THESIS AND EXAMINATION OF HIGHER DEGREES BY RESEARCH PROCEDURES 2015

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1 Purpose and application

(1) These procedures are to give effect to the Thesis and Examination of Higher Degrees by Research Policy 2015 ("the policy").

(2) These procedures apply to any persons involved in research higher degree theses and examination.

2 Commencement

These procedures commence on 1 January 2015.

3 Interpretation

(1) Words and phrases used in these procedures and not otherwise defined in this document have the meanings they have in the policy.

Note: See clause 6 of the policy.

case means any material sent to the PhD Award Sub-Committee for consideration and review during a student's examination.

copy-editing and proof reading means identifying errors in, and correcting, the presentation of the text so as to conform with standard usage and conventions, including:

- spelling
- quotations
- use of italics
- lists
- word usage
- punctuation
- graphs
- charts
- citations
- references
- heading hierarchies
- symbols and equations
- headers and footers
- style of numbers

editor means any person providing paid or unpaid assistance to students in the preparation of the thesis. This also includes University and faculty writing advisors. Editors are not required to be accredited by the University or any professional organisation.
**local availability** means in relation to a thesis lodged with the University library, the thesis will be able to accessed, viewed, re-used and cited by current staff and students of the University by means of Unikey authentication.

**open access** means, in relation to a thesis lodged with the University library, unrestricted and free online access to the University’s scholarly research output.

**PART 1: PROOF-READING AND EDITING THESES**

4 Proof-reading and editing of theses

1. Students are permitted to use editors in preparing their thesis for submission.
   
   **Note:** See clause 8(2)(c)(ii) of the policy

2. Students proposing to use an editor must:
   
   (a) discuss the use of an editor with their supervisor;
   
   (b) provide the editor with a copy of these procedures; and
   
   (c) ensure that their editor is aware of and abides by the standards set out in the *Australian Standards for Editing Practice (ASEP) 2013*

   **Note:** As at the date of these procedures the *Australian Standards for Editing Practice (ASEP) 2013* can be found at the [website of the Institute of Professional Editors Limited](http://www.ipeln.com.au)

3. An editor may only be used for:
   
   (a) copy-editing and proofreading; and
   
   (b) providing advice about:

      (i) matters of structure (the need to structure and reword, deletions, additions);
      
      (ii) conventions of grammar and syntax;
      
      (iii) using clear language;
      
      (iv) logical connections between phrases, clauses, sentences, paragraphs, and sections;
      
      (v) voice and tone; and
      
      (vi) avoiding ambiguity, repetition and verbosity.

4. When an editor has been used:
   
   (a) the name of the editor and a brief description of the service rendered must be printed as part of the list of acknowledgements or other prefatory matter near the front of the work when it is presented for examination; and
   
   (b) if the editor’s current or former area of academic specialisation is similar to that of the student, this must also be stated.
PART 2: THESIS EXAMINATION PROCESS AND OUTCOME

5 Approving examiners

(1) The supervisor must provide nominations for examiners to the faculty committee at least four weeks prior to the intended submission date of the thesis.

(2) The supervisor should consult potential examiners prior to their nomination to ensure that:
   (a) they are willing and able to act within the timeframe expected; and
   (b) they agree to their names and comments being released to the student.

Note: In exceptional circumstances this information may be withheld. See clause 15 of these procedures.

(3) The supervisor must:
   (a) nominate examiners in the form prescribed by the PhD Award Subcommittee; and
   (b) submit the nomination form within four weeks of the earlier of:
      (i) the receipt of the intention to submit form; or
      (ii) the submission of thesis for examination.

(4) If the supervisor has not nominated examiners within two weeks of the date required in subclause 5(3), the associate dean must nominate examiners consistently with these procedures.

(5) The supervisor must provide the following for each nominated examiner:
   (a) whether they are currently active in research;
   (b) their previous experience as an examiner;
   (c) their relevant expertise;
   (d) whether they have agreed to act as examiner;
   (e) whether they are willing to conduct an oral examination;
   (f) whether they are willing to examine the thesis in electronic form;
   (g) the language (if not English) in which they would submit their report; and
   (h) a conflict of interests declaration signed by the nominated examiner.

