

Strategic and Defence Studies Centre

**Higher Degree by Research (PhD)
Handbook**

2017

Welcome to the PhD program in the Strategic and Defence Studies Centre (SDSC) at the Australian National University. This handbook contains information to guide you through the core aspects of SDSC's PhD program. You should use this handbook in conjunction with the University's policies and procedures available at the websites indicated. If you have any queries, please do not hesitate to contact your supervisor, the Higher Degree by Research (HDR) Convenor, or the HDR Administrator.

Founded in 1966, the Strategic and Defence Studies Centre is proud to be counted among the earliest generation of post-World War II research institutions specializing in strategy and defence. Today, SDSC represents Australia's largest body of scholars dedicated to the analysis of the use of armed force in its political context. Our primary expertise within the broad field of Strategic Studies consists of three related research clusters: [Australian defence](#), [Military studies](#), and [Asia-Pacific security](#).

We view postgraduate research students as an integral part of SDSC's intellectual community. We are excited about working with highly motivated students who can participate in and contribute to SDSC's research programs.

We are very pleased to welcome you to SDSC, and look forward to working with you.

HDR Convenor

Dr. Nina Silove

HDR Administrator

Ms. Hisako Yamauchi

Strategic and Defence Studies Centre

Coral Bell School of Asia Pacific Affairs

ANU College of Asia & the Pacific

The Australian National University

Acton ACT 2601

Australia

T +61 2 6125 9871

F +61 2 6125 9926

E nina.silove@anu.edu.au

<http://ips.cap.anu.edu.au/sdsc/students/graduate-research>

An electronic copy of this handbook can be found on the Centre's [website](#) where it will be possible to follow the hyperlinks to relevant webpages.

This document is accurate at the time of publication (May 2017). However, University, College and School regulations and policies are sometimes updated or changed in the course of the academic year. The electronic version will be kept updated, and every effort will be made to inform staff and students of any relevant changes via email as and when they come into effect.

SDSC Staff and Research Interests

Robert Ayson (Adjunct Professor)

Chris Barrie (Adjunct Professor)

Joan Beaumont: Australia in the two world wars, war memory and heritage, including the Anzac 'legend', history of Australian foreign policy and diplomacy, prisoners of war, history of international humanitarian law.

John Blaxland: Intelligence and security, Australian military history and strategy, military operations (including Iraq and Afghanistan), Defence Studies, International Relations, notably on South-east Asia (Thailand, Burma/Myanmar, Timor L'este & ASEAN) and North America, (Canada and the United States), Australian flag.

Jean Bou: Australian military history, Nineteenth and Twentieth Century operational military history, Australia and the First World War, history of warfare, peacekeeping operations.

Jack Bowers: Higher education with a particular focus on graduate learning, professional military education and learning identities; and Australian auto/biography, with particular interests in belonging and estrangement.

Richard Brabin-Smith (Visiting Fellow): Australian and regional security.

David Brewster (Visiting Fellow): Indian strategic affairs, Indian Ocean security, India's security and defence relationships.

Leszek Buszynski (Visiting Fellow): Asia-Pacific security, with a particular focus on North Korea, the South China Sea, and US-China relations.

Andrew Carr: Australian foreign and strategic policy, middle powers, the Asia-Pacific security order, non-traditional security issues especially people smuggling and human trafficking, and international relations theory, especially constructivism.

Aurore Chow: social psychology
identity/social identity, organisational culture, professional military education, dehumanization.

Rhys Crawley: (Visiting Fellow)

Peter Dean: Australian defence policy and strategy, Anzus alliance, expeditionary and amphibious warfare, Australian strategic culture, Australian military history, United States military history, The Second World War, and military biography.

Paul Dibb (Emeritus Professor): Australian defence policy, regional security, alliance relationships.

Peter Edwards (Adjunct Professor): History of Australian foreign and defence policy.

