Acknowledgements

The Arms of the University

Sidere mens eadem mutato
Though the constellations change, the mind is universal

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copied, reproduced or further disseminated – unless for private use
or study – without the express and written permission of the legal
holder of that copyright. The information in this handbook is not to be
used for commercial purposes.

Official course information
Faculty handbooks and their respective online updates, along with
the University of Sydney Calendar, form the official legal source of
information relating to study at the University of Sydney. Please refer
to the following websites:
sydney.edu.au/handbooks
sydney.edu.au/calendar

Amendments
All authorised amendments to this handbook can be found at
sydney.edu.au/handbooks/handbooks_admin/updates2011

Resolutions
The Coursework Clause
Resolutions must be read in conjunction with the University of Sydney
(Coursework) Rule 2000 (as amended), which sets out the
requirements for all undergraduate courses, and the relevant
resolutions of the Senate.

The Research Clause
All postgraduate research courses must be read in conjunction with
the relevant rules and resolutions of the Senate and Academic Board,
including but not limited to:

1. The University of Sydney (Amendment Act) Rule 1999 (as amended).
2. The University of Sydney (Doctor of Philosophy (PhD)) Rule 2004.
3. The resolutions of the Academic Board relating to the
   Examination Procedure for the Degree of Doctor of Philosophy.
4. The relevant faculty resolutions.

Disclaimers
1. The material in this handbook may contain references to persons
   who are deceased.
2. The information in this handbook was as accurate as possible at
   the time of printing. The University reserves the right to make
   changes to the information in this handbook, including
   prerequisites for units of study, as appropriate. Students should
   check with faculties for current, detailed information regarding
   units of study.

Price
The price of this handbook can be found on the back cover and is in
Australian dollars. The price includes GST.

Handbook availability
Handbooks are available as a website, PDF download and print on
demand. See the handbooks website at sydney.edu.au/handbooks
for more information.

Production
Web and Print Production Website: sydney.edu.au/web_print

Printing
SOS Print and Media

Handbook enquiries
For any enquiries relating to the handbook, please email the handbook
editors at wpp.info@sydney.edu.au

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NSW 2006 Australia
Phone: +61 2 9351 2222
Website: sydney.edu.au

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ISSN: 1834-9544
## University semester and vacation dates for 2011

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<tr>
<th>Summer/Winter School lectures</th>
<th>Dates</th>
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<tbody>
<tr>
<td>Summer School - December program</td>
<td>Begins: Monday 6 December 2010</td>
</tr>
<tr>
<td>Summer School - main program</td>
<td>Begins: Tuesday 4 January 2011</td>
</tr>
<tr>
<td>Summer School - late January program</td>
<td>Begins: Monday 17 January</td>
</tr>
<tr>
<td>Winter School - main program</td>
<td>Begins: Monday 27 June</td>
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<table>
<thead>
<tr>
<th>Semester One</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>International student orientation (Semester One) - STABEX</td>
<td>Monday 14 February and Tuesday 15 February</td>
</tr>
<tr>
<td>International student orientation (Semester One) - full degree</td>
<td>Wednesday 16 February and Thursday 18 February</td>
</tr>
<tr>
<td>Lectures begin</td>
<td>Monday 28 February</td>
</tr>
<tr>
<td>AVCC Common Week/non-teaching Easter period</td>
<td>Friday 22 April to Friday 29 April</td>
</tr>
<tr>
<td>International application deadline (Semester Two) *</td>
<td>Thursday 29 April *</td>
</tr>
<tr>
<td>Last day of lectures</td>
<td>Friday 3 June</td>
</tr>
<tr>
<td>Study vacation</td>
<td>Monday 6 June to Friday 10 June</td>
</tr>
<tr>
<td>Examination period</td>
<td>Tuesday 14 June to Saturday 25 June</td>
</tr>
<tr>
<td>Semester ends</td>
<td>Saturday 25 June</td>
</tr>
<tr>
<td>AVCC Common Week/non-teaching period</td>
<td>Monday 4 July to Friday 8 July</td>
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</table>

<table>
<thead>
<tr>
<th>Semester Two</th>
<th>Dates</th>
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<tbody>
<tr>
<td>International student orientation (Semester Two) - STABEX</td>
<td>Monday 18 July and Tuesday 19 July</td>
</tr>
<tr>
<td>International student orientation (Semester Two) - full degree</td>
<td>Wednesday 21 July and Thursday 22 July</td>
</tr>
<tr>
<td>Lectures begin</td>
<td>Monday 25 July</td>
</tr>
<tr>
<td>AVCC Common Week/non-teaching period</td>
<td>Monday 26 September to Friday 30 September</td>
</tr>
<tr>
<td>Last day of lectures</td>
<td>Friday 28 October</td>
</tr>
<tr>
<td>International application deadline (for Semester One, 2011) *</td>
<td>Saturday 29 October *</td>
</tr>
<tr>
<td>Study vacation</td>
<td>Monday 31 October to Friday 4 November</td>
</tr>
<tr>
<td>Examination period</td>
<td>Monday 7 November to Saturday 19 November</td>
</tr>
<tr>
<td>Semester ends</td>
<td>Saturday 19 November</td>
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* Except for the faculties of Dentistry, Medicine and the Master of Pharmacy course. See www.acer.edu.au for details.

## Last dates for withdrawal or discontinuation for 2011

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<thead>
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<th>Semester One- units of study</th>
<th>Dates</th>
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<tbody>
<tr>
<td>Last day to add a unit</td>
<td>Friday 11 March</td>
</tr>
<tr>
<td>Last day for withdrawal</td>
<td>Thursday 31 March</td>
</tr>
<tr>
<td>Last day to discontinue without failure (DNF)</td>
<td>Friday 15 April</td>
</tr>
<tr>
<td>Last to discontinue (Discontinued - Fail)</td>
<td>Friday 3 June</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Semester Two- units of study</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Last day to add a unit</td>
<td>Friday 5 August</td>
</tr>
<tr>
<td>Last day for withdrawal</td>
<td>Wednesday 31 August</td>
</tr>
<tr>
<td>Last day to discontinue without failure (DNF)</td>
<td>Friday 9 September</td>
</tr>
<tr>
<td>Last day to discontinue (Discontinued - Fail)</td>
<td>Friday 28 October</td>
</tr>
<tr>
<td>Last day to withdraw from a non-standard unit of study</td>
<td>Census date of the unit, which cannot be earlier than 20 per cent of the way through the period of time during which the unit is undertaken.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Public holidays</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australia Day</td>
<td>Wednesday 26 January</td>
</tr>
<tr>
<td>Good Friday</td>
<td>Friday 22 April</td>
</tr>
<tr>
<td>Easter Monday</td>
<td>Tuesday 26 April</td>
</tr>
<tr>
<td>Anzac Day</td>
<td>Monday 25 April</td>
</tr>
<tr>
<td>Queen's Birthday</td>
<td>Monday 13 June</td>
</tr>
<tr>
<td>Labour Day</td>
<td>Monday 3 October</td>
</tr>
</tbody>
</table>

To view the latest updates, or to purchase or search a handbook, please visit the website: sydney.edu.au/handbooks
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To view the latest updates, or to purchase or search a handbook, please visit the website: sydney.edu.au/handbooks
Welcome to all new and continuing postgraduate students at the University of Sydney. You are part of Australia's first and oldest university, and a member of a thriving community of world-class scholars and researchers.

The University values its postgraduate students. You are an important part of our community and we respect your contribution to the knowledge base, success and diversity of the University.

The University of Sydney offers you three simple but vital advantages:

**Expertise**
We have the most comprehensive range of courses in Australia, with leading expertise in all fields. The University of Sydney has more higher degree research programs than any other university in Australia. We offer coursework programs that are academically challenging and professionally relevant in an environment that encourages independent learning and interaction amongst peers.

**Enrichment**
We offer a stimulating, supportive and enriching educational experience at one of the world's best universities. This is a research-intensive environment where the University of Sydney leads in funded research projects competitively determined by the Australian Research Council and the National Health and Medical Research Council. Students from every continent in the world are studying at the University of Sydney. You will form lifetime friendships and valuable networks here.

**Achievement**
Our graduates have achieved and continue to achieve leading roles in their careers. You will find an environment of opportunity; a strengthening experience of self-awareness and self-reliance.

Postgraduate students are future leaders of Australia and other countries, as well as the next generation of academics. University of Sydney alumni include Prime Ministers, Governors General, Nobel Prize winners and leaders in every field of endeavour.

We now have more than 16,000 postgraduate students, more than a third of all students at the University. We will continue to make significant investment in facilities for postgraduate students, and targeted academic support for supervisors, course coordinators and lecturers.

I look forward to meeting you at the postgraduate student induction program. This will give you essential information about how the University works to ensure a smooth transition to postgraduate study, including the rights and responsibilities of students; professional ethics; the library; academic integrity and intellectual property; and resources for postgraduates, including social and sporting opportunities.

Welcome to the University of Sydney, and good luck with your studies.
Overview

The University of Sydney is one of the foremost providers of quality postgraduate education in Australia. In 2010, over 16,000 students were enrolled in postgraduate courses at the University of Sydney.

The majority of postgraduate students are enrolled in master's degrees by coursework. However it's worth noting that in 2010, there were more than 4200 students enrolled in the postgraduate research programs on offer at the University.

This University is committed to providing high quality education to all of its students. One part of that commitment involves providing postgraduate students with useful and relevant information in a form that is easily accessible to them. This handbook is an important part of this process.

Purpose of handbook

The purpose of this handbook is to provide a convenient source of reference for research and coursework postgraduate students about the requirements for postgraduate degrees, graduate diplomas and graduate certificates within the University. It does not attempt to be comprehensive in its coverage but rather, where appropriate, to provide direction to better sources of information.

At the end of this document there are copies of, and excerpts from, formal documents which you need to be familiar with, including the University's Code of Practice for Coursework Teaching and Learning. Other useful sources of important information are listed below.

Please note that we have not provided an exhaustive list of the policies applying to students at the University. The full set of University policies is available at Policy Online: sydney.edu.au/policy

Regulations

The University of Sydney is governed by a number of regulations. Some of the regulations that cover postgraduate study include:

- The University of Sydney (Coursework) Rule 2000 (as amended) which governs all coursework award courses in the University
- The University of Sydney (Doctor of Philosophy (PhD)) Rule 2004 which governs the University's Doctor of Philosophy degree (this rule should be read in conjunction with the Academic Board resolutions regarding the Doctor of Philosophy).

These rules, and others such as the University of Sydney (Amendment Act) Rule 1999 (as amended), provide the framework for all courses at the University. For information regarding specific courses (other than the Doctor of Philosophy), students should refer to the faculty and Senate resolutions for each course, which are published in the relevant faculty handbook.

The University of Sydney (Coursework) Rule 2000 (as amended) applies to all candidates for coursework degrees, diplomas and certificates who commence candidature after 1 January 2001.

Candidates who commenced candidature prior to this date may choose to proceed in accordance with the resolutions of the Senate in force at the time they enrolled, except that the faculty may determine specific conditions for any student who has re-enrolled in an award course after a period of suspension.

During 2010, faculties continued revising Senate and faculty resolutions relating to their postgraduate courses pursuant to this Rule.

