

UNIVERSITY OF SYDNEY (HIGHER DEGREE BY RESEARCH) RULE 2011

The Senate of the University of Sydney, as the governing authority of the University of Sydney, by resolution adopts the following Rule under subsection 37 (1) of the *University of Sydney Act 1989* for the purposes of the *University of Sydney By-law 1999*.

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CONTENTS

University of Sydney (Higher Degree by Research) Rule 2011	1
Contents	1
Part 1 Preliminary	3
1.1 Name of Rule.....	3
1.2 Commencement	3
1.3 Statement of intent	4
1.4 Interpretation	4
1.5 Authorities and responsibilities.....	7
1.6 University may change courses and units of study	7
1.7 Overall requirements	7
1.7A Time limits	7
1.8 No right to admission.....	7
Part 2 Master's by Research.....	8
2.1 Course resolutions	8
2.2 Application of this Part.....	8
2.3 Eligibility for admission to candidature	8
2.4 Application for admission to candidature	8
2.5 Probationary admission to candidature.....	9
2.6 Credit for previous studies.....	9
2.7 Limit on credit for previous studies.....	10
2.8 Control of candidature	10
2.9 Other studies during candidature	11
2.10 Supervision.....	11

2.11 Location of candidature	11
2.12 Progress	12
2.13 Students may be required to show good cause	12
2.14 Discontinuation of candidature	14
2.15 Suspension of candidature	14
2.16 Lapse of candidature	14
2.17 Return to candidature	15
2.18 Leave of absence	15
2.18A Maximum time for completion	15
2.19 Earliest date for submission of thesis for examination	15
2.20 Latest date for submission of thesis for examination	15
2.21 Content of thesis.....	16
2.22 Form of thesis for examination	17
2.23 Examination procedures.....	17
2.24 Aegrotat and posthumous awards	17
Part 3 Doctorates by Research other than the Doctor of Philosophy	18
3.1 Course resolutions	18
3.2 Application and meaning of this Part.....	18
3.3 Eligibility for admission to candidature	18
3.4 Application for admission to candidature	18
3.5 Probationary admission to candidature.....	19
3.6 Credit for previous studies.....	19
3.7 Limit on credit for previous studies.....	20
3.8 Control of candidature	20
3.9 Other studies during candidature	21
3.10 Supervision.....	21
3.11 Location of candidature	21
3.12 Progress	22
3.13 Students may be required to show good cause	22
3.14 Discontinuation of candidature	24
3.15 Suspension of candidature.....	24
3.16 Lapse of candidature	24
3.17 Return to candidature	25
3.18 Leave of absence	25
3.18A Maximum time for completion	25
3.19 Earliest date for submission of thesis for examination	25
3.20 Latest date for submission of thesis for examination	26
3.21 Content of thesis.....	27
3.22 Form of thesis for examination	27
3.23 Examination procedures.....	27
3.24 Aegrotat and posthumous awards	28
Part 4 Doctor of Philosophy	28
4.1 Application of this part	28
4.2 Eligibility for admission to candidature	28
4.3 Application for admission to candidature	29
4.4 Probationary admission to candidature	29
4.5 Credit for previous studies.....	29
4.6 Limit on credit for previous studies.....	30
4.7 Control of candidature	31
4.8 Other studies during candidature	31
4.9 Supervision.....	31
4.10 Location of candidature	31
4.11 Progress	32
4.12 Students may be required to show good cause	33
4.13 Discontinuation of candidature	34
4.14 Suspension of candidature.....	34

4.15 Lapse of candidature	34
4.16 Return to candidature	35
4.17 Leave of absence	35
4.17A Maximum time for completion	35
4.18 Earliest date for submission of thesis for examination	35
4.19 Latest date for submission of thesis for examination	36
4.20 Content of thesis.....	37
4.21 Form of thesis for examination	37
4.22 Examination procedures.....	38
4.23 Aegrotat and posthumous awards	38
Part 5 Higher Doctorates.....	38
5.1 Meaning of this Part	38
5.2 Award of Higher Doctorates	38
5.3 Eligibility for admission to candidature	39
5.4 Application for admission to candidature	40
5.5 Preliminary assessment of application for admission	40
5.6 Admission to candidature	41
5.7 Enrolment	41
5.8 Submission of work for examination.....	41
5.9 Appointment of examiners.....	41
5.10 Examination.....	41
5.11 Lodging the published work.....	42
Part 6 Higher Degree by Research Theses	42
6.1 Meaning of this Part	42
6.2 Lodgement.....	42
6.3 Use of confidential material	43
6.4 Access to confidential material in a restricted appendix	43
6.5 Restricted access to protect intellectual property.....	44
6.6 Restricted access to protect the interests of the author	44
6.7 Right of examiners to access	45
Part 7 English Language Requirements.....	45
7.1 All applicants whose first language is not English.....	45
7.2 Exceptional circumstances.....	45
Part 8 Undertaking Coursework Units of Study	46
8.1 Enrolment in and assessment of coursework units of study	46
Part 9 Special Consideration	46
9.1 Progress and examination.....	46
9.2 Variation of candidature	46
Part 10 Miscellaneous.....	46
10.1 Rules, resolutions and policies that cease to have effect	46
Notes	47
Amendment history.....	47

PART 1 PRELIMINARY

1.1 Name of Rule

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

1.2 Commencement

This Rule commences on 25 March 2011.

1.3 Statement of intent

This Rule deals with all higher degrees by research offered 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.

1.4 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 a faculty with authority for matters relating to higher degrees by research within the faculty or the Deputy Chairperson of a Board of Studies or a person appointed by the Dean to have authority for matters relating to higher degrees by research within the faculty.
- Board of Studies** means an academic body with the same authority in relation to the supervision of an award course or courses as a faculty, except that it is headed by a Chair rather than a Dean.
- candidate** means a candidate for a higher degree by research.
- completion** occurs when:
- the faculty is satisfied that the final version of the thesis meets the requirements arising from the examination; and
 - the candidate complies with any conditions to which certification is subject, including but not limited to the requirement to lodge a copy of the final thesis with the University Library.
- Note:** See [Thesis and Examination of Higher Degrees by Research Policy 2015](#), particularly clause 23.
- 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	<p>means resolutions made by the Academic Board in accordance with clauses 2.1 and 3.1</p> <p>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.</p>
Dean	<p>means the Dean of a faculty, the Head of School and Dean of a University school or the Chair of a Board of Studies.</p>
delegate	<p>means an officer, employee or committee of the University, or any other person or entity to whom or to which, Senate has made a delegation of power.</p>
Doctorate by research	<p>means a degree with the word “doctor” in the title comprising a minimum of two-thirds research that is approved by the Academic Board.</p> <p>Note: The Academic Board will not approve a Doctorate by research unless it complies with the Australian Qualifications Framework.</p>
English Language Proficiency Standards	<p>means the Admissions Standards – English Language Proficiency, as determined by the Academic Board from time to time.</p>
faculty	<p>means the relevant faculty, University school or Board of Studies.</p>
full-time candidature	<p>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.</p>
good cause	<p>means circumstances beyond the reasonable control of a student, which may include serious ill health or misadventure.</p>
higher doctorate	<p>has the meaning given to it by clause 5.1 of this Rule.</p>
Master’s by research	<p>means a degree with the word “Master” in the title comprising a minimum of two-thirds research that is approved by the Academic Board.</p> <p>Note: The Academic Board will not approve a Master’s by research unless it complies with the Australian Qualifications Framework.</p>
part-time candidature	<p>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.</p>
Postgraduate Coordinator	<p>means the member of academic staff with overall responsibility for the planning and coordination of postgraduate research studies within a faculty, school or University school.</p>
Progress Policy	<p>means the <i>Progress Planning and Review for Higher Degree by Research Students Policy 2015</i>.</p>

