

# THESIS AND EXAMINATION OF HIGHER DEGREES BY RESEARCH PROCEDURES 2015

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## CONTENTS

1	Purpose and application.....	2
2	Commencement.....	2
3	Interpretation .....	2
	<b>Part 1: Proof-reading and editing theses.....</b>	<b>3</b>
4	Proof-reading and editing of theses.....	3
	<b>Part 2: Thesis examination process and outcome .....</b>	<b>4</b>
4A	Submission checks.....	4
5	Approving examiners.....	4
6	Commissioning examiners .....	6
7	Examiners' reports on the thesis .....	6
8	Monitoring examiners' reports .....	7
9	Replacing examiners.....	7
10	Considering examiners' reports.....	7
11	Additional examiner.....	9
12	Examiner-as-assessor.....	9
13	Outcome of examination: award without qualification or with corrections.....	10
14	Outcome of examination: non-award with revision and re-examination .....	10
14A	Outcome of examination: non-award with option to award another degree.....	11
14B	Outcome of examination: non-award.....	12
15	Communication with the student during examination process.....	12
	<b>Part 3: Oral examinations .....</b>	<b>12</b>
16	Conduct of oral examinations generally.....	12
17	Role of the chair of examination in an oral examination .....	14

<b>Part 4: Joint and cotutelle degrees .....</b>	<b>15</b>
18 Examination of joint degrees and cotutelle degrees .....	15
<b>Part 5: Thesis with publications .....</b>	<b>16</b>
19 Method of inclusion of published material in a thesis .....	16
20 Number of papers.....	16
21 Authorship of papers included in a thesis with publications.....	16
22 Examination of a thesis with publications .....	17
<b>Part 6: Theses containing creative or artistic components.....</b>	<b>17</b>
23 Examination of a thesis containing creative or artistic components.....	17
<b>Part 7: Lodgement of theses in library.....</b>	<b>18</b>
24 Lodgement of theses in the University library.....	18
<b>NOTES .....</b>	<b>19</b>
<b>AMENDMENT HISTORY .....</b>	<b>20</b>

## 1 Purpose and application

- (1) These procedures are to give effect to the [Thesis and Examination of Higher Degrees by Research Policy 2015](#) ("the **policy**").
- (2) These procedures apply to any persons involved in research higher degree theses and examination.

## 2 Commencement

These procedures commence on 1 January 2015.

## 3 Interpretation

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

**Note:** See clause 6 of the policy.

**chair of examination** means the person appointed by the associate dean to co-ordinate the examination, as defined in clause 15A of the policy.

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

- spelling
- quotations
- use of italics
- lists
- word usage
- punctuation
- graphs
- charts

- citations
- references
- heading hierarchies
- symbols and equations
- headers and footers
- style of numbers

<b>editor</b>	means any person providing paid or unpaid assistance to students in the preparation of the thesis. This also includes University and faculty writing advisors. Editors are not required to be accredited by the University or any professional organisation.
<b>local availability</b>	means, in relation to a thesis lodged with the University library, the thesis will be able to accessed, viewed, re-used and cited by current staff and students of the University by means of Unikey authentication.
<b>open access</b>	means, in relation to a thesis lodged with the University library, unrestricted and free online access to the University's scholarly research output.
<b>relevant committee</b>	means the committee deciding the outcome of the examination, as defined in clause 23(1) of the <a href="#">Thesis and Examination of Higher Degrees by Research Policy 2015</a> which states the relevant committee shall be: <ul style="list-style-type: none"><li>(a) for masters degrees, as determined by faculty resolutions</li><li>(b) the faculty committee for examinations, except cotutelle examinations, where the examiners and the chair of examinations all recommend that the degree be awarded.</li><li>(c) the HDR Examinations Sub-Committee for all other examinations, including all cotutelle examinations.</li></ul>

## PART 1: PROOF-READING AND EDITING THESES

### 4 Proof-reading and editing of theses

- (1) Students are permitted to use editors in preparing their thesis for submission.