Other regulations made by the Senate and the Academic Board which govern all the degrees, diplomas and certificates within the University are published in the University's Calendar, available online at: sydney.edu.au/calendar

Faculty and college handbooks

There are often more detailed faculty resolutions for postgraduate degrees, diplomas and certificates. These are published in the relevant faculty or college handbooks.

Extracts relevant to the course you are undertaking will usually be provided with your offer of admission letter, or can be obtained from your faculty, college or board of studies office.

Reference is made in this handbook to the more general rather than the course-specific aspects of these regulations. The handbooks are available online at: sydney.edu.au/handbooks

Sydney University Postgraduate Representative Association (SUPRA)

SUPRA is the student-run advocacy and representative association for all postgraduate students at the University of Sydney. It provides advice, advocacy and support services for the Sydney University postgraduate student community.

SUPRA offers a free, confidential, independent, and professional advocacy service, with Student Advice and Advocacy Officers (SAAOs) employed by the Association to assist postgraduate students with academic, welfare, employment, housing, and personal issues.

SAAOs can provide support for academic appeals, Show Cause and exclusion matters, problems with research supervision, issues of tenancy and employment, assistance negotiating with Centrelink, and referrals to counselling or health services, and many other academic and personal issues.

Subscribers can also access free legal advice, representation, and referral at the SUPRA Offices.

SUPRA also has a Resource Room available for postgraduate students with computers, internet access, free tea and coffee, daily newspapers, and subsidised printing, photocopying, scanning and faxing facilities. This is a great space to study and meet fellow students.

SUPRA represents all postgraduate students of the University of Sydney. SUPRA Councillors sit on many University governance bodies and they speak out on behalf of students on many issues, including academic concerns and equal access for all students. SUPRA Councillors have regular meetings with the Vice-Chancellor and other senior staff to raise matters of concern to postgraduate students. SUPRA uses these forums to monitor University policy and promote postgraduate interests in decision-making.

SUPRA frequently makes submissions to government inquiries, regularly writes to the Education Minister and speaks to the media about education issues both on a state and federal level.
SUPRA holds forums and campaigns around broader social, cultural and political issues such as International Student Concessions. SUPRA believes that part of providing a voice for postgraduates includes facilitating engagement with broader social issues and social justice.

SUPRA is governed by democratically elected postgraduate students from across the University. SUPRA has representative officers for women, queer, Indigenous, disabled and international students to help build a sense of community and work against barriers to education faced by many students.

All postgraduates are SUPRA constituents. All postgraduates can choose to become SUPRA Subscribers (a member of the Association). By becoming a SUPRA Subscriber, students will be able to access all of SUPRA’s services and resources. Subscribing is free.

Subscribers can choose to become Supporters of SUPRA by making a financial contribution of between $20 and $80. All services of SUPRA are free, but becoming a financial Supporter is a great way to support your student organisation.

SUPRA office
Raglan Street Building, G10
Darlington Campus
University of Sydney NSW 2006
(near the Services Building)
Phone: (02) 9351 3715
Toll-free: 1800 249 950 (free call from outside the Sydney Metro area)
Fax: (02) 9351 6400
Email: admin@supra.sydney.edu.au
Website: supra.sydney.edu.au

Surveys/ Reports on the student experience
During their studies at the University of Sydney, postgraduate students may be asked to respond to internal student satisfaction surveys. The results of these surveys are used to improve the student experience, and are an important mechanism for you to provide the University with your perceptions of either learning and teaching, or research training during your studies.

Postgraduate coursework students
The Student Course Experience Questionnaire (SCEQ) is designed to collect quantitative and qualitative data about students’ perceptions of the quality of teaching and learning in their degree courses. The SCEQ is distributed every second year to a stratified sample of current postgraduate coursework students (i.e. all years of study, all degrees). In the survey, students are asked to respond to statements using a five point Likert Scale to indicate the extent to which they agree or disagree with each statement. As part of the questionnaire, students are also asked to provide written comments on the best aspects of their degree experience and those that could be improved. The next survey is due in 2011.

Postgraduate research students (research higher degree)
The Student Research Experience Report (SREQ) is administered every year, during second semester, to all current research higher degree students. The survey gathers data on students’ perceptions of the quality and frequency of supervision, intellectual and social climate, infrastructure, approaches to research, and graduate attributes development in their research higher degree.

Reporting the results of the surveys
Quantitative and qualitative data from the SCEQ and the SREQ provide evidence of the success of University and faculty initiatives to improve the overall student experience in general and the student experience of learning and teaching, and research training in particular.

The Institute for Teaching and Learning analyses data from the SCEQ and SREQ and provides a range of reports to staff and students of the university through their website at:

itl.sydney.edu.au/sceq; and
itl.sydney.edu.au/sreq

The Institute for Teaching and Learning provides faculties with reports based on the analysis of the SCEQ qualitative data (students’ responses to the open questions) during the year following the survey. The Graduate Studies Office provides faculties and the university with annual reports based on the analysis of the SREQ qualitative data every year. These reports are made available to staff and students at sydney.edu.au/learning/evaluating/sreq_or

MyUni - the student portal
MyUni provides access to a number of applications, such as email, timetabling, library loans and WebCT. Online self administration functions and UniKey account management can be accessed from your MyUni workspace. Services accessible through MyUni include:

• study tools and course information
• online learning environment
• student support service details, such as counselling, learning assistance, careers and accommodation
• campus information, directories and maps
• news and events
• pre-enrolment and enrolment variation
• updating your personal details
• timetabling (for some coursework units)
• exam seating and results (for some coursework units)
• ordering and purchasing course notes
• casual employment
• renewing library loans and paying fines.

MyUni is linked from the University’s homepage at sydney.edu.au under Current Students

Updating your personal details
The University of Sydney communicates with students via either the recorded address or via the student email. It’s important that your contact details, particularly your address, are kept up to date. You can update your personal details via the MyUni website.

UniKey account
You will receive a UniKey login name and password when you enrol. UniKey is separate from any accounts provided by schools or departments. Your UniKey provides access to a range of online services provided by the University and outlined below.

Email
The University provides you with an email account that is your official contact address.

For access to your official University email account, please visit: outlook.com

For assistance logging in see sydney.edu.au/ict/switch/sydney-mail.

To forward your email to another account, read the instructions at: sydney.edu.au/ict/switch/sydney-mail/forward-email

Remember: check your student email regularly, as the University will use this address to contact you.

Access to the university network
Wireless and access labs are the only network options provided to students.

Wireless access
Wireless access points are located across the University’s main campus. See: sydney.edu.au/ict/switch/internet/wireless for a map of locations.

Access labs
Computer Access labs are located on most campuses, providing PC access to the University network. For more information please see:
The main office for access labs is located in Fisher Library.

**Glossary of frequently used terms**

For a glossary of frequently used terms, see Appendix: Glossary of frequently used terms in this handbook.

The complete University glossary can be found online at: sydney.edu.au/ab/policies/Glossary.pdf
The governing bodies

The Senate

The Senate of the University is the governing body of the University. Of its 22 Fellows, two are elected students, one being a postgraduate student. Amongst its many duties the Senate endorses the Academic Board’s approval of new academic courses.

The Chancellor, who is elected by the Fellows of Senate, presides at meetings of the Senate and University occasions such as graduation ceremonies.

The Academic Board

The Academic Board is the senior academic body within the University. Its functions include advising the Senate and the Vice-Chancellor on all matters relating to and affecting the University’s learning, teaching and research activities and its educational programs, including general advice on the academic priorities and policies of the University.

Membership of the Academic Board includes all the deans of faculties and colleges, members elected from the professoriate, non-professorial members of staff and heads of departments/schools, the President of SUPRA, elected coursework and research student members, and some co-opted members.

The Graduate Studies Committee

The Graduate Studies Committee is mainly concerned with matters of policy relating to all aspects of graduate studies and consideration of new award courses. This includes advising the Academic Board on all new proposals for graduate courses and on changes to existing graduate courses, advising faculties on desirable procedures with regard to operation of faculty boards of postgraduate studies, advising the Board on the criteria for determining selection for postgraduate awards and determining the successful applicants, and making recommendations concerning all matters relating to graduate studies referred to it by the Vice-Chancellor, the Academic Board, or faculties.

It is also responsible for the award of higher doctorates and exercises a review role with respect to protracted higher degree candidatures. The membership of the Graduate Studies Committee is located at sydney.edu.au/ab/committees/grad_studies/grad_studies_index

PhD Awards Sub-Committee

The PhD Awards Sub-Committee of the Graduate Studies Committee advises the Committee about resolutions, policy and procedures relating to the award of the degree of Doctor of Philosophy and takes decisions in accordance with the resolutions of the Senate and the Academic Board relating to the Examination Process for the degree of Doctor of Philosophy and other professional doctorates.

Postgraduate Awards Sub-Committee

The Postgraduate Awards Sub-Committee of the Graduate Studies Committee acts on the Committee’s behalf in all matters relating to the selection of successful applicants for postgraduate awards and advises the Committee on policy matters related to the award of scholarships.

Senior Executive Group (SEG) Research Training Committee

The SEG Research Training Committee is responsible for developing, overseeing and reviewing processes to ensure effective implementation of policy and procedures relating to higher degree research training. Chaired by the Deputy Vice-Chancellor (Education), the Committee’s membership comprises an academic representative from each faculty responsible for research training, an academic representative from the Academic Board, and a representative from SUPRA.

The academic organisation

Faculties and colleges

Members of the academic staff belong to departments or schools which are under the supervision of a faculty or a college board (such as the Faculty of Engineering and Information Technologies or the Board of the Sydney Conservatorium of Music).

A faculty or college is required to encourage teaching, scholarship and research in the departments and schools in the faculty or college and to cooperate with the other faculties and colleges. Among the specific responsibilities of a faculty or college are those:

1. to admit to and determine candidacy for the degrees, graduate diplomas and graduate certificates in that faculty or college.
2. to appoint supervisors and examiners of candidates for higher degrees in that faculty or college.

The faculty or college typically consists of the following: all the full-time members of the academic staff of academic units assigned to that faculty or college, often the fractional members of the teaching staff, representatives from other departments associated with the teaching of the faculty or college concerned, representatives such as deans from other faculties and colleges, members of the research staff, distinguished persons from outside the university being members of the relevant profession, and elected undergraduate and postgraduate students. It must meet at least once in each semester.

Faculty and college boards normally appoint a board of postgraduate studies which exercises, in respect of each candidate for a postgraduate degree, graduate diploma or graduate certificate, the powers and functions of the faculty or college and can have such other powers and functions as the faculty or college may determine.

This board of postgraduate studies may have another name such as postgraduate studies committee or postgraduate matters committee. While it may include student membership, their participation in matters relating to individual students is restricted.

Within each faculty or college there is an appointed dean and appointed or elected pro-dean and/or associate deans. The dean is the chief executive officer of the faculty or college. One of the associate deans or another senior academic in a faculty or college is usually charged with responsibility for postgraduate matters and chairs the board of postgraduate studies.

Sometimes the postgraduate responsibilities of the faculty or college are spread among an associate dean and one or more sub-deans. In most cases the faculty, or board of postgraduate studies, will formally delegate responsibility for taking decisions on particular aspects of candidacy to one or more of these faculty or college officers. They are a useful source of advice when a view from outside your department is needed.

Schools and academic units

An academic unit comprises all those appointed to teach and carry out research in a particular area which has been delineated as an
academic unit. As faculties and colleges have different structures, an academic unit may also be locally referred to as a department, school or discipline.

Technically speaking, a school is the same as a department, but is most commonly used when a number of previously autonomous departments have been brought together to form a new, larger unit. For clarity, we will refer to academic units as ‘department/school’ throughout this handbook. An academic unit also includes a range of general staff such as professional and technical staff and administrative staff.

The head of an academic unit is appointed by the Provost and Deputy Vice-Chancellor, after a consultation process carried out by the dean, normally from among the professors and associate professors in that unit. The primary responsibility of a head of department/school is to foster the academic and research purposes of the department/school by effective leadership and management.

He or she is likely to be called upon by one or other areas of the administration to make recommendations concerning aspects of any student’s candidature. This will be done after consultation with appropriate people such as a supervisor or the professor responsible for promoting advanced study and research in a particular field.

Within each department/school there is a department/school board, including at least one student member, which meets at least once in each semester and which can make representations on any matter pertaining to the department/school.

Departments/schools, depending on their size, are also likely to have a number of internal committees dealing with aspects of the work of the department/school. These may include a postgraduate committee.

In many departments/schools a senior member of the academic staff, other than the head of department/school, may have the role of postgraduate coordinator or some similar title.

For the postgraduate student, whether coursework or research, the department/school is the most significant academic organisational unit within the University. A feature of the University of Sydney is its diversity. Take the time to find out how your department/school works. It will be different to others even within the same faculty.

Administration

Departmental/School offices

In most instances, if you have an administrative enquiry you should see your administrative unit where experienced staff will be able to assist you.

Faculty and college offices

The faculty or college office will be a source of information and advice about procedures and regulations as well as providing advice on courses available. It is also where you can get information on the most appropriate associate dean or other faculty or college officer with whom to discuss a difficult situation. A full list of faculty and college offices, including their locations, inquiry phone numbers, and email addresses, is set out below.

In most faculty and college offices there are supporting administrative assistants and administrative officers, one or more of whom may have a particular postgraduate responsibility. Sometimes this person is called the postgraduate administrator or adviser.

The faculty or college secretary has a broad range of responsibilities including acting as secretary to the faculty or college and its committees and ensuring that the University’s regulations and procedures concerning postgraduate students are properly administered. The faculties of Medicine, Dentistry, Pharmacy and Nursing and Midwifery have a common postgraduate administration office.

Contact information

In general, all enquiries concerning postgraduate matters should be dealt with in the first instance by the faculty or departmental offices.

Faculty of Agriculture, Food and Natural Resources

Suite 401, Biomedical Building
1 Central Avenue
Australian Technology Park
Eveleigh, NSW 2015
Phone: (02) 8627 1002
Email: agriculture.dean@sydney.edu.au
Website: sydney.edu.au/agriculture

Faculty of Architecture, Design and Planning

Wilkinson Building, G04
Phone: (02) 9351 3248
Email: arch.sac@sydney.edu.au
Website: sydney.edu.au/architecture

Faculty of Arts

Lobby H, Quadrangle, A14
Phone: (02) 9351 3240 or 9351 4807
Email: arts.postgraduate@sydney.edu.au
Website: sydney.edu.au/arts

Faculty of Dentistry

2 Chalmers Street
Surry Hills, NSW 2010

Postgraduate Course enquiries
Phone: (02) 9351 5470

Postgraduate Research enquiries
Phone: (02) 9845 7892
Email: pg@med.sydney.edu.au
Website: sydney.edu.au/dentistry

Administrative enquiries
Student Services
Edward Ford Building, A27
Camperdown Campus
Phone: (02) 9351 3132
Fax: (02) 9351 8529
Email: info@med.sydney.edu.au

Faculty of Economics and Business

Student Information Office
Merewether Building, H04
Phone: (02) 9351 3076
Email: business.student@sydney.edu.au
Website: sydney.edu.au/business/student_information_office

Research enquiries
Research Faculty Unit
Room N412 Institute Building H03
Phone: (02) 9036 5372
Fax: (02) 9351 5283
Email: business.researchunit@sydney.edu.au
Website: sydney.edu.au/business

Faculty of Education and Social Work

Education Building, A35
Phone: (02) 9351 7049
Email: v.jureidini@edfac.sydney.edu.au
Website: sydney.edu.au/education_social_work

Faculty of Engineering and Information Technologies

Graduate School of Engineering
Engineering Faculty Building, J13
Phone: (02) 9351 2534
Email: engineering@eng.sydney.edu.au
Website: eng.sydney.edu.au
Principal officers of the University

The Vice-Chancellor and Principal

The Vice-Chancellor and Principal is the chief executive officer of the University. The Vice-Chancellor, Dr Michael Spence, is responsible to the Senate for the administrative, financial and other business of the University, for the care of property, for the general supervision of all staff and for supervision of discipline. He consults with and advises the Academic Board and all boards, faculties and colleges, heads of departments/schools and professors.

The Provost and Deputy Vice-Chancellor

The Provost is charged with day-to-day responsibility for the accomplishment of the University’s objectives in relation to teaching and scholarly activity within the context of the University's strategic plan and a challenging external environment.

Under the direction of the Vice-Chancellor, the Provost exercises, general executive responsibilities in connection with the academic programs of the University involving the conduct, coordination, and quality of these programs and the planning of their future development. This includes oversight of the University’s academic staff.

Deputy Vice-Chancellor (Education) and Registrar

The DVC (Education) is responsible for quality assurance, both at undergraduate and graduate levels, and for coordinating university policy in relation to teaching and learning and postgraduate research training and support. The role is also responsible for student administration, admissions, welfare, discipline and activities and graduate students.

The Registrar is responsible inter alia for the keeping and care of proper records of the proceedings of all meetings of the Senate and the Academic Board, and for managing student records. Often you will find reference in the regulations to the ‘Registrar’ taking some action. In practice, this usually means a member of a faculty office or of the Registrar’s Division taking that action on behalf of the Registrar.

Student facilities

The University of Sydney provides an extensive range of services to assist students in achieving their educational goals.

For details of services and online resources provided by the University of Sydney, see the Services for Students website at sydney.edu.au/current_students/student_services or the MyUni student portal at myuni.sydney.edu.au/current_students

Careers Centre

The Careers Centre assists postgraduate students to explore employment options and provides advice on career management issues. Advice is available on a variety of broad including job search techniques, resume writing, resume checks and Resume Rescue, interview skills, how to find course-related work while studying, and career management planning for various degrees. There is a designated Career Development Officer for postgraduate students
who provides one-on-one career planning sessions and conducts
workshops for all postgraduate students.

The Careers Centre maintains a job vacancies database which
includes casual, part-time, internships, vacation work and graduate
jobs (immediate vacancies and Graduate Programs) opportunities.
Currently enrolled postgraduate students can access the database
online through the Careers Centre website. Students can sign up for
Job Alert emails to receive up-to-date information on advertised
positions, workshops, Careers Fairs and employer visits.

Careers Centre
Level 5, Jane Foss Russell Building, G02
The University of Sydney NSW 2006
Phone: (02) 8627 8403
Fax: (02) 8627 8477
Email: careers.information@sydney.edu.au
Website: sydney.edu.au/careers

Casual Employment
The Career Centre maintains a job vacancy database which current
postgraduate students can access to search for casual and full time
employment. See the section above on the Careers Centre to read
how you can register for Job Alert emails and have up-to-date
information on advertised vacancies sent to your inbox. Contact the
Careers Centre or visit the Careers Centre website at:
sydney.edu.au/careers for more information.

Insurance
The Audit and Risk Management Office maintains a Travel Insurance
policy for all postgraduate students travelling within Australia or
overseas on authorised University activities. Additionally, the University
maintains a Personal Accident policy providing insurance cover for
postgraduate students whilst conducting on-campus activities. This
includes cover for SUPRA activities.

If you are involved in an accident on campus or while conducting
University activities, then please complete the Occupational Incident
Injury or Illness Report Form located at sydney.edu.au/ohs/forms/ohs
Send the completed form to:

Occupational Health & Safety Office
OHS & Injury Management
Margaret Telfer, Building K07
University of Sydney NSW 2006
Phone: +61 2 9351 4335
Fax: +61 2 9351 5868
Email: ohs.information@sydney.edu.au
Website: sydney.edu.au/ohs

Making an insurance claim
If you wish to make a claim against the Student Accident Plan, please
use the Claim Form which can be accessed here:
sydney.edu.au/audit_risk/insurance/AFACLAIMFORM.pdf After
completing this form, send to:

Audit & Risk Management Office
General Insurance and Claims Officer
Phone: (02) 9351 4127
Fax: (02) 9351 3696
Email: vlad.nesic@sydney.edu.au
Website: sydney.edu.au/audit_risk

SydneyTalent
SydneyTalent is an initiative of the University of Sydney that offers
you the opportunity to undertake course-related and generic
skills-building paid employment.

SydneyTalent offers flexible work hours, market rate remuneration,
and valuable experience, helping you to develop vital broad and
specialised skills in a practical environment related to your academic
interests.

While working with SydneyTalent, you can take advantage of our
unique learning and development programs, tailored to enhance your
workplace skills and increase your professional competence:

• WorkReady Orientation introduces you to the practical
  knowledge you need to immediately contribute in the workplace.
• WorkReady Essentials provides you with five face-to-face
  interactive training modules designed to develop the life and work
  skills that are key to success.
• WorkPlace Performance Development helps you formalise
  your ideal development path, giving you constructive feedback
  and clear objectives as you explore the beginning of your
  professional career.

With SydneyTalent, you can create lasting relationships, connect with
potential long-term employers, and gain practical knowledge. You will
leave the University of Sydney with a well-rounded perspective and
professional experience, as well as your degree.

SydneyTalent
Phone: (02) 8627 8000
Email:sydney.talent@sydney.edu.au
Website: sydneytalent.com.au
Coursework information

Postgraduate coursework covers:

- graduate certificates
- graduate diplomas
- coursework master's degrees.

Students enrolled in coursework programs which also include supervised research should also refer to the section on Research degrees.

Postgraduate coursework degrees are described in detail in the University of Sydney (Coursework) Rule 2000 (as amended). See sydney.edu.au/senate/policies/Cwk_Rule.pdf

Coursework programs

Graduate certificate

Graduate certificates are usually one semester full-time or equivalent part-time in duration, requiring the completion of units of study totalling at least 24 credit points, and usually have entry requirements of a bachelor’s degree or equivalent. In some faculties, the graduate certificate course is used as an entry point to graduate studies for persons with no formal tertiary qualifications.

Graduate diploma

Graduate diplomas are offered in a majority of faculties. In some cases the graduate diploma is offered in a specialist area such as the Graduate Diploma in Rehabilitation Counselling. In other cases the graduate diploma provides a framework within which specific subject areas are further identified such as the Graduate Diploma in Applied Science.

Graduate diplomas are typically two semesters full-time or four semesters part-time, normally requiring the completion of units of study totalling at least 36 credit points, and have entry requirements of a bachelor’s degree or equivalent.

