

# University of Sydney (Doctor of Philosophy (PhD)) Rule 2004 (as amended)

Approved by: Senate on 2 August 2004

Latest amendment by: Senate on 4 December 2006

Date of effect: 1 January 2007

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## Part 1 – Preliminary

### 1. Citation and commencement

#### 1.1 Citation

1.1.1 This Rule is made by the Senate of the University of Sydney pursuant to section 37(1) of the University of Sydney Act 1989 for the purposes of the University of Sydney By-law 1999.

#### 1.2 Commencement

1.2.1 This Rule commences on the day after it is made in accordance with Chapter 2 of the University of Sydney By-law 1999

## 2. Purpose

### 2.1 This Rule:

2.1.1 repeals and replaces Part 10, Division 4 of the *University of Sydney (Amendment Act) Rule* 1999 in its entirety; and

2.1.2 deals with matters relating to the degree of Doctor of Philosophy.

## Part 2 – Admission to candidature

### 3. Heads of department

3.1 A head of department may delegate to a specified member of the academic staff his or her responsibilities under these Rules by countersigning a specific recommendation in respect of a particular candidature or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

### 4. Admission to candidature

4.1 An applicant for admission as a candidate for the degree shall, except as provided in 4.2 and 4.3 below, hold or have fulfilled all the requirements for:

4.1.1 the degree of master, or

4.1.2 the degree of bachelor with first or second class honours.

4.2 A faculty may admit as a candidate for the degree an applicant holding the degree of bachelor without first or second class honours after the applicant has passed a qualifying examination at a standard equivalent to the bachelor's degree with first or second class honours, provided that a faculty may exempt an applicant from the qualifying examination if the applicant 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.

4.3 The Academic Board has endorsed an interpretation of the qualifying examination as including completion of a period of relevant full-time or part-time advanced study and research towards a master's degree in the University of Sydney, at such a standard as would demonstrate to the satisfaction of the faculty that the candidate is suitably prepared in the particular field of study to undertake candidature for the degree of Doctor of Philosophy.

4.4 The Academic Board may, in accordance with this Rule, admit as a candidate for the degree an applicant holding qualifications which, in the opinion of the faculty concerned and of the Academic Board, are equivalent to those prescribed in 4.1 or

- 4.2 above and such candidate shall proceed to the degree under such conditions as the Academic Board may prescribe.
- 4.5 An applicant for admission to candidature shall submit to the faculty concerned:
- 4.5.1 a proposed course of advanced study and research, approved by the head of the department in which the work is to be carried out, to be undertaken by the applicant in a department of the University, and
- 4.5.2 satisfactory evidence of adequate training and ability to pursue the proposed course.
- 4.6 The faculty may require a candidate, as part of the evidence of the candidate's training and ability to pursue the proposed course, to pass a special examination.
- 4.7 A reference in this section to a department includes a reference to one or more departments, one or more schools, an interdepartmental committee and an interschool committee.

### **5. Probationary acceptance**

- 5.1 A candidate may be accepted by a faculty on a probationary basis for a period not exceeding one year and upon completion of this probationary period, the faculty shall review the candidate's work and shall either confirm the candidate's status or terminate the candidature.
- 5.2 In the case of a candidate accepted on a probationary period under 5.1 above, the candidature shall be deemed to have commenced from the date of such acceptance.

### **6. Control of candidature**

- 6.1 Each candidate shall pursue his or her course of advanced study and research wholly under the control of the University.
- 6.2 Where a candidate is employed by an institution other than the University, the faculty or college board may require a statement by that employer acknowledging that the candidature will be under the control of the University.

### **7. Other studies during the candidature**

- 7.1 A candidate may be required by the head of department or the supervisor to attend lectures, seminar courses or practical work courses or to undertake courses and, if required, the assessment for such courses, subject to the approval of any other head of department concerned.

