



Postgraduate: Degree of Doctor of Philosophy

Latest amendment approved by: Academic Board on 2 July 2008

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Please see also the *University of Sydney (Higher Degree by Research) Rule 2011*. Additional Academic Board policy relating to the PhD can be found at the following web address: <http://sydney.edu.au/policy>

Form of the thesis

Four copies of the thesis shall be submitted for examination for the degree of Doctor of Philosophy and shall normally be submitted in one of the forms set out below in sections 1 and 2.

1. The four copies may be bound in either a permanent or temporary form as set out in subsections 1.1 and 1.2.

1.1 A thesis submitted in permanent binding shall be on international standard A4 size paper sewn and bound in boards covered with book cloth or buckram or other binding fabric. The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear in lettering on the front cover or on the title page. The lettering on the spine, reading from top to bottom, should conform as far as possible to the above except that the name of the University of Sydney may be omitted and the thesis title abbreviated. Supporting material should be bound in the back of the thesis as an appendix or in a separate set of covers.

1.2 A thesis submitted in a temporary binding should be strong enough to withstand ordinary handling and postage. The preferred form of temporary binding is the 'perfect binding' system — ring-back or spiral binding is not acceptable. A thesis submitted in temporary form shall have fixed to the cover a label clearly identifying the name of the candidate, the title of the thesis and the year of submission.

The Xerox Demand Binding system is acceptable both for temporary and permanent purposes.

2. A thesis may also be submitted in electronic form in accordance with the provisions of section 3.

2.1 When a thesis is submitted in electronic form, four copies must be submitted as set out in subsection 2.2.

2.2 A thesis submitted in electronic form must normally be submitted on disk and must be in a format which the faculty determines as acceptable to both the candidate and the examiner(s), with the same structure as the ultimate printed version referred to in sections 1.1 and 4, and each chapter must be in a separate document.

The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear on the title page and on a label affixed to the disk.

A hard copy of the thesis should normally be submitted for retention by the faculty office, and further copies for any examiner(s) unwilling or unable to examine the thesis electronically. Individual faculties may determine, however, that the copy for retention in the faculty office may also be submitted in electronic form.

3. Procedures for electronic submission of theses:

Provision for electronic submission of theses for the purpose of examination may occur where both the candidate wishes to submit in this form and examiners are prepared to examine in this way.

Candidates wishing to submit electronically are required to advise of their intent to submit so that arrangements may be made with prospective examiners.

The usual examination process will be followed when a thesis is submitted electronically, except as set out below.

3.1 A student who wishes to submit electronically must so advise the supervisor and the department at least three months prior to submission.

This advice should be by the completion of a (centrally-designed) form, on which the student must indicate the likely length of the thesis and any special features relating to its format.

3.2 Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically.

3.3 When confirming the appointment of examiners, the faculty office should confirm their willingness or otherwise to examine an electronic version of the thesis.

3.4 Prospective examiners must be advised of the format in which the thesis is available and they must be asked whether they prefer to accept it in that form (on disk, but possibly as an e-mail attachment) or in the traditional hard copy form.

3.5 Under certain circumstances particular specialised electronic applications may form part of the thesis. In such circumstances, it should be ascertained that the examiner has the capability to accept this format, and this must be done three months prior to submission.

3.6 If an examiner advises that he or she does not wish to examine electronically, then the examiner will be sent a hard copy of the thesis.

4. The degree shall not be awarded until the candidate has submitted a permanently bound copy of the thesis (containing any corrections or amendments that may be required) and printed on acid-free or permanent paper, for lodgement in the University Library.

THE EXAMINATION PROCESS

1. Appointment of examiners

Faculty or college board to seek recommendation for examiners

1.1 After the prescribed number of copies of the thesis have been lodged and the supervisor's certificate has been received, the faculty or college board, having considered the certificate, shall seek a recommendation for the appointment of examiners from the head of department concerned, unless the faculty or college board considers that examiners should not be appointed.

Examiners not appointed

1.2 If a faculty or college board, after consideration of the supervisor's certificate, has resolved not to proceed to the appointment of examiners, it shall report the circumstances and the reasons for the decision to the PhD Award Sub-Committee which may note the decision or require the faculty or college board to appoint examiners.

Delays in appointment to be avoided

1.3.1 The head of department and the faculty or college board shall take all possible steps to ensure that examiners are appointed at least four weeks before the submission of the thesis and, where this does not occur, shall report the circumstances to the PhD Award Sub-Committee.

