

University of Sydney (Higher Degree by Research) Rule 2011

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Chapter 1 Preliminary

Part 1 Preliminary

1.01 Name of Rule

This Rule is the *University of Sydney (Higher Degree by Research) Rule 2011*.

1.02 Commencement

This Rule commences on 25 March 2011.

1.03 Statement of intent

This Rule deals with all higher degrees offered by research at the University. These are:

- (a) Master's degrees by research;
- (b) Doctorates by research; and
- (c) Higher Doctorates by research.

Note: This Rule should be read in conjunction with, but not subject to, any course resolutions applying to the degree.

1.04 University may change courses and units of study

Despite any policy, or the course resolutions and any other provision of the agreement between a student and the University, the University:

- (a) is not obliged to offer a particular course or unit of study in any academic year; and
- (b) is not liable to a student for not offering a particular course or unit of study in a particular academic year.

1.05 Overall requirements

The University will not admit a person to a course unless the person:

- (a) is eligible for admission to the course;
- (b) applies for admission in accordance with this Rule and the course resolutions;
- (c) accepts an offer made by the University for admission to the course; and
- (d) completes, to the satisfaction of the University, all requirements for enrolment in the course.

1.06 No right to admission

Nothing in this Rule confers a right on a person to be admitted to candidature for a higher degree by research or imposes a duty on the University to admit, or offer to admit, a person to candidature for a higher degree by research.

1.07 Interpretation

(1) In this Rule:

applicant means an applicant for admission as a candidate for a higher degree by research.

Associate Dean means the Associate Dean of the relevant Faculty with authority for matters relating to higher degrees by research within the Faculty.

candidate means a candidate for a higher degree by research

cotutelle agreement means an agreement between the University and another university or institution that:

- (a) permits joint candidature in the Doctor of Philosophy; and
- (b) allows a candidate to receive a doctorate from the University and from the other university or institution, each testamur acknowledging the circumstances under which the award was made.

course resolutions means resolutions made by the Academic Board in accordance with clauses 2.01 and 3.01

Note: The Doctor of Philosophy is offered by the University, not by individual faculties. Accordingly, there is no power for faculties or the Academic Board to make course resolutions for the Doctor of Philosophy.

Dean means the dean of the relevant Faculty.

delegate means an officer, employee or committee of the University to whom Senate has made a delegation of power.

department includes one or more departments, one or more schools, inter-departmental committees and inter-school committees.

Doctorate by research means a degree with the word “doctor” in the title comprising a minimum of two-thirds research that is approved by the Academic Board.

Note: The Academic Board will not approve a Doctorate by research unless it complies with the Australian Qualifications Framework.

Faculty means the relevant Faculty or College Board

full-time candidature means a candidature in which the student works on the requirements for the degree for a minimum of 35 – 40 hours per week for 48 weeks per year or as stipulated by the Faculty

Head of Department means the head of the relevant department.

good cause means circumstances beyond the reasonable control of a student, which may include serious ill health or misadventure.

higher doctorate has the meaning given to it by clause 5.01 of this Rule.

Master’s by research means a degree with the word “Master” in the title comprising a minimum of two-thirds research that is approved by the Academic Board.

Note: The Academic Board will not approve a Master’s by research unless it complies with the Australian Qualifications Framework.

part-time candidature means a candidature in which the student works on the requirements for the degree for a proportion of the period specified for a full-time candidature over a proportionately longer time

student means a person who is currently admitted to candidature in an award course of the University.

University means the University of Sydney.

- (2) Unless the contrary appears, a provision in this Rule that specifies matters that are to be or may be considered in relation to a determination or other decision does not imply that they are the only matters to be considered.
- (3) A note, marginal note, footnote or endnote is not a provision of this Rule.
- (4) A delegate of the Senate is not authorised to sub-delegate (by way of an agency or in any other way) any or all of the delegate's delegated functions to another person or group of persons.
- (5) Delegates more senior in the lines of accountability to a delegate named in this Rule, may exercise a delegation conferred on that named delegate.

Example: *A Dean may exercise a delegation conferred on an Associate Dean. An Associate Dean may exercise a delegation conferred on a Head of Department.*

Chapter 2 Higher degrees by research

Part 2 Master's by research

2.01 Course resolutions

The Academic Board may, on the recommendation of the Faculty, prescribe for a Master's degree by research, standards relating to:

- (a) admission requirements;
- (b) course requirements
- (c) candidature; and
- (d) examination.

2.02 Application of this Part

This Part applies to:

- (a) the Master of Philosophy; and
- (b) other Master's degrees with a research component of at least two thirds of the total student load for the degree.

2.03 Eligibility for admission to candidature

- (1) Subject to sub-clause (2) and (3) and to admission requirements specified in the course resolutions, to be eligible for admission by a Dean or Associate Dean to candidature for a Master's degree, an applicant must:
 - (a) hold or have completed all the academic requirements for:
 - (i) a Master's degree; or
 - (ii) a Bachelor's degree; or
 - (iii) a qualification equivalent to a Bachelor's degree; and
 - (b) meet other criteria as specified in the course resolutions.
- (2) A Dean or Associate Dean may admit to candidature an applicant who does not meet the requirements of sub-clause (1), provided that the applicant holds a qualification or qualifications that, in the opinion of the Faculty Graduate Studies Committee are equivalent to those prescribed in sub-clause (1).
- (3) The Dean or Associate Dean may impose on a student admitted to candidature pursuant to sub-clause (2) such conditions as the Dean or Associate Dean considers appropriate.

2.04 Application for admission to candidature

- (1) An applicant for admission to candidature for a Master's degree must submit to the relevant Faculty:
 - (a) if required by the course resolutions, a proposed course of advanced study and research, approved by the Head of the department in which the work is to be undertaken;
 - (b) satisfactory evidence of the applicant's eligibility for admission; and
 - (c) a statement certifying the applicant's understanding that, subject to this Rule, if the candidature is successful, his or her thesis will be lodged with the University Librarian and made available for immediate public use.

2.05 Probationary admission to candidature

- (1) Where provision is made for probationary admission in the course resolutions, the Dean or Associate Dean may admit a student to candidature for a Master's degree on a probationary basis for a period not exceeding one year.
- (2) On completion by the student of any probationary period imposed pursuant to sub-clause (1), the Head of Department will review the student's work and recommend to the Dean that:
 - (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why he or she should be permitted to continue the candidature.
- (3) After considering a recommendation made by a Head of Department in accordance with sub-clause (2), the Dean may:
 - (a) confirm the student's candidature; or
 - (b) require the student to show good cause why he or she should be permitted to continue the candidature.

Note: See clause 2.13 for details of the 'show cause' process.
- (4) The candidature of a student that is confirmed in accordance with paragraph (3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

2.06 Credit for previous studies

- (1) Subject to sub-clause (2), a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a higher degree in any Faculty of the University may be permitted by the Dean or Associate Dean to receive credit for all or any part of the higher degree candidature.
- (2) The Dean or Associate Dean may grant credit in accordance with sub-clause (1), provided that the student's higher degree candidature was:
 - (a) a course of full-time or part-time advanced study and research;
 - (b) pursued by the student under the supervision of a supervisor appointed by the relevant Faculty or Board of Studies;
 - (c) directly related to the student's proposed course of advanced study for the Master's degree. and
 - (d) the student has discontinued his or her candidature in the higher degree.
- (3) Subject to sub-clause (4), and to the course resolutions, a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a higher degree at another university or institution may be permitted by the Dean or Associate Dean to receive credit for all or any part of the higher degree candidature.
- (4) The Dean or Associate Dean may grant credit in accordance with sub-clause (3), provided that:
 - (a) at the time of admission to the higher degree at the other university or institution, the student held academic qualifications equivalent to those set out in clause 2.03;
 - (b) the higher degree candidature was:
 - (i) a course of full-time or part-time advanced study and research;
 - (ii) pursued by the student under the supervision of a supervisor appointed by the other university or institution; and
 - (iii) directly related to the student's proposed course of advanced study for the Master's degree; and

- (c) the student has discontinued his or her candidature in the higher degree at the other university or institution.
- (5) Where the course resolutions specify the completion of coursework as part of the requirements of the award, and subject to the course resolutions and the *University of Sydney (Coursework) Rule 2000* (as amended), the Dean or Associate Dean may grant a student credit for previously completed coursework.