- progress plan** means a progress plan developed in accordance with the [Progress Policy](#).
- research period** means an enrolment period set by the University and published on its website.
- Note:** Research periods are published on the University's website at: <http://sydney.edu.au/study/study-dates.html>
- Review Panel** means a panel established in accordance with the [Progress Policy](#).
- school** means the academic unit, however so called, responsible for a student's higher degree by research candidature. It may be called a discipline. School delegations may be exercised by faculties.
- semester** means a duration of time equal to any two research periods.
- student** means a person who is currently admitted to candidature in an award course of the University.
- supervisor** means, in relation to a higher degree by research student, a person appointed to discharge the responsibilities set out in the [Supervision of Higher Degree by Research Students Policy 2013](#). For the purpose of this Rule, the generic term supervisor(s) will be used to include research supervisors, co-ordinating supervisors, or auxiliary supervisors.
- thesis** means the whole of the assessable work submitted by a student for examination as required by the [Thesis & Examination of Higher Degrees by Research Policy 2015](#)
- (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 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.
- (4) 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 Postgraduate Coordinator.
- (5) A heading to a Part or Schedule is a provision of this Rule. Other headings are not provisions of this Rule, but the number of a section or subsection is a provision of this Rule even if it is in a heading.
- (6) A note, marginal note, footnote or endnote is not a provision of this Rule.
- (7) A reference to a policy or procedures includes a reference to that policy or those procedures as amended from time to time, and to any replacement policy or procedures which may be adopted in substitution for them.
- (8) A reference to a committee includes a reference to any restructured or replacement committee to which the functions or responsibilities of the original committee are reassigned.

1.5 Authorities and responsibilities

- (1) Authorities and responsibilities for the functions set out in this Rule are also defined in the [University of Sydney \(Delegations of Authority – Academic Functions\) Rule 2016](#).
- (2) The procedures for consideration of, and deadlines for submission of, proposals for new and amended award courses will be determined by the Academic Board.

1.6 University may change courses and units of study

- (1) 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.

1.7 Overall requirements

- (1) 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;
 - (d) completes, to the satisfaction of the University, all requirements for enrolment in the course; and
 - (e) meets the University's English language requirements.

1.7A Time limits

A student must meet all the requirements for a course:

- (a) within the time periods specified in this Rule; and
- (b) in any event, within 12 years of their first enrolment in the course.

Note: See clause 2.18A in relation to Masters by Research, clause 3.18A in relation to doctorates other than the Doctor of Philosophy, and clause 4.17A in relation to the Doctor of Philosophy.

1.8 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.

PART 2 MASTER'S BY RESEARCH

2.1 Course resolutions

- (1) 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.

2.2 Application of this Part

- (1) 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.

2.3 Eligibility for admission to candidature

- (1) Subject to subclauses 2.3(2) and (3) and to admission requirements specified in the course resolutions, to be eligible for admission by an 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 by coursework or research; or
 - (ii) a Bachelor's degree; or
 - (iii) a qualification equivalent to a Bachelor's degree; and
 - (b) meet other criteria for admission as specified in the course resolutions.
- (2) An Associate Dean may admit to candidature an applicant who does not meet the requirements of sub-clause 2.3(1), provided that the applicant holds a qualification or qualifications that, in the opinion of the relevant faculty committee are equivalent to those prescribed in sub-clause 2.3(1).
- (3) The Associate Dean may impose on a student admitted to candidature pursuant to sub-clause 2.3(2) such conditions as the Associate Dean considers appropriate.

2.4 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 Associate Dean of the school 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, their thesis will be lodged with the Director, University Libraries and made available for use.

2.5 Probationary admission to candidature

- (1) Where provision is made for probationary admission in the course resolutions, the Associate Dean may admit a student to candidature for a Master's degree on a probationary basis for a period not exceeding four research periods.
 - (2) On completion by the student of any probationary period imposed pursuant to sub-clause 2.5(1), the Postgraduate Coordinator will review the student's work and recommend to the Associate Dean that:
 - (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why they should be permitted to continue the candidature.
 - (3) After considering a recommendation made by the Postgraduate Coordinator in accordance with subclause 2.5(2), the Associate Dean may:
 - (a) confirm the student's candidature; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.
- Note:** See clause 2.13 for details of the 'show good cause' process.
- (4) The candidature of a student that is confirmed in accordance with subclause 2.5(3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

2.6 Credit for previous studies

- (1) Subject to subclause 2.6(2), a student who, at the date of admission to candidature, has completed at least two research periods as a candidate for a higher degree by research in any faculty of the University may be permitted by the Associate Dean to receive credit for all or any part of the higher degree candidature.
- (2) The Associate Dean may grant credit in accordance with subclause 2.6(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, University school 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 their candidature in the higher degree.
- (3) Subject to sub-clause 2.6(4), and to the course resolutions, a student who, at the date of admission to candidature, has completed at least six months as a candidate for a higher degree at another university or institution may be permitted

- by the Associate Dean to receive credit for all or any part of the higher degree candidature.
- (4) The Associate Dean may grant credit in accordance with sub-clause 2.6(3), provided that:
- (a) at the time of admission to the higher degree by research at the other university or institution, the student held academic qualifications equivalent to those set out in clause 2.3;
 - (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 their 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 [Coursework Policy 2014](#), the Associate Dean may grant a student credit for previously completed coursework.

2.7 Limit on credit for previous studies

The amount of credit for previous studies that may be granted to a student in accordance with clause 2.6 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 2.18A, 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 at the University.

2.8 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 Associate Dean may require a student to provide a statement from their employer acknowledging that the candidature is under the exclusive control of the University.

2.9 Other studies during candidature

- (1) A student must satisfactorily complete any training required by any of:
 - (a) Academic Board policies;
 - (b) the Associate Dean;,,
 - (c) the Deputy Vice-Chancellor (Education;); or
 - (d) their Supervisor;including units of study, lectures, seminars, workshops, online modules, non-award courses, or practical work.

Note: In accordance with this Rule, a Master's degree must comprise a minimum of two-thirds research.
- (2) Failure satisfactorily to complete training documented in the student's progress plan may be considered as evidence of unsatisfactory progress.
- (3) A faculty may decline to examine a thesis if the student has not satisfactorily completed training documented in the progress plan.

2.10 Supervision

The Postgraduate Coordinator will appoint suitably qualified supervisors for each student undertaking a Master's degree by research, in accordance with policy for supervision determined by the Academic Board.

Note: See also [Supervision of Higher Degree by Research Students Policy 2013](#)

2.11 Location of candidature

- (1) Subject to the annual approval of the supervisors and Postgraduate Coordinator, 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 Postgraduate Coordinator to provide adequate facilities for that candidature; or
 - (d) within a professional working environment.
- (2) Throughout the course of their candidature, a student will attend the University for such:
 - (a) face-to-face consultation with their supervisors;
 - (b) school and faculty or University school seminars; and
 - (c) coursework or other studies required under clause 2.9 of this Rule; as specified annually by the Postgraduate Coordinator.

- (3) Subject to subclause 2.11(4), a student who pursues their candidature outside Australia must complete a minimum of two research periods of candidature within the University prior to submitting their thesis for examination.
- (4) For the purposes of subclause 2.11(3), the two research periods 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, Postgraduate Coordinators 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 a Review Panel in accordance with the [Progress Policy](#).
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Postgraduate Coordinator may determine that the student:
 - (a) has demonstrated satisfactory or marginal progress, and specify the conditions of candidature to apply the following year; or
 - (b) has demonstrated unsatisfactory progress, and:
 - (i) allow the student to continue to be enrolled with conditions, including a supplementary progress review in accordance with the [Progress Policy](#); or
 - (ii) recommend to the Associate Dean that the student be asked to show good cause why they should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Postgraduate Coordinator must indicate whether they are satisfied that the proposed supervision arrangements are satisfactory.
- (5) After considering a recommendation made by the Postgraduate Coordinator in accordance with subclause 2.12(3)(b)(ii), the Associate Dean may:
 - (a) allow the student's candidature to continue and specify the conditions of candidature to apply the following year; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.