Ashley Ekins (Visiting Fellow)

Stephan Frühling: Australian strategic and defence policy, missile defence and nuclear weapons, and strategic theory.

Bates Gill: Asia Pacific security, foreign policy, and politics; Chinese strategic and defence policy, foreign relations, and security; US-China relations; US foreign and security policy in the Asia Pacific.

Russell W. Glenn: (non-resident Visiting Fellow)

Evelyn Goh: East Asian security and international relations, U.S.-China diplomatic history and contemporary strategic relations, International Relations theory, and strategic policy studies.

James Goldrick (Adjunct Professor): Contemporary naval and maritime strategy and policy, Twentieth Century naval history, naval command and leadership, history of naval technology.

Lachlan Grant (Visiting Fellow)

Iain Henry: Alliance theory, alliance politics in Asia, Australia-US relations, Asian security, Australian strategic policy, strategic/diplomatic history.

David Horner: Australian defence history, particularly strategy, command, intelligence and operations and current defence issues.

Ron Huisken (Adjunct Associate Professor): East Asian security, alliance politics, arms control, nuclear weapons, and missile defence.

Karl James (Visiting Fellow)

Mark Johnston (Adjunct Associate Professor)

Amy King: Asia-Pacific security and international relations, China-Japan relations, Cold War history in Asia, the economics-security nexus.

John Lee (Adjunct Associate Professor)

Daniel Marston: History of War (18th Century to present day), learning and adaptation in war, British military history, South Asian military history, Vietnam War, US military history, wars of decolonisation in Southern Africa, British Imperial history in South Asia.

Garth Pratten: conduct of ground operations in the Second World War, with an emphasis on the Australian experience, British and Commonwealth counter-insurgency operations, the employment of reserve forces, peace support operations in the 1990s, and unit level command.

Greg Raymond: Southeast Asian security, Thailand and Indonesia, Southeast Asia's relations with Great Powers, strategic culture, regional militaries, Australian defence policy, the global rules-based order.

Nina Silove: Strategic planning, grand strategy, and U.S. policy toward the Asia Pacific.

Brendan Taylor: Korean Peninsula security issues, US-China relations, economic sanctions, Asia-Pacific security architecture.

Joanne Wallis: The South Pacific (particularly Timor-Leste, Bougainville and Tonga); state and nation-building; constitution-making; peace-building and reconciliation; ethnicity and nationalism; the link between 'liberal' and 'local' approaches to governance, justice, development and security; and the relationship between globalization, trade and development.

Hugh White: Australian strategic and defence policy, Asia-Pacific security issues, global strategic affairs.

Clive Williams (Visiting Fellow): defence intelligence, transnational security issues, policing and terrorism.

Derek Woolner (Visiting Fellow)

Essential Documents for PhD Students & Supervisors

The ANU is complex. There are a number of bodies of regulation that govern PhD life at the University.

At the University level, the [ANU Research Award Rules \(2016\)](#) are the regulations upon which all of the University's graduate research programs are based. The Rules provide generally applicable information about pursuing a graduate research program at the University. The University also publishes a [suite of policies and procedures](#) related to PhD supervision and candidature. Detailed guidance on thesis submission and examination can be found at: [Higher Degree by Research – Examinations Policy](#). The [ANU's Postgrad research students website](#) provides information on getting started with your PhD program, PhD milestones, how to make changes to your supervisory panel, how to apply for program leave, how to change the intensity of your program (e.g. full-time to part-time status), how to apply for an extension, thesis submission and examination, graduation, complaints and appeals, and general information about the ANU's research environment for PhD students.

The ANU College of Asia and the Pacific provides a [website](#) with information on managing your program, enrolment, costs and fees, assessments, and prizes.

The [Coral Bell School of Asia-Pacific Affairs HDR Handbook](#) provides essential information about student and supervisor expectations, resources, coursework, ethics and research integrity training, the PhD student lifecycle, and School contacts.

The SDSC HDR Handbook must be read in conjunction with the Coral Bell School of Asia-Pacific Affairs HDR Handbook. The SDSC HDR Handbook provides information specific to the following PhD arrangements in SDSC:

- SDSC Staff and Research Interests
- Supervision
- SDSC Postgraduate Seminar Series
- SDSC PhD Milestones
- Induction and Training
- Facilities and Resources for SDSC PhD Students
- Contacts

Supervision

PhD candidates are guided in the completion of their research project by a supervisory panel of between three and five members.

In SDSC, the norm is to have a panel comprised of:

1. A primary supervisor who also serves as the Panel Chair;
2. Two associate supervisors who support the Panel Chair.

Details about the role and responsibilities of supervisory panel members can be found in the [Coral Bell School of Asia-Pacific Affairs HDR Handbook](#) and the University's [Higher Degree by Research: Supervision Policy](#).

SDSC Research Seminar Series

SDSC's postgraduate and faculty research seminar series are an integral part of the intellectual life of postgraduate students in the Centre. All PhD students are expected to attend all postgraduate and faculty research seminars.

PhD students are also strongly encouraged to attend external speaker events and other seminars related to their research during the course of the academic year.

SDSC PhD Milestones

The Australian National University requires all students to complete a series of milestones during the course of their PhD studies. These milestones represent a formal review of the student's work, and take place at least once every 12 months

- 3-6 months after commencement: Annual Plan
- 9 months: Thesis Proposal Review (TPR)
- 1st year: Annual Report + Completion of Required Coursework (12 units)
- 2nd year: Annual Report + Mid-Term Review (MTR)
- 3rd year: Annual Report
- 3rd year: Oral Presentation (3 months prior to submission)

In SDSC, these annual milestones take place in the form of a formal meeting with the student's full supervisory panel. The student will be provided with a written invitation to the panel meeting. The student's portion of the Annual Plan/Report and any required written work should be submitted to the panel members **at least two weeks in advance** of the panel meeting (students should upload all documents via the online Annual Reporting system on ISIS).

Annual Plan

The Annual Plan is a PhD student's research plan for the coming year. It provides an opportunity for a student and their supervisory panel to outline detailed plans towards the achievement of specific milestones; discuss any coursework and ethical clearance requirements; and raise any concerns about student progress or supervision.

In SDSC, the 1st year Annual Plan is formally reviewed and signed off by the whole supervisory panel. The panel will provide detailed written feedback to the student on the content of the Annual Plan.

The 1st year Annual Plan should be submitted three to six months after a student's commencement. In subsequent years, the Annual Plan should be submitted as part of the Annual Report (see below).

Annual Report

The Annual Report is a report of research activities undertaken during the past year. It provides an opportunity for a student and their supervisory panel to detail the student's progress and achievements over the past twelve months; report on any coursework, research integrity training and ethical clearance undertaken; raise any concerns about student progress or supervision; and stipulate the projected thesis submission date. Completion of an Annual Report is compulsory for all students enrolled in a research degree.

The primary guide to what students should include in their Annual Report can be found in the [Coral Bell School of Asia-Pacific Affairs HDR Handbook](#). Reminders about completing the Annual Report, and a link to the online Annual Reporting form, will be sent to students' ANU email addresses.

In SDSC, the Annual Report is formally reviewed and signed off by the whole supervisory panel. The panel will provide detailed written feedback to the student on the outcome of the Annual Report.

Specific deadlines for the submission of the Annual Report can be found via the online Annual Reporting system on ISIS.

The Thesis Proposal Review (TPR)

In SDSC, the Thesis Proposal Review is comprised of a formal seminar presentation and the submission of a detailed thesis proposal. The thesis proposal of approximately 7,000 words, should set out:

- a) The research question/s;
- b) A review of the literature that develops an argument about why addressing that question/those questions will make a significant contribution;
- c) Hypotheses OR an outline of the possible argument and counterarguments;
- d) Methodology and methods;
- e) An outline of the thesis chapters;
- f) An outline of the proposed sources and fieldwork to be undertaken (if any); and
- g) A working bibliography (not included in word count).