2.07 Limit on credit for previous studies

- (1) The amount of credit for previous studies that may be granted to a student in accordance with clause 2.06 is limited by the following requirements:
- (a) the combined duration of the student's previous higher degree candidature and the Master's candidature must meet the requirements set out in clauses 2.19 and 2.20 of this Rule;
 - (b) any period of discontinued, suspended or lapsed candidature (as set out in clauses 2.14 to 2.16 of this Rule) must comply with this Rule and with standards set by the Academic Board; and
 - (c) no student who has been granted credit may present a thesis for examination less than:
 - (i) six months, for a full-time student; or
 - (ii) twelve months, for a part-time student;following admission to candidature in the Master's degree.

2.08 Control of candidature

- (1) All candidates for a Master's degree are required to undertake their candidature wholly under the control of the University.
- (2) The Dean or Associate Dean may require a student to provide a statement from his or her employer acknowledging that the candidature is under the exclusive control of the University.

2.09 Other studies during candidature

Subject to the approval of any other affected Head of Department, and the course resolutions, a Head of Department or a student's supervisor may require a student to attend, undertake or complete assessment for lectures, seminars, courses or practical work during the course of his or her candidature.

Note: In accordance with this Rule, a Master's degree must comprise a minimum of two-thirds research.

2.10 Supervision

- (1) The Head of Department will appoint a suitably qualified supervisor and an associate supervisor or associate supervisors for each student undertaking a Master's degree by research, in accordance with guidelines for supervision determined by the Academic Board.
- (2) The supervisor and associate supervisors will:
- (a) have primary responsibility for the conduct of the candidature in accordance with guidelines determined by the Academic Board;
 - (b) be responsible for reporting the progress of the candidature to the Head of Department and the Dean or Associate Dean.

2.11 Location of candidature

- (1) Subject to the annual approval of the supervisor and Head of Department, students will pursue their candidature:
 - (a) within the University, including its research stations and teaching hospitals;
 - (b) on fieldwork, including in the field or in libraries, museums or other repositories;
 - (c) within industrial laboratories or research institutions or other institutions considered by the Head of Department to provide adequate facilities for that candidature; or
 - (d) within a professional working environment.
- (2) Throughout the course of his or her candidature, a student will attend the University for such:
 - (a) face-to-face consultation with his or her supervisor;
 - (b) Departmental and Faculty or College Board seminars; and
 - (c) coursework or other studies required under 2.09 of this Rule;as specified annually by the Head of Department.
- (3) Subject to sub-clause (4), a student who pursues his or her candidature outside Australia must complete a minimum of one semester of candidature within the University prior to submitting his or her thesis for examination.
- (4) For the purposes of sub-clause (3), the semester of candidature to be completed within the University may be completed:
 - (a) at any time during the candidature; and
 - (b) continuously or in several non-consecutive periods.

2.12 Progress

- (1) At intervals no longer than one year, departments must require students to:
 - (a) provide evidence of satisfactory progress in their candidature (including any required progress and review forms); and
 - (b) participate in a progress review interview.
- (2) Satisfactory progress will be assessed by the supervisor, associate supervisors, Head of Department and the Departmental or Faculty Postgraduate Review Committee.
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Head of Department may determine that the student:
 - (a) has demonstrated satisfactory progress, and specify the conditions of candidature to apply the following year; or
 - (b) has not demonstrated satisfactory progress, and:
 - (i) require the student to provide further evidence of progress at the end of one semester, or such other period that the Head of Department considers appropriate; or
 - (ii) recommend to the Dean that the student be asked to show good cause why he or she should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Head of Department must indicate whether he or she is satisfied that the proposed supervision arrangements are satisfactory.
- (5) After considering a recommendation made by the Head of Department in accordance with sub-paragraph (3)(b)(ii), the Dean may:
 - (a) confirm the student's candidature and require the Head of Department to specify the conditions of candidature to apply the following year; or

- (b) require the student to show good cause why he or she should be permitted to continue the candidature.

2.13 Students may be required to show good cause

- (1) A student who is required to show good cause in accordance with paragraph 2.05(3)(b) or 2.12(5)(b) will be sent a notice that:
 - (a) requires the student to show good cause why he or she should be permitted to continue the candidature, on or before a specified date;
 - (b) states why the student is being asked to show good cause;
 - (c) sets out the actions that may be taken in respect of the candidature; and
 - (d) advises the student of his or her right to seek independent advice and assistance in preparing his or her response.
- (2) The Dean must give the student a reasonable opportunity to make written submissions about the matter.
- (3) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has shown good cause, the Dean will permit the student to continue the candidature.
- (4) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has not shown good cause, the Dean must, by written notice setting out his or her reasons:
 - (a) terminate the student's candidature; or
 - (b) impose conditions or restrictions on the continuation of the student's candidature.

Note. For review of these decisions see *University of Sydney (Student Appeals against Academic Decisions) Rule 2006*.
- (5) A student will be permitted to continue his or her candidature pending final decision by the Faculty, or by the Student Appeals Body in accordance with the *University of Sydney (Student Appeals against Academic Decisions) Rule 2006* (as amended).

2.14 Discontinuation of candidature

- (1) Subject to this clause and the course resolutions, a student in a course may, by notice to the Faculty, discontinue his or her enrolment in the course or in one or more units of study.
- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) A student's enrolment in the course or the relevant units of study will be treated as discontinued from the date of the notice, unless he or she produces evidence that:
 - (a) the discontinuation occurred at an earlier date; and
 - (b) there was good reason why the application could not be made at an earlier time.
- (4) A student who discontinues enrolment in a course during his or her first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Dean granted prior permission to re-enrol; or
 - (b) the student is later re-selected for admission to the course.
- (5) A student may not discontinue enrolment in a course or a unit of study after the end of classes in that course or unit of study, except in accordance with paragraphs (3)(a) and (b).

2.15 Suspension of candidature

- (1) Subject to the course resolutions, a student in a course may, by notice to the Faculty, suspend his or her enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the Dean or Associate Dean, for a longer period.
- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) At the end of the suspension period, the student must comply with any requirements notified by the Dean for completing the course. Those requirements apply to the student, despite anything to the contrary in the course resolutions.

2.16 Lapse of candidature

- (1) If a student does not enrol by the last census date for enrolment in each semester of the degree, and the student has not sought approval to discontinue or suspend enrolment, the student's candidature lapses.
- (2) If a student's candidature in a course lapses, then, despite any contrary provision in this Rule, the procedures for the student to apply for readmission to the course are to be as the Dean or Associate Dean determines.

2.17 Return to candidature

- (1) Subject to written advice from the Dean or Associate Dean, if a student returns to candidature after suspension, discontinuation or a lapse in candidature, the course requirements as in force at the time of the student's return to candidature apply.
- (2) The Dean or Associate Dean may, in writing, modify the application of the course resolutions with respect to a particular student's return to candidature.

2.18 Leave of absence

Subject to the course resolutions, a student may, with the approval of the Head of Department, take leave of absence from the course for a period less than one semester.

2.19 Earliest date for submission of thesis for examination

Subject to clause 2.07 and this clause 2.19:

- (a) a student may not submit a thesis for examination earlier than the end of the second semester of candidature; and
- (b) for the purposes of paragraph (a), a student's candidature will be considered to include any periods of credit granted under clause 2.06.

2.20 Latest date for submission of thesis for examination

- (1) Subject to clause 2.07 and this clause 2.20, a student who has undertaken all of his or her candidature on a full-time basis must submit his or her thesis for examination:
 - (a) no later than the end of the fourth semester of candidature; and
 - (b) for the purposes of paragraph (a), a student's candidature will be considered by the University to include any periods of credit granted under clause 2.06.
- (2) Subject to this clause, a student who has undertaken all of his or her candidature on a part-time basis must submit his or her thesis for examination no later than the end of the eighth semester of candidature.
- (3) Where a student has undertaken his or her candidature as a mixture of part-time candidature and full-time candidature, a part-time semester will be counted as the equivalent of one half of a full-time semester, and the student must submit his or her thesis

for examination no later than the end of eighth equivalent full-time semester of candidature.