1.3.2 The head of department should normally have taken the steps outlined below in sections 1.4 to 1.10, noting the provisions of section 1.12, before the thesis is submitted.

Head to consult and recommend

1.4 The head of department shall, if reasonably possible, before making his or her recommendation for the appointment of examiners, consult the supervisor and, if it is considered by the supervisor to be necessary, any appointed associate supervisor.

1.5 The head of department shall recommend the appointment of three examiners of the thesis of whom at least two shall be external to the University, i.e. not being a member of the staff of the University or holding a clinical academic title. The supervisor shall not be an examiner.

1.6 The head of department may also recommend the appointment of one or more qualified additional persons who may be called on to act in place of one or more of the three first appointed examiners.

Qualifications of examiners

1.7.1 Examiners recommended should be known to be familiar with the supervision and examination of research theses and should normally still be active in research and/or scholarship.

1.7.2 An examiner appointed to act as an assessor under section 4.3.5 should possess very high standing in the subject in question.

Examiners free from bias and conflict of interest

1.8 A head of department, in making a recommendation, shall take all reasonable steps to ensure that the examiners proposed are free from bias (either for or against the candidate or the supervisor) and conflict of interest.

Involvement of candidate

1.9 The head of department or the supervisor or the candidate may initiate a general discussion with the candidate by the supervisor and/or the head of department of a wide range of possible examiners, including the possibility of the student submitting to an oral examination of the thesis.

Faculty to appoint examiners

1.10.1 The head of department shall make a recommendation to the faculty for the appointment of examiners. In making this recommendation, the head of department should indicate: whether or not he or she has ascertained the prospective examiners' willingness to examine

1.10.1.1 electronically; or

1.10.1.2 conduct an oral examination

whether or not they wish to examine in this way, and, if so, the format(s) in which they are able to receive the thesis. Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically or participate in an oral examination of the thesis

1.10.2 The faculty or college board, on receipt of a recommendation for the appointment of examiners from a head of department, and having considered through its dean or chair of the board of postgraduate studies any advice from the candidate, may appoint the examiners as recommended or appoint different examiners after consultation with the head of department.

Report to PhD Award Sub-Committee

1.11 The faculty shall, using the prescribed form, report the names and qualifications of the examiners appointed to the PhD Award Sub-Committee which may itself appoint, or may request the faculty or college board to recommend for appointment, one or more additional examiners. The faculty shall indicate on the form if the examiners are currently active in research and/or have previous experience as an examiner and are free from bias and conflict of interest. The prescribed form should also indicate which, if any, of the examiners will be examining the thesis electronically or if the student will be submitting to an oral examination of the thesis. If an examiner does not fulfil the above criteria, a short justification of why that examiner was chosen should be provided by the faculty

concerned. The appointment of examiners for all PhD candidates shall be endorsed by the PhD Award Sub-Committee prior to the examination process commencing.

Names not to be disclosed

1.12 Except as may be necessary when an oral examination is required, the names of the examiners appointed shall not be disclosed to the candidate until a determination has been made about the award of the degree.

Invitation to examiners

1.13 After the appointment of examiners by the faculty or college board, the Registrar shall write to each external examiner inviting him or her to act, specifying the conditions applicable to the examination process and enclosing the resolutions for the degree, an information statement. An examiner's report form will be enclosed with the letter and, if possible, will also be sent to the examiner in electronic form via electronic mail if the examiner is able to receive it in one of the formats available. If the examiner has indicated a willingness to participate in an oral examination of the thesis the date and arrangements for the oral examination will also be notified.

1.14 On receipt of an acceptance of the invitation to act, or on advice from the head of department concerned that the examiner is willing to act under those conditions, the Registrar shall dispatch a copy of the thesis in either hard copy or electronic form if the examiner has indicated willingness to examine in electronic form.

1.15 The Registrar shall similarly write to any internal examiner advising him or her of the appointment and the conditions which apply and enclosing the resolutions for the degree and the examiner's report form together with a copy of the thesis either in hard copy or electronic form.

Delay between appointment of examiners and receipt of thesis

1.16 In the event of a candidate's thesis not being received within three months of the acceptance by the examiners of their appointment, the faculty shall write to all examiners concerned, both internal or external, to ascertain their willingness to continue to act as examiners of the thesis in question.