**Note:** See clause 8(2)(c)(ii) of the policy

- (2) Students proposing to use an editor must:

- (a) discuss the use of an editor with their supervisor;
- (b) provide the editor with a copy of these procedures; and
- (c) ensure that their editor is aware of and abides by the standards set out in the [Australian Standards for Editing Practice \(ASEP\) 2013](#)

**Note:** As at the date of these procedures the *Australian Standards for Editing Practice (ASEP) 2013* can be found at the [website of the Institute of Professional Editors Limited](#)

- (3) An editor may only be used for:
  - (a) copy-editing and proofreading; and
  - (b) providing advice about:
    - (i) matters of structure (the need to structure and reword, deletions, additions);
    - (ii) conventions of grammar and syntax;
    - (iii) using clear language;
    - (iv) logical connections between phrases, clauses, sentences, paragraphs, and sections;
    - (v) voice and tone; and
    - (vi) avoiding ambiguity, repetition and verbosity.
- (4) When an editor has been used:
  - (a) the name of the editor and a brief description of the service rendered must be printed as part of the list of acknowledgements or other prefatory matter near the front of the work when it is presented for examination; and
  - (b) if the editor's current or former area of academic specialisation is similar to that of the student, this must also be stated.

## PART 2: THESIS EXAMINATION PROCESS AND OUTCOME

### 4A Submission checks

- (1) On receipt of a thesis submitted for examination, the administrative unit responsible for candidature management processes will:
  - (a) review the format of the thesis;
  - (b) apply similarity detection software; and
  - (c) conduct a data integrity check.
- (2) The administrative unit will then assess the outcomes of each, and will only forward the thesis to examiners if satisfied that the submission checks reveal no evidence of:
  - (a) non-compliance with the [Thesis and Examination of Higher Degree by Research Policy 2015](#); or
  - (b) possible inappropriate academic practice, code breach or research misconduct.
- (3) Any possible inappropriate academic practice, code breach or research misconduct will be managed in accordance with the [Academic Honesty Procedures 2016](#).

### 5 Approving examiners

- (1) The chair of examinations must provide nominations for examiners to the faculty committee or HDR Examinations Sub-Committee (in accordance with clause 15(1))

of the policy) at least four weeks prior to the intended submission date of the thesis.

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

**Note:** In exceptional circumstances this information may be withheld. See clause 15 of these procedures.
- (3) The supervisor must:
  - (a) nominate examiners in the form prescribed by the HDR Examinations Sub-Committee ; and
  - (b) submit the nomination form within four weeks of the earlier of:
    - (i) the receipt of the intention to submit form; or
    - (ii) the submission of thesis for examination.
- (4) If the supervisor has not nominated examiners within two weeks of the date required in subclause 5(3), the associate dean must nominate examiners consistently with these procedures.
- (5) The supervisor must provide the following for each nominated examiner:
  - (a) whether they are currently active in research;
  - (b) their previous experience as an examiner;
  - (c) their relevant expertise;
  - (d) whether they have agreed to act as examiner;
  - (e) whether they are willing to conduct an oral examination;
  - (f) whether they are willing to examine the thesis in electronic form;
  - (g) the language (if not English) in which they would submit their report; and
  - (h) a conflict of interests declaration signed by the nominated supervisor.
- (6) The supervisor should provide written justification for the nomination of any of the following:
  - (a) an individual who does not come from a university or degree-granting institution;
  - (b) an emeritus or honorary professor, or other retired academic; or
  - (c) an individual with no previous experience examining research higher degree theses; or
  - (d) an individual with an actual, potential or perceived conflict of interests.
- (7) Where appropriate, such written justification should include:
  - (a) information regarding research activity in the past 5 years; and
  - (b) how any actual, potential or perceived conflict of interests will be managed.