- (4) On the recommendation of the Head of Department, the Dean or Associate Dean may permit a student to submit his or her thesis after a period of time greater than the maximum periods specified in this clause.

2.21 Content of thesis

- (1) The thesis submitted by a student at the end of his or her course of advanced study and research must:
 - (a) embody the results of the work undertaken by the student;
 - (b) be a substantially original contribution to the subject concerned;
 - (c) state, generally in the preface and specifically in the notes:
 - (i) the sources from which the information in the thesis is derived;
 - (ii) the animal and human ethics approvals obtained;
 - (iii) the extent to which the thesis draws on the work of others; and
 - (iv) the portion of the thesis that the student claims as original; and
 - (d) subject to sub-clauses (4) and (5), be written in English.
- (2) Subject to sub-clause (3), a student may not submit as his or her thesis any work that has been presented for a degree or diploma at the University or at another university or institution.
- (3) A student may submit work that has been presented for a degree or diploma at the University or at another university or institution where the work is submitted as part of the thesis, and the student has identified those parts of the thesis that have previously been presented for a degree or diploma.
- (4) A student who undertook his or her candidature in a language department in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the department; or
 - (b) where a department has specified by means of a Faculty resolution that it will consider applications to submit a thesis in a language other than English or the target language of the department, submit a thesis in another language approved by the department.
- (5) Applications to submit a thesis in a language other than English or the target language of a department must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Head of Department and the Dean (taking into account arrangements for supervision and examination);

prior to the commencement of candidature.

2.22 Form and lodgement of thesis

- (1) A candidate must submit to the Faculty:
 - (a) three copies of the thesis; or
 - (b) if otherwise specified in the course resolutions, the number of copies so specified;in a form prescribed by resolution of the Academic Board.
- (2) The thesis must be accompanied by a certificate from the supervisor stating whether, in the supervisor's opinion, the form of presentation of the thesis is satisfactory.

- (3) Subject to this Rule, the student must submit with the thesis a statement certifying his or her understanding that, if the candidature is successful, the thesis will be lodged with the University Librarian and made available for immediate public use.

2.23 Publications

Where a thesis includes publications, or part thereof, of which the student is the sole or joint author, the student must also submit such publications, and produce evidence to identify satisfactorily the parts of the work for which the student is responsible.

2.24 Examination procedures

The examination of candidates for the degree of Master's by research will be conducted in accordance with the course resolutions and with standards and guidelines determined by the Academic Board.

Part 3 Doctorates by research other than the Doctor of Philosophy

3.01 Course resolutions

The Academic Board may, on the recommendation of the Faculty, prescribe for a Doctorate by research other than the Doctor of Philosophy, standards relating to:

- (a) admission requirements;
- (b) degree requirements;
- (c) candidature; and
- (d) examination.

3.02 Application and meaning of this Part

This Part applies to Doctorates by research other than the Doctor of Philosophy and Higher Doctorates.

3.03 Eligibility for admission to candidature

- (1) Subject to sub-clause (2) and (3) and to admission requirements specified in the course resolutions, to be eligible for admission by a Dean or Associate Dean to candidature for a Doctorate by research other than a Doctor of Philosophy, an applicant must:
 - (a) hold or have completed all the academic requirements for:
 - (i) a Master's degree or higher qualification; or
 - (ii) a Bachelor's degree with first or second class honours; and
 - (b) meet other criteria for admission to the degree specified in the course resolutions.
- (2) A Dean or Associate Dean may admit to candidature an applicant who does not meet the requirements of sub-clause (1), provided that the applicant holds a qualification or qualifications that, in the opinion of the Faculty Graduate Studies Committee are equivalent to those prescribed in sub-clause (1).
- (3) The Dean or Associate Dean may impose on a student admitted to candidature pursuant to sub-clause (2) such conditions as the Dean or Associate Dean considers appropriate.

3.04 Application for admission to candidature

An applicant for admission to candidature for a Doctorate by research other than the Doctor of Philosophy must submit to the relevant Faculty:

- (a) if required by the course resolutions, a proposed course of advanced study and research, approved by the Head of the department in which the work is to be undertaken;
- (b) satisfactory evidence of the applicant's eligibility for admission; and
- (c) a statement certifying the applicant's understanding that, subject to this Rule, if the candidature is successful, his or her thesis will be lodged with the University Librarian and made available for immediate public use.

3.05 Probationary admission to candidature

- (1) Where provision is made for probationary admission in the course resolutions, the Dean or Associate Dean may admit a student to candidature for a Doctorate other than a PhD on a probationary basis for a period not exceeding one year.
- (2) On completion by the student of any probationary period imposed pursuant to sub-clause (1), the Head of Department will review the student's work and recommend to the Dean that:

- (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why he or she should be permitted to continue the candidature.
- (3) After considering a recommendation made by a Head of Department in accordance with sub-clause (2), the Dean may:
- (a) confirm the student's candidature; or
 - (b) require the student to show good cause why he or she should be permitted to continue the candidature.
- Note:** See clause 3.13 for details of the 'show cause' process.
- (4) The candidature of a student that is confirmed in accordance with paragraph (3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

3.06 Credit for previous studies

- (1) Subject to sub-clause (2), a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a Master's degree by research or Doctoral degree by research in any Faculty of the University may be permitted by the Dean or Associate Dean to receive credit for all or any part of the Master's or Doctoral degree candidature.
- (2) The Dean may grant credit in accordance with sub-clause (1), provided that the student's previous Master's or Doctoral degree candidature was:
- (a) a course of full-time or part-time advanced study and research;
 - (b) pursued by the student under the supervision of a supervisor appointed by the relevant Faculty or Board of Studies;
 - (c) directly related to the student's proposed course of advanced study for the Doctoral degree; and
 - (d) the student has discontinued his or her candidature in the previous higher degree.
- (3) Subject to sub-clause (4), a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a Master's degree by research or Doctoral degree by research at another university or institution may be permitted by the Dean or Associate Dean to receive credit for all or any part of the previous higher degree candidature.
- (4) The Dean or Associate Dean may grant credit in accordance with sub-clause (3), provided that:
- (a) at the time of admission to the higher degree at the other university or institution, the student held academic qualifications equivalent to those set out in clause 3.03;
 - (b) the previous Master's degree by research or Doctoral degree by research candidature was:
 - (i) a course of full-time or part-time advanced study and research;
 - (ii) pursued by the student under the supervision of a supervisor appointed by the other university or institution; and
 - (iii) directly related to the student's proposed course of advanced study for the Doctoral degree by research; and
 - (c) the student has discontinued his or her candidature in the previous Master's degree by research or Doctoral degree by research at the other university or institution.
- (5) Where the course resolutions specify the completion of coursework as part of the requirements of the award, and subject to the course resolutions and the *University of*

Sydney (Coursework) Rule 2000 (as amended), the Dean or Associate Dean may grant a student credit for previously completed coursework.

3.07 Limit on credit for previous studies

The amount of credit for previous studies that may be granted to a student in accordance with clause 3.06 is limited by the following requirements:

- (a) the combined duration of the student's previous higher degree by research candidature and the Doctoral candidature must meet the requirements set out in clauses 3.19 and 3.20 of this Rule;
- (b) any period of discontinued, suspended or lapsed candidature (as set out in 3.14 to 3.16 of this Rule) must comply with standards set by the Academic Board and this Rule; and
- (c) no student who has been granted credit may present a thesis for examination less than:
 - (i) six months, for a full-time student; or
 - (ii) twelve months, for a part-time student;following admission to candidature at the University.

3.08 Control of candidature

- (1) All candidates for a Doctoral degree by research are required to undertake their candidature wholly under the control of the University.
- (2) The Dean or Associate Dean may require a student who is employed by an institution to provide a statement by the relevant employer acknowledging that the candidature is under the exclusive control of the University.

