Strategic & Defence Studies Centre

Higher Degree by Research (PhD) Handbook

2017
Welcome to the PhD program in the Strategic & 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) Convener, or the HDR Administrator.

Founded in 1966, the Strategic & Defence Studies Centre is proud to be counted among the earliest generation of post-World War II research institutions specialising 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 Convener
Dr. Nina Silove

HDR Administrator
Ms. Hisako Yamauchi

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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 (February 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.

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: Counterinsurgency and irregular warfare, military history, urban operations, and political science.

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)

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.

John McFarlane (Visiting Fellow)

Charles Miller: military effectiveness, public opinion and foreign policy, and rational decision making in strategic affairs, with a regional focus on China, the United States and Australia.

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.


Helen Taylor: public opinion, peacebuilding, alliance theory, and non-traditional security issues.

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 globalisation, 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 (2015) 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 Postgraduate Seminar Series

SDSC’s postgraduate seminar series is an integral part of the intellectual life of postgraduate students in the Centre. Students are expected to attend the SDSC postgraduate seminar series, both to show support for fellow members of SDSC and because these seminars are valuable learning experiences.

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 for both part-time and full-time students as indicated below:

**Full-Time Student**
- 3-6 months after commencement: Annual Plan
- 1st year: Annual Report + Thesis Proposal Review (TPR) + 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)

**Part-Time Student**
- 3-6 months after commencement: Annual Plan
- 1st year: Annual Report
- 2nd year: Annual Report + Thesis Proposal Review (TPR) + Completion of 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 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 substantial body of introductory work to the thesis. The introductory chapter, of approximately 7,000 words, should set out:
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 Convener).

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 (2015), once the TPR has been completed, the SDSC HDR Convener, 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 or professional doctorate—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 Convener, 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 Convener 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 TPR documentation will be placed in the student’s file.

**Mid-Term Review**

The following requirements of the Mid-Term Review are specific to SDSC and go beyond School or current University requirements. 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 literature review, research question(s), argument and methodology
- b) 1-2 analytical 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 Convener, 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 Convener, 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 Convener 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.
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 Convener, 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 Convener 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, within three to six months of their thesis submission date. The presentation should 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 comment 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.

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 Convener as soon as possible if they anticipate that their student(s) may have difficulty meeting the requirements or deadline 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 2017 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. 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, unless the student can demonstrate that the themes to be discussed or the networking opportunities offered by the conference are of direct relevance to their research).
- 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 Convener 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:

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