Coursework master’s degree

The University of Sydney offers two types of master’s degrees by coursework: the Advanced – Learning Master’s degree which builds on prior undergraduate study in the discipline, and the Professional Master’s degree, which prepares the student for professional entry or professional accreditation. Master’s degrees typically have a minimum period of full-time candidature of one or two years and longer maximum periods as well as longer periods for part-time candidature. Coursework master’s degrees normally require the completion of units of study totalling at least 48 credit points.

Articulation

Often programs are arranged so that there can be articulation between a graduate certificate, a graduate diploma and a master’s degree. Articulation allows smoother transfer from one qualification to another within the same area (from a graduate certificate to a graduate diploma, for example), and can provide a stepping-stone to a master’s degree for students who might not initially be qualified for direct admission.

Articulation also allows students to leave a program of study with differing qualifications depending on how much of the course has been completed at the time they wish to exit. If a student enrolled in a graduate diploma has completed 24 credit points but needs to withdraw from further study, for example, an articulated program may permit them to exit with a graduate certificate in the same subject area.

English language requirements

Applicants applying for admission to a master’s degree, graduate diploma or graduate certificate must either have a record of satisfactory achievement in tertiary studies in which the language of the institution was English and the language of instruction, examination and assessment was English, have successfully completed the course ‘English for Academic Purposes’ at the University’s Centre for English Teaching, or have met the approved minimum English language requirements for their degree through an internationally recognised English language test such as the International English Language Testing System (IELTS), the Test of English as a First Language (TOEFL) or the Combine Universities Language Test (CULT).

While the University has set minimum standards of English expression for postgraduate candidates, many courses have more stringent requirements so it is essential to confirm the English language requirements of your intended degree with the relevant faculty before application.

For the current University policy on Postgraduate English Language Requirements, see: sydney.edu.au/ab/policies/PG_Eng_Lang_reqs.pdf

Enrolment process

General information

Detailed information about the particular enrolment dates and times and about the level of fees for which you will be liable will be provided by the faculty either in your letter of offer or subsequently. This section seeks to explain some of the procedures involved.

New postgraduate coursework students who receive an offer in time for on-time enrolment must complete enrolment during the specified enrolment period in January/February or June/July or the offer will lapse. If you miss or are unable to make your scheduled enrolment session, it is essential that you contact the faculty to see if alternative arrangements can be made.

In exceptional circumstances and on the recommendation of the appropriate dean, a new coursework student may enrol on a scheduled late enrolment day usually no later than the end of the second week of lectures for the appropriate semester, and certainly before 31 March or 31 August, on payment of a late fee of $100.

After the census date each semester (31 March for Semester 1 and 31 August for Semester 2), you cannot discontinue, vary or withdraw your candidature for that semester without incurring a substantial financial liability. This has particular significance for those paying their fees either upfront or via FEE-HELP. For further information, see below under ‘Changing your enrolment’.

Re-enrolment

You must be enrolled in each semester in order to remain a candidate for the degree/diploma/certificate. In October you will receive advice about re-enrolment for the following academic year. Re-enrolment is activated by pre-enrolling, a web-based activity, and the advice you receive in October will guide you through this process.

If you do not expect to complete your program in Semester 1, you will generally be expected to pre-enrol for both semesters during the
pre-enrolment period. In late January, you will receive confirmation of your pre-enrolment (or advice on appropriate action if your pre-enrolment has been unsuccessful) and will be informed of the procedure for completing enrolment for Semester 1.

Note: there is another enrolment period at the beginning of Semester 2 during which enrolment details for this semester are finalised.

If you have been absent from the University on an approved suspension of candidature, you will have to notify your faculty that you intend to recommence study, allowing the faculty an adequate time for the paperwork to be processed. If possible, try to notify the faculty by 30 November for recommencement in Semester 1 and by 30 April for recommencement in Semester 2.

Your notification will allow the faculty to create enrolment paperwork to enable you to re-enrol in one of the two semester enrolment periods. Information about this process will generally be sent by the faculty when your suspension of candidature has been approved.

International students note: the following information may not apply to you. Please contact the International Office for more information regarding fees and charges.

Postgraduate coursework and fees
Most postgraduate coursework degrees offer only domestic fee paying places however there may be Commonwealth supported places offered in some degrees. You can check this and obtain more information on course costs by finding your course online sydney.edu.au/future_students/course_search) and viewing Fees & Admission information or by contacting the relevant Faculty. If your course is not Commonwealth supported, you may be eligible for a FEE-HELP loan which will allow you to defer the payment of your tuition fees to a later date.

All places offered to domestic students in postgraduate research degrees are exempt from tuition fees under the Australian Government’s Research Training Scheme. The Research Training Scheme does not apply for higher doctorates.

FEE-HELP assistance
FEE-HELP is a loan scheme that assists domestic fee paying students to pay their tuition fees. To be eligible for FEE-HELP you must be an Australian Citizen or holder of a Permanent Humanitarian Visa (excluding other permanent visa types). FEE-HELP allows you to defer all or part of your tuition fees to the Australian Taxation Office. The loan is then repaid once your annual income reaches the minimum threshold for compulsory repayment.

Further information can be found at www.goingtouni.gov.au or by visiting the Student Centre.

Commonwealth support and HECS-HELP
A small number of places in postgraduate courses may be Commonwealth supported rather than requiring the payment of tuition fees. A Commonwealth supported place (CSP) is a higher education place for which the Australian Government pays much of the cost of your education by providing funding to the University. You will also generally be required to make a contribution toward your tuition costs, and the amount you pay will depend on your course of study and the year that you commence.

Eligible Australian citizens and holders of Permanent Humanitarian Visas (excluding other permanent visas) may access a Commonwealth loan (HECS-HELP) to help pay your student contribution.

Further information can be found at www.goingtouni.gov.au or by visiting the Student Centre.

Refunds
The census date is the last date you can withdraw from a unit of study without incurring a financial penalty. If you withdraw from an award course or a unit of study on or before the relevant census date you will be refunded 100 percent of tuition fees or student contribution paid. If you withdraw after the census dates relevant to that enrolment you are not eligible for any refund. For information on potential exemptions to the above rules please contact the HECS and Domestic Fee office of the Student Centre.

Changing your enrolment
Changes to your Semester 1 enrolment may be made, with permission, up to 5pm on the census date that applies to any unit of study for which change is required. In most cases this will be 5 pm on the last working day in March (see your faculty or college office opening hours).

Changes to Semester 2 enrolment may likewise be made, with permission, up to 5pm on the last working day in August, but again check with your faculty or college office. The University is offering increasing numbers of units in ‘intensive mode’ and it is important that you be aware of the census dates of any such units, as the census dates for ‘intensive mode’ units may be different.

Students who vary their enrolment (including withdrawal or deferral) up to the relevant census date will be entitled to an appropriate adjustment to HECS or fees. No adjustments or refunds will be made after census dates except in the special circumstances explained in the official Department of Education, Employment and Workplace Relations (DEEWR) booklets. Ensure you obtain these at enrolment.

Shortly after the census dates, notices will be sent to all students stating clearly their course load including any re-calculation of their HECS or fee liability as a result of the agreed unit of study changes since enrolment.

Arrangements will be made to answer questions and to investigate claimed factual errors arising from these notices, but it is your responsibility to check that the information is correct. If you enrolled for the full year at the commencement of Semester 1, you should check particularly your Semester 2 notice to see that this still accurately reflects the units of study you are taking.

Scholarships and prizes
A variety of scholarships and prizes are offered by the University of Sydney, with many faculties also offering their own scholarships (see faculty websites for details).

While there are currently no University-wide scholarships for students studying postgraduate coursework degrees the Scholarships Office may be able to provide information on prizes, composition scholarships or externally funded scholarship opportunities that are available to postgraduate coursework students.
Loans
For information on loans to assist in paying fees, refer to the section ‘FEE-HELP assistance’, above.

Students can also apply for bursaries, student loans (up to $1500 interest-free for essential living and study expenses), and emergency cash loans (up to $500) from the Financial Assistance Office.

Financial Assistance Office
Level 5, Jane Foss Russell Building, G02
Telephone:(02) 9351 2416
Facsimile:(02) 8627 8480
E-mail: financial.assistance@sydney.edu.au
Website: sydney.edu.au/stuserv/financial_assistance_office
Hours: Monday to Friday 9.30am to 4.30pm

Types of candidature
The University is not solely an examining body. Candidates for its courses are expected to carry out all phases of the work for the degree/graduate diploma/graduate certificate under the control of the University and at places determined by the University. In many courses, however, it is not necessary for students to be present on-campus during regular teaching times.

Depending on the course you are in, it may be possible to undertake part or all of your studies by distance education, or by flexible delivery, and some units may be offered outside the two regular semesters, for example during the Summer session, Winter session or in concentrated blocks of teaching.

Whether a postgraduate coursework student is part-time or full-time is determined solely by credit-point load for all coursework degrees, graduate diplomas and graduate certificates.

- A student is part-time in a semester if he/she is enrolled in units of study which total less than 18 credit points.
- If enrolled in 18 credit points or more in a semester, the candidate is deemed to be full-time.

Therefore, a student’s status can vary between part-time and full-time from one semester to the next depending on their study load.

International students who are in Australia on an international student visa are normally required under the terms of their entry visa to undertake full-time candidature only, which is regarded as 24 credit points per semester. Additionally, international students must comply with all requirements of the ESOS Act which can be found at: www.aei.gov.au/AEI/ESOS/Default

Satisfactory progress and resolution of problems
Satisfactory progress
The degree requirements for most postgraduate degrees, graduate diplomas and graduate certificates outline the requirements for satisfactory progress. Students who fail to meet the requirements for satisfactory progress will be monitored by faculties under the provisions of the University of Sydney’s Policy and Procedure Identifying and Supporting Students at Risk. See a copy of the policy at sydney.edu.au/ab/policies/Students@Risk.pdf

The policy outlines the different stages involved in identifying and supporting students deemed to be at risk of being excluded from a course. The process culminates with students being asked to show cause why they should not be excluded, but prior to this point there are a range of support options that come into play.

Resolution of problems
Problems arising for the student and teaching staff can and do occur. It is obviously desirable that these are addressed and settled as expeditiously as possible and preferably within the department/school.

A student may approach the head of department/school, the postgraduate coordinator or any other member of the permanent staff of the department/school, regarding the resolution of problems.

The head and/or the postgraduate coordinator should attempt to settle the dispute. If this cannot be achieved within the department/school the matter may be referred to the dean or associate dean (postgraduate) of the faculty or the equivalent within the college.

A student who considers that resolution of difficulties within the department/school is not being achieved could also go to the dean or associate dean of the faculty.

Advice may also be sought from the Student Advisers located at SUPRA. Student Advisers provide professional and confidential advice or referral about any matters that affect the student, from academic issues, processes, problems and appeals, to general welfare.

Alternatively, the student may contact the University Counselling Service.

For problems that cannot be resolved at the faculty or college level please refer to the Section on Appeals against academic decisions.

Suspension of candidature
Occasions may arise where you need to take leave from study due to illness, employment or other changes to your personal circumstances. For coursework students such leave is known as suspension of candidature, and is granted in semester-long blocks.

If approved, suspension of candidature allows you to resume the same course of study at a specified later time without having to re-apply for admission (although you may have to notify the faculty that you intend to resume candidature before re-enrolment).

Please note that there is generally a limit to the maximum amount of time for which you may suspend your studies. This limit varies from course to course and should be checked with your faculty before application.

