain clearance earlier but enclose detailed application now?

.....
Candidate Signature

.....
Date

After completing Section 1 please forward this form to your Principal Supervisor by

SECTION 2 – SUPERVISOR REPORT. (Please complete and forward to the Head of Department by).

1. For approximately how many hours in the past 6 months has the candidate attended for individual discussion?
2. Was this sufficient? Yes No
3. Has the candidate performed assigned work satisfactorily? Yes No Not relevant
4. If the project requires ethical clearance, has this been obtained? Yes No
5. Do you expect the thesis to be submitted by the given date? Yes No if 'No', when – 20.....?
6. If any aspect of the candidate's work or progress is not completely satisfactory (e.g. if you do not expect completion in 3 ½ years as a full-time candidate, or is 5-6 years as a part-time candidate, from commencement), please provide specific information for the Higher Degrees Committee.

.....
 Supervisor's Signature Date

SECTION 3 – ENDORSEMENT OF FACULTY DEAN

I endorse the candidate's report and the supervisor's comments. Yes
 No

If progress is not completely satisfactory, please comment for the Higher Degrees Committee:

.....
 Signature of Faculty Dean Date

SECTION 4 – ADMINISTRATIVE ACTION
 Administrative Officer's Comment

Chair, Higher Degrees Committee
 Accept as showing satisfactory progress

Appears satisfactory

Not satisfactory – take action as follows:

Not satisfactory in following respects:

- | | |
|-----------------------------|------------------------------|
| 1. <input type="checkbox"/> | 6. <input type="checkbox"/> |
| 2. <input type="checkbox"/> | 7. <input type="checkbox"/> |
| 3. <input type="checkbox"/> | 8. <input type="checkbox"/> |
| 4. <input type="checkbox"/> | 9. <input type="checkbox"/> |
| 5. <input type="checkbox"/> | 10. <input type="checkbox"/> |

Initials Date

.....
 Signature of Head of Department Date

Please return complete form to Director, Postgraduate Programs no later than

Appendix viii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Application for Variation of Candidature

Full Name: Student Number:

Scholarship Holder: Yes: No: Name of Scholarship:

Proposed Changes

I wish to apply for a six month extension of candidature. (Reasons for the delay must be documented and a revised work plan with clear and measurable milestones for the completion of your thesis must be attached.
For scholarship holders – please provide support letter from your sponsors that fees for the period of extension will be covered).

Change of Candidature Status: (F/Time – P/Time)

From: To:

(A revised work plan with clear and measurable milestones for the completion of your thesis must be attached.)

Leave of Absence requested: From:..... Return:.....

(If the request for leave is more than two months the supporting documentation must include a letter signed by all members of the supervisory team confirming their availability to supervise the candidate after the student returns from the period of leave)

Change of Supervisor:

From: To:

(All supervisors and Dean of Faculty must sign the form if a Principal or Co-supervisor is to be replaced or deleted.)

Add Associate / Co supervisor:

(if external, details of department, Organization and email address must be attached.)

Change of Thesis Title:

From:

.....

To:

.....

Candidate Signature..... Date:

Please return form to the Postgraduate and Research Centre

Appendix ix



DIVINE WORD UNIVERSITY
Postgraduate and Research Centre
Application for Change of Candidacy

Full Name: Student Number:

Scholarship Holder: Yes: No:

Name of Scholarship:.....

Proposed Changes

I wish to apply for change of candidacy.

(Reasons for the change must be documented and a revised work plan with clear and measurable milestones for the completion of your thesis must be attached.)

For scholarship holders – please provide support letter from your sponsors that fees for the period of extension will be covered).

Change of Candidacy: (Professional Doctorate to PhD)

From: To:
(A revised work plan with clear and measurable milestones for the completion of your thesis must be attached.)