3.09 Other studies during candidature

Subject to the approval of any other affected Head of Department, and the course resolutions, a Head of Department or a student's supervisor may require a student to attend, undertake or complete assessment for lectures, seminars, courses or practical work during the course of his or her candidature.

Note: In accordance with this Rule, a Doctorate must comprise a minimum of two-thirds research.

3.10 Supervision

- (1) The relevant Head of Department will appoint a suitably qualified supervisor and an associate supervisor or associate supervisors for each student undertaking a Doctoral degree by research in accordance with guidelines for supervision determined by the Academic Board.
- (2) The supervisor and associate supervisors will:
 - (a) have primary responsibility for the conduct of the candidature in accordance with guidelines determined by the Academic Board;
 - (b) be responsible for reporting the progress of the candidature to the Head of Department and the Dean or Associate Dean.

3.11 Location of candidature

- (1) Subject to the annual approval of the supervisor and Head of Department, students will pursue their candidature:
 - (a) within the University, including its research stations and teaching hospitals;
 - (b) on fieldwork, including in the field or in libraries, museums or other repositories;
 - (c) within industrial laboratories or research institutions or other institutions considered by the Head of Department to provide adequate facilities for that candidature; or

- (d) within a professional working environment.
- (2) Throughout the course of his or her candidature, a student will attend the University for such:
 - (a) face-to-face consultation with his or her supervisor;
 - (b) Departmental and Faculty or College Board seminars; and
 - (c) coursework or other studies required under clause 3.09 of this Rule;as specified annually by the Head of Department.
- (3) Subject to sub-clause (4) and (5), a student who pursues his or her candidature outside Australia must complete a minimum of two semesters of candidature within the University prior to submitting his or her thesis for examination.
- (4) For the purposes of sub-clause (3), the semesters of candidature to be completed within the University may be completed:
 - (a) at any time during the candidature; and
 - (b) continuously or in several non-consecutive periods.
- (5) A student granted credit under 3.05 must complete a minimum of one semester of candidature within the University prior to submitting his or her thesis for examination.

3.12 Progress

- (1) At intervals no greater than one year, departments must require students to:
 - (a) provide evidence of satisfactory progress in their candidature (including any required progress and review forms); and
 - (b) participate in a progress review interview.
- (2) Satisfactory progress will be assessed by the supervisor, associate supervisors, Head of Department and the Departmental or Faculty Postgraduate Review Committee.
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Head of Department may determine that the student:
 - (a) has demonstrated satisfactory progress, and specify the conditions of candidature to apply the following year; or
 - (b) has not demonstrated satisfactory progress, and:
 - (i) require the student to provide further evidence of progress at the end of one semester, or such other period that the Head of Department considers appropriate; or
 - (ii) recommend to the Dean that the student be asked to show good cause why he or she should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Head of Department must indicate whether he or she is satisfied that the proposed supervision arrangements are satisfactory.
- (5) After considering a recommendation made by the Head of Department in accordance with sub-paragraph (3)(b)(ii), the Dean may:
 - (a) confirm the student's candidature and require the Head of Department to specify the conditions of candidature to apply the following year; or
 - (b) require the student to show good cause why he or she should be permitted to continue the candidature.

3.13 Students may be required to show good cause

- (1) A student who is required to show good cause in accordance with paragraph 3.05(3)(b) or 3.12(5)(b) will be sent a notice that:
 - (a) requires the student to show good cause why he or she should be permitted to continue the candidature, on or before a specified date;
 - (b) states why the student is being asked to show good cause;
 - (c) sets out the actions that may be taken in respect of the candidature; and
 - (d) advises the student of his or her right to seek independent advice and assistance in preparing his or her response.
- (2) The Dean must give the student a reasonable opportunity to make written submissions about the matter.
- (3) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has shown good cause, the Dean will permit the student to continue the candidature.
- (4) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has not shown good cause, the Dean must, by written notice setting out his or her reasons:
 - (a) terminate the student's candidature; or
 - (b) impose conditions or restrictions on the continuation of the student's candidature.

Note. For review of these decisions see *University of Sydney (Student Appeals against Academic Decisions) Rule 2006*.
- (5) A student will be permitted to continue his or her candidature pending final decision by the Faculty, or by the Student Appeals Body in accordance with the *University of Sydney (Student Appeals against Academic Decisions) Rule 2006* (as amended).

3.14 Discontinuation of candidature

- (1) Subject to this clause and the course resolutions, a student in a course may, by notice to the Faculty, discontinue his or her enrolment in the course or in one or more units of study.
- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) A student's enrolment in the course or the relevant units of study will be treated as discontinued from the date of the notice, unless he or she produces evidence that:
 - (a) the discontinuation occurred at an earlier date; and
 - (b) there was good reason why the application could not be made at an earlier time.
- (4) A student who discontinues enrolment in a course during his or her first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Dean granted prior permission to re-enrol; or
 - (b) the student is later re-selected for admission to the course.
- (5) A student may not discontinue enrolment in a course or a unit of study after the end of classes in that course or unit of study, except in accordance with sub-clauses (3)(a) and (b).

3.15 Suspension of candidature

- (1) Subject to the course resolutions, a student in a course may, by notice to the Faculty, suspend his or her enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the Dean or Associate Dean, for a longer period.

- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) At the end of the suspension period, the student must comply with any requirements notified by the Dean or Associate Dean for completing the course. Those requirements apply to the student, despite anything to the contrary in the course resolutions.

3.16 Lapse of candidature

- (1) If a student does not enrol by the last census date for enrolment in each semester of the degree, and the student has not sought approval to discontinue or suspend enrolment, the student's candidature lapses.
- (2) If a student's candidature in a course lapses, then, despite any contrary provision in this Rule, the procedures for the student to apply for readmission to the course are to be as the Dean or Associate Dean determines.

3.17 Return to candidature

- (1) Subject to written advice from the Dean or Associate Dean, if a student returns to candidature after suspension, discontinuation or a lapse in candidature, the course requirements as in force at the time of the student's return to candidature apply.
- (2) The Dean or Associate Dean may, in writing, modify the application of the course resolutions with respect to a particular student's return to candidature.

3.18 Leave of absence

Subject to the course resolutions, a student may, with the approval of the Head of Department, take leave of absence from the course for a period less than one semester.

3.19 Earliest date for submission of thesis for examination

- (1) Subject to clause 3.07 and this clause 3.19:
 - (a) a student may not submit a thesis for examination earlier than the end of the sixth semester of candidature; and
 - (b) for the purposes of paragraph (a), a student's candidature will be considered by the University to include any periods of credit granted under clause 3.06 of this Rule.

3.20 Latest date for submission of thesis for examination

- (1) Subject to clause 3.07 and this clause 3.20, a student who has undertaken all of his or her candidature on a full-time basis must submit his or her thesis for examination:
 - (a) no later than the end of the eighth semester of candidature; and
 - (b) for the purposes of paragraph (a), a student's candidature will be considered by the University to include any periods of credit granted under clause 3.06 of this Rule.
- (2) Subject to this clause, a student who has undertaken all of his or her candidature on a part-time basis must submit his or her thesis for examination no later than the end of the sixteenth semester of candidature.
- (3) Where a student has undertaken his or her candidature as a mixture of part-time candidature and full-time candidature, a part-time semester will be counted as the equivalent of one half of a full-time semester, and the student must submit his or her thesis for examination no later than the end of eighth equivalent full-time semester of candidature.
- (4) On the recommendation of the Head of Department, the Dean or Associate Dean may permit a student to submit his or her thesis after a period of time greater than the maximum periods specified in this clause.