Apply for suspension of candidature by contacting your faculty office (for contact details see the section on University organisation, administration and contact information). If you hold a scholarship you should also note any obligations you may have to notify the Scholarships Office of periods of absence. Note that most variations to candidature require a corresponding variation to scholarship status.

Withdrawal
If your circumstances are such that you are unable to anticipate when you will be able to resume your studies, you should seek to withdraw from your course by writing to the faculty office. Note that if you withdraw from study and circumstances later permit you to resume, you will have to re-apply for admission.

On successful readmission, some credit might be given for the work that you had done up to the time of withdrawal but in effect you will be commencing a new candidature.

Your eligibility for a refund of fees depends on when you withdraw from candidature. Refer to the sections on fees above (‘Fee-paying courses’ and ‘FEE-HELP assistance’) for dates after which automatic refund of fees paid is not possible.

If in any year you fail to re-enrol as instructed (including timely return from an approved suspension of candidature) your candidature will be regarded as having lapsed and you will need to re-apply for admission to candidature to resume study.
Coursework information

Assessment and examination

Coursework programs: assessment

Coursework master’s degrees, graduate diplomas and graduate certificates require attendance at, and completion of, assessable tasks (eg examinations, essays, and projects) for prescribed units of study each semester.

The University’s Resolutions on the Assessment and Examination of Coursework stipulate that information about all aspects of assessment must be provided to every enrolled student within one week of commencing a unit of study.

Students who do not attend class during the first week are advised to seek the information as soon as is practicable. This information will cover all details of assessment, including the criteria for satisfactory and meritorious performance, penalties for plagiarism and other forms of academic dishonesty, attendance and class requirements and the weighting of assessments.

A grade is finalised for each unit of study at the end of the semester and these grades are recorded on FlexSIS (the student records system). Each faculty is required to monitor results in units of study taken by its students and to ensure that results are finalised in a timely manner.

When sufficient units of study have been completed to satisfy the requirements of the program, the dean of the faculty concerned will approve the award of the degree, graduate diploma or graduate certificate on behalf of the faculty, and any grade of honours or merit award.

If you have concerns with the assessment process or the results, see the section above on resolution of problems and the section on Appeals against academic decision on formal appeal mechanisms.

Common result grades

The Academic Board has adopted the following table of common result grades. Not all faculties use all grades in all courses.

<table>
<thead>
<tr>
<th>Permanent Results</th>
<th>Description</th>
<th>Mark range if applicable</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>HD</td>
<td>High Distinction</td>
<td>85-100</td>
<td></td>
</tr>
<tr>
<td>D</td>
<td>Distinction</td>
<td>75-84</td>
<td></td>
</tr>
<tr>
<td>CR</td>
<td>Credit</td>
<td>65-74</td>
<td></td>
</tr>
<tr>
<td>P</td>
<td>Pass</td>
<td>50-64</td>
<td></td>
</tr>
<tr>
<td>R</td>
<td>Satisfied Requirements</td>
<td></td>
<td>This is used in Pass/Fail only outcomes.</td>
</tr>
<tr>
<td>UCN</td>
<td>Unit of Study continuing</td>
<td></td>
<td>Used at the end of a semester for units of study which have been approved to extend into a following semester. This will automatically flag that no final result is required until the end of the last semester of the unit of study.</td>
</tr>
<tr>
<td>PCON</td>
<td>Pass (concessional)</td>
<td>46-49</td>
<td>Use of this grade is restricted to those courses which allow for a Concessional Pass of some kind to be awarded. A student may re-enrol in a unit of study for which the result was PCON. Each faculty will determine and state in its course regulations what proportion, if any, may count – eg ‘no more than one sixth of the total credit points for a course can be made up from PCON results’.</td>
</tr>
<tr>
<td>F</td>
<td>Fail</td>
<td>0-49</td>
<td>This grade may be used for students with marks from 46-49 in those faculties which do not use PCON.</td>
</tr>
<tr>
<td>AF</td>
<td>Absent Fail</td>
<td></td>
<td>Includes non-submission of compulsory work (or non-attendance at compulsory labs, etc.) as well as failure to attend an examination.</td>
</tr>
</tbody>
</table>

Permanent Results

W Withdrawn Not recorded on external transcript. This is the result that obtains where a student applies to discontinue a unit of study by the HECS Census Date (ie within the first four weeks of enrolment).

DNF Discontinued – Not to count as Failure Recorded on external transcript. This result applies automatically where a student discontinues after the HECS Census Date but before the end of the seventh week of the Semester (or before half of the unit of study has run in the case of units of study which are not semester-length). A faculty may determine that the result of DNF is warranted after this date if the student has made out a special case based on illness or misadventure.

DF Discontinued – Fail Recorded on external transcript. This applies from the time DNF ceases to be automatically available up to the cessation of classes for the unit of study.

Academic dishonesty and plagiarism

The University has strict policies and guidelines on plagiarism, copying, recycling and other forms of academic dishonesty.

The policy is outlined in the Academic Honesty in Coursework (plagiarism) which can be downloaded from sydney.edu.au/ab/policies/Academic_Honesty_Cwk.pdf

See also Plagiarism: Student Coursework - Policy and Procedures atsydney.edu.au/senate/policies/Plagiarism.pdf

It is your responsibility to ensure you have an understanding of the University’s policy in relation to academic dishonesty and plagiarism. If you have any questions regarding these policies you should approach your faculty.

Outcomes of candidature

When the award of the qualification has been approved, the Registrar will write advising you of this and will send you details of the next conferring ceremony at which you may graduate. A graduation information package will be sent several weeks before the ceremony, which will include tickets for three guests, information about the graduation ceremony itself and academic dress hire.

A booklet about academic dress is available from the Student Centre and the academic dress for the various degrees is also listed in the Calendar.

Alternatively, you may apply to have your degree conferred in absentia, without attending a graduation ceremony. Information about how to arrange this will be sent with the graduation package.

Note that until the qualification has been conferred, you are not entitled to call yourself a graduate in that course or to use any title associated with it.

For more information about graduation, please visit the Graduations Unit website: sydney.edu.au/studentcentre/grads
Postgraduate research covers:

- research master's degrees
- doctorates by research and advanced coursework
- the Doctor of Philosophy.

Students enrolled in research programs which also include coursework should refer to the section on Coursework Information.

Research programs

Research master's degree

Master's degrees typically have a minimum period of full-time candidature of one or two years and longer maximum periods as well as longer periods for part-time candidature.

A research master’s, such as the Master of Philosophy (MPhil), may require the completion of some coursework as established by the faculty or school in which you are studying. It is important for any candidate for a research master’s degree to liaise directly with the faculty regarding any coursework requirements and governing policies regarding their research master’s degree, since these degrees are administered by individual faculties and are not University-wide degrees (unlike the PhD).

Doctorates by research and advanced coursework

Some faculties offer doctoral degrees combining research and advanced coursework. These degrees, such as the Doctor of Arts, Doctor of Education, Doctor of Engineering, Doctor of Health Science, Doctor of Juridical Studies, Doctor of Public Health, and Doctor of Social Sciences, comprise at least two-thirds research and one-third coursework and usually have a minimum duration of three years.

If a candidate enrols in a Doctorate by research and advanced coursework they should liaise with the faculty regarding all coursework requirements and governing policies regarding these degrees.

Doctor of Philosophy (PhD)

The minimum admission requirement for the Doctor of Philosophy (PhD) is the possession of a master’s degree or a bachelor’s degree with first or upper second class honours. Alternatively, an applicant may be admitted having passed a qualifying examination at a standard equivalent to the bachelor’s degree with first or upper second class honours.

The qualifying examination could be completion of a period of relevant full-time or part-time advanced study and research towards a master’s degree at 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 a PhD.

In addition to these academic requirements, the head of department/school must certify to the faculty that your proposed course of advanced study and research is appropriate and acceptable, that you have in addition to the academic qualifications the necessary training and ability to pursue the proposed course of study and research, and that there are sufficient supervisory and other resources and facilities available to enable your candidature to be completed successfully. (See the section below on application procedures.)

Faculties are particularly concerned to ensure before admission to PhD candidature that there is the likelihood of a successful outcome. The Academic Board has agreed that a probationary period of up to 12 months for a PhD should be seen as usual practice.

Graduates of other institutions

The admission requirements for postgraduate research degrees in the Senate regulations are usually expressed in terms of an applicant holding a qualification from the University of Sydney. The dean of a faculty may also admit to candidature applicants with qualifications deemed equivalent to those expected of University of Sydney graduates.
Eligibility for admission to a particular research degree is not simply determined by the applicant's qualification. A suitable project and supervision must be available. The dean of the faculty must also be satisfied that the applicant is suitably prepared in the particular field of study in which the applicant proposes to be a candidate and has a standing equivalent to that required of a graduate of the University of Sydney qualified for admission to candidature for the degree.

This means that where, for example, a first or second class honours degree is required of a University of Sydney graduate, a similar level of achievement is expected of graduates from other institutions. This may be measured by other means where appropriate such as a Grade Point Average (GPA) or other form of grading. For international students, the International Office can advise about such equivalences.

Experience or further training undertaken subsequent to a first degree may be included in any assessment of eligibility for admission.

English language requirements
All applicants applying for admission to a research degree must meet approved minimum English language requirements. These requirements can be met in several ways: through demonstrating a record of satisfactory achievement in tertiary studies in which the language of the institution was English and the language of instruction, examination and assessment was English, through successful completion of a course at the University's Centre for English Teaching, or through achievement of a satisfactory standard in an internationally recognised English language test such as the International English Language Testing System (IELTS), the Test of English as a First Language (TOEFL), or the Combine Universities Language Test (CULT).

While the University has set minimum standards of English expression for postgraduate candidates, many courses have more stringent requirements so it is essential to confirm the English language requirements of your intended degree with the relevant faculty before application.

Should a candidate satisfy the minimum English language requirements and gain admission to a degree program, an assessment of the written English expression of the candidate, appropriate to the field of study, forms part of the probationary review process for research candidature. This is to ensure identification of problems and instigation of remedial actions for those who are likely to have difficulty with English expression in the writing of a thesis.

The University policy on English language requirements is available at sydney.edu.au/ab/policies/PG_Eng_Lang_reqs.pdf

Application procedures
A simple but essential requirement for admission to any postgraduate research degree is that an application form is completed and lodged with the relevant faculty office (or, in the case of international students, at the International Office) in good time.

Local candidates
Unless there is a specific deadline stated for a particular course, a local applicant (that is, an Australian citizen or permanent resident) must apply for candidature by no later 31 October in the previous year for commencement in Semester 1 (March), and by 31 May for commencement in Semester 2 (July). It is essential that applicants check the closing date for the course they intend to study because many courses have earlier closing dates, especially where there is a quota for admission.

If the results of your first degree will not be known by the closing date this should not deter you from submitting an application, just ensure that you forward your results when they are known.

Once your application is received, you will be sent a formal written response by the appropriate faculty office. An offer of admission will usually set out the details of your candidature, including the latest date by which you need to enrol and the latest submission date for your thesis, as well as confirming the details of your department/school and supervisory team.

Please ensure you check your letter of offer carefully. If you have any questions about the terms of the offer, check with the faculty office and your intended department/school as appropriate.