2.13 Students may be required to show good cause

- (1) An Associate Dean may require a student to show good cause:
 - (a) following a progress review, in accordance with subclauses 2.5(3)(b) or 2.12(5)(b);
 - (b) if the student has not submitted their thesis for examination by the latest date to do so as required by clause 2.20; or

- (c) at any other time, on the recommendation of the Postgraduate Co-ordinator.
- (2) A student who is required to show good cause will be sent a notice that:
 - (a) requires the student to show good cause why they 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 their right to seek independent advice and assistance in preparing their response.
- (3) The Associate Dean must give the student a reasonable opportunity to make written submissions about the matter.
- (4) If, after considering any submissions made by the student, progress reports, any reports by the supervisors or Postgraduate Coordinator, and any other relevant information, the Associate Dean forms the opinion that the student has shown good cause, the Associate Dean will permit the student to continue the candidature.
- (5) If, after considering the information referred to in subclause 2.13(4), the Associate Dean forms the opinion that the student has not shown good cause, the Associate Dean must, by written notice setting out their 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](#).

- (6) In addition to the decision made under sub-clause 2.13(4) or sub-clause 2.13(5), the Associate Dean may also offer the student the option to transfer to another course within the faculty for which the student is eligible. The Associate Dean may impose conditions or restrictions on that offer.
- (7) A person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with sub-clause 2.13(5)(a) will not be permitted to re-enrol in that candidature.
- (8) Where a person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with sub-clause 2.13(5)(a), that person may be excluded by the Associate Dean from applying for admission to a higher degree by research within the faculty for the longer period of:
 - (a) at least two academic years; or
 - (b) if the person is applying for a Research Training Program place, the period of time until the person is entitled to the maximum period allowed for the course under the Research Training Program.

Note: As at the date of this Rule, detailed information about entitlement for Research Training Program can be found in Research Training Program: Conditions of Grant, which can be found at <https://www.education.gov.au/research-training-program>

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 their 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 they produce 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 the first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Associate Dean granted prior permission to re-enrol; or
 - (b) the student applies for and gains a new 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 2.14(3)(a) and (b).

2.15 Suspension of candidature

- (1) Subject to the course resolutions and to any restrictions imposed on student visa holders by the [Education Services for Overseas Students Act 2000](#), a student in a course may, by notice to the faculty, suspend their enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the 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 Associate 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 research period, and the student has not discontinued or sought approval to 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 student must apply for and gain a new admission to the course in order to re-enrol.

2.17 Return to candidature

- (1) Subject to written advice from the Associate Dean, if a student returns to candidature after suspension the course requirements as in force at the time of the student's return to candidature apply.
- (2) The Associate Dean may, in writing, modify the application of the course resolutions with respect to a particular student's return to candidature.
- (3) A student whose candidature has been discontinued or lapsed must apply for and gain a new admission to the course in order to re-enrol. The course requirements in place at the time of the new admission apply.

2.18 Leave of absence

Subject to the course resolutions, a student may, with the approval of the Postgraduate Coordinator, take leave of absence from the course for a period less than one research period.

2.18A Maximum time for completion

- (1) The provisions of this clause apply to all candidatures commenced on or after 1 January 2019.
- (2) Candidature for the full-time Master's by Research should be completed by the end of the eighth research period after the research period in which they first enrolled.
- (3) Candidature for the part-time Master's by Research should be completed by the end of the 16th research period after the research period in which they first enrolled.
- (4) Any credit granted under clause 2.6 will be included for the purposes of calculating research periods under subclause 2.18A(2).
- (5) Subject to the maximum time limit specified in clause 1.7A, the relevant Associate Dean may extend the time for a student's completion in exceptional circumstances.

2.19 Earliest date for submission of thesis for examination

Subject to clause 2.7 and this clause 2.19:

- (a) a student may not submit a thesis for examination until they have completed at least four research periods of full-time enrolled candidature or at least eight research periods of part-time enrolled candidature; and
- (b) for the purposes of subclause 2.19(a), a student's candidature will be considered to include any periods of credit granted under clause 2.6.
- (c) the student must be enrolled at the time that the thesis is submitted for examination.

2.20 Latest date for submission of thesis for examination

- (1) The following provisions apply to candidatures commenced before 1 January 2019.

- (a) Subject to clause 2.7 and this clause 2.20, a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination after no more than eight research periods of enrolled candidature.
 - (i) for the purposes of sub-clause 2.20(1)(a), a student's candidature will be considered by the University to include any periods of credit granted under clause 2.6.
 - (b) Subject to this clause, a student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 16 research periods of enrolled candidature.
 - (c) Where a student has undertaken their candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the equivalent of eight full-time research periods of enrolled candidature.
 - (d) The Associate Dean may approve an extension of candidature with a latest date for submission of thesis for examination beyond the maximum period specified in this clause.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.
- (2) The following provisions apply to candidatures commenced on or after 1 January 2019.
- (a) Subject to clause 2.7 and this clause 2.20, a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination after no more than seven research periods of enrolled candidature.
 - (b) Except with the approval of the relevant Associate Dean under subclause (2)(d), a student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 14 research periods of enrolled candidature.
 - (c) Where a student has undertaken their candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the equivalent of eight full-time research periods of enrolled candidature.
 - (d) The Associate Dean may only approve an extension of the latest date for submission of a student's thesis in exceptional circumstances.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.

2.21 Content of thesis

- (1) At the end of their course of advanced study and research, the student must submit a thesis for examination in the form required by Academic Board policy or procedures and any applicable course resolutions.
- (2) Subject to subclause 2.21(3), a student may not submit as their 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 their candidature in a language school in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the school; or
 - (b) where a school 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 school, submit a thesis in another language approved by the school.
- (5) Applications to submit a thesis in a language other than English or the target language of a school must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Associate Dean (taking into account arrangements for supervision and examination);prior to the commencement of candidature.

2.22 Form of thesis for examination

- (1) A candidate must submit their thesis for examination in the form required by the Academic Board.
- (2) The thesis must be accompanied by a certificate from the co-ordinating supervisor stating whether, in the supervisors' opinion, the form of presentation of the thesis is satisfactory.
- (3) The thesis must also be accompanied by an abstract in a form prescribed by resolution of the Academic Board.
- (4) Subject to this Rule, the student must submit with the thesis a statement certifying their understanding that, if the candidature is successful, the thesis will be lodged with the University Librarian and made available for use.

2.23 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 policies, procedures, standards and guidelines determined by the Academic Board.

2.24 Aegrotat and posthumous awards

Aegrotat and posthumous awards may be made in circumstances involving serious illness or death.

PART 3 DOCTORATES BY RESEARCH OTHER THAN THE DOCTOR OF PHILOSOPHY

3.1 Course resolutions

- (1) 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.

3.2 Application and meaning of this Part

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

3.3 Eligibility for admission to candidature

- (1) Subject to subclauses 3.3(2) and (3) and to admission requirements specified in the course resolutions, to be eligible for admission by an 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 by research or higher qualification; or
 - (ii) a Master's degree by coursework including a research component equivalent to 25% of one year's full-time enrolment; or
 - (iii) a Bachelor's degree with first or second class honours; or
 - (iv) a Bachelor's degree and either relevant professional experience or a portfolio of works as determined by the Faculty; and
 - (b) meet other criteria for admission as specified in the course resolutions.
- (2) An Associate Dean may admit to candidature an applicant who does not meet the requirements of subclause 3.3(1), provided that the applicant holds a qualification or qualifications that, in the opinion of the relevant faculty committee are equivalent to those prescribed in sub-clause 3.3(1).
- (3) The Associate Dean may impose on a student admitted to candidature pursuant to subclause 3.3(2) such conditions as the Associate Dean considers appropriate.