(6) The supervisor should provide written justification for the nomination of any of the following:
   (a) an individual who does not come from a university or degree-granting institution;
   (b) an emeritus or honorary professor, or other retired academic; or
   (c) an individual with no previous experience examining research higher degree theses; or
   (d) an individual with an actual, potential or perceived conflict of interests.

(7) Where appropriate, such written justification should include:
(a) information regarding research activity in the past 5 years; and
(b) how any actual, potential or perceived conflict of interests will be managed.

6 Commissioning examiners

(1) The faculty will commission approved examiners by sending each examiner:
(a) a copy of the thesis in the requested format;
(b) a copy of any required form for the examiner’s report;
Note: See clause 7 of these procedures
(c) a copy of the policy, these procedures and all applicable guidelines;
(d) the resolutions relating to the degree;
(e) proposed arrangements for an oral examination, if applicable;
(f) proposed arrangements for examination of the creative or artistic component, if applicable;
(g) any specific conditions relating to the examination process; and
(h) the name and contact details of the relevant faculty staff member for communication regarding the process.

7 Examiners’ reports on the thesis

(1) The PhD Award Sub-Committee may prescribe a form for the presentation of examiners’ reports.
(2) Examiners must return their reports within six weeks of the despatch of the thesis.
(3) Examiners must:
(a) use the form prescribed by the University; and
(b) return a signed copy of the form by electronic mail, fax or post at the end of their examination.
(4) Each examiner’s report must include a statement as to whether the examiner is satisfied that the thesis meets the criteria prescribed in clause 8 of the policy.
(5) Each examiner must include a recommendation about the outcome of the award consistent with clause 23 of the policy.
(6) Each examiner’s report must specify:
(a) the grounds on which their recommendation is based; and
(b) the strengths and weaknesses of the thesis and the particular contributions made by the student; and
(c) a description of the type of minor corrections required; or
(d) a detailed list of emendations required; or
(e) the basis for revise and resubmit; or
(f) the basis for non-award.
(7) Examiners who are submitting a report in a language other than English must provide a summary of their report in English.
Examiners may include suggestions for the next steps in research or improvements for publication that are not required for the award of the degree.

8 Monitoring examiners’ reports

(1) When an examiner submits a report, the faculty will:
   (a) acknowledge receipt of the report; and
   (b) arrange for payment of the appropriate honoraria to external examiners.

(2) If an examiner has not returned the report within four weeks, the faculty will contact the examiner with a reminder of the due date.

(3) If an examiner has not returned a report within six weeks, the faculty will make contact to:
   (a) remind the examiner of the conditions of examination; and
   (b) ask when the report can be expected.

(4) If an examiner has not returned a report within ten weeks, the faculty will inform the examiner that if the report is not received within a further two weeks:
   (a) it will not be accepted;
   (b) if an external examiner, the examiner will not be eligible for payment; and
   (c) a replacement examiner will be appointed.

(5) If the report is not received within the further two week period, the faculty will appoint a replacement examiner.

9 Replacing examiners

(1) If an additional examiner has already been approved then this person may be used as a replacement examiner.

(2) If an additional examiner has not already been approved, one will be nominated and commissioned consistently with clause 6 of these procedures.

(3) If the original examiner returns a report after a replacement examiner has been commissioned:
   (a) the original examiner’s report will not form part of the body of evidence considered in awarding the degree;
   (b) the original examiner will be informed that no further information is required; and
   (c) if the original examiner was an external appointment no payment will be made.

10 Considering examiners’ reports

(1) The faculty will release the examiners’ reports to the supervisor and head of department after all examiners’ reports have been received. The Associate Dean or Chair of the faculty committee may release reports to the supervisor and head of department at an earlier date in exceptional circumstances.
(2) Once all the examiners’ reports have been received, the head of department will:
   (a) consider the reports; and
   (b) consult the supervisor, who may provide a written report.

(3) The head of department will then make a recommendation regarding the outcome of the award to the faculty committee. This report must include:
   (a) details of the nature and extent of any consultation; and
   (b) a copy of any supervisor’s written report received.