## 6 Commissioning examiners

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

## 7 Examiners' reports on the thesis

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

## 8 Monitoring examiners' reports

- (1) When an examiner submits a report, the administrative unit will:
  - (a) acknowledge receipt of the report; and
  - (b) arrange for payment of the appropriate honoraria to external examiners.
- (2) If an examiner has not returned the report within four weeks, the administrative unit will contact the examiner with a reminder of the due date.
- (3) If an examiner has not returned a report within six weeks, the administrative unit will make contact to:
  - (a) remind the examiner of the conditions of examination; and
  - (b) ask when the report can be expected.
- (4) If an examiner has not returned a report within ten weeks, the administrative unit will inform the examiner that if the report is not received within a further two weeks:
  - (a) it will not be accepted;
  - (b) if an external examiner, the examiner will not be eligible for payment; and
  - (c) a replacement examiner will be appointed.
- (5) If the report is not received within the further two week period, the faculty will appoint a replacement examiner.

## 9 Replacing examiners

- (1) If an additional examiner has already been approved then this person may be used as a replacement examiner.
- (2) If an additional examiner has not already been approved, one will be nominated and commissioned consistently with clause 6 of these procedures.
- (3) If the original examiner returns a report after a replacement examiner has been commissioned:
  - (a) the original examiner's report will not form part of the body of evidence considered in awarding the degree;
  - (b) the original examiner will be informed that no further information is required; and
  - (c) if the original examiner was an external appointment no payment will be made.

## 10 Considering examiners' reports

- (1) The administrative unit will release the examiners' reports to the supervisor and chair of examination after all examiners' reports have been received. The Associate Dean or Chair of the faculty committee may release reports to the supervisor and chair of examination at an earlier date in exceptional circumstances.

- (2) Once all the examiners' reports have been received, the chair of examination:
  - (a) will consider the reports; and
  - (b) should normally consult any of the supervisor, head of school or postgraduate co-ordinator, who may provide a written report.
- (3) The chair of examination will then make a recommendation regarding the outcome of the award to the relevant committee. This report must include:
  - (a) details of the nature and extent of any consultation; and
  - (b) a copy of any written report received.
- (4) The chair of examination's report must specifically refer to all concerns expressed by the examiners:
  - (a) specifying which concerns must be addressed and which need not be addressed; and
  - (b) including instructions to the student where the recommendation is:
    - (i) award with corrections;
    - (ii) non-award with provision to revise and resubmit; or
    - (iii) non-award with the option to award another degree, where corrections are required.
- (5) After considering the examiners' reports and the chair of examination's recommendation, the relevant committee will determine whether:
  - (a) there is sufficient information to determine the outcome of examination consistently with clause 23 of the policy; or
  - (b) further action is required, such as:
    - (i) appointing an additional examiner;
    - (ii) appointing an examiner-as-assessor;
    - (iii) referring for further investigation e.g. in the instance of an allegation of plagiarism or research misconduct;
    - (iv) consulting with the student (in writing);
    - (v) requesting additional information from the supervisor, chair of examination, associate dean, head of school or postgraduate co-ordinator;
    - (vi) where the relevant committee is the faculty committee, consulting the HDR Examinations Sub-Committee; or
    - (vii) obtaining any further information deemed necessary.
- (6) When the relevant committee determines it has sufficient information to do so, it will form an intention on the outcome of examination consistently with clause 23 of the policy.
- (7) If the intention is to award the degree (whether without qualification or with corrections), the relevant committee shall enact this decision as per clause 13 of these procedures.
- (8) If the intention is not to award (whether with or without an option to revise and resubmit or to award to another degree) the relevant committee must notify the student in writing of the intention, and:



- (a) provide the student with de-identified copies of the examiners' reports and the chair of examination's recommendation and any written supervisor reports; and
  - (b) inform the student that they have
    - (i) two weeks from the date of notification to state their intention to reply; and
    - (ii) if the student has stated an intention to reply, six weeks from the date of notification to provide written comments to the relevant committee.
- (9) If the student provides comments within the specified time, the relevant committee will:
- (a) further consider the examiners' reports, the chair of examination's report, and any comments provided by:
    - (i) the student;
    - (ii) the supervisor; and
    - (iii) the head of school or postgraduate co-ordinator;
- and
- (b) confirm or revise its decision on the outcome of examination, consistently with clause 23 of the policy. The relevant committee will enact this decision in accordance with clauses 13, 14, 14A and 14B of these procedures.