3.4 Application for admission to candidature

- (1) 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 Associate Dean, in consultation with the Postgraduate Coordinator of the school 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, their thesis will be lodged with the University Librarian and made available for use.

3.5 Probationary admission to candidature

- (1) Where provision is made for probationary admission in the course resolutions, the Associate Dean may admit a student to candidature for a Doctorate other than a PhD on a probationary basis for a period not exceeding four research periods.
 - (2) On completion by the student of any probationary period imposed pursuant to subclause 3.5(1), the relevant Head of School or Postgraduate Coordinator will review the student's work and recommend to the Associate Dean that:
 - (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why they should be permitted to continue the candidature.
 - (3) After considering a recommendation made by the relevant Head of School or Postgraduate Coordinator in accordance with subclause 3.5(2), the Associate Dean may:
 - (a) confirm the student's candidature; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.
- Note:** See clause 3.13 for details of the 'show good cause' process.
- (4) The candidature of a student that is confirmed in accordance with subclause 3.5(3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

3.6 Credit for previous studies

- (1) Subject to subclause 3.6(2), a student who, at the date of admission to candidature, has completed at least two research periods as a candidate for a higher degree by research in any faculty of the University may be permitted by the Associate Dean to receive credit for all or any part of the higher degree candidature.
- (2) The Associate Dean may grant credit in accordance with sub-clause 3.6(1), provided that the student's previous 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, University school 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 their candidature in the previous higher degree.
- (3) Subject to subclause 3.6(4), a student who, at the date of admission to candidature, has completed at least six months as a candidate for a higher degree by research at another university or institution may be permitted by the Associate Dean to receive credit for all or any part of the previous higher degree candidature.
- (4) The Associate Dean may grant credit in accordance with subclause 3.6(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 3.3;
 - (b) the previous higher 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 their candidature in the previous higher 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 [Coursework Policy 2014](#), the Associate Dean may grant a student credit for previously completed coursework.

3.7 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 3.6 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 3.18A, 3.19 and 3.20 of this Rule;
 - (b) any period of discontinued, suspended or lapsed candidature (as set out in clauses 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.

3.8 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 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.

3.9 Other studies during candidature

- (1) A student must satisfactorily complete any training required by any of:

- (a) Academic Board policies;
- (b) the Associate Dean;
- (c) the Deputy Vice-Chancellor (Education); or
- (d) their Supervisor;

including units of study, lectures, seminars, workshops, online modules, non-award courses, or practical work.

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

- (2) Failure satisfactorily to complete training documented in the student's progress plan may be considered as evidence of unsatisfactory progress.
- (3) A Faculty may decline to examine a thesis if the student has not satisfactorily completed training documented in the progress plan.

3.10 Supervision

The relevant Postgraduate Coordinator will appoint suitably qualified supervisors for each student undertaking a Doctoral degree by research in accordance with policy for supervision determined by the Academic Board.

Note: See also [Supervision of Higher Degree by Research Students Policy 2013](#)

3.11 Location of candidature

- (1) Subject to the annual approval of the supervisors and the Postgraduate Coordinator, 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 their candidature, a student will attend the University for such:
 - (a) face-to-face consultation with their supervisors;
 - (b) school and faculty or University school seminars; and
 - (c) coursework or other studies required under clause 3.9 of this Rule;

as specified annually by the Postgraduate Coordinator.

- (3) Subject to subclauses 3.11(4) and (5), a student who pursues their candidature outside Australia must complete a minimum of four research periods of candidature within the University prior to submitting their thesis for examination.
- (4) For the purposes of subclause 3.11(3), the four research periods 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 clause 3.6 must complete a minimum of two research periods of candidature within the University prior to submitting their thesis for examination.

3.12 Progress

- (1) At intervals no greater than one year, Postgraduate Coordinators 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 a Review Panel in accordance with the [Progress Policy](#).
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Postgraduate Coordinator may determine that the student:
 - (a) has demonstrated satisfactory or marginal progress, and specify the conditions of candidature to apply the following year; or
 - (b) has demonstrated unsatisfactory progress, and:
 - (i) allow the student to continue to be enrolled with conditions, including a supplementary progress review in accordance with the [Progress Policy](#); or
 - (ii) recommend to the Associate Dean that the student be asked to show good cause why they should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Postgraduate Coordinator must indicate whether he or she is satisfied that the proposed supervision arrangements are satisfactory.
- (5) After considering a recommendation made by the Postgraduate Coordinator in accordance with sub-clause 3.12(3)(b)(ii), the Associate Dean may:
 - (a) allow the student's candidature to continue and specify the conditions of candidature to apply the following year; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.

3.13 Students may be required to show good cause

- (1) An Associate Dean may require a student to show good cause:

- (a) following a progress review, in accordance with sub-clause 3.5(3)(b) or sub-clause 3.12(5)(b);
 - (b) if the student has not submitted their thesis for examination by the latest date to do so, as required by clause 3.20; or
 - (c) at any other time, on the recommendation of the Postgraduate Coordinator.
 - (2) A student who is required to show good cause will be sent a notice that:
 - (a) requires the student to show good cause why they 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 their right to seek independent advice and assistance in preparing their response.
 - (3) The Associate Dean must give the student a reasonable opportunity to make written submissions about the matter.
 - (4) If, after considering any submissions made by the student, progress reports, any reports by the supervisors or the Postgraduate Coordinator, and any other relevant information, the Associate Dean forms the opinion that the student has shown good cause, the Associate Dean will permit the student to continue the candidature.
 - (5) If, after considering the information referred to in subclause 3.13(4), the Associate Dean forms the opinion that the student has not shown good cause, the Associate Dean must, by written notice setting out their 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](#).
- (6) In addition to the decision made under sub-clause 3.13(4) or sub-clause 3.13(5), the Associate Dean may also offer the student the option to transfer to another course within the Faculty for which the student is eligible. The Associate Dean may impose conditions or restrictions on that offer transfer of course.
 - (7) A person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with 3.13(5)(a) will not be permitted to re-enrol in that candidature.
 - (8) A person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with sub-clause 3.13(5)(a) may be excluded by the Associate Dean from applying for admission to a higher degree by research within the faculty for the longer period of:
 - (a) at least two academic years; or
 - (b) if the person is applying for a Research Training Program place, the period of time until the person is entitled to the maximum period allowed for the course under the Research Training Program.

Note: As at the date of this Rule, detailed information about entitlement for Research Training Program can be found in Research Training Program: Conditions of Grant, which can be found at <https://www.education.gov.au/research-training-program>

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 their 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 they produce 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 their first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Associate Dean granted prior permission to re-enrol; or
 - (b) the student applies for and gains a new 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 subclauses 3.14(3)(a) and (b).

3.15 Suspension of candidature

- (1) Subject to the course resolutions and to any restrictions imposed on student visa holders by the [Education Services for Overseas Students Act 2000](#), a student in a course may, by notice to the faculty, suspend their enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the 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 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 research period, and the student has not discontinued or sought approval to 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 student must apply for and gain a new admission to the course in order to re-enrol.

3.17 Return to candidature

- (1) Subject to written advice from the Associate Dean, if a student returns to candidature after suspension, the course requirements as in force at the time of the student's return to candidature apply.
- (2) The Associate Dean may, in writing, modify the application of the course resolutions with respect to a particular student's return to candidature.
- (3) A student whose candidature has been discontinued or lapsed must apply for and gain a new admission to the course in order to re-enrol. The course requirements in place at the time of the new admission apply.