If for any reason you are unable to take up an offer of admission, please let both the department/school and the faculty office know. It may be possible for the University to offer your place to another applicant. Please note that unsuccessful applications and applications where an offer has been declined, are not retained indefinitely and a full, fresh application should be made if you reapply in a later year.

International students
An international student must apply for research candidature by no later 31 October in the previous year for commencement in Semester 1 (March), and by 30 April for commencement in Semester 2 (July). While late applications for candidature are accepted, they may not be processed in time for commencement in the next semester.

It is important to note that these closing dates are for admission to candidature only. A variety of scholarships for postgraduate study are available and each has a different closing date, often much earlier than application for candidature. See sydney.edu.au/future_students/costs_scholarships for more information.

An international student research application form with detailed instructions on how to apply can be downloaded from the International Office website: sydney.edu.au/future_students

Enrolment processes
General information
Detailed information about the particular enrolment dates and times and about the level of fees for which you will be liable will be provided either in your letter of offer of admission or subsequently. This section seeks to explain some of the procedures involved.

Enrolment and re-enrolment
You must be enrolled in each semester in order to remain a candidate for the degree you are undertaking. In October you will receive advice about re-enrolment for the following academic year. Re-enrolment is activated by pre-enrolling (a web-based function) and the advice you receive in October will guide you through this process.

If your pre-enrolment is successful, you will receive confirmation of your enrolment in late January. Please check this confirmation carefully to ensure the information provided is accurate (including dates of completion). Note that there may be further action you need to undertake to complete your enrolment, such as collecting a student card.

If your pre-enrolment is not successful, your faculty will contact you advising on the procedure to complete enrolment. Note that there is a second enrolment period at the beginning of Semester 2 at which enrolment details for Semester 2 are finalised.

If you have been absent from the University on an approved suspension of candidature you must re-enrol during the enrolment period immediately following the expiration of your suspension. Information about the procedures for re-enrolment after a suspension should be provided by your faculty when the suspension of candidature is approved.
Research Training Scheme
The Research Training Scheme (RTS), administered by the Department of Education, Employment and Workplace Relations (DEEWR), provides course fee exemptions for Commonwealth-funded higher degree by research (HDR) students for the duration of an accredited HDR course, up to a maximum of four years full-time equivalent study for a doctorate by research (including a professional doctorate which meets the research program criteria), and two years' full-time equivalent study for a master's by research. RTS students may be enrolled full-time or part-time.

A different funding arrangement may apply to students who commenced their candidature prior to September 2000.

It is expected that students registered for HDR complete within their maximum entitlement, and the RTS Guidelines stipulate that research students who are granted an extension beyond their maximum entitlement can no longer be funded by the Commonwealth.

When any HDR student (including pre-2001 students) withdraws from studies, the following applies if, at a later date, the student resumes study in the same course or another course at the same level:

- If three years have elapsed since previous enrolment, the student may be granted the maximum period allowed for the course under the RTS.
- If less than three years have elapsed since the previous enrolment, the student will have the period of any prior enrolment deducted from the maximum period allowed for the course under the RTS. This restriction applies even if the students enrol at a different institution.

RTS students may have a period of suspension (or accumulated periods) of up to 12 months in the terms of RTS (beyond which approval is at the discretion of the University). Periods of suspension do not count towards expenditure of RTS entitlement.

Where a student completes a research master's and progresses to a doctorate, the entitlement is two years' maximum for the masters and four years' maximum for the doctorate study. This applies whether or not there is an interval between the two programs. (If the research masters is completed in less than two years, the maximum RTS entitlement for a doctorate remains set at four years.)

Where a student commences but does not complete a research masters and then successfully upgrades to a research doctorate, the RTS funding entitlement is limited to a maximum of four years. Similarly, if a student is required (for any reason, academic or personal) to downgrade from doctorate to master's, and has already held an RTS place for more than two years at that point in time, no further Commonwealth funding is available.

RTS students may transfer to another institution, provided there is an RTS place available. The assumption is that a transferring student's research would either be continued or modified to meet the requirements of the new institution: the student's enrolment details and remaining RTS entitlement are part of the transfer.

Scholarships and loans
A variety of scholarships are offered by the University of Sydney, with many faculties also offering their own scholarships. Information on research scholarships such as the Australian Postgraduate Award (APA) and University of Sydney Postgraduate Award (UPA) or externally funded scholarship opportunities that are available to postgraduate research students should be obtained from:

Scholarships Office
Level 5, Jane Foss Russell Building, G02
Phone: (02) 8627 8450
Fax: (02) 8627 8485
Email: research.careers@sydney.edu.au
Website: sydney.edu.au/scholarships/research

There are also a range of industry scholarships for projects in specific areas or disciplines, details of which are available from the Scholarships Office or via your intended department or supervisor. Inquiries about faculty scholarships should be referred to the relevant faculty office (for contact details see Administration in the section on University organisation, administration and contact details).

The Scholarships Office may be able to provide information on prizes and composition scholarships.

Scholarships Office
Level 5, Jane Foss Russell Building, G02
Phone: (02) 8627 8450
Fax: (02) 8627 8485
Email: scholarships.reception@sydney.edu.au or prizes.office@sydney.edu.au
Website: sydney.edu.au/scholarships

Students can also apply at the Financial Assistance Office for bursaries, student loans (up to $1500 interest-free for essential living and study expenses), and emergency cash loans.

Financial Assistance Office
Level 5, Jane Foss Russell Building, G02
Telephone: (02) 9351 2416
Facsimile: (02) 8627 8480
E-mail: financial.assistance@sydney.edu.au
Website: sydney.edu.au/stuserv/financial_assistance_office

Note that application for a scholarship is a separate process which should be accompanied by a concurrent application for admission to candidature for the degree in question.

Scholarships for international students
International students who have applied for admission for a postgraduate research degree can be considered for the International Postgraduate Research Scholarship (IPRS) and the University of Sydney International Scholarship (USydIS).

Further information about these awards and the application process is available from the International Office. See Administration in the section on University organisation, administration and contact details or visit the website at: sydney.edu.au/student/international/postgraduate_research scholarships

Candidature
Types of candidature
The University is not solely an examining body. Candidates for its courses are expected to carry out all phases of the work for the research degree under the control of the University and at places determined by the University. It is not necessary, however, that all of the candidature should be spent on a University campus. The code of practice in the appendices details a student's responsibilities.

The normal maximum length of full-time PhD candidature is eight semesters (different expectations may apply to candidates who commenced prior to Semester 1, 2001). The maximum length of full-time candidature for research master's degrees varies from faculty to faculty, but is generally four to six semesters.

Full-time candidates for research degrees do not keep to the normal semesters but work continuously throughout the year except for a period of four weeks' annual recreation leave.

The University considers that what is required of a research degree, with respect to attendance, is that the best possible supervision arrangements are made for each particular candidature at each of the various stages of that candidature. This emphasis on individual requirements requires a clear statement of expectations and...
obligations at the commencement of each research program and on an annual basis thereafter.

International students who are in Australia on an international student visa are normally required under the terms of their entry visa to undertake full-time candidature only.

Research students and employment

It is possible for a person who is in employment to be admitted as a full-time candidate. This requires an employer certifying that the candidate can devote himself or herself full-time for the duration of the candidature to study and research under the control of the University. The employer must inform the University in the event of the candidate being required to undertake any duties which will interfere with their candidature.

Full-time research candidates are permitted to undertake part-time teaching duties providing these duties do not interfere with their candidature. Students are not obliged to teach, and also have no right to expect to be given teaching duties.

Fractional appointments of up to 0.6 are permitted. There may be occasions when a student is asked to perform duties on a full-time basis in which case suspension of the candidature should be sought. If you are receiving a scholarship, you must observe any terms and conditions regarding employment hours (see the section ‘Scholarship holders’, below).

Changing your enrolment

As a research candidate, if you wish to change your enrolment in any way, you should contact your faculty. This includes suspending your candidature (usually granted in one-semester blocks), taking a leave of absence (for less than one semester), counting time away, or transferring from full-time to part-time candidature (or vice-versa).

Please note that as research candidature is generally administered in semester-long blocks, in order for the change to take effect in a given semester most variations to enrolment will need to be received by the appropriate faculty office (for contact details see the section on University organisation, administration and contact details) at least one week before the census date for that semester.

It is important that you lodge your request to vary candidature via the official paperwork available from your faculty office, and that the application be completed by all necessary parties before it is lodged. Requests to vary candidature will normally require the endorsement of both your supervisor and postgraduate coordinator or equivalent as a minimum, and you may need to provide additional details to support your request.

Suspension of Candidature and Leave of Absence

As your candidature is recorded in whole semesters, if your circumstances change and you are not able to study for a period it is advisable to apply for either a Leave of Absence or Suspension of Candidature.

For shorter periods (that is, less than one semester) you should apply for a Leave of Absence. This might be used to cover a period of illness or cause of substantial delay to your program of study, but will not be necessary for a brief illness or misadventure. A Leave of Absence does not change your dates of completion, but will be recorded on your record to explain any difficulties with progression or to provide background information for a later extension of candidature.

If circumstances cause you to be unable to study for a longer period of time (more than a few weeks), it may be advisable to seek a Suspension of Candidature. These are usually granted in one-semester blocks, and degree resolutions allow for up to two semesters of suspension during candidature. A suspension will mean that you will be regarded as not enrolled for the period of suspension, and will cause your dates of submission to be made later than they were before the suspension.

Research off-campus – ‘Counting Time Away’

There is provision for PhD candidates to complete their candidature away from the University. There may be circumstances where it would be desirable to work at another institution within Australia or overseas where there is access to particular research or facilities. This may include conducting fieldwork, data collection or other research away from the campus.

If you wish to work off-campus, with the support of your supervisor you should apply to the faculty office to count time away. The faculty will wish to know what arrangements are being made for your continued supervision while away from campus. Short visits of a few weeks to other institutions may be approved by your head of department/college if supported by your supervisor.

Note that the equivalent of at least two semesters of candidature for a PhD must be completed within the University, and one semester for a masters by research, in order for the degree to be conferred. This time need not be consecutive, nor does it necessarily need to be at the end of candidature. Section 4 of the University of Sydney (Doctor of Philosophy (PhD)) Rule 2004, to be found as Appendix 4 in this handbook, indicates what is expected of candidates in respect to attendance.

‘Complete Away’

If you will not be on campus during the final stages of preparing your thesis for submission, you will need to apply for permission to Complete Away. Keep in mind that you will need to have spent the equivalent of at least two semesters of your candidature at the University to be awarded the degree.

Converting between full-time and part-time candidature

It is usually possible for a full-time candidate to convert to part-time candidature (and vice versa). Any such application should be made through the faculty office. The maximum length of part-time PhD candidature is eight years, as opposed to four years for full-time candidature.

This length assumes the student has been enrolled part-time since commencement. When calculating the revised Latest Date of Submission for a candidate who is given permission to convert from full-time to part-time candidature, a pro rata method is used.

For example, if a candidate is permitted to convert to part-time candidature at the end of the third year of full-time candidature (having completed 3/4 of the maximum candidature), the maximum period of part-time candidature will be 1/4 of eight years, which is two years.

Transfer between full-time and part-time candidature can only be granted for semester-long blocks. It is not possible to change your status for only part of a semester, nor to vary your status after the census date for that semester.