Further guidance on preparing the TPR will be provided by the supervisory panel and as part of the Coral Bell School of Asia-Pacific Affairs HDR induction program. A helpful 'checklist' of TPR requirements can also be found in the [Coral Bell School of Asia-Pacific Affairs HDR Handbook](#).

Students in SDSC are required to submit a final draft of their written TPR, an outline of their proposed seminar presentation, and their portion of the Annual Report to their supervision panel at least **two weeks in advance** of the date of their TPR seminar presentation (please upload these documents via the online Annual Reporting system). Students will be allowed to proceed with their seminar presentation only after they have received written approval from the Chair of their panel (this may take the form of an email from the Chair to the HDR Convenor).

The seminar presentation is an opportunity for the student to formally present their research project to SDSC staff and postgraduate students. We expect a high standard of presentation, and will defer or cancel a student's scheduled seminar if we believe that he or she is unprepared. As stated in the University's [Higher Degree by Research: Candidature Progression Procedure](#), all members of the student's supervisory panel are expected to attend the seminar presentation.

Following the TPR seminar, the supervisory panel will meet with the student to review the student's progress and potential as a PhD candidate, and to complete the Annual Report. The TPR is a serious test of a student's potential as a PhD candidate, and passing that test is by no means automatic.

In accordance with the [ANU Research Award Rules \(2016\)](#), once the TPR has been completed, the SDSC HDR Convenor, on advice from the supervisory panel, will write to the student, providing detailed written reasons for one of the following recommendations:

- (a) that the student continue undertaking the program;
- (b) that an additional review of the student's progress be conducted after a stated period;
- (c) for a program for a Doctor of Philosophy—that the student transfer to a program for a Master of Philosophy;
- (d) that the student's enrolment in the program be terminated.

If Option (b) is recommended, the SDSC HDR Convenor, on advice from the supervisory panel, will stipulate what written work is to be resubmitted by the student for evaluation in six months. Resubmitted work will be evaluated by the supervisory panel and an external, senior member of SDSC staff.

In the case of Option (d), the HDR Convenor will make a recommendation to the College Dean that the student's candidature be terminated. The College process around candidature termination and student appeal can be found [here](#).

A copy of the thesis proposal and any PowerPoint slides or handouts from the presentation should be uploaded when the online TPR form is submitted.

Mid-Term Review

In SDSC, the Mid-Term Review requires the submission of a substantial portion of the thesis. Students should submit to the supervisory panel a document of up to 30,000 words that consists of:

- a) An introductory chapter that sets out the research question(s), why they are important, the main argument or findings, and the methodology or methods.
- b) 1-2 chapters from the main body of the thesis
- c) An outline of the remaining thesis chapters
- d) A working bibliography (not included in the word count)

The student must submit these written materials, along with their portion of the Annual Report, to the panel members **at least two weeks in advance** of the date of their panel meeting (please upload these documents via the online Annual Reporting system).

Following the submission of these written materials, the supervisory panel will meet with the student to review the student's progress and potential as a PhD candidate, and to complete the Annual Report. Once the MTR has been completed, the SDSC HDR Convenor, on advice from the supervisory panel, will write to the student, providing detailed written reasons for one of the following recommendations:

- a) Satisfactory: Student is meeting all requirements – continued enrolment in candidature recommended.
- b) Unsatisfactory: Continued enrolment subject to the outcome of an additional review on <insert date> at which time progress against the attached milestones will be reviewed.
- c) Unsatisfactory: Recommendation to the College Dean that the candidate be requested to show cause why the candidature should not be terminated for the reasons attached.

If Option (b) is chosen, the SDSC HDR Convenor, on advice from the supervisory panel, will stipulate what written work is to be resubmitted by the student for evaluation in six months. Resubmitted work will be evaluated by the supervisory panel and an external, senior member of SDSC staff.

If Option (c) is chosen, the HDR Convenor will make a recommendation to the College Dean that the student's candidature be terminated. The College process around candidature termination and student appeal can be found [here](#).

A copy of all MTR documentation will be placed in the student's file.

3rd Year Annual Report (or equivalent for part-time students)

The 3rd Year Annual Report is a major milestone. In SDSC, the 3rd Year Annual Report requires the submission of a substantial portion of the thesis. As a rule of thumb, students should submit to the supervisory panel approximately 75-80% of the full draft of their thesis.

The student must submit these written materials, along with their portion of the Annual Report, to the panel members **at least three weeks in advance** of the date of their panel meeting (please upload these documents via the online Annual Reporting system).

The supervisory panel will undertake close reading of the submitted material and prepare detailed written comments on the submitted material. The supervisory panel will meet with the student to review the student's progress, to complete the Annual Report, and to approve the schedule for the final submission of the thesis and oral presentation.

Once the 3rd Year Annual Report has been completed, the SDSC HDR Convenor, on advice from the supervisory panel, will write to the student, providing detailed written reasons for one of the following recommendations:

- a) Satisfactory: Student is meeting all requirements – continued enrolment in candidature recommended.
- b) Unsatisfactory: Continued enrolment subject to the outcome of an additional review on <insert date> at which time progress against the attached milestones will be reviewed.
- c) Unsatisfactory: Recommendation to the College Dean that the candidate be requested to show cause why the candidature should not be terminated for the reasons attached.

If Option (b) is chosen, the SDSC HDR Convenor, on advice from the supervisory panel, will stipulate what written work is to be resubmitted by the student for evaluation in six months. Resubmitted work will be evaluated by the supervisory panel and an external, senior member of SDSC staff.

If Option (c) is chosen, the HDR Convenor will make a recommendation to the College Dean that the student's candidature be terminated. The College process around candidature termination and student appeal can be found [here](#).

A copy of all 3rd Year Annual Report documentation will be placed in the student's file.

Oral Presentation

Students are required to deliver an oral presentation advertised to the University and open to the public, three to six months before their thesis submission date. The presentation should be one hour including discussion, and include the major objectives, content, results, and conclusions of the work, allowing the student to demonstrate their work has an appropriate research focus, argument, and depth and contribution of knowledge.

In this presentation students are expected to demonstrate their:

- Independent command of the material.
- Ability to communicate clearly and concisely the analysis of the material and findings.
- Ability to respond appropriately to constructive comments and criticism.

If the student is unable to demonstrate these expectations, the supervisory panel may withhold support for final submission of the thesis.

Associated with the oral presentation, students must submit to their panel a 2-5 page summary of the material to be presented no later than two weeks before the presentation date.

The supervisory panel attend the oral presentation and make an evaluation. This is documented in a written report. A copy of the written report is provided to students. The report of the panel is not provided to the thesis examiners.

The preparation of students for the oral presentation will occur throughout their candidature in the form of similar but less formal presentations.

Students are urged to contact their supervisors if they require further clarification about the nature and purpose of these annual milestones.

Supervisors should inform the SDSC HDR Convenor as soon as possible if they anticipate that their student(s) may have difficulty meeting the requirements or deadline for these annual milestones.

Maximum Time for Completion

The maximum time for submission is five years, with the possibility of two extensions in a year under extenuating circumstances. This does not mean all students have seven years automatically. Students must meet all milestones, be recorded as performing satisfactorily in annual reports and follow the required rules of candidacy. Extensions beyond the maximum completion time are approved only by the Associate Dean (Research) in the College of Asia and the Pacific.

Extensions and Leave

A request for extension of program can be made only on academic grounds, related to progress of the research and students should not assume that a request for extension will be automatically granted. Indeed, a request for extension of program is unlikely to be granted unless you have completed all the relevant progress milestones to date; evidence has been provided of substantial progress on the thesis; and there is a strong indication that the thesis will be completed and submitted within the period of extension requested. The maximum extension which may be sought is six months full-time. HDR Students on extension cannot expect the same entitlements as HDR students on program, they may, for example, receive less supervisory support. There is no right to an extension, and students must show a clear reason as to why an extension is required.