## **11 Additional examiner**

- (1) If an additional examiner is to be used, the procedures for approval set out in clause 5 and the procedures for commissioning set out in clause 6 of these procedures should be followed.
- (2) Once an additional examiner has been approved, these procedures apply to the provision and consideration of examiners' reports.

## **12 Examiner-as-assessor**

- (1) An examiner-as-assessor must complete an initial independent examination of the thesis based on the same criteria as all examiners. If a thesis contains a creative or artistic component, this will be provided as either a documentary recording or as an exhibition, installation or performance.
- (2) Having completed the initial examination of the thesis, the examiner-as-assessor must then consider:
  - (a) de-identified copies of the all examiners' reports;
  - (b) comments from the chair of examination;
  - (c) comments from the supervisor, if received;
  - (d) comments from the student, if received;and assess the validity of the expressed concerns with the work under examination.
- (3) The examiner-as-assessor must provide a written report containing:

- (a) an examiner's report, including a recommendation about the outcome of the examination; and
  - (b) response to the comments of the other parties.
- (4) The chair of examination will consider the report of the examiner-as-assessor and provide a further report, including a recommendation regarding the outcome of the examination to the relevant committee.
- (5) The relevant committee will then consider the examiner-as-assessor's report and the chair of examination's report in the manner required by clause 10 of these procedures.

### **13 Outcome of examination: award without qualification or with corrections**

- (1) If the outcome of an examination is that the degree be awarded without qualification, the relevant committee must:
- (a) set the latest date by which the final version of the thesis must be lodged with the University. The latest date will normally be three months from the date of notification of outcome of examination; and
  - (b) notify the student in writing
- (2) If the outcome of an examination is that the degree be awarded subject to corrections, the relevant committee must:
- (a) detail the corrections required to be made to the final version of the thesis;
  - (b) set the latest date by which the final version of the thesis, including the corrections, must be lodged with the University. The latest date will normally be three months from the date of notification of outcome of examination; and
  - (c) notify the student in writing.
- (3) The chair of examination will review the final version of the thesis and either:
- (a) verify that the required corrections have been addressed to their satisfaction; or
  - (b) notify the student in writing of the corrections required to be made and set the latest date by which the final version of the thesis must be lodged with the University.
- (4) Where the student does not lodge the final version of the thesis by the set date, the Associate Dean must either:
- (a) set a new latest date by which the final version must be lodged and notify the student in writing; or
  - (b) determine the result to be 'not awarded'.

### **14 Outcome of examination: non-award with revision and re-examination**

- (1) If the outcome of an examination is that the degree not be awarded, but the student be permitted to revise and resubmit the thesis for re-examination, the relevant committee must:
- (a) outline the reasons for non-award;

- (b) prescribe a maximum period of further candidature, normally one or two semesters;
  - (c) set the latest date for the student to resubmit their thesis for examination;
  - (d) set the date by which the student must re-enrol or apply for suspension of candidature consistently with subclause 14(3) of these procedures;
  - (e) detail the additional work or changes required;
  - (f) prescribe any other conditions that must be met by the student; and
  - (g) notify the student in writing [within one week of the decision being made](#).
- (2) The student must re-enrol for the degree whilst the thesis is being revised.
- (3) The student must re-enrol or apply for a suspension of candidature no later than census date of the next research period following the notification of permission to revise and resubmit.
- (a) If the student does not do so, the Associate Dean must determine the result to be 'not awarded'.
- (4) The original examiners should be invited to re-examine the thesis if they are available and willing to do so unless, in the opinion of the relevant committee:
- (a) they have previously required modifications to the thesis that are considered unnecessary or undesirable; or
  - (b) there are academic reasons for not recommissioning any or all of the original examiners.
- (5) The examination of a revised and resubmitted thesis is a new examination of the whole thesis, which must be carried out in accordance with the policy and these procedures.
- (6) The HDR Examinations Sub-Committee may prescribe a form for presentation of reports by examiners of a revised and resubmitted thesis and examiners must use any such form.
- (7) No further opportunity to revise and resubmit the thesis is permitted as an outcome of the new examination.

#### **14A Outcome of examination: non-award with option to award another degree**

- (8) If the outcome of an examination is that the degree not be awarded, but with the option to award another degree, the relevant committee must:
- (a) outline the reasons for non-award;
  - (b) specify the other degree for which the student is eligible which may be awarded instead;
  - (c) detail any corrections required to be made to the final version of the thesis to the satisfaction of the chair of examination as per the process in subclauses 13(2), (3) and (4) of these procedures;
  - (d) set the latest date by which the final version of the thesis, including the corrections, must be lodged with the University. The latest date will normally be three months from the date of notification of outcome of examination; and
  - (e) notify the student in writing [within one week of the decision being made](#).

### **14B Outcome of examination: non-award**

- (9) If the outcome of an examination is that the degree not be awarded, the relevant committee must:
- (a) outline the reasons for non-award; and
  - (b) notify the student in writing within one week of the decision being made.

### **15 Communication with the student during examination process**

- (1) The administrative unit may provide the student with notice of the completion of each of the following stages of the examination process:
- (a) appointment of examiners pending;
  - (b) thesis submitted for examination;
  - (c) thesis sent to examiners and reports pending;
  - (d) all examiners have submitted reports;
  - (e) the relevant committee is considering recommendations from examiners;
  - (f) notification of the result of the examination;
  - (g) awaiting comment from student regarding the result of the examination;
  - (h) student to fulfil the conditions of the award, including lodgement in the University library;
  - (i) student to re-enrol if required for a revise and resubmit outcome;
  - (j) conditions of award fulfilled and degree may be awarded.
- (2) If consultation with the student is required under the policy or these procedures such consultation must be undertaken in writing.
- (3) Unless, in exceptional circumstances, the Associate Dean determines otherwise, the administrative unit should provide the student with de-identified examiners reports:
- (a) as part of any consultation process with the student; and
  - (b) at the notification of the result of the examination.
- (4) Unless, in exceptional circumstances, the Associate Dean determine otherwise, the administrative unit will provide the student with the names of the examiners at the conclusion of the examination process.

## **PART 3: ORAL EXAMINATIONS**

### **16 Conduct of oral examinations generally**

- (1) If an oral examination is to be held:
- (a) the supervisor must notify the examiners and student; and
  - (b) the associate dean must appoint a chair of examination in accordance with clause 15A of the policy, noting that the chair of examination is not an examiner.