Change of Candidacy: (Masters by Research to Professional Doctorate)

From: To:
(A revised work plan with clear and measurable milestones for the completion of your thesis must be attached)

Change of Candidacy: (Masters by Research to PhD)

From: To:
(A revised work plan with clear and measurable milestones for the completion of your thesis must be attached)

Change of Candidacy: (Doctoral Program – PhD/Professional Doctorate to Masters by Research)

From: To:
(A draft work plan with clear and measurable milestones for the completion of your thesis must be attached)

Candidate Signature Date:

Please return form to the Postgraduate and Research Centre

Appendix x.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Guidelines for Pre completion Seminar

Six months prior to completion, the candidate with her/his principal supervisor will apply to the Higher Degrees Committee to schedule a pre completion seminar. The candidate will be required to submit a draft chapter of the thesis, preferably the Analysis, Literature Review or the Discussion Chapter, to the Supervisory Committee, at least two weeks prior to the scheduled seminar.

The assessment of the oral "Pre completion seminar" is conducted in this manner. The Office of Postgraduate Programs will publicly advertise the Pre completion Seminar. All members of the Supervisory Committee will be in attendance. The Director, Postgraduate Programs will chair the session.

The seminar should last one hour. The candidate will be given 40 minutes to present her/his major findings and discussions and a further 20 minutes for comments, questions and discussions. Immediately after the seminar, the Supervisory Committee will meet to arrive at a consensus decision as to whether the candidate has fulfilled major requirements and can proceed with the intention of submitting the thesis within the specified timeframe (refer to *Pre completion Evaluation Form*). The candidate is informed verbally and together with all members of the Supervisory Committee, all sign the report. The Chair of the Supervisory Committee then submits a written report with recommendations to the Higher Degrees Committee. The decision can be made along these lines:

- 1. Progress satisfactory:**
unconditional approval to continue
- 2. Progress satisfactory:**
conditional approval to continue subject to problems being addressed to satisfaction of Dean of Faculty or delegate
- 3. Progress unsatisfactory:**
approval to continue subject to case management by Director, Postgraduate Programs
- 4. Progress unsatisfactory:** the candidate be: either asked to show cause why his or her candidature as a research higher degree student

should not be terminated or (2) asked to suspend candidature until personal situation improves

A written report is submitted to the Higher Degrees Committee. The Committee uses this information, as well as other feedback, to determine the progress of the student. There are a range of options open to the Higher Degrees Committee, which will be communicated in writing to the supervisor/s and the student. These options include:

- that the research is of a standard and extent appropriate for submission as a thesis; or

- that further research work is required, in which case it shall recommend, subject to preparation of a suitable project plan, an extension of candidature, but shall not recommend any extension beyond the end of the fifth year from the date of enrolment for a full-time candidate or beyond the end of the tenth year from the date of enrolment for a part-time candidate (PhD) or 3 years full time or 6 years part time (Masters)

Appendix xi.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

Pre-completion Evaluation Form

Note: **One** report should be completed by the candidate and all members of the Candidate's Supervisory Committee, at a meeting held with the candidate immediately after the seminar. Separate report(s) should be submitted only if consensus cannot be reached.

Candidate:.....Candidate ID No:
Faculty/Department:
Principal Supervisor:.....
Short Title of Thesis / Portfolio
.....
.....
Co supervisor:.....
Degree sought:
Research Student Mentor:
Masters/Doctoral Commencement Date:
Date of Pre-Completion Seminar:

Present at Seminar:

Principal Supervisor · Dean of Faculty · Co Supervisor ·

Head of Department · Dean of Studies · Senior Staff Mentor ·

Other:.....

**Evaluation of Seminar
Theoretical Background (Circle one)**

- Clear statement and justification of aims of research Appropriate Inadequate
- Understanding of theoretical/historical context Appropriate Inadequate
- Hypotheses/research questions Appropriate Inadequate
- Overall comprehensiveness Appropriate Inadequate
- Clear links among portfolio items (Prof Docs only) Appropriate Inadequate

Methodology

- Appropriateness of method to study Appropriate Inadequate
- Understanding of methods Appropriate Inadequate

Data Analysis (may be marked as “not applicable”)

- Appropriateness of analysis Appropriate Inadequate N/A
- Comprehension of analytical techniques used Appropriate Inadequate N/A
- Relation of outcome to hypotheses/research questions Appropriate Inadequate N/A