(4) The head of department’s report must specifically refer to all concerns expressed by the examiners:
   (a) specifying which concerns must be addressed and which need not be addressed; and
   (b) including instructions to the student where the recommendation is:
      (i) award with minor corrections; or
      (ii) award with emendations; or
      (iii) non-award with provision to revise and resubmit.

(5) After considering the examiners’ reports and the head of department’s recommendation, the faculty committee will determine whether:
   (a) there is sufficient information to form an intention on the award of the degree consistently with clause 23 of the policy; or
   (b) further action is required, such as:
      (i) appointing an additional examiner;
      (ii) appointing an examiner-as-assessor;
      (iii) referring for further investigation e.g. in the instance of an allegation of plagiarism or research misconduct;
      (iv) consulting with the student (in person or in writing);
      (v) requesting additional information from the supervisor or head of department;
      (vi) for masters degrees by research consulting the PhD Award Sub-Committee; or
      (vii) obtaining any further information deemed necessary.

(6) When the faculty committee determines it has sufficient information to do so, it will form an intention on the award of the degree consistently with clause 23 of the policy.

(7) If the intention is not to award (whether with or without an option to revise and resubmit or to award to another degree) the faculty committee must notify the student in writing of the intention, and:
   (a) provide the student with de-identified copies of the examiners’ reports and the head of department’s recommendation and any written supervisor reports; and
   (b) inform the student that they have
      (i) two weeks from the date of notification to state their intention to reply; and
(ii) if the student has stated intention to reply, six weeks from the date of notification to provide written comments to the faculty committee.

(8) If the student provides comments within the specified time, the faculty committee will:

(a) further consider the examiners' reports, the head of department's report, and any comments provided by:

(i) the student;

(ii) the supervisor; and

(iii) the head of department;

and

(b) confirm or revise its conclusion on the award of the degree, consistently with clause 23 of the policy.

(9) For masters degrees by research, the Dean may approve the outcome of examination based on the conclusion of the faculty committee.

(10) For doctorates by research, the Dean may approve the outcome of the examination based on the conclusion of the faculty committee, if:

(a) the faculty committee’s conclusion is to award the degree without qualification, or subject to minor corrections, and the examiners have each recommended either that:

(i) the degree be awarded without qualification; or

(ii) the degree can be awarded subject to minor corrections;

or

(b) the faculty committee’s conclusion is that the degree be awarded subject to emendations, and the examiners have each recommended one of the following:

(i) that the degree be awarded without qualifications;

(ii) that the degree be awarded subject to minor corrections; or

(iii) that the degree be awarded subject to emendations.

(11) Except where permitted in subclause 10(10), for all other doctorates by research the intention of the faculty committee must be referred to the PhD Award Subcommittee for review.

(12) When a faculty committee intention is referred to the PhD Award Sub-Committee the faculty committee must provide the following material for consideration and review:

(a) the intention of the faculty committee;

(b) all examiners’ reports;

(c) the head of department’s recommendation;

(d) any comments which have been provided consistently with subclause 10(8) of these procedures;

and

(e) if the intention is award with minor corrections or emendations, the explicit instructions proposed to be provided to the student;

or
(f) if the intention is non-award - revise and resubmit, the list of concerns that must be addressed by the student.

(13) The PhD Award Sub-Committee may:

(a) request further information, including but not limited to an in-person consultation with the student, or further information from the head of department or the supervisor;
(b) recommend the commissioning of an additional examiner;
(c) recommend the appointment of an examiner-as-assessor
   Note: see clause 12 of these procedures
(d) refer for further investigation e.g. in the instance of an allegation of plagiarism or research misconduct;
(e) endorse the faculty committee’s intention on the outcome; or
(f) refer the case back to the faculty committee with an alternate recommended outcome.

(14) If the Chair of the Graduate Studies Committee decides that there is an irreconcilable difference between the faculty committee and the PhD Award Sub-Committee:

(a) PhD awards are determined by the PhD Award Sub-Committee; and
(b) other doctorates are determined by the Dean of the faculty in accordance with their resolutions.

11 Additional examiner

(1) If an additional examiner is to be used, the procedures for approval set out in clause 5 and the procedures for commissioning set out in clause 6 of these procedures should be followed.