Program leave is where a student formally pauses their candidature, in effect stopping the clock and moving their deadlines backwards by the amount of time they take leave for. PhD scholarships cannot, in most circumstances, be received whilst on program leave and so are paused as well. The exceptions are medical grounds, carer's responsibilities, and maternity leave, for which a maximum of 60 days of paid leave of absence for the entire candidature are available to students in receipt of stipend scholarships. Paid maternity leave is not available in the first twelve months of a scholarship. Total program leave taken by students in receipt of stipend scholarships cannot exceed two years in total. Although program leave stops the clock on the submission timeline, it does not have any effect on the maximum completion time allowed by the university. There is no automatic right to program leave and students should not assume that leave will be granted for reasons other than medical grounds, carer's responsibilities, or maternity leave.

Students wishing to apply for an extension or for program leave should write to their Chair and to the SDSC HDR Convenor with appropriate supporting documentation.

Induction and Training

PhD students in the Coral Bell School of Asia Pacific Affairs will normally be required to participate in the following induction and training seminars:

1. An induction day (in April of the first year of their program)
2. Research Integrity training (prior to undertaking fieldwork or interviews)

All PhD students who start their studies from 2016 are required to take a minimum of 12 units of coursework in their first year of study. Details of these coursework requirements are available in the lifecycle section of the [Coral Bell School of Asia-Pacific Affairs HDR Handbook](#).

Facilities and Resources for SDSC PhD Students

Office space

While in Canberra, full-time PhD students in SDSC are entitled to a desk and computer in a shared office. If students plan to be away from the office for more than one month, for example, for fieldwork, they must remove their belongings from the office and make it available for use by another student. The Centre will endeavour to minimize disruptions to office arrangements, but students may be required to move offices during the course of their candidature. Once students have submitted the thesis, they will normally be expected to vacate the office.

Candidature Support Funding

SDSC PhD students can apply to the Centre for funding for research purposes. Items and activities for which this funding can be requested include:

- Travel and accommodation for fieldwork.
- Conference attendance (only when the student is presenting a paper).
- Provision of digital and/or hard copies of records from remote archives.
- Specialist computer software (not generic software such as operating systems or word processing software) and training in how to use it.
- Research methods training courses.

Students have access to up to \$7,000 in candidature support funding during their PhD candidature. This funding is not guaranteed and the amount available may be changed at any time by the Head of SDSC in response to operational and budgetary circumstances.

Students contact the HDR Convenor for a copy of the funding application form. All applications for funding must be accompanied by a one-page justification of how the funding requested relates to the thesis. Students should not commit to the expenditure of any funds before their application has been approved. Requests for travel funding must be accompanied by an ANU Approval to Travel form (and an Approval for Travel to High Risk Destinations form if relevant), and an outline itinerary.

Administrative Support

PhD students in SDSC are encouraged to see the Bell School's HDR Administrator, Hisako Yamauchi, in the first instance, should they have a question or need of practical advice on any aspect of their program.

Contacts

For more information on the SDSC PhD program, please contact:

Dr. Nina Silove
HDR Convenor
Strategic and Defence Studies Centre
Coral Bell School of Asia Pacific Affairs
ANU College of Asia and the Pacific
Hedley Bull Building, 130 Garran Road
The Australian National University
Acton ACT 2601
T +61 2 6125 9871
nina.silove@anu.edu.au

Ms. Hisako Yamauchi
HDR Administrator
Coral Bell School of Asia Pacific Affairs
ANU College of Asia and the Pacific
Hedley Bull Building, 130 Garran Road
The Australian National University
Acton ACT 2601
T +61 2 6125 9329
cap.hdr@anu.edu.au