Scope

- Scope of work presented appropriate for the degree Appropriate Inadequate

Quality of Presentation

- Overall organisation, clarity, conciseness Appropriate Inadequate
- Verbal skills in presentation Appropriate Inadequate
- Quality of visual presentation Appropriate Inadequate N/A
- Clarity of take-home message Appropriate Inadequate

Interpretation and Analysis of Results

- Appropriate interpretation Appropriate Inadequate
- Appreciation of strengths and limitations of study Appropriate Inadequate

Conclusions

- Summary Appropriate Inadequate
- Appreciation of significance Appropriate Inadequate
- Contribution to professional knowledge (Prof Docs only) Appropriate Inadequate

Academic Writing Skills

- Assessment of written piece of work (e.g. a publication, chapter of the thesis or other evidence of academic writing skills) Appropriate Inadequate
- Participation in the writing skills program recommended yes no
- Has the option of an oral examination been discussed with the candidate. yes no

Has a publication plan been presented yes no

If ethics approval was granted, has a final report been submitted. yes no N/A

Candidates are normally required to have submitted a paper to a professional journal or refereed conference proceedings and/or presented a paper at a significant conference, or creative work at a public exhibition before the evaluation form is signed off by the Supervisory Committee.

Has the candidate satisfied this requirement? yes no

If papers “In Review” evidence must be provided yes no

If “no” please

elaborate.....

...

NOTE: Students with IP agreements with a sponsoring body that requires the thesis to be embargoed for a period of time must ensure the Library copy of their thesis is placed under restricted access. Applicable & Noted N/A

Supervisor validation of data collected by student:

What steps has the supervisory team taken to ensure that the data associated with this degree project are authentic. Please indicate:

- Regular supervision sessions
- Occasional use of plagiarism software on thesis drafts and warn students that others may use plagiarism software on their e-thesis
- Spot checks of lab books, field notes, research journals
- Spot checks on coding of qualitative data
- Spot checks on print outs of statistical analysis
- Accompanying student on occasional field trips especially pilot studies
- Regular contact with students during remote fieldwork
- Ensuring data storage arrangements comply with University ethics requirements

Risk to student of trauma from the research project:

Is the student at risk of trauma from the process or findings of the research?

yes no

If yes, what steps has the supervisory team taken to encourage the student to access appropriate counseling support.

.....
.....
.....
.....

**Generic Summative Evaluation of HDR Candidature –
including strategic exit points**

<i>Formative recommendation</i>	<i>Evaluation of standard of performance (please tick a box)</i>
<input type="checkbox"/> Recommendation 1 Progress satisfactory: unconditional approval to continue	<input type="checkbox"/> Group A – Outstanding. Outstanding in all components of candidature <input type="checkbox"/> Group B – Excellent. Excellent and original approach to the research project but falling outside the very best <input type="checkbox"/> Group C - Very Good. Solid performance in all components of candidature but demonstrating less flair and originality than Groups A or B <input type="checkbox"/> Group D – Good. Variable progress which on balance is appropriate
<input type="checkbox"/> Recommendation 2 Progress satisfactory: conditional approval to continue subject to problems being addressed to satisfaction of Dean of Faculty or delegate	<input type="checkbox"/> Group A – Outstanding. Outstanding in all components of candidature; additional requirements purely administrative e.g. ethics approval <input type="checkbox"/> Group B – Excellent. Excellent and original approach to the research project; additional requirements either: (1) purely administrative e.g. ethics approval or (2) indicative of inexperience e.g. rescaling of project because it is too ambitious <input type="checkbox"/> Group C - Very Good. Solid progress but demonstrating less flair and originality than Groups A or B; additional requirements either: (1) purely administrative e.g. ethics approval or (2) indicative of inexperience e.g. rescaling of project because it is too ambitious <input type="checkbox"/> Group D – Good. Variable performance which on balance is of an appropriate standard; additional skills required e.g. ESL, statistics
<input type="checkbox"/> Recommendation 3 Progress unsatisfactory: approval to continue subject	<input type="checkbox"/> Group E - Proposed research not of sufficient scope for proposed degree or unrealistic in terms of resources and timeframe; candidate apparently has required skills; situation