(2) Once an additional examiner has been approved, these procedures apply to the provision and consideration of examiners’ reports.

12 Examiner-as-assessor

(1) An examiner-as-assessor must complete an initial independent examination of the thesis based on the same criteria as all examiners. If a thesis contains a creative or artistic component, this will be provided as either a documentary recording or as an exhibition, installation or performance.

(2) Having completed the initial examination of the thesis, the examiner-as-assessor must then consider:
   (a) de-identified copies of the all examiners’ reports;
   (b) comments from the head of department;
   (c) comments from the supervisor, if received;
   (d) comments from the student, if received;
   and assess the validity of the expressed concerns with the work under examination.

(3) The examiner-as-assessor must provide a written report containing:
(a) an examiner’s report, including a recommendation about the outcome of the examination; and
(b) response to the comments of the other parties.

(4) The head of department will consider the report of the examiner-as-assessor and provide a further report, including a recommendation regarding the outcome of the examination to the faculty committee.

(5) The faculty committee will then consider the examiner-as-assessor’s report and the head of department’s report in the manner required by clause 10 of these procedures.

13 Outcome of examination: award with corrections or emendations

(1) If the outcome of an examination is that the degree be awarded subject to minor corrections or awarded subject to emendations, the Dean, Associate Dean or faculty committee must:

(a) detail the minor corrections or emendations required to be made to the final version of the thesis;
(b) set the latest date by which the final version of the thesis, including the corrections or emendations, must be lodged with the University. The latest date will normally be three months from the date of notification of outcome of examination; and
(c) notify the student in writing.

(2) The Head of Department will review the final version of the thesis and either:

(a) verify that the required corrections or emendations have been addressed to their satisfaction; or
(b) notify the student in writing of the corrections or emendations required to be made and set the latest date by which the final version of the thesis must be lodged with the University.

(3) Where the student does not lodge the final version of the thesis by the set date, the Dean, Associate Dean or faculty committee must either:

(a) set a new latest date by which the final version must be lodged and notify the student in writing; or
(b) determine the result to be ‘not awarded’.

14 Outcome of examination: revision and re-examination

(1) If the outcome of an examination is that the degree not be awarded, but the student be permitted to revise and resubmit the thesis for re-examination, the Dean, Associate Dean or faculty committee must:

(a) prescribe a maximum period of further candidature, normally one or two semesters;
(b) set the latest date for the student to resubmit their thesis for examination;
(c) set the date by which the student must re-enrol or apply for suspension of candidature consistently with subclause 14(3) of these procedures;
(d) detail the additional work or changes required; and
The student must re-enrol for the degree whilst the thesis is being revised.

The student must re-enrol or apply for a suspension of candidature no later than census date of the next research period following the notification of permission to revise and resubmit.

(a) If the student does not do so, the faculty must determine the result to be ‘not awarded’.

The original examiners should be invited to re-examine the thesis if they are available and willing to do so unless, in the opinion of the faculty committee:

(a) they have previously required modifications to the thesis that are considered unnecessary or undesirable; or

(b) there are academic reasons for not recommissioning any or all of the original examiners.

The examination of a revised and resubmitted thesis is a new examination of the whole thesis, which must be carried out in accordance with the policy and these procedures.

The PhD Award Sub-Committee may prescribe a form for presentation of reports by examiners of a revised and resubmitted thesis and examiners must use any such form.

No further opportunity to revise and resubmit the thesis is permitted as an outcome of the new examination.

15 Communication with the student during examination process

The faculty may provide the student with notice of the completion of each of the following stages of the examination process:

(a) appointment of examiners pending;
(b) thesis submitted for examination;
(c) thesis sent to examiners and reports pending;
(d) all examiners have submitted reports;
(e) faculty committee is considering recommendations from examiners;
(f) PhD Award Sub-Committee is considering recommendations from faculty committee and examiners;
(g) notification of the result of the examination;
(h) awaiting comment from student regarding the result of the examination;
(i) student to fulfil the conditions of the award, including lodgement in the University library;
(j) student to re-enrol if required for a revise and resubmit outcome;
(k) conditions of award fulfilled and degree may be awarded.