Delegations of authority

1.17 A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidature or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

2. Consideration by examiners

Examiners to report within two months

2.1 An examiner is required to complete the examination of the thesis and submit a report on the prescribed form within two months of receipt of the thesis. The examiner may return the report by electronic mail, but if using this medium must also send a signed, hard copy of the report by mail or facsimile.

Examiners to submit independent reports

2.2 The examiner shall not be advised of the names of the other examiners who have agreed to act. The University requires that there be no consultation among co-examiners during the examination process and that examiners submit an independent report.

Content of report

2.3 The report shall include the recommendation that:

- 2.3.1 the candidate be awarded the degree without further examination; or
- 2.3.2 the candidate be awarded the degree subject to correcting typographical errors before the degree is conferred (typographical errors include spelling, grammar, punctuation, capitalisation and reference dates); or
- 2.3.3 the candidate be awarded the degree subject to conditions listed in the examiner's report being addressed to the satisfaction of the University (which may include a

- recommendation that if reasonably possible the candidate should be required to take an additional oral or other examination); or
- 2.3.4 the candidate be not awarded the degree, but be permitted to resubmit the thesis in a revised form for re-examination following a further period of study, the examiner having formed the opinion that the errors or deficiencies substantially affect the argument or the thesis; or
 - 2.3.5 the candidate be not awarded the degree.
 - 2.3.6 In the case of a thesis which is also to be examined by an oral examination, the report of the examiners shall be an interim report, to be completed following the conclusion of the oral examination.
- 2.4 The report shall also record whether in the opinion of the examiner—
- 2.4.1 the thesis is a substantially original contribution to the knowledge of the subject concerned;
 - 2.4.2 the thesis affords evidence of originality by the discovery of new facts;
 - 2.4.3 the thesis affords evidence of originality by the exercising of independent critical ability;
 - 2.4.4 the thesis is satisfactory as regards literary presentation; and
 - 2.4.5 a substantial amount of material in the thesis is suitable for publication.
- 2.5 The examiner shall state the grounds on which his or her recommendation is based, indicating the strengths and weaknesses of the thesis and the particular contributions made by the candidate and may list emendations that it is considered should be made and shall indicate the extent of any consultation with other examiners or associate or co-examiners.

Release of examiners' names

2.6 As part of the report form, the examiner shall be asked to indicate whether he or she is willing to have his or her name and/or his or her report in full or in part released to the candidate, either at the conclusion of the examination, or in the circumstances outlined in sections 4.17 to 4.20.

Receipt of reports to be monitored

2.7 The Registrar shall acknowledge receipt of reports as received and arrange for payment of the examiner's fee to external examiners.

2.8 The Registrar shall contact any examiner who has not submitted his or her report within six weeks of despatch of the thesis, reminding the examiner of the due date for the report, and the Registrar shall contact any examiner who has not submitted his or her report within ten weeks of despatch of the thesis, requesting advice as to when it will be submitted and reminding the examiner of the conditions of the examination.

Replacement examiner if report not received

2.9 The Registrar shall contact any examiner who has not submitted the report by the end of the fourteenth week after despatch of the thesis, advising that it will be necessary to proceed to the appointment of a replacement examiner if the report is not received within a further two weeks and shall proceed to do so if the report is not received within that time.

2.10 Notwithstanding the fact that replacement examiners may previously have been appointed, the Registrar shall seek advice from the head of department as to who should act as a replacement examiner in the event of an examiner being replaced under the circumstances referred to in section 2.9 and, if necessary, the faculty or college board shall appoint a further qualified examiner on the recommendation of the head of department who shall, if necessary, have carried out the same consultative procedures as applied to the initial appointment of examiners.

2.11 Should the process of appointing a replacement examiner under the circumstances referred to in section 2.9 have proceeded to the point where a copy of the thesis has been dispatched to the replacement examiner, any report subsequently received from the examiner who has been replaced shall not be considered in determining the result of the candidature.

2.12 Notwithstanding the provisions of sections 2.9 to 2.11, the PhD Award Sub-Committee or its Chair may, in such circumstances as it shall determine are exceptional, and on the recommendation of the faculty or college board concerned, allow some specific variation to those requirements.

2.13 In the case of a thesis also being examined by an oral examination, the procedures for the conduct of the oral examination and the consideration of the examiners' reports shall be those adopted by the Academic Board.