<p>to case management by Director, Postgraduate Programs</p>	<p>potentially redeemable within 6 months</p> <p><input type="checkbox"/> Group F- Proposed research suitable but candidate deficient in essential skills including time management skills; situation potentially redeemable within 6 months</p> <p><input type="checkbox"/> Group G - Proposed research suitable but candidate being delayed by personal problems; situation potentially redeemable within 6 months</p>
<p><input type="checkbox"/> Recommendation 4</p> <p>Progress unsatisfactory: the candidate be: either asked to show cause why his or her candidature as a research higher degree student should not be terminated or (2) asked to suspend candidature until personal situation improves</p>	<p><input type="checkbox"/> Group H - Candidate appears not to have skills necessary for research higher degree student and is unlikely to gain such skills within 6 months; this assessment must be checked with viva conducted by person with appropriate expertise independent of supervisory team; subject to result of viva, HDC will ask candidate to show cause why his or her candidature should not be terminated; HDC may recommend candidate change enrolment to research masters, coursework masters, graduate diploma, graduate certificate.</p> <p><input type="checkbox"/> Group I - Proposed research suitable but candidate being delayed by personal problems; situation appears irredeemable within 6 months; this assessment must be checked with viva conducted by person with appropriate expertise independent of supervisory team; recommend candidate be placed on leave of absence or medical leave, with reconsideration in six months.</p>

Recommendation to DWUHDC (tick one)

- that the research is of a standard and extent appropriate for submission as a thesis; or
- that further research work is required, in which case it shall recommend, subject to preparation of a suitable project plan, an extension of candidature, but shall not recommend any extension beyond the end of the fifth year from the date of enrolment for a full-time candidate or beyond the end of the tenth year from the date of enrolment for a part-time candidate (PhD) or 3 years full time or 6 years part time (Masters)

Additional work prior to submission

.....

.....
.....
.....

Additional work prior to reconsideration

.....
.....
.....
.....
.....

Additional comments

.....
.....
.....
.....
.....

CANDIDATE

- I have met with my Supervisory Committee and have discussed and understand the outcomes of my precompletion seminar.
- I have submitted a Notice of Intention to Submit Thesis form:

Name.....Signature.....Date.....

**Supervisory Committee Members
(Please print name)
Signature Date**

Senior Academic Mentor.....
Principal Supervisor.....
Co-supervisor,
Faculty Dean,
Head of Department,
Dean of Studies,
Executive Action by Director, Postgraduate Programs yes no
Date Approved by HDC.....
Signature of Dean of Studies.....

Appendix xii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

DIVINE WORD UNIVERSITY THESES

Permanent Binding

Final thesis copies are case bound to DWU specifications. Case or permanent binding of PhD, Masters, and Honours theses and Doctorates as required by Faculties are submitted for permanent binding via the relevant Faculty Office.

It is mandatory to deposit with the Library an electronic copy and a bound copy of PhD, Masters by research and Doctorates.

Specifications for hard cover binding of DWU theses reflect DWU colours:

PhD – Forest Green (forest green)

Doctoral –Light Green (light green)

Masters – Brown (brown)

Lettering

Gold lettering across the spine. This lettering should read from top to bottom.

- Author's initials and family name (all in upper case e.g. A.B. SMITH)
- Award (e.g. PH.D.)
- Year

Permanent binding for University copies does not include any lettering on the front cover.

Appendix xiii.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

NOTICE OF INTENTION TO SUBMIT THESIS

Candidates for higher degrees by research are asked to give **two months** notice of the expected date for submission of their thesis to allow the Postgraduate Research Centre to make arrangements for the timely appointment of examiners.

To be completed by the Candidate and the Principal Supervisor with copies lodged both at the relevant Faculty and the Postgraduate Research Centre

Candidate's Name :

Student Number:

Degree:

Principal Supervisor

Co supervisor:

Thesis Title:
.....
.....

Expected Date of Thesis Submission:

Signed (Student): Date:

Signed (Principal Supervisor): Date:

Note: If any extension of candidature is required a separate application should be made to the Postgraduate Research Centre on a Variation of Candidature form.