3.21 Content of thesis

- (1) The thesis submitted by a student at the end of his or her course of advanced study and research must:
 - (a) embody the results of the work undertaken by the student;
 - (b) be a substantially original contribution to the subject concerned;
 - (c) state, generally in the preface and specifically in the notes:
 - (i) the sources from which the information in the thesis is derived;
 - (ii) the animal and human ethics approvals obtained;
 - (iii) the extent to which the thesis draws on the work of others; and
 - (iv) the portion of the thesis that the student claims as original; and
 - (d) subject to the course resolutions, be written in English.
- (2) Subject to sub-clause (3), a student may not submit as his or her thesis any work that has been presented for a degree or diploma at the University or at another university or institution.
- (3) A student may submit work that has been presented for a degree or diploma at the University or at another university or institution where the work is submitted as part of the thesis, and the student has identified those parts of the thesis that have previously been presented for a degree or diploma.
- (4) A student who undertook his or her candidature in a language department in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the department; or
 - (b) where a department has specified by means of a Faculty resolution that it will consider applications to submit a thesis in a language other than English or the target language of the department, submit a thesis in another language approved by the department.
- (5) Subject to the course resolutions, applications to submit a thesis in a language other than English or the target language of a department must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Head of Department and the Dean (taking into account arrangements for supervision and examination);prior to the commencement of candidature.

3.22 Form and lodgement of thesis

- (1) A candidate must submit to the Faculty:
 - (a) three copies of the thesis; or
 - (b) if otherwise specified in the course resolutions, the number of copies so specified;in a form prescribed by resolution of the Academic Board.
- (2) The thesis must be accompanied by a certificate from the supervisor stating whether, in the supervisor's opinion, the form of presentation of the thesis is satisfactory.
- (3) Subject to this Rule, the student must submit with the thesis a statement certifying his or her understanding that, if the candidature is successful, the thesis will be lodged with the University Librarian and made available for immediate public use.

3.23 Publications

Where a thesis includes publications, or part thereof, of which the student is the sole or joint author, the student must also submit such publications, and produce evidence to identify satisfactorily the parts of the work for which the student is responsible.

3.24 Examination procedures

- (1) The examination of candidates for a Doctorate by research will be conducted in accordance with the course resolutions and with standards and guidelines determined by the Academic Board.
- (2) Where the course resolutions do not specify examination procedures, the examination of candidates for a Doctorate by research will be conducted in accordance with procedures prescribed by the Academic Board for the Doctor of Philosophy.

Part 4 Doctor of Philosophy

4.01 Application of this part

This Part applies to the degree of Doctor of Philosophy.

4.02 Eligibility for admission to candidature

- (1) Subject to sub-clauses (2) and (3), to be eligible for admission by the Dean or Associate Dean to candidature for the Doctor of Philosophy, an applicant must hold or have completed all the academic requirements for:
 - (a) a Master's degree; or
 - (b) a Bachelor's degree with first or second class honours.
- (2) The Dean or Associate Dean may admit to candidature an applicant who does not meet the requirements of sub-clause (1), provided that the applicant holds or has completed all the requirements for a Bachelor's degree, and:
 - (a) has passed a qualifying examination at a standard equivalent to a Bachelor's degree with first or second class honours; or
 - (b) has obtained a high distinction or distinction in the highest course available in the subject or subjects relevant to the proposed course of advanced study and research; or
 - (c) has completed a period of relevant full-time or part-time advanced study and research towards a Master's degree at the University, at such a standard as demonstrates to the satisfaction of the Dean or Associate Dean that the applicant is suitably prepared in the field of study to undertake the Doctor of Philosophy.
- (3) The Academic Board may admit to candidature an applicant who does not meet the requirements of sub-clause (1) or (2), provided that the applicant holds qualifications that, in the opinion of the Graduate Studies Committee and of the Dean, are equivalent to those prescribed in sub-clauses (1) or (2).
- (4) The Academic Board may impose on a student admitted to candidature pursuant to sub-clause (3) such conditions as the Academic Board considers appropriate.

4.03 Application for admission to candidature

- (1) An applicant for admission to candidature for the degree of Doctor of Philosophy must submit to the relevant Faculty:
 - (a) a proposed course of advanced study and research, approved by the Head of the department in which the work is to be undertaken; and
 - (b) satisfactory evidence of the applicant's eligibility for admission; and
 - (c) a statement certifying the applicant's understanding that, subject to this Rule, if the candidature is successful, his or her thesis will be lodged with the University Librarian and made available for immediate public use.
- (2) The Dean or Associate Dean may also require an applicant to demonstrate his or her suitability for admission by passing a special examination.

4.04 Probationary admission to candidature

- (1) The Dean or Associate Dean may admit a student to candidature for the degree of Doctor of Philosophy on a probationary basis for a period not exceeding one year.
- (2) On completion by the student of any probationary period imposed pursuant to sub-clause (1), the Head of Department will review the student's work and recommend to the Dean or Associate Dean that:

- (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why he or she should be permitted to continue the candidature.
- (3) After considering a recommendation made by a Head of Department in accordance with sub-clause (2), the Dean may:
- (a) confirm the student's candidature; or
 - (b) require the student to show good cause why he or she should be permitted to continue the candidature.
- Note:** See clause 4.12 for details of the 'show cause' process.
- (4) The candidature of a student that is confirmed in accordance with paragraph (3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

4.05 Credit for previous studies

- (1) Subject to sub-clause (2), a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a Master's by research or Doctoral degree by research in any Faculty of the University may be permitted by the relevant Dean or Associate Dean to receive credit for all or any part of the Master's or Doctoral candidature.
- (2) The Dean or Associate Dean may grant credit in accordance with sub-clause (1), provided that the student's Master's or Doctoral candidature was:
- (a) a course of full-time or part-time advanced study and research;
 - (b) pursued by the student under the supervision of a supervisor appointed by the relevant Faculty or Board of Studies;
 - (c) directly related to the student's proposed course of advanced study for the degree of Doctor of Philosophy; and
 - (d) the student has discontinued his or her candidature in the previous higher degree..
- (3) Subject to sub-clause (4), a student who, at the date of admission to candidature, has completed not less than six months as a candidate for a higher degree at another university or institution may be permitted by the Graduate Studies Committee of the Academic Board to receive credit for all or any part of the higher degree candidature.
- (4) The Graduate Studies Committee of the Academic Board may grant credit in accordance with sub-clause (3), provided that:
- (a) at the time of admission to the higher degree at the other university, or institution, the student held academic qualifications equivalent to those set out in clause 4.02;
 - (b) the higher degree candidature was:
 - (i) a course of full-time or part-time advanced study and , research;
 - (ii) pursued by the student under the supervision of a supervisor appointed by the other university or institution; and
 - (iii) directly related to the student's proposed course of advanced study for the degree of Doctor of Philosophy; and
 - (c) the student has discontinued his or her candidature in the higher degree at the other university or institution.

4.06 Limit on credit for previous studies

The amount of credit for previous studies that may be granted to a student in accordance with clause 4.05 is limited by the following requirements:

- (a) the combined duration of the student's previous higher degree candidature and the Doctor of Philosophy candidature must meet the requirements set out in clauses 4.19 and 4.20 of this Rule;
- (b) any period of discontinued, suspended or lapsed candidature (as set out in 4.13 to 4.15 of this Rule) must comply with standards set by the Academic Board and this Rule; and
- (c) no student who has been granted credit may present a thesis for examination less than:
 - (i) six months, for a full-time student; or
 - (ii) twelve months, for a part-time student;following admission to candidature at the University of Sydney.

4.07 Control of candidature

- (1) All candidates for the degree of Doctor of Philosophy are required to undertake their candidature wholly under the control of the University.
- (2) The Dean or Associate Dean may require a student to provide a statement from his or her employer acknowledging that the candidature is under the exclusive control of the University.

4.08 Other studies during candidature

Subject to the approval of any other affected Head of Department, a Head of Department or a student's supervisor may require a student to attend, undertake or complete assessment for lectures, seminars, courses or practical work during the course of his or her candidature.

Note: In accordance with this Rule, a Doctorate must comprise a minimum of two-thirds research.

4.09 Supervision

- (1) The Head of Department will appoint a suitably qualified supervisor and associate supervisor or associate supervisors for each candidate for the Doctor of Philosophy in accordance with standards for supervision determined by the Academic Board.
- (2) The supervisor and associate supervisors will:
 - (a) have primary responsibility for the conduct of the candidature;
 - (b) be responsible for reporting the progress of the candidature to the Head of Department and the Dean or Associate Dean in accordance with guidelines determined by the Academic Board.

4.10 Location of candidature

- (1) Subject to the annual approval of the supervisor and Head of Department, students will pursue their candidature:
 - (a) within the University, including its research stations and teaching hospitals;
 - (b) on fieldwork, including in the field or in libraries, museums or other repositories;
 - (i) within industrial laboratories or research institutions or other institutions considered by the Head of Department to provide adequate facilities for that candidature; or
 - (ii) within a professional working environment.
- (2) Throughout the course of his or her candidature, a student will attend the University for such:
 - (a) consultation with his or her supervisor; and

- (b) Departmental and Faculty or College Board seminars; and
 - (c) coursework or other studies required under clause 4.08 of this Rule;
- as specified annually by the Head of Department.
- (3) Subject to sub-clauses (4) (5) and (6), a student who pursues his or her candidature outside Australia must complete a minimum of two semesters of candidature within the University prior to submitting his or her thesis for examination.
 - (4) A student whose minimum length of candidature is four semesters (rather than the usual six), and who pursues his or her candidature outside Australia, must complete a minimum of one semester of candidature within the University prior to submitting his or her thesis for examination.
 - (5) For the purposes of sub-clauses (3) and (4), the semester(s) of candidature to be completed within the University may be completed:
 - (a) at any time during the candidature; and
 - (b) continuously or in several non-consecutive periods.
 - (6) A student granted credit under 4.05 must complete a minimum of one semester of candidature within the University prior to submitting his or her thesis for examination.

4.11 Progress

- (1) At intervals no greater than one year, departments must require students to:
 - (a) provide evidence of satisfactory progress in their candidature (including any required progress and review forms); and
 - (b) participate in a progress review interview.
- (2) Satisfactory progress will be assessed by the supervisor, associate supervisors, Head of Department and any Departmental or Faculty Postgraduate Review Committee.
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Head of Department may determine that the student:
 - (a) has demonstrated satisfactory progress, and specify the conditions of candidature to apply the following year; or
 - (b) has not demonstrated satisfactory progress, and:
 - (i) require the student to provide further evidence of progress at the end of one semester, or such other period that the Head of Department considers appropriate; or
 - (ii) recommend to the Dean that the student be asked to show good cause why he or she should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Head of Department must indicate whether he or she is satisfied that the proposed supervision arrangements are satisfactory.
- (5) After considering a recommendation made by the Head of Department in accordance with sub-paragraph (3)(b)(ii), the Dean may:
 - (a) confirm the student's candidature and require the Head of Department to specify the conditions of candidature to apply the following year; or
 - (b) require the student to show good cause why he or she should be permitted to continue the candidature.

4.12 Students may be required to show good cause

- (1) A student who is required to show good cause in accordance with paragraph 4.04(3)(b) or paragraph 3.11(5)(b) will be sent a notice that:

- (a) requires the student to show good cause why he or she should be permitted to continue the candidature, on or before a specified date;
 - (b) states why the student is being asked to show good cause;
 - (c) sets out the actions that may be taken in respect of the candidature; and
 - (d) advises the student of his or her right to seek independent advice and assistance in preparing his or her response.
 - (2) The Dean must give the student a reasonable opportunity to make written submissions about the matter.
 - (3) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has shown good cause, the Dean will permit the student to continue the candidature.
 - (4) If, after considering any submissions made by the student, progress reports, and any reports by the supervisor, associate supervisors or Head of Department, the Dean forms the opinion that the student has not shown good cause, the Dean must, by written notice setting out his or her reasons:
 - (a) terminate the student's candidature; or
 - (b) impose conditions or restrictions on the continuation of the student's candidature.
- Note.** For review of these decisions see *University of Sydney (Student Appeals against Academic Decisions) Rule 2006*.
- (5) A student will be permitted to continue his or her candidature pending final decision by the Faculty, or by the Student Appeals Body in accordance with the *University of Sydney (Student Appeals against Academic Decisions) Rule 2006* (as amended).

4.13 Discontinuation of candidature

- (1) Subject to this clause and the course resolutions, a student in a course may, by notice to the Faculty, discontinue his or her enrolment in the course or in one or more units of study.
- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) A student's enrolment in the course or the relevant units of study will be treated as discontinued from the date of the notice, unless he or she produces evidence that:
 - (a) the discontinuation occurred at an earlier date; and
 - (b) there was good reason why the application could not be made at an earlier time.
- (4) A student who discontinues enrolment in a course during his or her first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Dean granted prior permission to re-enrol; or
 - (b) the student is later re-selected for admission to the course.
- (5) A student may not discontinue enrolment in a course or a unit of study after the end of classes in that course or unit of study, except in accordance with sub-clause (3)(a) and (b).

4.14 Suspension of candidature

- (1) Subject to the course resolutions, a student in a course may, by notice to the Faculty, suspend his or her enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the Dean or Associate Dean, for a longer period.
- (2) The notice must be in a form approved or accepted by the Faculty.
- (3) At the end of the suspension period, the student must comply with any requirements notified by the Dean or Associate Dean for completing the course.

4.15 Lapse of candidature

- (1) If a student does not enrol by the last census date for enrolment in each semester of the degree, and the student has not sought approval to discontinue or suspend enrolment, the student's candidature lapses.
- (2) If a student's candidature in a course lapses, then, despite any contrary provision in this Rule, the procedures for the student to apply for readmission to the course are to be as the Dean or Associate Dean determines.

4.16 Return to candidature

- (1) Subject to written advice from the Dean or Associate Dean, if a student returns to candidature after suspension, discontinuation or a lapse in candidature, the requirements as in force at the time of the student's return to candidature apply.

4.17 Leave of absence

Subject to the course resolutions, a student may, with the approval of the Head of Department, take leave of absence from the course for a period of less than one semester.

4.18 Earliest date for submission of thesis for examination

- (1) For the purposes of this clause, a student's candidature will be considered by the University to include any periods of credit granted under clause 4.06 of this Rule.
- (2) Subject to clause 4.06 and this clause 4.18 a student may not submit a thesis for examination earlier than the end of the sixth semester of candidature.
- (3) The Dean may permit a student to submit a thesis for examination not earlier than the end of the fourth semester of candidature provided that the student holds one or more of the following academic qualifications from the University or from such other university or institution as the Dean approves:
 - (a) a Master's degree completed primarily by research;
 - (b) both the Bachelor of Dental Surgery and the Bachelor of Science (Dental) with honours;
 - (c) both the Bachelor of Medicine and the Bachelor of Science (Medical) with honours;
 - (d) both the Bachelor of Veterinary Science and the Bachelor of Science (Veterinary) with honours.
- (4) The Dean may, on the recommendation of the student's supervisor and Head of Department, permit a student to submit a thesis for examination up to one semester earlier than the periods prescribed in sub-clauses (1) and (2), provided that, in the opinion of the Dean, evidence has been produced that the student has made exceptional progress in his or her candidature.
- (5) The Chair of the Academic Board may, on the recommendation of the Dean permit a student to submit a thesis earlier than the periods prescribed in sub-clauses (1)-(3), provided that, in the opinion of the Chair of the Academic Board, evidence has been produced that the student has made exceptional progress in his or her candidature.
- (6) Prior to exercising his or her discretion under sub-clause (4), the Chair of the Academic Board may obtain advice from the Chair of the Graduate Studies Committee of the Academic Board.
- (7) The Chair of the Academic Board will report to the next meeting of the Academic Board any request for permission to submit a thesis earlier than the periods prescribed in sub-clauses (1)-(3), and the action taken by the Chair in response to it.

4.19 Latest date for submission of thesis for examination

- (1) For the purposes of this clause, a student's candidature will be considered by the University to include any periods of credit granted under clause 4.05 of this Rule
- (2) Subject to this clause 4.19, a student who has undertaken all of his or her candidature on a full-time basis must submit his or her thesis for examination no later than the end of the eighth semester of candidature.
- (3) A student who has undertaken all of his or her candidature on a part-time basis must submit his or her thesis for examination no later than the end of the sixteenth semester of candidature.
- (4) Where a student has undertaken his or her candidature as a mixture of part-time candidature and full-time candidature, a part-time semester will be counted as the equivalent of one half of a full-time semester, and the student must submit his or her thesis for examination no later than the end of eighth equivalent full-time semester of candidature.
- (5) The Dean or Associate Dean may permit a student to submit his or her thesis after a period of time greater than the maximum periods specified in this clause.