3. Consideration of examiners' reports

By the faculty

3.1 When all three examiners' reports have been received,

3.1.1 if all examiners have recommended either that the degree be awarded without qualification or the degree be awarded subject to correction of typographical errors, the faculty may award the degree either without further examination or subject to the correction of typographical errors (as specified by the examiners) being made in all copies of the thesis to be retained in the University before the degree is conferred and shall forward the reports to the head of department and supervisor for information; or

3.1.2 if any other recommendations have been made, the faculty shall forward the reports to the head of department for a recommendation and to the supervisor.

3.1.3 In the case of a thesis also being examined by an oral examination, the procedures for the consideration of the examiners' reports shall be those adopted by the Academic Board.

3.2 Neither head of department nor supervisor shall have a right of access to the examiners' reports before they have all been received, except where the dean of the faculty or chair of the college board considers that special circumstances exist.

Head of department to consult

3.3 The head of department, if there is disagreement among the examiners, or, if asked to comment of the report of an oral examination, shall, before making a recommendation, if reasonably possible, consult the candidate's supervisor and shall consult the candidate's annual progress reports.

3.4 The head of department shall indicate when making his or her recommendation the nature and extent of consultation that has been carried out and shall forward a copy of any written report he or she has received from the supervisor.

Head of department's recommendation

3.5 The head of department, having considered the reports of the examiners and carried out any required consultation, may make one of the following recommendations:

3.5.1 that the degree be awarded without further conditions; or

3.5.2 that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or

3.5.3 that the degree be awarded subject to emendations being made in all copies of the thesis to be retained in the University; or

3.5.4 except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner; or

3.5.5 except in the case of the report of an oral examination, that an additional examiner be appointed; or

3.5.6 except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, and the comments of the supervisor, whether or nor already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have

- been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor; or
- 3.5.7 except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or
 - 3.5.8 that the candidate not be awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or
 - 3.5.9 that the degree be not awarded.

Head of department to specify emendations

3.6A head of department, if recommending under section 3.5.2 or 3.5.3 that the degree be awarded subject to typographical corrections or emendations, shall specify the typographical corrections or emendations to be made, if not already specified in the report of an oral examination, noting that the PhD Award Sub-Committee normally expects any typographical corrections or emendations or errors identified by examiners to be corrected after consideration of the examiners' reports and head of department's recommendation.

Release of examiners' reports

3.7 The head of department shall, with his or her recommendation, after noting the wishes of the examiners, indicate what portions of the examiners' reports may be released to the candidate, but the reports shall remain confidential until after consideration by the PhD Award Sub-Committee, faculty or college board.

Delegation of authority

3.8A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidature or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

4. Examiners' reports and head of department's recommendation

Referral of head of department's recommendation and faculty or college board action

- 4.1.1 The head of department shall forward his or her recommendation to the dean of the faculty or chair of the college board.
- 4.1.2 If the head of department has recommended that the degree be awarded, under section 3.5.3, subject to emendations as specified by one or more of the examiners, and one or more of the examiners have recommended that the degree be awarded subject to emendations and the remaining examiners have recommended award without further examination or subject to the correction of typographical error, the faculty may award the degree subject to all the corrections and/or emendations required by the examiners being carried out in all the copies of the thesis to be retained in the University before the degree is conferred.
- 4.1.3 If the head of department has recommended, under section 3.5.3, that the degree be awarded but that not all the emendations required by all the examiners should be carried out, the faculty may not award the degree, and the reports of the examiners, together with the recommendation of the head of department and of the faculty or college board, shall be forwarded to the PhD Award Sub-Committee. The recommendation of the Faculty shall specify the nature of such corrections, emendations or other conditions as may be intended.
- 4.1.4 Except as provided under section 3.1.1 or 4.1.2, the dean of the faculty or chair of the college board shall refer the recommendation of the head of department to the faculty or college board, which shall forward a recommendation to the PhD Award Sub-Committee together with the recommendation of the head of department and copies of the reports of the examiners. The recommendation of the Faculty shall specify the nature of such corrections, emendations or other conditions as may be intended.

PhD Award Sub-Committee action

4.2 The PhD Award Sub-Committee, after consideration of the examiners' reports and the recommendation of the head of department and where these have been made any recommendation from the faculty or college board:

- 4.2.1 may award the degree without further examination; or
 - 4.2.2 may award the degree subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or
 - 4.2.3 may award the degree subject to emendations specified by the head of department or the Sub-Committee being made in all copies of the thesis to remain available in the University; or
 - 4.2.4 may refer the candidature to the faculty or college board concerned;
- and shall refer the candidature to the faculty or college board concerned if a member of the Sub-Committee so requires and the examiners' reports and the recommendation of the head of department have not already been considered by the faculty or college board.

Faculty or college board action

4.3 The faculty or college board, after considering the recommendation of the head of department and the reports of the examiners that have been referred directly to it or by the PhD Award Sub-Committee, may resolve:

- 4.3.1 to recommend to the PhD Award Sub-Committee that the degree be awarded without further examination; or
- 4.3.2 to recommend to the PhD Award Sub-Committee that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or
- 4.3.3 to recommend to the PhD Award Sub-Committee that the degree be awarded subject to emendations specified by the head of department or the faculty or college board being made in all copies of the thesis to remain available in the University; or
- 4.3.4 except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner, this not being a substitute for requiring the candidate to make emendations to the thesis or to revise and resubmit the thesis; or
- 4.3.5 except in the case of the report of an oral examination, that an additional examiner be appointed; or
- 4.3.6 except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, and the comments of the supervisor, whether or not already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor.
- 4.3.7 except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or
- 4.3.8 that the candidate not be awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or
- 4.3.9 that the degree be not awarded.

Award without further conditions

4.4 Where the faculty or college board or PhD Award Sub-Committee has approved the award of the degree without further conditions, the Registrar shall advise the candidate

that the degree has been awarded subject to the lodgement of a permanently bound copy of the thesis printed on archival or permanent paper, shall lodge this copy with the University Librarian, and shall advise the examiners, head of department and supervisor.

Award subject to correction of typographical errors

4.5 Where the faculty or college board or PhD Award Sub-Committee has approved the award of the degree subject to the correction of typographical errors, the Registrar shall advise the candidate that the degree has been awarded subject to the lodgement of a permanently bound copy of the thesis printed on archival or permanent paper in which the typographical corrections have been made to the satisfaction of the head of department, shall lodge this copy with the University Librarian, and shall advise the examiners, head of department and supervisor.

Award subject to emendations

4.6 When the award of the degree has been approved by a faculty or college board or by the PhD Award Sub-Committee, subject to specified emendations being made in all copies of the thesis to remain available in the University, the Registrar shall advise the candidate of the decision and of the nature of the emendations required and the latest date by which the emendations shall be made, being, unless otherwise determined by the faculty or college board, within a further three months, and shall provide such detail in relation to the examiners' reports as the head of department recommends.

Additional oral or other examination

4.7.1 Where a faculty or college board has resolved under section 4.3.4 that the candidate be required to take an additional oral or other examination, or answer specific questions put by an examiner, unless the faculty or college board has determined otherwise, the faculty or college board shall be responsible for the oversight of these further examining processes.

4.7.2 At the completion of an additional oral or other examination, or once a specific question(s) put by an examiner have been answered, the faculty or college board shall obtain a further recommendation from the head of department and shall then resolve in accordance with section 4.3.1 – 4.3.3, 4.3.8 or 4.3.9.

Conduct of oral examination

4.8 Those present at an oral examination may include one or more of the examiners and persons, other than the examiners, nominated by the faculty or college board; shall include the supervisor if he or she wishes; and may include, with the approval of the dean of the faculty or chair of the college board, a member of the University nominated by the candidate.

4.9 A candidate shall be given reasonable notice of any oral examination and of the nature of the examination and the names of the persons who will be present, and may advise the dean of the faculty or chair of the college board of reservations he or she may have about the presence of any particular person, giving reasons in writing.

Additional examiner

4.10 Where a faculty or college board resolves under section 4.3.5 that an additional examiner be appointed, the provisions of sections 1, 2 and 3 shall apply as appropriate and the Registrar shall write to the examiner as provided in section 1.13 or 1.14 and shall advise the previously appointed examiners of the name of the additional examiner.

4.11 A faculty or college board, having received a further recommendation from the head of department together with an additional examiner's report, may then resolve as provided in section 4.3.1-4.3.4, 4.3.8 or 4.3.9.