Appendix xiv.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

PROTOCOL FOR LODGING OF CORRECTED THESIS

Candidates are required, in consultation with Supervisors, to make corrections to their thesis as recommended by all the examiners. A statement listing how each of the examiners' comments were addressed should be submitted to the Principal Supervisor with the final unbound copy of the thesis. A copy of the statement will be forwarded to the Postgraduate Research Centre along with a recommendation from the Faculty Dean.

When recommendation for award of the degree has been formally approved, printing and binding of the final copies should be arranged through the Principal Supervisor or the Administrative Officer, Postgraduate Research Centre.

The required print copies are:

- 1 copy for the University Library
- 1 copy for Supervisors
- 1 copy for the Candidate

Candidates awarded a scholarship for their degree should check with the Postgraduate Research Centre as thesis costs are normally covered (within time limits) by many awards.

Other candidates are advised to consult with their Supervisors and Faculty Deans regarding policy for payment and lodging of thesis copies.

Divine Word University Policy

Please read the University policy on ***lodging of an electronic copy of the thesis***

The Library will require a CD of thesis in Adobe Acrobat Portable Document Format (PDF)

NOTE: Please remember that publications resulting from your thesis must list your DWU address even if you are working from somewhere else by the time you submit them. You can provide your new address as a footnote.

Appendix xv.



DIVINE WORD UNIVERSITY

Postgraduate and Research Centre

LOGGING OF AN ELECTRONIC COPY OF THE THESIS

Policy on Digital Deposit of Research Theses

Theses for doctoral and master by research degrees must now be deposited in digital as well as print format. The print version remains the copy of record.

In order to ensure this is done, a “Statement of Access” written into the thesis will be worded as:

Statement of access	
<p>I, the undersigned, author of this work, understand that Divine Word University will make this thesis available for use within the University Library and, via Digital Theses network, for use elsewhere.</p>	
<p>I understand that, as an unpublished work, a thesis has significant protection under the Copyright Act</p>	
.....
Signed	Date

Receipt of thesis

The library will provide the Postgraduate Research Centre each year with a list of theses received.

Appendix xvi.



DIVINE WORD UNIVERSITY
Postgraduate and Research Centre

FINALISATION OF AN AWARD - GRADUATION

For students who have completed their studies and wish to graduate.

If this form is not returned no action will be taken with respect to your graduation.

Late applications may not be accepted.

Student number.....

Award:
(eg. Master of Education, Doctor of Education, Doctor of Philosophy etc)

Please note: your application will be considered only for the degree and majors you are currently enrolled in. Check your study plan to confirm your majors and go to your faculty immediately if they are not correct. If you are applying to graduate with a different degree than the one you are enrolled in, please contact your faculty as soon as possible.

Title: Family name:Given names:
.....

Address:.....
.....
.....

Phone number (day contact):Email

SUBMISSION OF FORM/ENQUIRIES:

Please return forms to:

The Registrar,
Divine Word University, P.O. Box 483 MADANG

Enquiries:

cndrower@dwu.ac.pg OR talau@dwu.ac.pg

Phone: 422 1837 Phone: 422 1815

Fax: 422 2812

General Enquiries: Tel: (675) 422 2937 Fax: (675) 422 2812 E-mail:

info@dwu.ac.pg

All up to date graduation information can be found on <http://www.dwu.ac.pg>

Appendix xvii.



DIVINE WORD UNIVERSITY
Postgraduate and Research Centre

APPLICATION FOR CONFERRAL OF DEGREE
DOCTOR OF PHILOSOPHY/ PROFESSIONAL DOCTORATE

You must complete and return this form in order to have your degree conferred.

Family name**

Other name/s** D.O.B...../...../.....

****These names will be used on your Testamur**

Names of Supervisors (to be read out at the Graduation Ceremony)

.....
.....
.....

Discipline/s.....

Student ID Number

--	--	--	--	--

Address.....

.....

Email Address:.....

Phone (Mobile) (W) Fax No.