### **8. Credit for previous studies**

- 8.1 A candidate who, at the date of admission to candidature, has completed not less than 6 months as a candidate for the degree of master in any faculty or board of studies of the University of Sydney, may be permitted by the faculty concerned to be credited for the whole or any part of the period of candidature completed for the degree of master as a period of candidature completed for the degree of Doctor of Philosophy, provided that the period of candidature for the degree of master for which credit is sought shall have been a course of full-time or part-time advanced study and research under a supervisor appointed by the faculty or board of studies concerned and directly related to the candidate's proposed course of advanced study and research for the degree of Doctor of Philosophy.
- 8.2 A candidate who, at the date of admission has completed not less than six months as a candidate for a higher degree in another university or institution may be permitted by the Academic Board, on the recommendation of the faculty concerned, to be credited for the whole or any part of the period of candidature completed as a period completed for the degree of Doctor of Philosophy of the University of Sydney, provided that:
- 8.2.1 at the date of admission to candidature for the higher degree of the other university or institution concerned the candidate shall have fulfilled the requirements of admission to candidature set out in section 4 above;
- 8.2.2 the period of candidature for the higher degree of the other university or institution concerned for which credit is sought shall have been a course of full-time or part-time advanced study and research under a supervisor appointed by the other university or institution concerned and directly related

- to the candidate's proposed course of advanced study and research in the University of Sydney;
- 8.2.3 the candidate shall have abandoned candidature for the higher degree of the other university or institution concerned for which credit is sought;
  - 8.2.4 the amount of credit which may be so granted shall not exceed one year; and
  - 8.2.5 no candidate who has been granted credit shall present a thesis for examination for the degree earlier than the end of the second year after acceptance.
- 8.3 The Faculty of Medicine may grant credit not exceeding one year to a candidate for the degree of Doctor of Philosophy in that Faculty who has submitted documented evidence of having previously completed supervised study towards the degree of Doctor of Medicine of The University of Sydney.

### **Part 3 – Supervision**

#### **9. Appointment and qualifications of supervisors and associate supervisors**

- 9.1 The faculty or college board, on the recommendation of the head of department concerned, shall appoint a suitably qualified supervisor and associate supervisors for each candidate to take primary responsibility for the conduct of the candidature and to be responsible for the progress of the candidature to the head of department and the faculty or college board concerned in accordance with policy established by the Academic Board.

### **Part 4 – Candidature**

#### **10. Location**

- 10.1.1 Subject to the annual approval of the supervisor, head of department and faculty or college board, the candidate shall pursue the course of advanced study and research either:
- 10.1.1.1 within the University including its research stations and teaching hospitals;
  - 10.1.1.2 on fieldwork either in the field or in libraries, museums or other repositories;
  - 10.1.1.3 within industrial laboratories or research institutions or other institutions considered by the faculty or college board concerned to provide adequate facilities for that candidature; or
  - 10.1.1.4 within a professional working environment;
- 10.1.2 and shall attend at the University for such consultation with the supervisor and shall participate in such departmental and faculty or college seminars as shall annually be specified.
- 10.2.1 A candidate pursuing candidature outside Australia must also complete a minimum of two semesters of candidature within the University [but not necessarily immediately before submission, not necessarily as a continuous two-semester period] before submission of the thesis.
- 10.2.2 The corresponding period for candidates for whom the minimum length of candidature is four semesters is a minimum of one semester.
- 10.3 When recommending the detailed annual conditions for each candidate's particular course of advanced study and research the supervisor and head of department must indicate whether they are satisfied that the proposed supervision arrangements will be satisfactory.

#### **11. Progress**

- 11.1 At the end of each year each candidate shall provide evidence of progress and attend a progress review interview to the satisfaction of the supervisor and head of department concerned and any Departmental or Faculty Postgraduate Review Committee.
- 11.2 On the basis of evidence provided and the interview, the head of department shall recommend the conditions of candidature to apply for the following year and may require the candidate to provide further evidence of progress at the end of one semester or such other period as the head of department considers appropriate.
- 11.3 If a candidate fails to submit evidence of progress or if the head of department concerned considers that the evidence submitted does not indicate satisfactory

progress, the faculty or college board may, on the head's recommendation, call upon that candidate to show cause why that candidature should not be terminated by reason of unsatisfactory progress towards completion of the degree and where, in the opinion of the faculty or college board, the candidate does not show good cause the faculty or college board may terminate that candidature or may impose conditions on the continuation of that candidature.

## **Part 5 – Submission of thesis**

### **12. The thesis**

- 12.1.1 On completing the course of advanced study and research, a candidate shall present a thesis embodying the results of the work undertaken, which shall be a substantially original contribution to the subject concerned.
- 12.1.2 The candidate shall state, generally in the preface and specifically in notes, the sources from which the information is derived, the animal and human ethical approvals obtained, the extent to which the work of others has been made use of, and the portion of the work the candidate claims as original.
- 12.2 A candidate may also submit in support of the candidature any publication of which the candidate is the sole or joint author. In such a case the candidate must produce evidence to identify satisfactorily the sections of the work for which the candidate is responsible.
- 12.3 Except where the candidature has been governed by an approved cotutelle agreement, a candidate may not present as the thesis any work which has been presented for a degree or diploma at this or another university, but the candidate will not be precluded from incorporating such in the thesis, provided that, in presenting the thesis, the candidate indicates the part of the work which has been so incorporated.
- 12.4 Theses shall be written in English, except that:
  - 12.4.1 in the case of a candidature governed by an approved cotutelle agreement, the thesis may be written in English or in another language; and
    - 12.4.2.1 in the Faculty of Arts, in the case of language departments, theses may be written either in English or in their target language as determined by the department, unless a department has specified by means of a Faculty resolution that it will consider applications to submit the thesis in a language other than:
      - 12.4.2.1.1 English; or
      - 12.4.2.1.2 a target language of the department.
    - 12.4.2.2 Such applications should be made in writing; and approved by the head of department concerned and the Dean of the Faculty, before the commencement of candidature.
    - 12.4.2.3 In considering applications a head of department shall take into account arrangements for supervision and examination.
- 12.5 A candidate shall submit to the Registrar four copies of the thesis in a form prescribed by resolution of the Academic Board and four copies of a summary of about 300 words in length.
- 12.6 The thesis shall be accompanied by a certificate from the supervisor stating whether, in the supervisor's opinion, the form of presentation of the thesis is satisfactory.

### **13. Earliest date for submission**

- 13.1 Except as provided below, a candidate may not submit a thesis for examination earlier than the end of the sixth semester of candidature.
- 13.2 A faculty or college board may permit a candidate holding any of the following qualifications of the University of Sydney or from such other institution as the faculty or college board may approve, to submit a thesis for examination not earlier than the end of the fourth semester of candidature:
  - 13.2.1 a degree of master completed primarily by research;
  - 13.2.2 both the degrees of Bachelor of Dental Surgery with honours and Bachelor of Science (Dental) with honours;
  - 13.2.3 both the degrees of Bachelor of Medicine with honours and Bachelor of Science (Medical) with honours; or

- 13.2.4 both the degrees of Bachelor of Veterinary Science with honours and Bachelor of Science (Veterinary) with honours.
- 13.3 Notwithstanding 13.1 and 13.2 above, a faculty may, on the recommendation of the head of department and supervisor concerned, permit a candidate to submit a thesis for examination up to one semester earlier than prescribed if, in the opinion of the faculty, evidence has been produced that the candidate has made exceptional progress in his or her candidature.
- 13.4.1 Notwithstanding 13.1, 13.2 and 13.3 above, the Chair of the Academic Board may, on the recommendation of the dean of the faculty in which the candidate is enrolled, permit a candidate to submit a thesis for examination earlier than prescribed if, in the opinion of the Chair of the Academic Board, evidence has been produced that the candidate has made exceptional progress in his or her candidature.
- 13.4.2 The Chair of the Academic Board may take advice from the Chair of the Graduate Studies Committee and shall report any applications under this provision and the action taken to the next meeting of the Academic Board.

#### **14. Latest date for submission**

- 14.1 Except as provided in 14.2 to 14.3 below, a candidate shall submit the thesis for examination not later than the end of the eighth semester of candidature.
- 14.2 A candidate whose candidature has been part-time throughout shall submit the thesis for examination not later than the end of the 16th semester of candidature.
- 14.3 The time limits set out in 14.1 to 14.2 above, apply to candidates who commence candidature after 31 December 2000. Candidates who commenced candidature prior to this date may choose to proceed in accordance with the Rules in force at the time when they commenced candidature.
- 14.4 The relevant dean may permit a candidate to submit the thesis for examination after a period of time greater than the maximum periods specified.

#### **15. Examination**

- 15.1 The procedures for examination shall be prescribed by the Academic Board.