

The Office of Graduate Studies

Professional Doctorate Dissertation Submission and Examination: Procedures and Processes for students and supervisors

(Please note that these procedures are currently under review and may be subject to change).

1. SUBMISSION

Submission Date

Students are required to submit their Dissertation by a specified date. Please contact your school office for details of your submission date.

Please note Rule 28/6 of the Rules Governing Professional Doctorates. A dissertation submitted for a degree shall embody the result of a project (or projects), investigation, design or other research undertaken by the candidate, and shall be completed and submitted at the conclusion of the units assigned to the dissertation, with a maximum of one calendar year at a full-time load from the commencement of the dissertation, or part time equivalent. Students failing to complete and submit within this timeframe (except under the provisions of the Procedures for Addressing Adverse Circumstances Affecting Assessment Items) must enrol in a 20 unit dissertation extension course in the following term. The Committee must be kept informed of any variations in this timeline and be supplied with reports on progress towards completion and submission.

Notice of Intention to Submit

Students need to advise the Office of Graduate Studies (OGS) approximately **6 – 8 weeks** prior to their intended submission date by submitting a 'Professional Doctorate Notification of Intention to Submit' form. The form can be found at:

http://www.newcastle.edu.au/study/graduate/forms/Intention_to_submit.rtf

OGS will then send the student a 'Professional Doctorate – Dissertation Examination Application' (Supervisor's Certificate) form and 'Professional Doctorate – Dissertation Preparation and Submission' guidelines. Students complete the candidate's section of the Dissertation Examination Application (Supervisor's Certificate) and then send the form to their supervisor for completion. The supervisor will then return the form to the student as this form **MUST** be submitted with the student's three copies of the dissertation. The above forms can be found at: <http://www.newcastle.edu.au/study/graduate/professionaldorates.html>

**THE SUPERVISOR'S CERTIFICATE CAN BE FAXED OR SCANNED WITH THE
CANDIDATE'S AND SUPERVISOR'S SIGNATURES.**

AN EMAIL FROM THE SUPERVISOR WILL ALSO BE ACCEPTED.

The supervisor's advice by email must include the following declaration (in lieu of signing the original certificate):

"I certify that to the best of my knowledge the work for this dissertation has been carried out under conditions which comply with the Degree Rules and also with the University's policy on the supervision of the Research Component of a Professional Doctorate. The responsibilities of supervisors are set out in section C "Responsibilities of Supervisors" of the Code of Practice for Research Higher Degree Candidature.

I have read the final draft of the dissertation before it was bound. In my opinion:

- (a) The dissertation is of sufficient merit to warrant its examination
- (b) The submitted dissertation meets the formal requirements of the University concerning formatting.

In making this certification, I do not in any way imply that the dissertation is sufficient for the award of the degree."

Supervisor's Name:

Date:

STUDENTS MUST SUBMIT THE SIGNED SUPERVISOR'S CERTIFICATE OR EMAIL ADVICE WITH THEIR THREE COPIES OF THE DISSERTATION.

IT IS THE STUDENTS' RESPONSIBILITY TO OBTAIN THE SIGNED SUPERVISOR'S CERTIFICATE OR ADVICE BY EMAIL.

THE DISSERTATION WILL NOT BE ACCEPTED FOR EXAMINATION WITHOUT THE COMPLETED SUPERVISOR'S CERTIFICATE.

STUDENTS MUST SIGN ALL COPIES OF THE DISSERTATION.

Embargo – Confidentiality of Research

If students require an Embargo to be placed on their dissertation due to confidentiality of the research, it must be done at submission stage. An 'Application for Embargo on Thesis/Dissertation' form can be found at:

<http://www.newcastle.edu.au/research/rhd/forms.html>

Copies: Three copies (spiral bound) of the dissertation need to be submitted by the due date to the Office of Graduate Studies. NOTE: Electronic copies of the dissertation will **NOT** be accepted.

Mailing address:

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

Phone: (02) 49216537

Fax: (02) 49216908

2. EXAMINATION

Appointment of Examiners

The Office of Graduate Studies administers the examination of the dissertation. The supervisor will be asked eight weeks prior to submission to nominate suitable examiners for the approval of the Head of School and Assistant Dean (Research Training). Students are permitted to nominate suitable examiners or to request that a particular examiner not be approached. However, the final choice lies with the School and the names of examiners **MUST NOT** be disclosed to the student.

FAILURE TO SUBMIT AN APPOINTMENT OF EXAMINERS FORM TO THE OFFICE OF GRADUATE STUDIES PRIOR TO SUBMISSION WILL CAUSE DELAYS TO THE EXAMINATION PROCESS.

Criteria by which Examiners will be asked to evaluate the Dissertation Project

Important requirements which form the basis for examiners' assessment are:

- Execution of research
- Selection of appropriate techniques and justification of methodology
- Significance and justification of the research question
- Ability to locate, use and synthesise published literature and source materials
- Ability to analyse data, report results and to present logical conclusions
- Evidence of the exercise of scholarly judgement
- Managerial/business significance of the research
- Clear presentation – including definition of research questions, organisation of argument, clarity in terms of writing style and illustrative materials.