1. Please confer the award In absentia at a University Council meeting

(Please return this form immediately)

I will also be attending the annual Graduation Ceremony* yes (Please see below)

no

2. I wish to have the award conferred at the annual Graduation Ceremonies*

* **Doctoral Citation** – Please ensure you read the attached guidelines and send through an electronic copy of a brief citation of 300 words to the Postgraduate

Research Centre **at least** four weeks prior to the Ceremony. (Information is enclosed.)

.....
.....
.....

Ceremony	Time	Date	Venue	Attending
-----------------	-------------	-------------	--------------	------------------

Circle 'ONE' only

Madang - March

All Faculties	9.30am	March 20____	**DWU Campus Madang	Yes *No
---------------	--------	--------------	---------------------	---------

* Degree certificate will be mailed after graduation ceremony/Council Meeting to the above address.

** DWU Madang Campus

Signature:

.....Date:.....

NB. If this form is not returned, no action will be taken with respect to your graduation.

Return to: Postgraduate and Research Centre, Divine Word University, P O Box 483 MADANG or Fax: 422 2151

GRADUATION CEREMONY INFORMATION
for
DOCTORAL GRADUATES

Before the Ceremony

Academic dress is compulsory and is available from Ceremonies - see below

Students attending a Ceremony: If you have not received information by 3 weeks prior to your ceremony please contact the Chairman, Graduation Committee - talau@dwu.ac.pg -
Ph: 422 1815

.....
Doctoral Citation – Please ensure you read the attached guidelines and send through an electronic copy of your citation to the Postgraduate Research Centre **with your application for conferral of degree.**

.....
Change of Address/Name: Please notify the Registrar (in writing) as soon as possible.

Enquiries: cndrower@dwu.ac.pg

.....
During the Ceremony (*academic dress is compulsory*) -

PhD - Conferral

- The Vice President will ceremonially place your hood in the correct position while the Chairperson of Academic Board reads a Doctoral Citation of your thesis.
- Chairperson will then formally present you to the Chair of Council who will present you with a testamur.

Professional Doctorate (by Research) Awards – Conferral

- The Faculty Dean will ceremonially place your hood in the correct position while the Chairperson of Academic Board will read a Doctoral Citation of your thesis.
- Chairperson will then formally present you to the Chair of Council who will present you with a testamur.

Appendix xviii.



DIVINE WORD UNIVERSITY

Application to a Doctoral Program

1. Name of Applicant

a.	Surname	First Name	Middle Name
	<input type="text"/>	<input type="text"/>	<input type="text"/>

b. Previous surname if changed

2. Mailing Address

<input type="text"/>	
<input type="text"/>	
<input type="text"/>	
Telephone	<input type="text"/>
Fax	<input type="text"/>
e-mail	<input type="text"/>

3.	Place of Birth	Date of Birth	Sex
	<input type="text"/>	<input type="text"/>	<input type="text"/>

4. Citizenship

5. Expected place of residence during your study program

6. How do you expect to finance your studies and living expenses during the time of study?

7. Name of post-secondary institutions attended

Year start & finish	Award (certificate, diploma or degree)	Specialisation (subject or field)	Institution (location)
------------------------	--	--------------------------------------	---------------------------

Please attach a photocopy of your Masters Degree award and transcript showing results.