Additional examiner as assessor

4.12 Except in special circumstances, an additional examiner acting as assessor will be an external appointment.

4.13 Where a faculty or college board resolves under section 4.3.6 that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, the provisions of sections 1, 2 and 3 of these resolutions shall apply as appropriate and the Registrar shall seek comments from the supervisor and then write to the examiner as provided in section 1.13 or 1.14, inviting the examiner to act as an assessor of the examiners' reports as well as an examiner of the thesis and shall provide copies of the unidentified examiners' reports, and the comments of the supervisor, whether or not already an examiner. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor. The Registrar shall also advise the previously appointed examiners of the name of the additional examiner who is also to act as assessor.

4.14 A faculty or college board, having received a further recommendation from the head of department (with any written report provided by the supervisor) together with an additional examiner-as-assessor's report, may then resolve as provided in section 4.3.1-4.3.3, 4.3.8 or 4.3.9, except that, where the faculty or college board does not substantially resolve in the terms recommended by the assessor, it shall include a report of the reasons for its decision with any recommendation to the PhD Award Sub-Committee.

Referral of reports to examiners

4.15 Where a faculty or college board resolves under section 4.3.7 that the reports of the examiners, together with comments from the supervisor, shall be referred to all the examiners for their comment, the Registrar shall seek comments from the supervisor and then send copies of the examiners' reports and the supervisor's comments to each of the examiners, advising them that it is in order for them to confer and seeking a further report from each examiner within a period of four weeks.

4.16 The Registrar shall forward the responses received, following the circulation of reports, to the head of department for such consultation as is required under section 3 and to make a recommendation, and the faculty or college board on receipt of that recommendation may then resolve as provided in section 4.3.

Candidate to be consulted before degree not awarded

4.17 Where a faculty or college board forms the intention, either to resolve under section 4.3.8 that the degree not be awarded but that the candidate be allowed to revise and resubmit the thesis within a prescribed maximum period of time, or to resolve under section 4.3.9 that the degree not be awarded, that resolution shall be deferred to allow a process of consultation with the candidate.

4.18 The Registrar shall advise the candidate in writing of the faculty or college board's intent; shall provide unidentified copies of such of the examiners' reports as the examiners have indicated may be released and shall advise the candidate that he or she may within a period of four weeks give notice of intention to provide comment on the foreshadowed recommendation of the faculty or college board, such comments to be submitted in writing by no later than a total of eight weeks from the date of the Registrar's advice.

4.19 The faculty or college board shall further consider the examiners' reports and the head of department's recommendation, together with any comments provided by the candidate and any further comments provided by the head of department or supervisor and may then resolve as provided in section 4.3.

4.20 The dean of a faculty or chair of a college board may extend either of the time limits set out in section 4.17.

Revise and resubmit

4.21 Where a faculty or college board, following the consultation process referred to in sections 4.17-4.20, resolves under section 4.3.8 that the degree not be awarded but the candidate be allowed to revise and resubmit the thesis within a prescribed maximum period of time, this decision shall be reported to the PhD Award Sub-Committee, which may note the decision or refer it back to the faculty or college board for further

consideration, and the Registrar shall advise the candidate of the decision, of any provisions relating to appeals, the particular conditions applying and the general requirements in respect of revision and resubmission and shall provide such detail in relation to the examiners' reports as the head of department recommends and shall also advise the examiners, head of department and supervisor of the terms of the decision.

Degree not awarded

4.22 Where a faculty or college board, following the consultation process referred to in sections 4.17–4.20, resolves under section 4.3.9 that the degree not be awarded, this decision shall be reported to the PhD Award Sub-Committee which may note the decision or refer it back to the faculty or college board for further consideration, and the Registrar shall advise the candidate of the decision, of any provisions relating to appeals, shall provide such detail in relation to the examiners' reports as the head of department recommends and shall also advise the examiners, head of department and supervisor of the decision.

Emendations and lodging of corrected thesis

4.23 A candidate, on receipt of advice from the Registrar that the degree has been awarded subject to emendations being made, shall make these emendations in consultation with his or her supervisor or head of department on all the copies of the thesis which are to be available within the University, including the copy printed on permanent or acid-free paper which is to be lodged with the University Librarian; shall comply with the requirements with respect to permanently binding a copy of the thesis; shall request the head of department to certify that the corrections have been made and shall submit the thesis copies to the Registrar by no later than the latest date advised for completing such action.