Part-time candidature for research students

For part-time candidates the faculty or college has to be satisfied that:

1. the applicant will have sufficient appropriate time to complete the requirements within the maximum period
2. the research will be planned and carried out by the applicant under the control of the University and that supervision arrangements are satisfactory
3. the candidate will be able to attend at the University as required

An applicant should submit a detailed proposal including how the research will be carried out on a part-time basis, its relationship to her/his employment (if any) and arrangements for attendance at the University. The candidate may also need to provide a statement from an employer (if applicable) indicating that the candidate will have sufficient time to devote to candidature.
Requirements may vary between departments/schools and faculties. Keep in mind the University is not willing to act solely as an examining body and any research must be under the direction and supervision of the University.

Scholarship holders

There are other restrictions which apply to candidates on scholarships. Candidates on Australian Postgraduate Awards (APAs) and similar scholarships may engage in paid employment up to a maximum of 20 hours per week, evening, weekend and holiday work included; or no more than 50 per cent of a (35 hour per week) full-time position. No candidate holding an award may hold another position within the University which could cause him or her to exceed this restriction.

Some units may offer a supplementary scholarship in conjunction with offers of casual teaching or demonstrating. Departments/schools shall indicate a minimum number of hours that will be offered, up to a maximum number of contact hours that is not more than ten times the number of teaching weeks in the year.

The scholarship holder is encouraged to take up the offer of part-time teaching within the department/school but is not obliged to do so. Teaching duties may be carried out throughout the year except that scholarship holders shall have a block of at least six weeks clear of teaching duties for research in addition to recreation leave.

Research supervision

The supervisor has a responsibility to provide regular and constructive feedback to the candidate with drawing up a detailed research plan.

The supervisor should ensure the candidate is aware of the standards expected of the degree concerned and identify with the candidate the particular research skills that will need to be acquired, if necessary providing clarification of how missing skills are to be obtained. This phase is also where the most appropriate data gathering and analysing techniques are established.

An important part of research training is the completion of a project within a particular timeframe. The supervisor and candidate should agree on the contact that will be necessary between them, particularly in the first year of a PhD candidature or first semester for master's candidatures, acknowledging that these arrangements may need periodic review. This will include some agreed indicators of progress being made and will take note of known periods of leave for all participants.

The supervisor and the candidate should monitor progress made within the context of the overall research plan. The supervisor should ensure that sufficient time is left for writing up the thesis and that, if necessary, the scope of the project is reduced to meet the time available.

A principle followed in the appointment of supervisors is that the candidate should, under normal circumstances, be able to expect continuity of supervision. This means not only that some form of supervision will be available at all times throughout the candidature, but that a staff member nearing retirement, for example, will not normally be appointed as supervisor unless prepared to undertake in writing to continue the supervision beyond their retirement.

The supervisor should also ensure that an acting supervisor is appointed during her or his absence from the University for any period of a month or more, and should assist the acting supervisor by informing them about the progress of the candidature.

The role and duties of the supervisor

A postgraduate research degree is a training exercise in which the candidate acquires knowledge of research methods and experience in planning, performing and publishing research under the guidance of a supervisor. The success of that training is assessed through a thesis, which in the case of a PhD is expected to provide some evidence of originality and thereby make some significant contribution to knowledge, at least some of which is publishable.

A successful research master's thesis will likewise demonstrate a grasp of training in research methodology but may make a less original contribution than a doctoral thesis.

The responsibility of a supervisor over the initial phase of candidature extends to ensuring that facilities identified as necessary to the success of the project are provided, encouraging the candidate to extend his or her contacts within the department/school and elsewhere within the University (and outside as appropriate), ensuring that all parties in the research project are clear about their roles and responsibilities (including associate supervisors), and establishing an agreement regarding the frequency and nature of contact, especially between the candidate and supervisor.

While application procedures normally require the drafting of a research proposal, a critical early phase of any candidature is when the supervisor assists the candidate with drawing up a detailed research plan.

The supervisor must ensure the facilities are available within the department/school or the University to enable the project to succeed and should pay particular attention to the likely timescale of the project, bearing in mind that a three-year PhD candidature should be an objective.

The supervisor should ensure the candidate is aware of the standards expected of the degree concerned and identify with the candidate the particular research skills that will need to be acquired, if necessary providing clarification of how missing skills are to be obtained. This phase is also where the most appropriate data gathering and analysing techniques are established.

An important part of research training is the completion of a project within a particular timeframe. The supervisor and candidate should agree on the contact that will be necessary between them, particularly in the first year of a PhD candidature or first semester for master's candidatures, acknowledging that these arrangements may need periodic review. This will include some agreed indicators of progress being made and will take note of known periods of leave for all participants.

The supervisor and the candidate should monitor progress made within the context of the overall research plan. The supervisor should ensure that sufficient time is left for writing up the thesis and that, if necessary, the scope of the project is reduced to meet the time available.

The supervisor has a responsibility to provide regular and constructive feedback to the candidate and should be aware of the need to make annual progress reports both to faculty and to any scholarship authority. Such reports require the candidate to sight and sign them. That should not be the first time at which either supervisor or candidate learns of some dissatisfaction with progress. The annual progress
As well as a supervisor, the University also requires that at least one Associate supervisor of department/school and the faculty or college are kept informed as supervisor should also ensure that the postgraduate coordinator, head of an y issues with which the y are unab le to deal directly . The Difficulties of one sor t or another ma y arise during the candidature, faculty office.

When the thesis is submitted the supervisor is required to certify that

Part of the research training you are receiving is to be ab le to plan and execute a project within defined time limits. A thesis should be appropriate and will need to be negotiated, ensuring that both candidate and supervisor are clear on what each expects of the other. It is recognised that the research experience of a candidate is unique and that arrangements will need to be flexible depending on the nature of the project, the personalities of the participants, and the stage of the research. It is essential that all parties communicate their expectations and adhere to any agreements made. It is advisable that such agreements be put into writing to avoid subsequent misunderstanding.

As need arises, and often at the commencement of candidature, the supervisor is responsible for advising each candidate of applicable government and institutional guidelines for the conduct of research, including those covering ethical requirements for studies on human or animal subjects, and the requirements for the use of potentially hazardous agents and equipment. Information about requirements are detailed in the University of Sydney Code of Conduct for Responsible Research Practice, set out in Appendix 2.

As far as possible, research supervisors should ensure that the work submitted by candidates is the candidates own work, and where there are data, they are valid. Supervisors should ensure that candidates are aware of the requirements regarding the retention of data within the University. Agreement should be reached also between the candidate and the supervisor concerning authorship of publications and acknowledgment of contributions during and after the candidature. There should be open and mutual recognition of the candidate’s and supervisor’s contribution on all published work arising from the project, and there are guidelines established by the University governing the submission of co-authored and published work as part of a thesis.

Before the candidate commences writing the thesis, a supervisor should be able to advise on style and layout as appropriate to the discipline, and provide prompt feedback on drafts submitted. When the thesis is submitted the supervisor is required to certify that the thesis is acceptable for examination and that appropriate ethics clearances have been obtained. The form to be completed to confirm the suitability of the thesis for examination may be found at: sydney.edu.au/ab/committees/PhD_award/phd_award_forms

This form must be completed by the supervisor then signed by the candidate and endorsed by both the postgraduate coordinator and where relevant the dean (or nominee) and should accompany the copies of your thesis when you lodge them f or examination at your faculty office.

Difficulties of one sort or another may arise during the candidature, and supervisors should be aware of the problem-solving mechanisms and the support services which exist within the University for resolution of any issues with which they are unable to deal directly. The supervisor should also ensure that the postgraduate coordinator, head of department/school and the faculty or college are kept informed as necessary.

As well as a supervisor, the University also requires that at least one associate supervisor be appointed for every candidate. While the supervisor still bears overall responsibility for the candidature, the University recognises the value of there being available to the candidate someone other than the supervisor to whom the candidate can freely turn for advice. The relationship between the supervisor and the associate supervisor may vary widely in relation to both the candidature and the project. The associate supervisor might have a largely custodial role, involved in the project and be able to step in to act as supervisor should the primary supervisor be unable to act, but not otherwise actively participate in the day-to-day conduct of the research.

Alternately, the associate supervisor may provide key day-to-day contact with the candidate, for example in a laboratory situation away from the campus, or impart particular expertise or additional experience to the candidate. Associate supervisors can also be appointed from outside the University, so suitably-qualified research personnel in industry or government can assist in the conduct of a research project.

What is constant, is that the supervisor bears the ultimate responsibility for the supervision of the candidate, and is the University’s immediate point of contact in all matters pertaining to the candidature. In exercising this responsibility, the supervisor will often be expected to have consulted the associate supervisor(s) but associate supervisors are generally not required to be formally involved in the reporting process.

The responsibilities of the candidate

A PhD or master’s degree is research training with an output in the form of a thesis which measures the success of that training. Your responsibilities are outlined in the codes of practice in the appendices, but are summarised below.

You as a candidate have a responsibility to make yourself aware both of the legislative requirements for the degree in which you are enrolled and the objectives of that degree. You should also make yourself aware of government and institutional guidelines for the conduct of research and ensure that through your supervisor the necessary approvals for studies on animal or human subjects (including the use of questionnaires) are obtained.

While this should be made explicit as part of your induction, it is also important to ensure that you fully understand any Occupational Health and Safety (OH&S) requirements in the handling of materials or equipment associated with your research project. Feel free to ask questions until you are comfortable with OH&S requirements.

Part of the research training you are receiving is to be able to plan and execute a project within defined time limits. A thesis should therefore be planned and carried out within a clear timeframe, under the supervision of the University. Your degree is undertaken under supervision. The selection and appointment of your supervisor is a matter of great importance in your studies, and you should play an active part in that process. You also have a responsibility to establish with your supervisor agreed methods of working, especially the nature and frequency of contact, and then to fulfil your side of any agreement.

You must attend agreed consultations and provide evidence of the progress you are making throughout your candidature, including submission of the annual progress review form. You must also participate in such departmental/school activities as are expected, including completion of any coursework, and participation in research seminars when they are offered.

You are responsible for drawing your supervisor’s attention to difficulties you are having, either in your research or in anything that is affecting your progress. If you have problems with your supervisor you should be aware of the mechanisms that exist for resolution of problems and take advantage of them (refer to the section below on ‘Satisfactory progress and resolution of problems’).
Should you need to take time away from study via suspension of candidature or spend time away from the University as part of your candidature, you are responsible for obtaining departmental, school and/or faculty approvals as appropriate.

You are also responsible for ensuring:

- that all the administrative requirements of the University, such as re-enrolling each year, are met
- that you have sufficient time allocated to write up your thesis and that you have ascertained what is necessary in terms of content, style and presentation, and
- adequate notice is given to your supervisor of the expected submission date of your thesis to allow timely selection of examiners.

If you are given permission to complete your candidature on a part-time basis or spend time away from the University (conducting fieldwork, for example), it is your responsibility to maintain regular contact with your supervisor and the onus on you to provide evidence of your progress increases rather than diminishes. Problems with candidatures occur all too often in such circumstances and faculty committees tend to have little sympathy with candidates who have not maintained regular contact.

Note that you are solely responsible for the content, style and presentation of the thesis finally presented for examination, although you are strongly advised to follow the advice of your supervisory team as to whether they regard your thesis as ready for submission. Your supervisor must provide a signed statement that the thesis is suitable for examination before lodgement can take place, but they can indicate on this form that they have advised otherwise if you are determined to submit against their advice.