8. List your work experience in recent years, beginning with the most recent first.

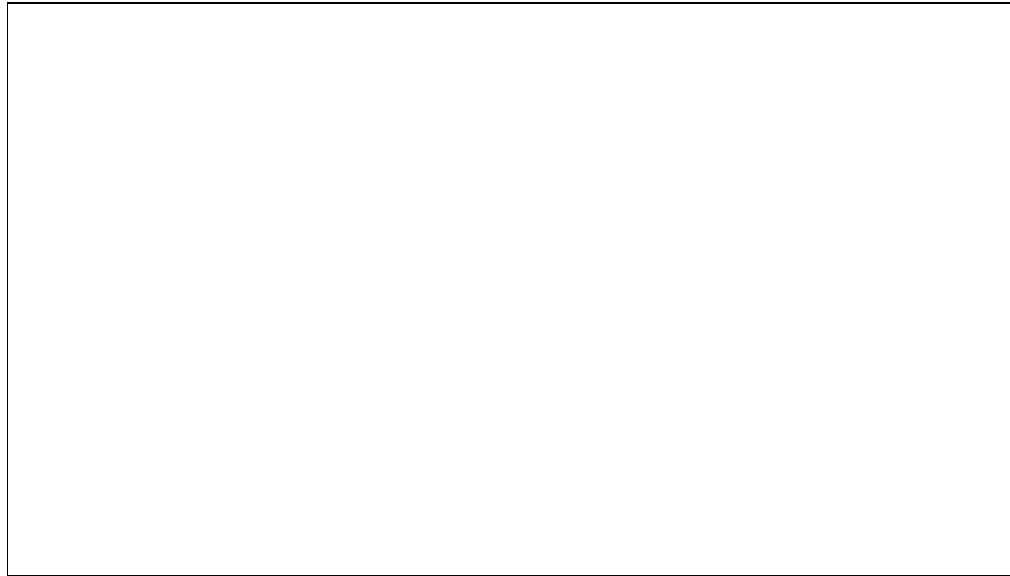
Dates	Position	Location	Kind of work
-------	----------	----------	--------------

9. Plans for study

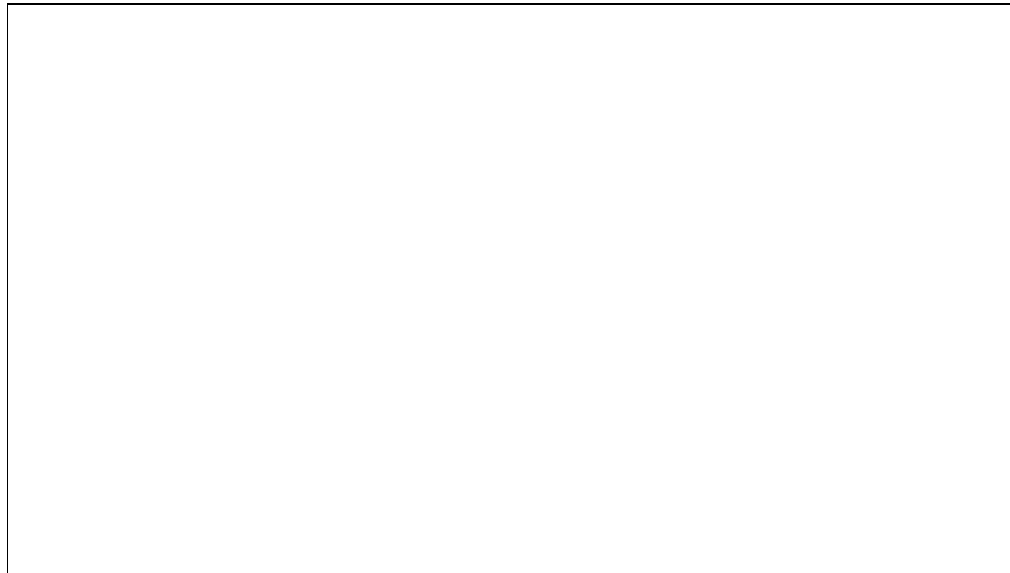
You are asked to write a preliminary outline of your proposed research topic. It should be between 1500 and 2000 words in length, and should cover

- the issue/problem you wish to explore and question to be answered by your research
- why it is important and/or original

- how, in broad terms, you propose to approach it. (*Attach an additional sheet if necessary*)



- 10 You are asked to describe any previous work you have done in this area, with reference to relevant papers you have written or literature you have read.**



11. Mention any equipment or travel requirements associated with your proposed work

12. Declaration by Applicant

I declare that the above information is true and correct to the best of my knowledge and belief.

Date **Signature**

Please send to: Director, Post Graduate Studies, Divine Word University,
PO Box 483, Madang or e-mail: mkulasemos@dwu.ac.pg

Appendix xix.



Divine Word University
Nabasa Road, P O Box 483, Madang Province,
Papua New Guinea

Office of Postgraduate and Research Centre

Date:

Dear

Thank you for your application for doctoral studies at Divine Word University.