4.20 Content of thesis

- (1) The thesis submitted by a student at the end of his or her course of advanced study and research must:
 - (a) embody the results of the work undertaken by the student;
 - (b) be a substantially original contribution to the subject concerned;
 - (c) state, generally in the preface and specifically in the notes:
 - (i) the sources from which the information in the thesis is derived;
 - (ii) the animal and human ethics approvals obtained;
 - (iii) the extent to which the thesis draws on the work of others; and
 - (iv) the portion of the thesis that the student claims as original; and
 - (d) subject to sub-clauses (4) (5) and (6), be written in English.
- (2) Subject to sub-clause (3), a student may not submit as his or her thesis any work that has been presented for a degree or diploma at the University or at another university or institution.
- (3) A student may submit work that has been presented for a degree or diploma at the University or at another university or institution where:
 - (a) his or her candidature has been governed by an approved cotutelle agreement; or
 - (b) the work is submitted as part of the thesis, and the student has identified those parts of the thesis that have previously been presented for a degree or diploma.
- (4) A student whose candidature is governed by an approved cotutelle agreement may submit a thesis written in English or in another language.
- (5) A student who undertook his or her candidature in a language department in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the department; or
 - (b) where a department has specified by means of a Faculty resolution that it will consider applications to submit a thesis in a language other than English or the target language of the department, submit a thesis in another language approved by the department.

- (6) Applications to submit a thesis in a language other than English or the target language of a department must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Head of Department and the Dean (taking into account arrangements for supervision and examination);prior to the commencement of candidature.

4.21 Form and lodgement of thesis

- (1) A candidate must submit to the Faculty four copies of the thesis in a form prescribed by resolution of the Academic Board..
- (2) The thesis must be accompanied by a certificate from the supervisor stating whether, in the supervisor's opinion, the form of presentation of the thesis is satisfactory.
- (3) Subject to this Rule, the student must submit with the thesis a statement certifying his or her understanding that, if the candidature is successful, the thesis will be lodged with the University Librarian and made available for immediate public use.

4.22 Publications

Where a thesis includes publications, or part thereof, of which the student is the sole or joint author, the student must also submit such publications, and produce evidence to identify satisfactorily the parts of the work for which the student is responsible.

4.23 Examination procedures

The procedures for examination of candidates for the degree of Doctor of Philosophy will be prescribed by the Academic Board.

Part 5 Higher doctorates

5.01 Meaning of this Part

(1) In this Part:

- (a) **assessment committee** means the committee appointed by the Dean in accordance with clause 5.05.

higher doctorate means any of the following:

- (i) Doctor of Agricultural Economics;
- (ii) Doctor of Dental Science;
- (iii) Doctor of Engineering;
- (iv) Doctor of Laws;
- (v) Doctor of Letters;
- (vi) Doctor of Letters in Education;
- (vii) Doctor of Letters in Social Work;
- (viii) Doctor of Medicine;
- (ix) Doctor of Music;
- (x) Doctor of Science;
- (xi) Doctor of Science in Agriculture;
- (xii) Doctor of Science in Architecture;
- (xiii) Doctor of Science in Economics;
- (xiv) Doctor of Veterinary Science.

- (b) published work meets the **higher doctorate standard** if it is generally recognised by scholars in the relevant field of study as a distinguished contribution to knowledge or creative achievement.

5.02 Award of Higher Doctorates

(1) The Academic Board may, on the recommendation of the relevant Faculty, award a higher doctorate for published work that, in the opinion of the examiners:

- (a) constitutes a distinguished contribution to knowledge or creative achievement; and
- (b) is recognised by scholars in the relevant field as constituting a distinguished contribution to knowledge or creative achievement in that field.

(2) Without limiting sub-clause (1), a published work may be regarded as a distinguished contribution to knowledge if:

- (a) it represents a significant advance in knowledge in the relevant field;
- (b) it has caused, or become a major part of, a significant debate among scholars in the relevant field (including in books and journals); or
- (c) it has caused significant changes in the direction of research or in the practice of recognised scholars in the relevant field.

5.03 Eligibility for admission to candidature

(1) Subject to this clause 5.03, to be eligible for admission to candidature for a higher doctorate, an applicant must:

- (a) hold a degree from the University that was conferred five or more years prior to the application date;
- (b) hold a degree from another university or institution that was conferred five or more years prior to the application date; or

- (c) have qualifications that were conferred five or more years prior to the application date and standing that are determined by the faculty and by the Graduate Studies Committee of the Academic Board to be equivalent to holding a degree from the University;
- and:
- (d) for the Doctor of Dental Science, hold or have completed all the academic requirements for the award of the Bachelor of Dental Surgery;
 - (e) for the Doctor of Medicine, hold or have completed all the academic requirements for the Bachelor of Medicine;
 - (f) for the Doctor of Music hold or have completed all the academic requirements for:
 - (i) the Bachelor of Music; or
 - (ii) the Bachelor of Arts including a three year sequence of courses in Music;
 - (g) for the Doctor of Veterinary Science hold or have completed all the academic requirements for the Bachelor of Veterinary Science.
- (2) To be eligible for admission to candidature, an applicant who does not meet the requirements of paragraph (1)(a) must:
- (a) have been a full-time member of the academic staff of the University for at least three years (or pro-rata part-time); or
 - (b) be recognised by the Academic Board, on the recommendation of the Dean, to have been involved in the teaching and research of the University to an equivalent level.
- (3) To be eligible for admission to candidature, an applicant for a degree referred to in paragraphs 1(d)-(g) who does not meet the requirements of those paragraphs must be recognised by the faculty and the Graduate Studies Committee of Academic Board to have equivalent academic standing.

5.04 Application for admission to candidature

- (1) An application for admission to a higher doctorate must:
- (a) state the name of the higher doctorate to which the application relates;
 - (b) specify the applicant's academic qualifications; and
 - (c) describe the applicant's association with the University.
- (2) The application must be accompanied by:
- (a) a list of the published works that the candidate proposes to submit for examination;
 - (b) a description of the themes of the published works; and
 - (c) where there are a large number of publications whose dates range over a period of time and cover a range of subjects, a statement of how these publications are related to one another and to the theme.

5.05 Preliminary assessment of application for admission

- (1) The Dean will appoint a committee to consider and determine, in respect of each application for admission, whether:
- (a) the applicant is eligible for admission to candidature;
 - (b) the published work is in a field appropriate to the nominated degree;
 - (c) the Faculty is competent to examine the published work at the required level; and
 - (d) whether the applicant should be admitted to candidature.
- (2) The committee may not determine that the applicant should be admitted to candidature unless the requirements of each of paragraphs (1)(a)-(c) are met.

- (3) If the committee determines that the applicant should be admitted to candidature, the committee will recommend to the Dean that he or she recommends to the Academic Board:
 - (a) that the applicant be admitted to candidature; and
 - (b) the appointment of at least three named examiners, of whom at least two will be external examiners.
- (4) The assessment committee will comprise:
 - (a) the Dean;
 - (b) the Head of Department and academic staff member most closely associated with the relevant field of work; and
 - (c) other persons appointed by the Dean.

5.06 Admission to candidature

The Academic Board may, on the recommendation of the Dean, admit to candidature for a higher doctorate an applicant who meets the requirements for admission in this Part.

5.07 Enrolment

A successful applicant must enrol as a candidate for the higher doctorate in the first enrolment period following receipt of his or her offer of admission.