Examination Process

- The dissertation is despatched to the examiners who will be requested to return their reports within two months of receipt of the dissertation.
- If a response is not received from an examiner at the end of eight (8) weeks the Chair of the Research Training Sub-Committee may determine to move to a reserve examiner.
- Examiners' reports are returned to the Office of Graduate Studies and forwarded to a subcommittee comprising the Supervisor, Head of School, Chair and Deputy Chair of the Research Training Sub-Committee and the Assistant Dean (Research Training).
- It is the responsibility of the supervisor to provide comments on the examiners' reports to the Assistant Dean (Research Training) and Head of School. The Assistant Dean (Research Training) assesses the supervisor's and examiners' comments and provides the Faculty recommendation to the Research Training Sub-Committee who makes a determination.
- The Research Training Sub-Committee meets on the first Monday of each month.

Dissertation Evaluation

DBA Dissertation Projects will be evaluated by two examiners. Examiners will be requested to report on the content and form of the dissertation in detail. They will be specifically requested to make a recommendation under one of the following categories:

- the dissertation as submitted be accepted as satisfying the criteria for the supervised research component of the degree
- the dissertation as submitted be accepted as satisfying the criteria for the supervised research component of the degree, but that the candidate be given the opportunity to amend the dissertation in the light of specific comments by the examiner
- the dissertation be accepted subject to corrections as specified by the examiner
- the candidate be permitted to revise the dissertation and resubmit it for further examination
- the dissertation be not accepted as satisfying the criteria for the supervised research component of the degree.

PLEASE NOTE THAT IT WILL TAKE APPROXIMATELY SIX MONTHS FROM THE DATE OF SUBMISSION FOR THE DISSERTATION TO BE EXAMINED AND FOR THE RESULTS TO BE APPROVED.

3. OUTCOMES

Following the University's Research Training Sub-Committee meeting, students will be advised of the Committee's decision by an official letter emailed to the student's student mail account. A hard copy of the official letter will be sent to the student's mailing address. The recommendations from the Research Training Sub-Committee will be one of the following:

- **Accepted as satisfying the research component of the degree:** A student whose dissertation is accepted as satisfying the research component of the degree will be requested to submit their hard bound copy to the OGS within one (1) month of the date of the outcome letter.
- **Accepted and invited to make corrections:** In light of the examiners' comments a student may wish to make some minor corrections to the copy of the dissertation project which is to be placed in the Auchmuty Library. These corrections are entirely optional, but if a student chooses to amend the library copy, this should be done in consultation with the student's supervisor. The hard bound copy must be submitted to the OGS within eight (8) weeks of the date of the outcome letter.
- **Required to make corrections:** A student who is required to make corrections to the satisfaction of the supervisor, Head of School and Assistant Dean (Research Training) has eight (8) weeks from the date of the outcome letter to make the corrections and submit the hard bound copy to the OGS.
- **Revise and resubmit:** A student who is required to revise and resubmit a dissertation must enrol in an extra 20-unit course in the next term from the date on which the candidate is advised of the result of the first examination and submit the revised dissertation within that period, otherwise the candidature shall terminate. The dissertation is then sent back to the original examiners and the recommendation will be either pass or fail the research component. A candidate will be permitted to amend and resubmit a dissertation for examination once only.

- **Fail:** The OGS will advise the Faculty Pro Vice Chancellor that the dissertation did not satisfy the research component of the degree.

Lodgement of one (1) hard bound copy and completion of the research component of the degree

If you are **required** to make corrections to your dissertation to the satisfaction of the Faculty, or **invited** to make corrections and choose to do so, you must submit an 'Application for Thesis/Dissertation Correction/s Approval' form **prior to or upon submission** of your final hard bound copy to the Office of Graduate Studies. The form must be approved by your supervisor, Head of School and Assistant Dean (Research Training). **Please note: Approval for this form may be obtained via email.** The form can be found at:

[http://www.newcastle.edu.au/study/graduate/forms/Application for approval of thesis dissertation corrections.rtf](http://www.newcastle.edu.au/study/graduate/forms/Application%20for%20approval%20of%20thesis%20dissertation%20corrections.rtf)

One (1) hard bound copy is required. Hard bound copies are lodged with the Auchmuty Library. Students also have the option of providing a digital copy of the dissertation. Please refer to the website: <http://www.newcastle.edu.au/services/library/adt/index.html>

Students must sign the hard bound copy.

On receipt of the hard-bound copy, the OGS will advise the Pro Vice Chancellor of the relevant Faculty that the student has met the requirements of the research component of the program. **Faculty staff will then check the requirements of the degree have been met and complete the process for award of the degree.**

Last updated F. Madden
August, 2007.