The DWU Higher Degrees Committee considered your application for Higher Degrees Studies at its meeting of The decision below reflects what the committee decided upon based on the documents submitted in support of your application.

Decision:

1. You have been accepted to undertake full time PhD studies at Divine Word University.
2. You have been accepted to undertake part time PhD studies at Divine Word University.
3. You have been accepted to undertake full time Professional Doctoral studies at Divine Word University.
4. You have been accepted to undertake part time Professional Doctoral studies at Divine Word University.
5. You have been accepted to undertake full time Masters by Research sat Divine Word University
6. You have been accepted to undertake part time Masters by Research sat Divine Word University
7. Your application was considered unsuccessful based on DWU minimum entry requirements

I thank you for your interest in DWU Higher Degree Programs.

Yours sincerely,

Dr. Maretta Kula-Semos (PhD)
Director, Post Graduate Studies
mkulasemos@dwu.ac.pg
Tel" 424 1841 Fax: 424 1851

Successful applicants are advised to read the necessary information attached and to fill in the "Acceptance of Offer" form. The form must be returned to the Postgraduate Research centre by

Appendix xx.



DIVINE WORD UNIVERSITY
Postgraduate Research Centre

INFORMATION ON HIGHER DEGREES REQUIREMENTS AND FEES

Your enrolment will begin in Semester One You should be prepared to attend a 'getting started in doctoral research' workshop during two weeks from, under the leadership of Dr Maretta Kula-Semos.

Your enrolment is **provisional** subject to successful completion of these requirements, within the first six months, for a full time candidate, and the first year for a part time candidate:

1. A 6,000 word written proposal of your study topic, which will be submitted to your supervisory team.
2. An approved ethics clearance based on an application you are required to submit to the DWU Ethics committee
3. A 60 minute Oral Presentation in a Seminar (30 -40 minutes of presentation and 20 minutes for question, answer and general discussions) based on your research topic. The session is scheduled by the Office of Postgraduate Programs.

Your registration will be confirmed on receipt of full payment of the semester fee.
The fees per semester are:

- 1. K10,000.00 plus additional Board and Lodging costs per semester if you intend enrolling as a full-time residential student at DWU**
- 2. K10,000.00 plus additional Board and Lodging costs for a part-time student who requires accommodation on the DWU campus when in Madang**
- 3. K10,000.00 for a part-time student not requiring accommodation when in Madang for the two-week residential**

These must be paid in full by the for you to be eligible to attend the Induction Workshop.

The semester fee can be paid into the following account and a copy of the receipt faxed to 424 1841 or 422 2812 Attention: Ms Aiva Tamate-Ore aore@dwu.ac.pg or Mr Gerard Tommy gtommy@dwu.ac.pg . Please keep your original receipt.

Details of the account is as follows: **DWU BSP Madang Branch Account Number 1000 433 806.**

On behalf of DWU, I congratulate you on being accepted into A DWU Higher Degree Program and look forward to seeing you at Divine Word University in February/March,

Yours sincerely

Dr. Maretta Kula-Semos (PhD)
Director, Post Graduate Studies
mkulasemos@dwu.ac.pg
Tel" 424 1841 Fax: 424 1851

Appendix xxi.



DIVINE WORD UNIVERSITY

Acceptance of Offer for a Higher Degree program at Divine Word University for

I accept the offered place in the PhD /Professional Doctorate / Masters by Research **(Circle one)** commencing in

I accept the liabilities and responsibilities of being a student at Divine Word University.

I will attend the Research Training Session and all organised Seminar Training Sessions.

I commit myself to uphold the values and ethics of Divine Word University, to adhere to its policies and to act in a manner that will always reflect well on the University.

I commit myself to maintain satisfactory progress. Where a situation that might threaten my academic progress, I commit myself to inform my supervisor in good time and to maintain ongoing communication.

Signed..... Date.....

Print Name.....

Home Address.....

Postal Address.....

Phone (Home)..... (Work)

Email (Home)..... (Work)

Mobile

Present Occupation

Job Description
.....
.....
.....