If consultation with the student is required under the policy or these procedures such consultation must be undertaken in writing.

Unless, in exceptional circumstances, the Dean or Associate Dean determines otherwise, the faculty should provide the student with de-identified examiners reports:
(a) as part of any consultation process; and  
(b) at the notification of the result of the examination.  

(4) Unless, in exceptional circumstances, the Dean or Associate Dean determine otherwise, the faculty will provide the student with the names of the examiners at the conclusion of the examination process.

**PART 3: ORAL EXAMINATIONS**

**16 Conduct of oral examinations generally**

(1) If an oral examination is to be held:  
(a) the supervisor must notify the examiners and student; and  
(b) the associate dean must appoint a convenor who meets the qualifications for an examiner set out in clause 15 of the policy, noting that the convenor is not an examiner.  

(2) All parties to an oral examination must participate in person, or by telephone, video, web or teleconference. In-person participation is preferable.  

(3) The student may elect to have a supervisor attend the oral examination. In this case, the supervisor must also participate in person, or by telephone, video, web or teleconference. In-person participation is preferable.  

(4) The faculty will set the date of the oral examination.  
(a) Where an oral examination is planned from the outset of the examination process, this date should be set before the thesis is submitted, and should be between five and ten weeks after the date of submission of the thesis.  
(b) Where an oral examination is required after commencement of the examination process, the student must be notified of the date for the oral examination at least fourteen days prior to the oral examination.  

(5) Each examiner will be sent the thesis or, where the thesis includes a live performance, exhibition or installation that is yet to occur, the written component of the thesis within seven days of the date of submission.  

(6) Each examiner must submit an interim report at least seven days prior to the scheduled date for the oral examination, including interim recommendations for the outcome.  

(7) If one or more examiners do not submit their interim reports by the date required by subclause 16(6), the convenor must:  
(a) contact them to determine whether an interim report will be received prior to the scheduled date for the oral examination; and  
(b) determine whether:  
   (i) the oral examination will proceed on the scheduled date, with or without all of the interim reports; or  
   (ii) the oral examination should be re-scheduled; and  
(c) notify the student of the decision in writing.  

(8) Unless local provisions prescribe otherwise, oral examinations should be between two to four hours duration.
(9) An oral examination of a thesis which includes a creative or artistic component must:
   (a) test the comprehension of the student of the field of study described by the thesis and presented in the creative or artistic component;
   (b) clarify points either of principle or of detail in the creative or artistic component; and
   (c) assess the contribution made by the student to the content and presentation of the creative or artistic component and the written component of the thesis.

(10) An oral examination of a creative or artistic work may also include any of:
   (a) contextualisation of the student’s work, where the student presents the development of the thesis to the examination panel;
   (b) discussion of the creative or artistic component of the thesis at the site of the exhibition with the student; or
   (c) discussion of the written component and related matters with the student.

(11) At the close of the oral examination, the convenor and examiners must meet in private to prepare a report and recommendation of the examination outcome.
   (a) Only the convenors and examiners may attend this meeting. The head of department and supervisor must not be present.
   (b) The report must be a single report, containing a consensus recommendation of the outcome of the examination.
   (c) The report must be prepared by the convenor and must specify:
      (i) the recommended outcome of the examination, consistent with clause 23 of the policy;
      (ii) the process undertaken by the conduct of the oral examination;
      (iii) the information provided to the candidate; and
      (iv) recommendations for any corrections, emendations or other conditions necessary for an award.

(12) The oral examination report will be considered together with and in the same manner as the examiners’ reports.

   Note: See clause 10 and following of these procedures.

(13) If the examiners fail to reach consensus:
   (a) each examiner must confirm or revise their interim reports within two weeks of the private meeting; and
   (b) the examiners’ final reports and the convenor’s report must then be considered in the same manner as examiners’ reports in a thesis-only examination.

   Note: See clause 21 of the policy and clause 10 of these procedures.