4.24 The Registrar, on receipt of at least one corrected, permanently bound copy of the thesis and a statement from the head of department that the corrections have been made to his or her satisfaction, shall cause all corrected hard copies submitted to be stamped, and electronic copies to be annotated and stored as 'read-only file' to indicate that the thesis is in the form which has been accepted for the degree; shall advise either the PhD Award Sub-Committee or the faculty, as appropriate, that the corrections have been made and that the faculty or Sub-Committee can therefore approve the award of the degree; shall write to the candidate advising that all the requirements for the award of the degree have been met; shall lodge the permanently printed copy with the University Librarian, and shall so advise the examiners, head of department and supervisor.

4.25 If a candidate does not carry out the required emendations within the time limit set, or the head of department after consultation with the supervisor does not consider that the emendations made are satisfactory, the head of the department shall refer the matter to the faculty or college board which may grant additional time or set different conditions or may initiate proceedings under the provisions for the termination of candidature.

Transfer to master's candidature

4.26 A faculty or college board may permit a candidate for the degree of Doctor of Philosophy who, after examination, has not been awarded the degree, to use part or all of the material in the thesis as a thesis to be submitted for a master's degree, subject to completing all of the necessary administrative requirements.

Participation of supervisor and head of department

4.27 The supervisor and head of department may be present at any discussion by a faculty or college board of a recommendation by the head of department in respect to examiners' reports on the thesis of a candidate.

Delegation of authority

4.28 A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidature or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

4.29 The Sub-Committee may delegate to its chair, or in the absence of the chair to the chair's nominee from the Sub-Committee, its powers to award the degree under section 4.2.1, 4.2.2 or 4.2.3.

4.30 The Sub-Committee may delegate to its chair, or in the absence of the chair to the chair's nominee from the Sub-Committee, its powers under section 4.21, where the candidate has been consulted in accordance with section 4.17 and agrees with the recommendation of the faculty.

4.31 Where the PhD Award Sub-Committee has delegated to faculties and colleges the authority to approve the award of the degree under sections 3.1.1 or 4.1.2, the authority for the approval of the award shall be the responsibility of the faculty's or college board's postgraduate committee which may delegate authority to act on its behalf to its chair, or in the absence of the chair to the chair's nominee.

5. Revision and re-examination

Faculty or college board to prescribe conditions

5.1 A faculty or college board which has resolved that a candidate not be awarded the degree but be permitted to revise and resubmit the thesis for re-examination, shall prescribe a maximum period of further candidature and may prescribe particular conditions to be met.

Candidate to re-enrol

5.2 A candidate permitted to revise and resubmit shall re-enrol while remaining a candidate for the degree and shall proceed according to the provisions of these resolutions.

Appointment of examiners

5.3 A head of department shall recommend examiners for a revised and resubmitted thesis after the consultation processes provided for in section 1, but the faculty shall normally reappoint the original examiners of the thesis, provided that they are available, unless one or more of those examiners has required modifications of the thesis that the faculty or college board consider to be unnecessary or undesirable or, in the opinion of the faculty or college board, there are academic reasons for not reappointing any or all of the original examiners.

Process of examination

5.4 Subject to section 5.5, all the provisions of sections 1, 2, 3 and 4 relating to the examination process apply to the examination of a revised and resubmitted thesis.

5.5 Except where the Graduate Studies Committee on the recommendation of the faculty or college board permits otherwise, the recommendation that a candidate be not awarded the degree but be permitted to resubmit the thesis in a revised form for re-examination shall not be available to examiners of a thesis that has itself been submitted for re-examination.

6. Faculty and college board delegations

Where in these resolutions reference is made to a faculty or a college board or action to be taken by a faculty or a college board, that reference shall also include a faculty or college board of postgraduate studies or equivalent and any dean, chair, associate dean or other officer of the faculty or college board acting with the authority of the faculty or college board.

7. Annual quarterly reports to the PhD Award Sub-Committee

Where the degree is awarded by faculty delegation, the faculty shall report to the PhD Award Sub-Committee at the end of March, June, September and December of each year the details of such awards for the previous three months showing for each the name of the candidate, the department, the title of the thesis, the category of award recommended by each examiner, the final result, the date of submission of the thesis and the date on which the candidate was informed of the result.

8. Cotutelle agreements

8.1 Where a candidature has been conducted under an approved cotutelle agreement with a French university four examiners shall be appointed, two being on the recommendation of each participating institution.

8.2 Where a candidature has been conducted under an approved cotutelle agreement with other than a French university the examination arrangements must be approved by the Graduate Studies Committee.