- (2) All parties to an oral examination must participate in person, or by telephone, video, web or teleconference. In-person participation is preferable.
- (3) The student may elect to have a supervisor attend the oral examination. In this case, the supervisor must also participate in person, or by telephone, video, web or teleconference. In-person participation is preferable.
- (4) The faculty will set the date of the oral examination.
  - (a) Where an oral examination is planned from the outset of the examination process, this date should be set before the thesis is submitted, and should be between five and ten weeks after the date of submission of the thesis.
  - (b) Where an oral examination is required after commencement of the examination process, the student must be notified of the date for the oral examination at least fourteen days prior to the oral examination.
- (5) Each examiner will be sent the thesis or, where the thesis includes a live performance, exhibition or installation that is yet to occur, the written component of the thesis within seven days of the date of submission.
- (6) Each examiner must submit an interim report at least seven days prior to the scheduled date for the oral examination, including interim recommendations for the outcome.
- (7) If one or more examiners do not submit their interim reports by the date required by subclause 16(6), the chair of examination must:
  - (a) contact them to determine whether an interim report will be received prior to the scheduled date for the oral examination; and
  - (b) determine whether:
    - (i) the oral examination will proceed on the scheduled date, with or without all of the interim reports; or
    - (ii) the oral examination should be re-scheduled; and
  - (c) notify the student of the decision in writing.
- (8) Unless local provisions prescribe otherwise, oral examinations should be between two to four hours duration.
- (9) An oral examination of a thesis which includes a creative or artistic component must:
  - (a) test the comprehension of the student of the field of study described by the thesis and presented in the creative or artistic component;
  - (b) clarify points either of principle or of detail in the creative or artistic component; and
  - (c) assess the contribution made by the student to the content and presentation of the creative or artistic component and the written component of the thesis.
- (10) An oral examination of a creative or artistic work may also include any of:
  - (a) contextualisation of the student's work, where the student presents the development of the thesis to the examination panel;
  - (b) discussion of the creative or artistic component of the thesis at the site of the exhibition with the student; or
  - (c) discussion of the written component and related matters with the student.

- (11) At the close of the oral examination, the chair of examination and examiners must meet in private to prepare a report and recommendation of the examination outcome.
- (a) Only the chair of examination and examiners may attend this meeting. The head of school (if not the chair of examination) and supervisor must not be present.
  - (b) The report must be a single report, containing a consensus recommendation of the outcome of the examination.
  - (c) The report must be prepared by the chair of examination and must specify:
    - (i) the recommended outcome of the examination, consistent with clause 23 of the policy;
    - (ii) the process undertaken by the conduct of the oral examination;
    - (iii) the information provided to the candidate; and
    - (iv) recommendations for any corrections or other conditions necessary for an award.
- (12) The oral examination report will be considered together with and in the same manner as the examiners' reports.
- Note:** See clause 10 and following of these procedures.
- (13) If the examiners fail to reach consensus:
- (a) each examiner must confirm or revise their interim reports within two weeks of the private meeting; and
  - (b) the examiners' final reports and the chair of examination's report must then be considered in the same manner as examiners' reports in a thesis-only examination.
- Note:** See clause 21 of the policy and clause 10 of these procedures.

## 17 Role of the chair of examination in an oral examination

- (1) The chair of examination is a representative of the faculty and has the following duties:
- (a) to ensure that the examiners and student are informed of the arrangements for holding the oral examination;
  - (b) to discuss with the student, prior to the examination, the nature of an oral examination, noting that students are expected to prepare their own responses;
  - (c) to advise the student of the main issues that may be raised by the examiners, noting that the examiners have the right to raise additional questions;
  - (d) to assure the student that the examination is intended to be constructive and helpful;
  - (e) to explain the proceedings to the examiners and to the student;
  - (f) to chair the oral examination of the thesis, and any subsequent meeting of examiners;
  - (g) to provide a report to the relevant committee;

- (h) to provide the head of school or postgraduate co-ordinator with the opportunity to append comments to the chair of examination's report on the oral examination; and
- (i) to inform the student about the examiners recommendations.

## PART 4: JOINT AND COTUTELLE DEGREES

### 18 Examination of joint degrees and cotutelle degrees

- (1) Where the examination of a joint or cotutelle degree is to be conducted by the partner institution:
  - (a) The faculty must notify the HDR Examinations Sub-Committee when the examination commences. This notification must include:
    - (i) confirmation that the examination meets the conditions of the individual student agreement; and
    - (ii) the names and affiliations of all the examiners.
  - (b) The faculty must notify the HDR Examinations Sub-Committee of the completion of the examination. This notification must include:
    - (i) a summary of the examination process;
    - (ii) a statement of the outcome of the award from the partner institution; and
    - (iii) copies of the examiners reports and English summaries, where the language of the reports is in a language other than English