17 Role of the convenor

(1) The convenor is a representative of the faculty and has the following duties:
   (a) to ensure that the examiners and student are informed of the arrangements for holding the oral examination;
(b) to discuss with the student, prior to the examination, the nature of an oral examination, noting that students are expected to prepare their own responses;

(c) to advise the student of the main issues that may be raised by the examiners, noting that the examiners have the right to raise additional questions;

(d) to assure the student that the examination is intended to be constructive and helpful;

(e) to explain the proceedings to the examiners and to the student;

(f) to chair the oral examination of the thesis, and any subsequent meeting of examiners;

(g) to provide a report to the faculty committee;

(h) to provide the head of department with the opportunity to append comments to the convenor’s report on the oral examination; and

(i) to inform the student about the examiners recommendations.

(2) The convenor’s report must also be provided to the PhD Award Sub-Committee if required.

PART 4: JOINT AND COTUTELLE DEGREES

18 Examination of joint degrees and cotutelle degrees

(1) Where the examination is to be conducted by the partner institution:

(a) The faculty must notify the PhD Award Sub-Committee when the examination commences. This notification must include:

   (i) confirmation that the examination meets the conditions of the individual student agreement; and

   (ii) the names and affiliations of all the examiners.

(b) The faculty must notify the PhD Award Sub-Committee of the completion of the examination. This notification must include:

   (i) a summary of the examination process;

   (ii) a statement of the outcome of the award from the partner institution; and

   (iii) copies of the examiners reports and English summaries, where the language of the reports is in a language other than English.

   Note: see subclause 7(7) of these procedures.

(c) The outcome of the degree will be decided by the PhD Award Sub-Committee, in accordance with the policy, based on the notification from the partner institution.

(2) Where a student is enrolled in a joint or cotutelle degree subsequently transfers to a degree solely awarded by the University, examination will be conducted according the policy and these procedures, but the PhD Award Sub-Committee may approve the use of any existing examiners’ reports in fulfilment of the applicable requirements.
PART 5: THESIS WITH PUBLICATIONS

19 Method of inclusion of published material in a thesis

(1) Sections of the thesis that have been published previously must be clearly identified as such.
(2) Published material may also be included as an appendix.
(3) Published papers may be offprints bound into the original thesis, or reformatted containing identical text as long as it is clear that the text in the thesis is identical to that in the published paper.
(4) If the text of the thesis differs substantially from the published material then inclusion should be by citation and quotation rather than inclusion of the material.

20 Number of papers

(1) A thesis containing previously published material should be of comparable substance, length and significance, and show a level of contribution by the student comparable to that of a thesis not containing previously published material.
(2) The specific number of papers required to constitute a thesis depends on:
   (a) the expectations of the discipline; and
   (b) the extent to which the student contributed to these papers.

21 Authorship of papers included in a thesis with publications

(1) Previously published material should only be included in the thesis where the student’s contribution is substantial.
(2) Where a student is an author of a work but had a lesser contribution to the published work, the paper may be included as an appendix.
(3) Students must clearly indicate their role and the extent of their contribution to the paper either in the introduction to the thesis or the introduction to the chapter. Provided that this is done, where more than one of the authors of a work is a higher degree by research student, each student may include the work as part of their thesis.
(4) Works with multiple authors should only be included with the permission of the corresponding author.
(5) Where a student is a joint author of a previously published work, the supervisor or corresponding author must submit a supporting statement identifying the student’s contribution to the work covered in the article.
(6) The convention for author placement in the list of contributing authors within the discipline should be stated e.g. alphabetical, corresponding author first.
22 Examination of a thesis with publications

(1) The examination process is the assessment of the thesis against the criteria set out in clause 8 of the policy. This examination is a different process than the refereed assessment of material for publication.

(2) Examiners must address:
   (a) whether the thesis including previously published material indicates that the student has made a substantially original contribution to the knowledge of the subject concerned; and
   (b) for publications where there are multiple authors, whether the quality and extent of the student’s contribution merits the award of the degree.

(3) As the included publications are examined as part of a larger work, reviewers of individual papers may be nominated to act as examiners if they meet the criteria set out in clause 15 of the policy.

PART 6: THESES CONTAINING CREATIVE OR ARTISTIC COMPONENTS

23 Examination of a thesis containing creative or artistic components

(1) The creative work and the written component will be examined as an integrated whole.