3.18 Leave of absence

Subject to the course resolutions, a student may, with the approval of the Postgraduate Coordinator, take leave of absence from the course for a period less than one research period.

3.18A Maximum time for completion

- (1) The provisions of this clause apply to all candidatures commenced on or after 1 January 2019.
- (2) Candidature for the full-time Doctorate by Research should be completed by the end of the 16th research period after the research period in which they first enrolled.
- (3) Candidature for the part-time Doctorate by Research should be completed by the end of the 32nd research period after the research period in which they first enrolled.
- (4) Any credit granted under clause 3.6 of this Rule will be included for the purposes of calculating research periods under subclause 3.18A(2).
- (5) Subject to the maximum time limit specified in clause 1.7A, the relevant Associate Dean may extend the time for a student's completion in exceptional circumstances.

3.19 Earliest date for submission of thesis for examination

- (1) Subject to clauses 3.6 and 3.7 and this clause 3.19 a student may not submit a thesis for examination until they have completed at least 12 research periods of full-time enrolled candidature or at least 24 research periods of part-time enrolled candidature
- (2) The Associate Dean may permit a student to submit a thesis for examination up to two research periods earlier than the period prescribed in subclause 3.19(1), provided that the Associate Dean is satisfied that the student has made exceptional progress in their candidature.
- (3) The Chair of the Academic Board may permit a student to submit a thesis earlier than the periods prescribed in subclauses 3.19(1) and (2), provided that the Chair of the Academic Board is satisfied that the student has made exceptional progress in their candidature.

- (4) Prior to exercising the discretion under subclause 3.19(3), the Chair of the Academic Board may obtain advice from the Chair of the Graduate Studies Committee of the Academic Board, Dean or Associate Dean.
- (5) The student must be enrolled at the time that the thesis is submitted for examination.

3.20 Latest date for submission of thesis for examination

- (1) The following provisions apply to candidatures commenced before 1 January 2019.
 - (a) Subject to clause 3.6 and this clause 3.20, a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination:
 - (i) after no more than 16 research periods of enrolled candidature; and
 - (ii) 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 3.6.
 - (b) Subject to this clause, a student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 32 research periods of enrolled candidature.
 - (c) Where a student has undertaken his or her candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the equivalent of 16 full-time research periods of enrolled candidature.
 - (d) The Associate Dean may approve an extension of candidature with a new latest date for submission of thesis for examination beyond the maximum period specified in this clause.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.
- (2) The following provisions apply to candidatures commenced on or after 1 January 2019.
 - (a) Subject to clause 3.6 and this clause 3.20, a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination after no more than 14 research periods of enrolled candidature.
 - (b) Except with the approval of the relevant Associate Dean under subclause (2)(d), a student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 28 research periods of enrolled candidature.
 - (c) Where a student has undertaken their candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the equivalent of 14 full-time research periods of enrolled candidature.
 - (d) The Associate Dean may only approve an extension of the latest date for submission of a student's thesis under exceptional circumstances.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.

3.21 Content of thesis

- (1) At the end of their course of advanced study and research, the student must submit a thesis for examination in the form required by Academic Board policy or procedures and any applicable course resolutions.
- (2) Subject to subclause 3.21(3), a student may not submit as their 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 their candidature in a language school in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the school; or
 - (b) where a school 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 school, submit a thesis in another language approved by the school.
- (5) Subject to the course resolutions, applications to submit a thesis in a language other than English or the target language of a school must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Associate Dean (taking into account arrangements for supervision and examination);prior to the commencement of candidature.

3.22 Form of thesis for examination

- (1) A candidate must submit their thesis for examination in the form required by the Academic Board.
- (2) The thesis must be accompanied by a certificate from the co-ordinating supervisor stating whether, in the supervisors' opinion, the form of presentation of the thesis is satisfactory.
- (3) The thesis must also be accompanied by an abstract in a form required by the Academic Board.
- (4) Subject to this Rule, the student must submit with the thesis a statement certifying their understanding that, if the candidature is successful, the thesis will be lodged with the Director, University Libraries and made available for use.

3.23 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.

3.24 Aegrotat and posthumous awards

Aegrotat and posthumous awards may be made in circumstances involving serious illness or death.

PART 4 DOCTOR OF PHILOSOPHY

4.1 Application of this part

This Part applies to the degree of Doctor of Philosophy.

4.2 Eligibility for admission to candidature

- (1) Subject to subclauses 4.2(2) and (3), to be eligible for admission by the Associate Dean to candidature for the Doctor of Philosophy, an applicant must:
 - (a) hold or have completed all the academic requirements for:
 - (i) a Master's degree by research or higher level degree; or
 - (ii) a Master's degree by coursework including a research component equivalent to 25% of one year's full-time enrolment; or
 - (iii) a Bachelor's degree with first or second class honours; and
 - (b) meet additional criteria for admission to the degree as specified by the faculty.
- (2) An Associate Dean may admit to candidature an applicant who does not meet the requirements of subclause 4.2(1), provided that the applicant holds or has completed all the requirements for a Bachelor's degree, and:
 - (a) 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
 - (b) has completed a period of relevant full-time or part-time advanced study and research towards a Master's degree by research at the University, at such a standard as demonstrates to the satisfaction of the Associate Dean that the applicant is suitably prepared in the field of study to undertake the Doctor of Philosophy. Students admitted on this basis will be granted credit for their candidature in the Master's degree, consistently with clause 4.5.
- (3) The Chair of the Graduate Studies Committee of Academic Board may admit to candidature an applicant who does not meet the requirements of subclauses 4.2(1) or (2), provided that the applicant holds qualifications that, in the opinion of the Chair of the Graduate Studies Committee on the recommendation of the Associate Dean, are equivalent to those prescribed in subclauses 4.2(1) or (2).

- (4) The Chair of the Graduate Studies Committee of Academic Board may impose on a student admitted to candidature pursuant to subclause 4.2(3) such conditions as the Chair considers appropriate.

4.3 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 Associate Dean, in consultation with the Postgraduate Coordinator of the school 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, their thesis will be lodged with the University Librarian and made available for use.

4.4 Probationary admission to candidature

- (1) The Associate Dean may admit a student to candidature for the degree of Doctor of Philosophy on a probationary basis for a period not exceeding four research periods.
- (2) On completion by the student of any probationary period imposed pursuant to subclause 4.4(1), the Postgraduate Coordinator will review the student's work and recommend to the Associate Dean that:
 - (a) the student's candidature be confirmed; or
 - (b) the student be required to show good cause why they should be permitted to continue the candidature.
- (3) After considering a recommendation made by a Postgraduate Coordinator in accordance with subclause 4.4(2), the Associate Dean may:
 - (a) confirm the student's candidature; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.

Note: See clause 4.12 for details of the 'show good cause' process.

- (4) The candidature of a student that is confirmed in accordance with subclause 4.4(3)(a) will be considered by the University to have commenced on the date of the student's probationary admission to candidature.

4.5 Credit for previous studies

- (1) Subject to subclause 4.5(2), a student who, at the date of admission to candidature, has completed at least two research periods as a candidate for a higher degree by research in any faculty of the University may be permitted by the relevant Associate Dean to receive credit for all or any part of the higher degree candidature.

- (2) The Associate Dean may grant credit in accordance with subclause 4.5(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, University school 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 their candidature in the previous higher degree.
- (3) Subject to subclause 4.5(4), a student who, at the date of admission to candidature, has completed at least six months as a candidate for a higher degree at another university or institution may be permitted by the Associate Dean to receive credit for all or any part of the higher degree candidature.
- (4) The Associate Dean may grant credit in accordance with subclause 4.5(3), provided that:
 - (a) at the time of admission to the higher degree by research at the other university, or institution, the student held academic qualifications equivalent to those set out in clause 4.2;
 - (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 their candidature in the higher degree at the other university or institution.