**Note:** see subclause 7(7) of these procedures.
- (2) The award of the degree will be decided by the HDR Examinations Sub-Committee, in accordance with the policy, based on the notification from the partner institution.
- (3) Where the examination of a joint or cotutelle degree is to be conducted by the University of Sydney, the relevant committee will be the HDR Examinations Sub-Committee.
  - (a) The examination will be conducted in accordance with the policy and these procedures.
  - (b) The faculty will notify the partner institution of the outcome of the examination in writing.
- (4) Where a student enrolled in a joint or cotutelle degree subsequently transfers to a degree solely awarded by the University, the examination will be conducted according the policy and these procedures, but the HDR Examinations Sub-Committee may approve the use of any existing examiners' reports in fulfilment of the applicable requirements.

## **PART 5: THESIS WITH PUBLICATIONS**

### **19 Method of inclusion of published material in a thesis**

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

### **20 Number of papers**

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

### **21 Authorship of papers included in a thesis with publications**

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



## **22 Examination of a thesis with publications**

- (1) The examination process is the assessment of the thesis against the criteria set out in clause 8 of the policy. This examination is a different process than the refereed assessment of material for publication.
- (2) Examiners must address:
  - (a) whether the thesis including previously published material indicates that the student has made a substantially original contribution to the knowledge of the subject concerned; and
  - (b) for publications where there are multiple authors, whether the quality and extent of the student's contribution merits the award of the degree.
- (3) As the included publications are examined as part of a larger work, reviewers of individual papers may be nominated to act as examiners if they meet the criteria set out in clause 15 of the policy.

## **PART 6: THESES CONTAINING CREATIVE OR ARTISTIC COMPONENTS**

### **23 Examination of a thesis containing creative or artistic components**

- (1) The creative work and the written component will be examined as an integrated whole.
- (2) The creative work may be presented in the context of an exhibition, installation, performance or other in-person context.
- (3) Where the creative component is an exhibition or installation, the documentary record may take the form of a catalogue with images of sufficient quality for examination.
- (4) The student is responsible for creating the documentary record of the creative work.
- (5) The Associate Dean, or the faculty committee must decide whether the examination of a creative work should include any of:
  - (a) a performance, installation or exhibition; or
  - (b) an oral examination.
- (6) Where the examination of a creative work component includes a performance, installation or exhibition, the written component of the thesis should be provided to the examiners prior to the examination of the creative component.
- (7) Where the examination of the creative work component includes a performance, installation or exhibition, examiners should attend in person.
- (8) Where there is no performance, installation or exhibition, or where an examiner cannot attend in person the examiner(s) shall conduct their examination using the documentary record of the creative work.
- (9) Except as otherwise stated in faculty resolutions, the examination of a thesis with a creative component must comply with procedures, including (where appropriate) those relating to oral examinations.

- (10) The outcomes of the examination for a thesis submitted with a creative or artistic component must relate to the whole thesis, including the artistic or creative work.

**Note:** See clause 23 of the policy.

## PART 7: LODGEMENT OF THESES IN LIBRARY

### 24 Lodgement of theses in the University library

- (1) The final copy of the thesis lodged in the University library must be in electronic format except as permitted by the Chair of the Graduate Studies Committee of the Academic Board.
- (2) The copy must be complete, including:
- any appendices submitted for examination;
  - any published material included in the thesis;
  - documentary recording of any artistic or creative works; and
  - any corrections required by the University addressed to the satisfaction of the chair of examination;
- (3) The student must provide the title and an abstract of the thesis by the time of lodgement to be included in the Library catalogue meta-data and on the Australian Higher Education Graduate Statement (AHEGS).

**Note:** All information on thesis preparation, submission and lodgement is available through the HDRAC / current students website.  
<http://sydney.edu.au/students/prepare-your-thesis.html> and  
<http://sydney.edu.au/students/thesis-submission.html>.

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

**Note:** All information on thesis preparation, submission and lodgement is available through the HDRAC / current students website.  
<http://sydney.edu.au/students/prepare-your-thesis.html> and  
<http://sydney.edu.au/students/thesis-submission.html>.

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

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

- (6) The Library catalogue meta-data, including the student's name, thesis title, and abstract, must be publicly available.
- (7) A student may also opt to publish sections of their thesis as part of their faculty's open research collection. For example, this may be used:
- where copyright restrictions on published material prevent the open access publication of the whole thesis; or

- (b) where the student opts to publish the written component of the thesis but not a creative work.
- (8) The final copy of the thesis lodged in the Library cannot be altered.
- (9) The Chair of the Graduate Studies Committee may approve that an errata notice be appended to a lodged thesis. The errata notice must:
  - (a) be clearly distinguishable from the thesis as originally lodged;
  - (b) be labelled as “errata notice”;
  - (c) identify the author of the notice;
  - (d) clearly state the date of the notice; and
  - (e) list each erratum separately with a page reference, and in page reference order.

## NOTES

### Thesis and Examination of Higher Degrees by Research Procedures 2015

**Date adopted:** 12 November 2014

**Date commenced:** 1 January 2015

**Date amended:** 28 October 2015

2 November 2016, commencing 16 November 2016

11 May 2017 (administrative amendment only)

19 September 2017 (administrative amendments only)

**Administrator:** Director, Graduate Research

**Review date:** 1 January 2020.

**Related documents:**

[\*Australian Standards for Editing Practice \(ASEP\) 2<sup>nd</sup> ed. Point Cook: Institute of Professional Editors, 2013\*](#)

[\*University of Sydney \(Higher Degree by Research Rule\) 2011\*](#)

[\*Academic Honesty in Coursework Policy 2015\*](#)

[\*Cotutelle Scheme Policy\*](#)

[\*External Interests Policy 2010\*](#)

[\*Privacy Policy 2013\*](#)

[\*Supervision of Higher Degree by Research Students Policy 2013\*](#)

[\*Thesis and Examination of Higher Degrees by Research Policy 2015\*](#)

[\*Privacy Management Plan 2013\*](#)

## AMENDMENT HISTORY

Provision	Amendment	Commencing
3	Amended definition of editor and local availability	1 January 2016
4(2)(c); 10(7); 10(10); 12(1); 12(2); 12(3); 12(4)	Minor amendments	1 January 2016
5; 16; 23(6); 23(7); 24(1); 24(2)(d)	Various amendments	1 January 2016
13; 14(1)(c); 14(3); 17(1)(a)	New clauses	1 January 2016
Notes	Change to Administrator	1 January 2016
Table of Contents	Correction of error in table	12 April 2016
Related documents	Updated reference and hyperlink	12 April 2016
3	Definition of case deleted. Definitions added for chair of examinations, relevant committee.	16 November 2016
4A(1)	Replaced "submission" with "receipt"	16 November 2016
5(1); 5(3)(a); 6(1); 7(1); 8; 10; 12; 13; 14; 15; 16; 17; 18; 24(2)	References to updated to reflect new terminology of administrative unit, chair of examination, relevant committee and HDR Examinations Sub-Committee	16 November 2016
10	Minor amendments for clarification	16 November 2016
10(7)	Clause added	16 November 2016

<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
10(9)-(14)	Clauses deleted	16 November 2016
13(1)	Clause added	16 November 2016
14(1)(g)	Subclause added	16 November 2016
14A	Clauses added	16 November 2016
14B	Clauses added	16 November 2016
17(2)	Clause deleted	16 November 2016
18(3)	Clause added	16 November 2016
24(3) note; 24(4) note	Amending note regarding to thesis, preparation and submission	11 May 2017
Notes	Deleting reference to thesis submission guidelines	11 May 2017
15(3); 15(4); 23(5)	Consequential amendments arising from <i>University of Sydney (Delegations of Authority – Academic Functions) Rule 2016</i>	19 September 2017
5(5)(h)	Replace “examiner” with “supervisor”	19 September 2017