(2) The creative work may be presented in the context of an exhibition, installation, performance or other in-person context.

(3) Where the creative component is an exhibition or installation, the documentary record may take the form of a catalogue with images of sufficient quality for examination.

(4) The student is responsible for creating the documentary record of the creative work.

(5) The Dean, Associate Dean, or the faculty committee must decide whether the examination of a creative work should include any of:
   (a) a performance, installation or exhibition; or
   (b) an oral examination.

(6) Where the examination of a creative work component includes a performance, installation or exhibition, the written component of the thesis should be provided to the examiners prior to the examination of the creative component.

(7) Where the examination of the creative work component includes a performance, installation or exhibition, examiners should attend in person.

(8) Where there is no performance, installation or exhibition, or where an examiner cannot attend in person the examiner(s) shall conduct their examination using the documentary record of the creative work.

(9) Except as otherwise stated in faculty resolutions, the examination of a thesis with a creative component must comply with procedures, including (where appropriate) those relating to oral examinations.
(10) The outcomes of the examination for a thesis submitted with a creative or artistic component must relate to the whole thesis, including the artistic or creative work.

Note: See clause 23 of the policy.

PART 7: LODGEMENT OF THESES IN LIBRARY

24 Lodgement of theses in the University library

(1) The final copy of the thesis lodged in the University library must be in electronic format except as permitted by the Chair of the Graduate Studies Committee of the Academic Board.

(2) The copy must be complete, including:
   (a) any appendices submitted for examination;
   (b) any published material included in the thesis;
   (c) documentary recording of any artistic or creative works; and
   (d) any corrections or emendations required by the University addressed to the satisfaction of the head of department;

(3) The student must provide the title and an abstract of the thesis by the time of lodgement to be included in the Library catalogue meta-data and on the Australian Higher Education Graduate Statement (AHEGS).


(4) The student may specify at the time of lodgement whether they prefer for their thesis to be locally available or published to open access. Where a student does not indicate a preference, the thesis will be lodged in the Library for local access.

Note: Information about these choices is at http://sydney.edu.au/graduate_studies_office/students/thesis.shtml

(5) Where a student has been permitted to include an appendix of material that is not to be available for public inspection as provided by the University of Sydney (Higher Degree by Research Rule) 2011, the appendix must be lodged separately to the remainder of the thesis in a form prescribed by the Director of University Libraries.

Note: A student may also apply for a period of delay in lodging with the library. See University of Sydney (Higher Degree by Research Rule) 2011.

(6) The Library catalogue meta-data, including the student’s name, thesis title, and abstract, must be publicly available.

(7) A student may also opt to publish sections of their thesis as part of their faculty’s open research collection. For example, this may be used:
   (a) where copyright restrictions on published material prevent the open access publication of the whole thesis; or
   (b) where the student opts to publish the written component of the thesis but not a creative work.
(8) The final copy of the thesis lodged in the Library cannot be altered.

(9) The Chair of the Graduate Studies Committee may approve that an errata notice be appended to a lodged thesis. The errata notice must:

(a) be clearly distinguishable from the thesis as originally lodged;
(b) be labelled as “errata notice”;
(c) identify the author of the notice;
(d) clearly state the date of the notice; and
(e) list each erratum separately with a page reference, and in page reference order.

NOTES

Thesis and Examination of Higher Degrees by Research Procedures 2015

Date adopted: 12 November 2014
Date commenced: 1 January 2015
Date amended: 28 October 2015
Administrator: Deputy Vice-Chancellor (Education)
Review date: 1 January 2020.

Related documents:

Australian Standards for Editing Practice (ASEP) 2nd ed. Point Cook: Institute of Professional Editors, 2013
University of Sydney (Higher Degree by Research Rule) 2011
Academic Dishonesty and Plagiarism in Coursework Policy 2012
Cotutelle Scheme Policy
External Interests Policy 2010
Privacy Policy 2013
Supervision of Higher Degree by Research Students Policy 2013
Privacy Management Plan 2013
Thesis and Examination of Higher Degrees by Research Policy 2015
Final thesis lodgement guidelines for students
## AMENDMENT HISTORY

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