5.08 Submission of work for examination

- (1) The candidate must submit to the Dean five copies of the published work.
- (2) The work submitted must include:
 - (a) a description of the theme of the published work;
 - (b) a record of original research undertaken by the candidate;
 - (c) a statement by the candidate of:
 - (i) the sources from which the information in the work was derived;
 - (ii) the extent to which the work draws on the work of others; and
 - (iii) the portion of the work that the candidate claims as original;
- (3) if the work submitted contains research that was carried out conjointly, a statement by the candidate of the extent to which the candidate was responsible for the initiation, conduct or direction of the research; and
- (4) if the principal publications, as distinct from any supporting papers, incorporate work previously submitted for a degree or diploma at the University or at any other university or institution, a statement by the candidate of those parts of the publications that have previously been submitted.
- (5) A candidate for the Doctor of Letters must submit work that includes at least one substantial work.
- (6) A candidate for the Doctor of Music may submit one or more major musical works of the candidate's own composition

5.09 Appointment of examiners

- (1) The Academic Board will, on the recommendation of the Dean, appoint at least three examiners, of whom at least two will be external examiners.
- (2) The Academic Board may appoint examiners in addition to those recommended by the Dean.

5.10 Examination

- (1) Each examiner for a candidature must:
 - (a) examine the published work; and
 - (b) make a separate report on whether, in the examiner's opinion, the work meets the requirements for higher doctorates set out in clause 4.2.
- (2) The assessment committee will consider the examiners reports, having regard to the requirements of clause 4.2, and recommend to the Dean that:
 - (a) that the higher doctorate be awarded; or
 - (b) that the higher doctorate not be awarded.
- (3) After considering the recommendation of the assessment committee, the Dean:
 - (a) will provide to the Academic Board:
 - (i) the names and qualifications of the examiners; and
 - (ii) the substance of the examiners' reports; and
 - (b) will recommend to the Academic Board that:
 - (i) the higher doctorate be awarded;
 - (ii) the higher doctorate not be awarded; or
 - (iii) the Academic Board appoint a further examiner or examiners.
- (4) The Academic Board will determine the result of the examination.

5.11 Lodging the published work

If the Academic Board decides to award a higher doctorate to the candidate, the Faculty must lodge one bound copy of the published work in a form specified by the Academic Board.

Chapter 3 Higher degree theses

Part 6 Higher degree theses

6.01 Meaning of this Part

In this Part:

restricted appendix means an appendix to a thesis to which public access has been restricted in accordance with clause 5.3.

thesis includes treaties, dissertations and other substantial works submitted for examination for a higher degree.

6.02 Lodgement

- (1) Subject to this Part, a candidate for a higher degree by research will not be permitted to undertake a program of advanced study and research that is likely to result in the lodgement of a thesis that cannot be made available for public use.
- (2) Subject to this Part, all successful candidates for a higher degree must lodge a copy of their thesis with the University Librarian, in a form specified by, the Academic Board.
- (3) Subject to clause 6.03, 6.05 and 6.06, a thesis lodged with the University Librarian will be made available for immediate public use.

Note 1: Applicants are required to certify their awareness of this requirement prior to admission to candidature. See paragraphs 2.04(1)(c), 3.04(1)(c) and 44.03(1)(c).

Note 2: Candidates are required to certify their awareness of this requirement at the time their thesis is submitted for examination. See sub-clauses 2.22(3), 3.22(3) and 4.21(3).

- (4) Immediately following lodgement, the University Librarian will arrange for a label stating the author's rights under copyright law to be affixed or appended to the thesis.

6.03 Use of confidential material

- (1) If, at any time between application for admission to candidature and the lodgement of the thesis, it appears to the candidate's supervisor and Head of Department that:
 - (a) successful completion of the candidature will require the use of confidential material; and
 - (b) the candidate would not be at liberty to fully disclose this confidential material in the thesis;the matter will be reported as soon as possible to the Faculty Graduate Studies Committee.
- (2) The Faculty Graduate Studies Committee may, if it considers it appropriate to do so, recommend to the Graduate Studies Committee of the Academic Board that the candidate be granted:
 - (a) permission to include in an appendix to the thesis any material that is essential to the thesis but which, for a limited period, may not be available for public inspection; and
 - (b) exemption, in respect of the appendix, from the requirement to give the undertaking prescribed by sub-clauses 2.22(3), 3.22(3) and 4.21(3).
- (3) If, after considering the recommendation of the Faculty Graduate Studies Committee, the Graduate Studies Committee of the Academic Board decides to give the permission and exemption referred to in sub-clause (2), the University Librarian will restrict public access

to the appendix for a period specified by the Graduate Studies Committee of the Academic Board.

- (4) Other than in exceptional circumstances, any period of restriction to a restricted appendix will not exceed five years.

6.04 Access to confidential material in a restricted appendix

- (1) The University Librarian may grant access by a scholar to a restricted appendix, provided that the scholar:
 - (a) demonstrates genuine concern with the material in the appendix; and
 - (b) has the written consent of either:
 - (i) the author of the thesis; or
 - (ii) the Head of Department.
- (2) The Head of Department may not consent to access by a scholar to a restricted appendix unless:
 - (a) all reasonable steps have been taken to contact the author; and
 - (b) the author cannot be contacted.

6.05 Delay in lodgement to protect intellectual property

- (1) Where:
 - (a) the subject of an applicant or candidate's higher degree thesis is work conducted collaboratively with industry; and
 - (b) there is a reasonable basis for concern that intellectual property contained in the thesis will be improperly exploited by others;the Dean may recommend to the Graduate Studies Committee of the Academic Board that:
 - (c) the applicant or candidate be excused from the requirement to give the undertaking prescribed by sub-clauses 2.22(3) and 3.22(3); and
 - (d) authorisation be given to the Dean to delay lodgement of the thesis.
- (2) If, after considering the Dean's recommendation, the Graduate Studies Committee decides to give the permission and authorisation referred to in sub-clause (1), the Dean will delay lodgement of the thesis for a period specified by the Graduate Studies Committee.
- (3) Other than in exceptional circumstances, any period of delay in lodgement of the thesis will not exceed 18 months from the date of the award of the degree.

6.06 Delay in lodgement to protect the interests of the author

- (1) If, at any time between application for admission to candidature and the lodgement of the thesis, it appears to:
 - (a) the candidate;
 - (b) the candidate's supervisor; and
 - (c) the Head of Department;

that there is a reasonable basis for believing that the candidate's interests would be at risk if the thesis were made immediately available to the public, the candidate may apply in writing to the Dean for a delay in lodgement of the thesis for a specific period of time.

- (2) The candidate's application to the Dean should:
 - (a) clearly set out the reasons for the application;
 - (b) clearly state the length of the requested delay in lodgement; and

- (c) include supporting evidence, as appropriate.
- (3) If, after considering the candidate's application, the Dean is satisfied that a delay in lodgement of the thesis is necessary to protect the candidate's interests, the Dean may:
 - (a) delay the lodgement of the thesis for a period not exceeding six months from the date of the award of the degree; or
 - (b) recommend to the Graduate Studies Committee of the Academic Board that:
 - (i) a longer period of deferment; or
 - (ii) an extension of an earlier deferment;be approved.
- (4) If, after considering the Dean's recommendation, the Graduate Studies Committee decides to give the approval referred to in sub-clause (3), the Dean will delay lodgement of the thesis for a period specified by the Graduate Studies Committee.
- (5) Other than in exceptional circumstances, any period of delay in lodgement of the thesis will not exceed 18 months from the date of the award of the degree.

6.07 Right of examiners to access

Notwithstanding any other clause in this Rule, the thesis and any restricted appendix will be available to the examiners of the thesis, including:

- (a) any committee or board of postgraduate studies of the Faculty; and
 - (b) any committee of the Academic Board;
- for the purposes of examination or re-examination.

Chapter 4 Miscellaneous

Part 7 Miscellaneous

7.01 Rules, resolutions and policies that cease to have effect

The following rules, resolutions and policies, as amended and in force immediately before the commencement of this Rule, cease to have effect to the extent set out in the table below:

Title of Policy or resolutions	Date originally approved
<i>University of Sydney (Doctor of Philosophy (PhD)) Rule 2004</i>	
<i>University of Sydney (Amendment Act) Rule 2000:</i> Part 9: Division 10 and Division 11 Part 10: Division 3 and Division 5	

Notes

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Date adopted: 21 March 2011

Date commenced: 25 March 2011

Administered by:

Publication date:

Review date:

Related documents

Amendment history

Provision	amendment	commencing
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