4.6 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 4.5 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 4.17A, 4.18 and 4.19 of this Rule;
 - (b) any period of discontinued, suspended or lapsed candidature (as set out in clauses 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.

4.7 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 Associate Dean may require a student to provide a statement from their employer acknowledging that the candidature is under the exclusive control of the University.

4.8 Other studies during candidature

- (1) A student must satisfactorily complete any training required by any of:
 - (a) Academic Board policies;
 - (b) the Associate Dean;
 - (c) the Deputy Vice-Chancellor (Education); or
 - (d) their Supervisor;including units of study, lectures, seminars, workshops, online modules, non-award courses, or practical work.

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

- (2) Failure to complete training documented in the student's progress plan satisfactorily may be considered as evidence of unsatisfactory progress.
- (3) A faculty may decline to examine a thesis if the student has not satisfactorily completed training documented in the progress plan.

4.9 Supervision

The Postgraduate Coordinator will appoint suitably qualified supervisors for each candidate for the Doctor of Philosophy in accordance with policy for supervision determined by the Academic Board.

Note: See also [Supervision of Higher Degree by Research Students Policy 2013](#)

4.10 Location of candidature

- (1) Subject to the annual approval of the supervisors and Postgraduate Coordinator, 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 their candidature, a student will attend the University for such:
 - (a) consultation with their supervisors; and
 - (b) school and faculty or University school seminars; and
 - (c) coursework or other studies required under clause 4.8 of this Rule; as specified annually by the Postgraduate Coordinator.
- (3) Subject to subclauses 4.10(4) (5) and (6), a student who pursues their candidature outside Australia must complete a minimum of four research periods of candidature within the University prior to submitting their thesis for examination.
- (4) A student whose minimum length of candidature is eight research periods (rather than the usual 12 research periods), and who pursues their candidature outside Australia, must complete a minimum of two research periods of candidature within the University prior to submitting their thesis for examination.
- (5) For the purposes of subclauses 4.10(3) and (4), the period required 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 4.5 must complete a minimum of two research periods of candidature within the University prior to submitting their thesis for examination.

4.11 Progress

- (1) At intervals no greater than one year, Postgraduate Coordinators 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 a Review Panel in accordance with the [Progress Policy](#).
- (3) On the basis of any evidence provided by the student and any information obtained during the interview, the Postgraduate Coordinator may determine that the student:
 - (a) has demonstrated satisfactory or marginal progress, and specify the conditions of candidature to apply the following year; or
 - (b) has demonstrated unsatisfactory progress, and:
 - (i) allow the student to continue to be enrolled with conditions, including a supplementary progress review in accordance with the [Progress Policy](#); or
 - (ii) recommend to the Associate Dean that the student be asked to show good cause why they should be permitted to continue the candidature.
- (4) When determining the conditions of candidature to apply the following year, the Postgraduate Coordinator must indicate whether they are satisfied that the proposed supervision arrangements are satisfactory.

- (5) After considering a recommendation made by the Postgraduate Coordinator in accordance with sub-clause 4.11(3)(b)(ii), the Associate Dean may:
 - (a) allow the student's candidature to continue and specify the conditions of candidature to apply the following year; or
 - (b) require the student to show good cause why they should be permitted to continue the candidature.

4.12 Students may be required to show good cause

- (1) An Associate Dean may require a student to show good cause:
 - (a) following a progress review, in accordance with sub-clause 4.4(3)(b) or sub-clause 4.11(5)(b);
 - (b) if the student has not submitted their thesis for examination by the latest date to do so, as required by clause 4.19; or
 - (c) at any other time, on the recommendation of the Postgraduate Co-ordinator.
- (2) A student who is required to show good cause will be sent a notice that:
 - (a) requires the student to show good cause why they 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 their right to seek independent advice and assistance in preparing their response.
- (3) The Associate Dean must give the student a reasonable opportunity to make written submissions about the matter.
- (4) If, after considering any submissions made by the student, progress reports, any reports by the supervisors or Postgraduate Coordinator, and any other relevant information, the Associate Dean forms the opinion that the student has shown good cause, the Associate Dean will permit the student to continue the candidature.
- (5) If, after considering the information referred to in subclause 4.12(4), the Associate Dean forms the opinion that the student has not shown good cause, the Associate Dean must, by written notice setting out their 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](#).

- (6) In addition to the decision made under sub-clauses 4.12 (4) or 4.12(5), the Associate Dean might also offer the student the option to transfer to another course within the Faculty for which the student is eligible. The Associate Dean may impose conditions or restrictions on that offer transfer of course.
- (7) A person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with sub-clause 4.12(5)(a) will not be permitted to re-enrol in that candidature.

- (8) A person whose candidature for a higher degree by research has been terminated by an Associate Dean in accordance with sub-clause 4.12(5)(a) may be excluded by the Associate Dean from applying for admission to a higher degree within the Faculty for the longer period of:
- (a) at least two academic years; or
 - (b) if the person is applying for a Research Training Program place, the period of time until the person is entitled to the maximum period allowed for the course under the Research Training Program.

Note: As at the date of this rule, detailed information about entitlement for Research Training Program can be found in Research Training Program: Conditions of Grant, which can be found at <https://www.education.gov.au/research-training-program>

4.13 Discontinuation of candidature

- (1) A student in a course may, by notice to the faculty, discontinue their 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 they produce 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 the first year of enrolment in the course will not be permitted to re-enrol in that course unless:
 - (a) the Associate Dean granted prior permission to re-enrol; or
 - (b) the student applies for and gains a new 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 subclauses 4.13(3)(a) and (b).

4.14 Suspension of candidature

- (1) A student in a course may, by notice to the faculty, suspend their enrolment in the course:
 - (a) for a maximum period of one year; or
 - (b) with the approval of the 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 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 research period, and the student has not discontinued or sought approval to 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 student must apply for and gain a new admission to the course in order to re-enrol.

4.16 Return to candidature

- (1) Subject to written advice from the Associate Dean, if a student returns to candidature after suspension in candidature, the requirements as in force at the time of the student's return to candidature apply.
- (2) A student whose candidature has been discontinued or lapsed must apply for and gain a new admission to the course in order to re-enrol. The course requirements in place at the time of the new admission apply.

4.17 Leave of absence

A student may, with the approval of the Postgraduate Coordinator, take leave of absence from the course for a period of less than one research period.

4.17A Maximum time for completion

- (1) The provisions of this clause apply to all candidatures commenced on or after 1 January 2019.
- (2) Candidature for the full-time Doctor of Philosophy should be completed by the end of the 16th research period after the research period in which they first enrolled.
- (3) Candidature for the part-time Doctor of Philosophy should be completed by the end of the 32nd research period after the research period in which they first enrolled.
- (4) Any credit granted under clause 4.6 of this Rule will be included for the purposes of calculating research periods under subclause 4.17A(2).
- (5) Subject to the maximum time limit specified in clause 1.7A, the relevant Associate Dean may extend the time for a student's completion in exceptional circumstances.

4.18 Earliest date for submission of thesis for examination

- (1) Subject to clause 4.6 and this clause 4.18 a student may not submit a thesis for examination until they have completed at least 12 research periods of full-time enrolled candidature or at least 24 research periods of part-time enrolled candidature.
- (2) The Associate Dean may permit a student to submit a thesis for examination up to two research periods earlier than the period prescribed in subclause 4.18(1), provided that, in the opinion of the Associate Dean, evidence has been produced that the student has made exceptional progress in their candidature.
- (3) The Chair of the Academic Board may permit a student to submit a thesis earlier than the periods prescribed in sub-clauses 4.18(1) and (2), provided that, in the opinion of the Chair of the Academic Board, evidence has been produced that the student has made exceptional progress in their candidature.

