PhD: Submission of Doctor of Philosophy Theses Containing Published Work

Approved by: Academic Board on 14 August 2002
Date of effect: 15 August 2002
Amended by: Academic Board on 11 July 2007

1. Policy

This policy clarifies the requirements outlined in Chapter 4, clause 4.22 of the *University of Sydney (Higher Degree by Research) Rule* 2011 regarding submission of publications in support of candidature.

2. Background

The *University of Sydney (Higher Degree by Research) Rule* 2011 provides that:
4.22 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..

This policy clarifies the Academic Board requirements in respect of the above clause.

3. Coverage

This policy applies to all candidates for the degree of Doctor of Philosophy.

4. Procedures

(1) For the purposes of Chapter 4, clause 4.22 of the *University of Sydney (Higher Degree by Research) Rule* 2011, a candidate may include in a thesis (whether in the body, or in one or more appendices) one or more published works of which the candidate is the sole or joint author.

(2) Any theses submitted for examination must be submitted and examined in accordance with the Academic Board Resolutions relating to the degree of Doctor of Philosophy, including any and all statements required from the supervisor and candidate as appropriate.

(3) In addition to the statement referred to in (2) above, a candidate who includes one or more published works in the body of the thesis of which the candidate is not the sole author, must provide evidence to identify satisfactorily the sections of the work for which the candidate is responsible.

(4) For the purposes of (3) above, the Academic Board will accept a signed written statement from all authors of a work attesting to the contribution of the candidate as evidence to satisfactorily identify the sections of the work for which the candidate is responsible. Where it is impractical or not possible to contact all the authors, the relevant Faculty may request that the Graduate Studies Committee waive this requirement.

(5) The Academic Board may accept other forms of evidence, on application from a candidate, not inconsistent with (4) above and consistent with the *University of Sydney (Intellectual Property) Rule* 2002 and the University of Sydney

Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct.

(6) If a candidate chooses to include one or more published works in the body of the thesis, the candidate must ensure that the thesis is a consistent and unified whole, prepared specifically for the submission of examination for the degree. The candidate needs to critically place any published works used in the body of the thesis in the context of the appropriate field of study and in the context of the thesis as a whole.

(7) If a candidate chooses to include one or more published works in the body of the thesis, the candidate must ensure that the thesis is presented in such a way that the examiners can assess the requirements required by the University, including whether in the opinion of the examiner the thesis is a substantially original contribution to the knowledge of the subject concerned, the thesis affords evidence of originality by the discovery of new facts, the thesis affords evidence of originality by the exercising of independent critical ability, and the thesis is satisfactory as regards to literary presentation.

(8) A candidate may only include a published work if the research and publication of the work occurred during the course of candidature for the degree.

(9) Examiners will be advised on the University position regarding the inclusion of one or more published works in the body of the thesis, or as one or more appendices, and examiners who express concern regarding a candidate's mastery of the subject matter will be encouraged to recommend an additional oral examination to satisfy any concerns where they deem it necessary.

5. Authority

(1) Development/consultation

This policy was developed by the Postgraduate Research Training Sub-Committee of the Graduate Studies Committee and approved by the Academic Board.

(2) Management responsibility

Graduate Studies Office

(3) Implementation and monitoring

Graduate Studies Office with advice to the Graduate Studies Committee.

(4) Review

1 August 2004.

(5) Communication

Graduate Studies Office

(6) Contact

Graduate Studies Office (9114 1302, email: gradstudies.office@sydney.edu.au)

6. Related information

(1) Related University legislation, resolutions, policies and procedures include:

(a) *University of Sydney (Higher Degree by Research) Rule* 2011

(b) Resolutions of the Academic Board relating to the degree of Doctor of Philosophy

(c) *University of Sydney (Intellectual Property) Rule* 2002

(d) University of Sydney Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct