Higher Degree by Research Handbook 2021

Strategic and Defence Studies Centre

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Strategic and Defence Studies Centre

Coral Bell School of Asia Pacific Affairs

College of Asia and the Pacific

The Australian National University

Canberra ACT 2601 Australia

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, SDSC is proud to be counted among the earliest generation of post-World War II research institutions specializingin 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 relatedresearch 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 canparticipate in and contribute to SDSC's research programs.

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

An electronic copy of this handbook can be found here where it will be possible to follow the hyperlinks to relevant webpages.

This document is accurate at the time of publication (March 2021). 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

Chris Barrie (Honorary Professor)

Professor Emerita 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.

Professor 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.

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

Dr 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.

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

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

Dr 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.

Dr Aurore Chow: My research questions focus on how social psychological concepts (identity, dehumanisation, prejudice, stereotyping) affect social behaviour or organisational culture within a context. The particular contexts that are of interest to me at the moment are professional military education and Australian agriculture. Methodologically, I can supervise qualitative and quantitative human research.

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

Dr Michael Finch: 19th and 20th century colonial wars (particularly French Empire), 19th and 20th century history of military thought (particularly irregular war), intellectual history of military history and strategy.

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

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

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

Associate Professor Amy King: Chinese foreign and security policy, China-Japan relations, International order and ideational approaches to the study of IR, and the nexus between economic and security issues.

Dr Imogen Mathew: Professional military education; higher education research and development; Australian literature; Aboriginal and Torres Strait Islander studies.

Dr Meighen McCrae: The First World War, notions of 'victory', coalition wars & strategy making, literature as an historical source (especially science-fiction), war & society in the 19th and 20th century.

Associate Professor Jochen Prantl: International norms and global governance; international security; International Relations theory; strategy and statecraft in the 21st Century of complexity.

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

Dr Gregory Raymond: Southeast Asian politics, security and foreign policy; Thailand and mainland Southeast Asia; Southeast Asia and China; identity, narratives, strategic culture, memory; institutions; the rules-based global order; Australian defence policy.

Professor Andrew Stewart: The Second World War; Twentieth Century Military History; History of the British Empire/Commonwealth; Senior Professional Military Education; Contemporary Sub- Saharan Africa Security.

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

Professor Stephan Frühling: Australian strategic and defence policy, alliances, missile defence andnuclear weapons, European security and strategic theory.

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

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

Essential Documents for PhD Students & Supervisors

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

At the University level, the ANU Research Award Rules (2018) 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 ANU. 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 University'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 University'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:

- A primary supervisor who also serves as the Panel Chair;
- 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. 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

ANU 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.

Full-Time Students

- 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) (18-30 months into the candidature)

- 3rd year: Annual Report

- 3rd year: Oral Presentation (3 months prior to submission)

Part-Time Students

- 3-6 months after commencement: Annual Plan

- 1st year: Annual Report

- 2nd year: Annual Report + Thesis Proposal Review (TPR) + Completionof Required Coursework (12 units)

- 3rd year: Annual Report

- 4th year: Annual Report + Mid-Term Review (MTR)

- 5th year: Annual Report

- 6th year: Annual Report

- 6th year: Oral Presentation (3-6 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 studenton the outcome of the Annual Report.

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

The Thesis Proposal Review (TPR)

In SDSC, the TPR 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:

1. The research question/s;
2. A review of the literature that develops an argument about why addressing that question/those questions will make a significant contribution;
3. Hypotheses OR an outline of the possible argument and counterarguments;
4. Methodology and methods;
5. An outline of the thesis chapters;
6. An outline of the proposed sources and fieldwork to be undertaken (if any); and,
7. 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 ofAsia-Pacific Affairs HDR Handbook.](#)

Students in SDSC are required to submit a final draft of their written TPR, an outlineof 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 theAnnual 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 (2018),](#) once the TPR has been completed, the SDSC HDR Convenor, on advice from the supervisory panel, will writeto 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 astated period;
  c) For a program for a Doctor of Philosophy — that the student transfer to aprogram 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 thesupervisory 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 processaround candidature termination and student appeal can be found [here](#).

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

Mid-Term Review

In SDSC, the Mid-Term Review requires the submission of:

  1. 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; and,
  d) A working bibliography (not included in the word count).

2. A presentation to the candidate's supervisory panel, their department or the public, based on the written work mentioned above. The precise form in which the presentation takes is to be decided by the candidate's supervisory panel or their department.

The student must submit 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 forthe reasons attached.

If Option (b) is chosen, the SDSC HDR Convenor, on advice from the supervisorypanel, 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; and,
- Ability to respond appropriately to constructive comments and criticism.

If the student is unable to demonstrate these expectations, the supervisory panelmay 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 thepresentation 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 ordeadline for these annual milestones.

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 (or equivalent for part-time students). 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. SDSC 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 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 can 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, Asanthi de Zoysa, in the first instance, should they have a question or need of practical advice on any aspect of their program.