- (4) Prior to exercising their discretion under subclause 4.18(3), the Chair of the Academic Board may obtain advice from the Chair of the Graduate Studies Committee of the Academic Board, Dean or Associate Dean.
- (5) The student must be enrolled at the time that the thesis is submitted for examination.

4.19 Latest date for submission of thesis for examination

- (1) The following provisions apply to candidatures commencing before 1 January 2019.
 - (a) Subject to this clause 4.19, a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination after no more than 16 research periods of enrolled candidature.
 - (b) A student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 32 research periods of enrolled candidature.
 - (c) Where a student has undertaken their candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the full-time equivalent of 16 research periods of enrolled candidature.
 - (d) The Associate Dean may approve an extension of candidature with a new latest date for submission of thesis for examination beyond the maximum period specified in this clause.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.
- (2) The following provisions apply to candidatures commenced on or after 1 January 2019.
 - (a) Except with the approval of the relevant Associate Dean under sub-clause (2)(d), a student who has undertaken all of their candidature on a full-time basis must submit their thesis for examination after no more than 14 research periods of enrolled candidature.
 - (b) Except with the approval of the relevant Associate Dean under sub-clause (2)(d), a student who has undertaken all of their candidature on a part-time basis must submit their thesis for examination after no more than 28 research periods of enrolled candidature.
 - (c) Where a student has undertaken their candidature as a mixture of part-time candidature and full-time candidature, a part-time research period will be counted as the equivalent of one half of a full-time research period, and the student must submit their thesis for examination after no more than the full-time equivalent of 14 research periods of enrolled candidature.
 - (d) The Associate Dean may only approve an extension of the latest date for submission of a student's thesis under exceptional circumstances.
 - (e) The student must be enrolled at the time that the thesis is submitted for examination.

4.20 Content of thesis

- (1) At the end of their course of advanced study and research, the student must submit a thesis for examination in the form required by Academic Board policy or procedures.
- (2) Subject to sub-clause 4.20(3), a student may not submit as their 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) their 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 their candidature in a language school in the Faculty of Arts and Social Sciences may:
 - (a) submit a thesis written in English or in the target language determined by the school; or
 - (b) where a school 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 school, submit a thesis in another language approved by the school.
- (6) Applications to submit a thesis in a language other than English or the target language of a school must be:
 - (a) made by an applicant in writing; and
 - (b) considered and determined by the Associate Dean (taking into account arrangements for supervision and examination);prior to the commencement of candidature.

4.21 Form of thesis for examination

- (1) A candidate must submit their thesis for examination in the form required by the Academic Board.
- (2) The thesis must be accompanied by a certificate from the coordinating supervisor stating whether, in the supervisors' opinion, the form of presentation of the thesis is satisfactory.
- (3) The thesis must also be accompanied by an abstract in the form required by the Academic Board.
- (4) Subject to this Rule, the student must submit with the thesis a statement certifying their 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 Examination procedures

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

4.23 Aegrotat and posthumous awards

Aegrotat and posthumous awards may be made in circumstances involving serious illness or death.

PART 5 HIGHER DOCTORATES

5.1 Meaning of this Part

- (1) In this Part:
- (a) assessment committee means the committee appointed by the Dean in accordance with clause 5.5.
 - (b) 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 Medical Science;
 - (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 Medicine.
 - (c) 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.

5.2 Award of Higher Doctorates

- (1) The Academic Board may, on the recommendation of the relevant Dean, 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 subclause 5.2(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.

5.3 Eligibility for admission to candidature

- (1) Subject to this clause 5.3, 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 Medical Science, 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 Medicine hold or have completed all the academic requirements for a bachelor's degree as specified in the course resolutions.
- (2) To be eligible for admission to candidature, an applicant who does not meet the requirements of subclause 5.3(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 subclauses 5.3(1)(d) to (g) who does not meet the requirements of those

subclauses must be recognised by the Dean and the Chair of the Graduate Studies Committee of Academic Board to have equivalent academic standing.

5.4 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.

5.5 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 subclauses 5.5(1)(a) to (c) are met.
- (3) If the committee determines that the applicant should be admitted to candidature, the committee will recommend to the Dean that they recommend 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 Postgraduate Coordinator most closely associated with the relevant field of work;
 - (c) the academic staff member most closely associated with the relevant field of work; and
 - (d) other persons appointed by the Dean.

5.6 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.

5.7 Enrolment

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

5.8 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

5.9 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 5.2.
- (2) The assessment committee will consider the examiners reports, having regard to the requirements of clause 5.2, 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 with the Director, University Libraries one electronic or bound copy of the published work in the form required by the Academic Board.

PART 6 HIGHER DEGREE BY RESEARCH THESES

6.1 Meaning of this Part

- (1) In this Part:
 - (a) restricted appendix means a section of a thesis to which public access has been restricted in accordance with clause 6.3.
 - (b) thesis refers to the complete final thesis, including any corrections or emendations to the satisfaction of the Postgraduate Coordinator.

6.2 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 final thesis with the Director, University Libraries.

- (3) Subject to clause 6.3, 6.5 and 6.6, a thesis lodged with the Director, University Libraries will be made available for use consistently with this Rule and Academic Board policy and procedures.

Note 1: Applicants are required to certify their awareness of this requirement prior to admission to candidature. See clauses 2.4(1)(c), 3.4(1)(c) and 4.3(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(4), 3.22(4) and 4.21(4).

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

6.3 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 supervisors or Postgraduate Coordinator 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 relevant faculty committee.

- (2) The relevant faculty committee may, if it considers it appropriate to do so, recommend to the Chair of 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;
 - (b) permission to restrict access to the whole thesis for a limited period, with a redacted version of the thesis available for public inspection; or
 - (c) exemption, in respect of the appendix, from the requirement to give the undertaking prescribed by subclauses 2.22(4), 3.22(4) and 4.21(4).
- (3) If, after considering the recommendation of the relevant faculty committee, the Chair of the Graduate Studies Committee of the Academic Board decides to give the permission and exemption referred to in subclause 6.3(2), the Director, University Libraries will restrict public access to the appendix for a period specified by the Chair of 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.

6.4 Access to confidential material in a restricted appendix

- (1) The Director, University Libraries 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 Postgraduate Coordinator.
- (2) The Postgraduate Coordinator 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.

6.5 Restricted access 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 Chair of the Graduate Studies Committee of the Academic Board that access to the thesis be restricted for a limited period of time.
- (2) After considering the Dean's recommendation, the Chair of the Graduate Studies Committee may determine that access to the thesis should be restricted for a limited period of time.
- (3) Other than in exceptional circumstances, any period of restricted access to the thesis will not exceed 18 months from the date of the award of the degree.

6.6 Restricted access 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 the candidate that there is a reasonable basis for believing that their interests would be at risk if the thesis were made immediately available to the public, the candidate may apply in writing to the Associate Dean for access to the thesis to be restricted for a limited period of time.
- (2) The candidate's application to the Associate Dean should:
 - (a) clearly set out the reasons for the application;
 - (b) clearly state the length of the requested restriction on access; and
 - (c) include supporting evidence, as appropriate.
- (3) If, after considering the candidate's application, the Associate Dean is satisfied that restricting access to the thesis is necessary to protect the candidate's interests, the Associate Dean may:
 - (a) restrict access to the thesis for a period not exceeding six months from the date of the award of the degree; or
 - (b) recommend to the Chair of the Graduate Studies Committee of the Academic Board that:
 - (i) a longer period of restriction; or
 - (ii) an extension of an earlier period of restriction;

be approved.

- (4) The Chair of the Graduate Studies Committee may determine to restrict access to the thesis for a limited period of time.
- (5) Other than in exceptional circumstances, any period of restricted access to the thesis will not exceed 18 months from the date of the award of the degree.

6.7 Right of examiners to access

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

PART 7 ENGLISH LANGUAGE REQUIREMENTS

7.1 All applicants whose first language is not English

- (1) All applicants whose first language is not English must meet the University's English language requirements to be eligible for admission to a higher degree by research course.
- (2) Subject to this Part, any applicant for admission to a higher degree by research course whose first language is not English, must meet the requirements of the English Language Proficiency Standards

Note: The English Language Proficiency Standards are available from the [Academic Board website](#).
- (3) An applicant for admission to a higher degree by research course in a faculty that has, with the approval of the Academic Board, set English language requirements higher than the minimum requirements set out in the [English Language Proficiency Standards](#) must meet the faculty's requirements.

Note: The English Language Proficiency Standards are available from the [Academic Board website](#)

7.2 Exceptional circumstances

- (1) A Dean may exempt a student from the requirements of the English Language Proficiency Standards:
 - (a) if they are satisfied that exceptional circumstances apply; and
 - (b) on the bases specified in the English Language Proficiency Standards.
- (2) The Dean must record in writing on the student file any exemption from English language requirements, including:
 - (a) the proof of proficiency in English provided; and

- (b) the Dean's reasons for granting the exemption.

Note: See [Recordkeeping Policy 2017](#).

PART 8 UNDERTAKING COURSEWORK UNITS OF STUDY

8.1 Enrolment in and assessment of coursework units of study

A higher degree by research student who is enrolled in a coursework unit of study will be subject to all relevant provisions of the [Coursework Policy 2014, including those relating to:](#)

- (a) enrolment; and
- (b) assessment.

PART 9 SPECIAL CONSIDERATION

9.1 Progress and examination

- (1) Special consideration is not available for illness or misadventure in:
 - (a) the assessment of a student's progress in a progress review; or
 - (b) the examination process.
- (2) A student required to show good cause may request special consideration for illness, misadventure or exceptional circumstances outside of their control.

9.2 Variation of candidature

- (1) A student may request special consideration due to illness, misadventure or circumstances outside of their control when seeking to vary candidature, including in respect of requests for:
 - (a) suspension;
 - (b) a change from full-time to part-time enrolment (or vice-versa);
 - (c) extension of the latest date to submit for examination.

PART 10 MISCELLANEOUS

10.1 Rules, resolutions and policies that cease to have effect

- (1) 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:

- (a) University of Sydney (Doctor of Philosophy (PhD)) Rule 2004
- (b) University of Sydney (Amendment Act) Rule 2000:
 - (i) Part 9: Division 10 and Division 11
 - (ii) Part 10: Division 3 and Division 5

NOTES

University of Sydney (Higher Degree by Research) Rule 2011

Date adopted: 21 March 2011

Date commenced: 25 March 2011

Date amended: 31 December 2018

Date commencing: 1 January 2019

Related documents:

[*Educational Services for Overseas Students Act 2000 \(Cth\)*](#)

Coursework Policy 2014

Essential Resource for Postgraduate Students Policy 2016

Progress Planning and Review for Higher Degrees by Research Students Policy 2015

Supervision of Higher Degree by Research Students Policy 2013

Thesis and Examination of Higher Degree by Research Policy 2015

Progress Planning and Review for Higher Degree by Research Students Procedures 2015

Thesis and Examination of Higher Degree by Research Procedures 2015

AMENDMENT HISTORY

Provision	Amendment	Commencing
		9 November 2012
		7 December 2012
		10 May 2013

Provision	Amendment	Commencing
		6 June 2014
		11 February 2015
Multiple, throughout	<p>Addition of requirements for progress planning, and consequential amendments</p> <p>Addition of concept of research period and consequential amendments</p> <p>Addition of requirement for other training during candidature and consequential amendments</p> <p>Amendments to requirements for submission of theses</p>	1 January 2016
PART 6	Amendments to provisions for restricted access to theses	1 January 2016
PART 7	Addition of English language requirements	1 January 2016
PART 8	Addition of references to coursework units	1 January 2016
PART 9	Addition of special consideration provisions	1 January 2016
PART 10	Addition of miscellaneous section	1 January 2016
1.4(1); 1.4(4); 1.5(1); 2.3(1) – 2.3(3); 2.4(1)(a); 2.5(1); 2.5(2); 2.5(3); 2.6(1); 2.6(2)-(5); 2.8(2); 2.9(1); 2.10; 2.11(1); 2.11(1)(c); 2.11(2); 2.12(1); 2.12(3)-(5); 2.13(1)(c) 2.13(4); 2.14(4)(a); 2.15(1)(b); 2.15(3); 2.17(1)-(2);) 2.18 2.20(4);	Consequential amendments arising from <i>University of Sydney (Delegations of Authority – Academic Functions) Rule 2016</i>	1 January 2018

Provision	Amendment	Commencing
2.21(5)(b);		
3.3(1)-(3);		
3.5(1);		
3.6(1)-(5);		
3.8(2);		
3.15(1)(b);		
3.15(3);		
3.17(1)-(2);		
3.20(4);		
3.4(1)(a);		
3.5(2)-(3);		
3.9(1); 3.10;		
3.11(1);		
3.11(2);		
3.12(1);		
3.12(3)-(5);		
3.13(4);		
3.13(1)(c);		
3.14(4)(a);		
3.18;		
3.19(3);		
3.21(5)(b);		
4.2(1)-(2);		
4.2(3);		
4.3(1)(a);		
4.4(2)-(3);		
4.4(1);		
4.5(1)-(2);		
4.5(3)-(4);		
4.7(2);		
4.8(1); 4.9;		
4.10(1)-(2);		
4.11(1);		
4.11(3)-(5);		
4.12(1)(c);		
4.12(4);		
4.13(4);		
4.14(1)(a);		
4.14(3);		
4.16(1);		
4.17;4.18(3);		
4.19(5);		
4.20(6)(b);		
5.2(1);		
5.3(3);		
5.5(4)(b);		
6.1(b);		
6.3(1);		
6.4(1)(b)(ii);		
6.4(2);		
6.6(1)-(3);		
7.2(3)(a)		

Provision	Amendment	Commencing
1.4(1); 2.6(2); 2.11(2)(b); 2.21(4); 2.21(5); 3.6(2)(b); 3.11(2)(b); 3.21(4) – 3.21(5) 4.5(2)(b); 4.10 (2)(b); 4.20(4)-(5)	Consequential amendments arising from organisational design change	1 January 2018
3.13(5) note	Inserted hyperlink <i>University of Sydney (Student Appeals Against Academic Decisions) Rule 2006 (as amended)</i>	1 January 2018
3.20(3); 4.19(4)	Corrected typographical error	1 January 2018
2.4(c); 2.22(4); 3.4(c); 3.22(4); 4.3(c); 4.21(4); 6.2(2)-(4); 6.3(3); 6.4(1)	Replaced “University Librarian” with “Director, University Libraries”	1 January 2018
5.11	Amended clause to include ‘with the Director, University Libraries’ between “lodge” and “one”	1 January 2018
Related documents	Amended dates on internal policy documents	1 January 2018
2.13(8)(b); 2.13(8)(b) note; 3.13(8)(b); 3.13(8)9b note; 4.12(8)(b); 4.12(8)(b) note.	Replaced “Research Training Scheme” with “Research Training Program” and corrected hyperlink	1 January 2018
5.1(1)(b)(viii)	Replaced “Doctor of Medicine” with “Doctor of Dental Medicine”	1 January 2018