**Satisfactory progress and resolution of problems**

**Satisfactory progress**

The degree requirements for most postgraduate research degrees contain the provision that the faculty or college may:

- on the recommendation of the head of department concerned, call upon any candidate to show cause why that candidature should not be terminated by reason of unsatisfactory progress towards completion of the research degree, and
- where, in the opinion of the faculty, the candidate does not show good cause, terminate the candidature.

**Annual progress review: research students**

For research students the annual progress review form and the annual review process are mechanisms whereby the faculty can be assured that satisfactory progress is being made. It should not be the first point at which a supervisor and candidate discover there is a problem, and identification of difficulties on the form will not in itself resolve them.

The annual progress review form is the place to put on record any difficulties which may or may not have been avoidable, including periods of personal illness or misadventure.

The annual progress report form should also be an instrument for advising the faculty of the conditions of candidature to apply in the following year and whether the previous year’s supervisory arrangements proved satisfactory to ensure progress of candidature.

The annual review procedure requires that the candidate completes the first section of the form which includes a report on progress and provision of space, and comment about any problems faced during the previous year of candidature. On completion, the review form is forwarded to the supervisor, who will then comment on the candidate’s progress and forward the form to the postgraduate coordinator, who will generally interview the candidate before making a recommendation to the faculty or college on the progress of the candidature.

The candidate is required to sign the report after it is endorsed by the postgraduate coordinator to indicate that the comments of both supervisor and postgraduate coordinator have been read. You do not have to agree with the comments made, and space is provided for you to comment on the comments should you wish to do so.

The report is then forwarded to the faculty or college office for final endorsement, where the candidature can be continued, conditions imposed upon continued candidature for a specified time (such as a continuation of a probationary period, revision of progress after a further semester, completion of coursework or change of supervisory arrangements), or in some cases, terminated.

**Departmental/school review**

Departments/schools are required to have a formal process where the candidature of each postgraduate research student is reviewed at the end of the probationary period. The review’s purpose is to assist the candidate and relies on full and open communication. Departments and schools, candidates and supervisors are also encouraged to make use of such a review process at later stages of the candidature.

The review shall include an assessment of the research project, including the resources being made available, the candidate’s progress and the supervisory arrangements. It shall include participation by a staff member who is not the supervisor or the head of department or school and should normally be expected to include the postgraduate coordinator. There will normally be a segment where the student has the opportunity to discuss in confidence his or her progress in the absence of the supervisor.

An outcome will be considered by the head of department/school, if not directly involved, and the faculty concerned. Where difficulties have been identified, the report will include an agreed course of action which may include discontinuation.

Note that while this probation review will often coincide with the Annual Progress review conducted at the end of each calendar year, it need not do so, and departments/schools may conduct the probation review as and when they see fit.

**Resolution of problems**

Problems arising between the candidate and supervisor can and do occur. In some cases, the development of the topic as the project progresses means that the original supervisor's area of expertise is no longer relevant and an alternative supervisor may be sought by either the candidate or the existing supervisor without discredit to either party.

Likewise, associate supervisors sometimes find themselves carrying out the bulk of primary research supervision and wish this to be formally recognised by a change of supervisory arrangements. Such concerns are usually able to be dealt with amicably at the local level, and usually require the completion of a 'Change of Supervisor' form to be lodged with the faculty office.

Occasionally more serious obstacles to research progress develop, ranging from personality or professional clashes between the candidate and/or members of the supervisory team to more serious issues of academic or personal misconduct.

It is obviously desirable that these are addressed and settled as expeditiously as possible and preferably within the department/school. If a candidate and supervisor(s) cannot resolve their difficulties between themselves, either or both may approach the postgraduate coordinator, head of department/school or any other member of the permanent staff to assist with the resolution of the problem. The postgraduate coordinator and/or head should attempt to settle the dispute, but if this cannot be achieved within the unit the matter may be referred to the associate dean (postgraduate) or dean of the faculty or the equivalent within the college.

Advice may also be sought from the Student Advisers located at SUPRA. The Student Advisers provide professional and confidential assistance for all students.
advice or referral about any matters that may affect a student’s candidature, from academic matters, processes, problems and appeals to general welfare issues. The student may also contact the University Counselling Service.

International students should be aware of the specific counselling support available in the International Student Services Unit (ISSU) for international students and their supervisor. A good relationship between supervisor and candidate, in any circumstances, can be difficult to establish and maintain, and cultural differences can impose additional complexity.

For problems that cannot be resolved at the faculty or college level please refer to the section on Appeals (Chapter 7).

Time limits and extension of candidature
A minimum and maximum period of candidature is specified for each candidate for a postgraduate research degree. Note that there are pressures on students and on universities for students to complete as soon as possible. Fee exemption scholarships cease after a specified time for the full-time PhD student, and APAs are for three years (with a possible extension of six months) for PhD candidates.

For research degree students the minimum period is also expressed as the earliest date at which you can complete the requirements for a degree. Your target should be to complete within the minimum period if at all possible.

If you are not able to complete by the earliest date of submission, you do not need to apply for an extension, but will normally have an additional year of full-time candidature (or equivalent) to complete your thesis, expressed by the latest date of submission.

Should it appear during your last year of candidature that you will not be able to complete the requirements by the latest date, you should apply to the faculty or college board through your supervisor for an extension of candidature. Your application should explain why you do not expect to be able to meet the deadline and should refer to any difficulties that might have been experienced during the candidature. These should have been referred to in your annual progress reports. Your application should also contain a realistic estimate of the time you require to finish.

You cannot assume that an extension will be granted. An aspect of the research training being undertaken is to complete a project within a deadline, and your supervisory arrangement should enable any difficulties inherent in the nature of the project to be identified at an early stage of the candidature. Requests for extension must be made in advance and not retrospectively.

Withdrawal
If your circumstances are such that you are unable to anticipate when you will be able to resume your studies, you should seek to withdraw from your course by writing to the faculty office. If you withdraw from study and circumstances later permit you to resume, you will have to reapply for admission. On successful readmission, some credit might be given for the work that you had done up to the time of withdrawal but in effect you will be commencing a new candidature.

If in any year you fail to re-enrol as instructed, including timely return from an approved suspension of candidature, your candidature will be regarded as having lapsed and you will need to re-apply for admission to candidature to resume study.

Assessment and examination
This section covers the assessment and examination for research degrees as well as providing information about University policies. It is your responsibility to ensure you have an understanding of the University’s policies in relation to responsible research, plagiarism, academic honesty and ethical behaviour. If you have any questions regarding these policies you should approach your faculty.

Code of Conduct for responsible research
The University of Sydney Code of Conduct for Responsible Research Practice and Guidelines on Dealing with Allegations of Research Misconduct is included as Appendix 2 to this handbook.

The guidelines include material on retention of data, publication and authorship, the role of research supervisors and disclosure of potential conflict of interest.

Academic dishonesty and plagiarism
The University has strict policies and guidelines on plagiarism, copying, recycling and other forms of academic dishonesty. The Code of Conduct for Responsible Research Practice and Guidelines on Dealing with Allegations of Research Misconduct includes plagiarism (and misappropriation) under the definition of research misconduct, and explains the actions that will be taken if an allegation of misconduct is made. The policy can be found in Appendix 2 or visit sydney.edu.au/ab/policies/Rsch_Code_Conduct.pdf

It is your responsibility to ensure you have an understanding of the University’s policies in relation to academic dishonesty and plagiarism. If you have any questions regarding these policies you should approach your faculty.

Ethics approval
Projects that involve human and/or animal subjects need to be approved by the appropriate ethics committee. It is a supervisor’s responsibility to advise a candidate of the need to apply for ethical approval for research. Further information is available in Chapter 6 and at sydney.edu.au/ethics

If your project involves animal subjects, there is a two-day workshop on animal ethics which you will be expected to attend at the beginning of your research degree. Your supervisor will advise you as to when it will be available.

Please note that scholarship payments cannot be made to students who have failed to obtain ethical clearance where their research requires ethical approval.

Research programs: assessment and examination
At the end of the degree program you will present a thesis for examination by experts in your field. In most cases, the award of the degree depends entirely on the thesis. The examiners know nothing about the candidate or the way that the research project proceeded other than what is contained in the thesis presented for examination.
It is important, therefore, that the thesis is self-contained and conveys clearly the description of the project, how it relates to the field as a whole, how the project was pursued, what techniques were used and how successful they were, and the outcomes of the research.

All this must be presented in an integrated, coherent form that displays the competence of the candidate and demonstrates that a substantial and original contribution to knowledge has been made.

The University has not laid down detailed requirements as to the layout of the thesis other than is set out below with respect to binding.

Expectations and conventions as to what should be in a thesis vary from discipline to discipline. Departments will often recommend particular style guides or may even have their own publication. Precedent in the form of copies of successful theses in a departmental or school library is another useful reference point although these may have been written when current word processing technology was not available. SUPRA also has advice on the content and means of production of theses in its publication The Thesis Guide, available from:

supra.sydney.edu.au/assets/file/Publications/SUPRAthesisguide.pdf

Submission of thesis

A handy checklist of actions that you need to take before submitting your thesis for examination is available from SUPRA’s website, at supra.sydney.edu.au/assets/file/Publications/SUPRAthesisguide.pdf

Please keep in mind that whilst the examination of your degree is governed by Academic Board policy and Senate resolutions, there are some discipline and faculty specific variations to processes and suggested timelines for action, so please ensure that you check with your faculty office in the lead up to submission of your thesis.

Presentation

The Academic Board has prescribed for the PhD the overall form of the thesis, the part published work can, and the availability of the thesis once examined. It requires a supervisor to declare that a thesis is sufficiently well prepared to be examined; that it is legible, clearly expressed and generally free from typographical and grammatical errors.

The statement also attests that appropriate ethics clearances have been obtained, and that the research and writing embodied in the thesis are those of the candidate except where due reference is made in the text.

There are no University guidelines as to the layout of the thesis. Typeface, font size, spacing, double-sided and the like are matters for which you should seek advice from your supervisor or postgraduate coordinator. Ensuring that the thesis is legible and easily able to be examined will facilitate the process. Note that the University will not proceed with the examination of a thesis not considered to be in a form suitable for examination.

The thesis requirements for the degree of Doctor of Philosophy can be met by a portfolio of musical compositions where the thesis includes part published work which you may have submitted for another degree provided you have used the work of others and that portion of the thesis you claim as your own original contribution.

The Academic Board has approved the policy Submission of Doctor of Philosophy (PhD) Theses Containing Published Work to guide this process. You should consult this policy and discuss any additional requirements with your faculty. The policy is available online at: sydney.edu.au/ab/policies/PhD_Theses_Published_Wk.pdf

If you choose to include published work in the body of your thesis, then ensure the thesis is a consistent and unified whole, prepared specifically for the submission of examination for the degree. Critically place any published works used in the body of the thesis in the context of the appropriate field of study and the thesis as a whole. You may be submitted in either temporary or permanent binding. Temporary binding is thermal or 'perfect' binding, which generally entails a soft cardboard cover into which pages are affixed by heat-fused glue. Note that ringback or spiral binding is not acceptable.

Theses submitted in a temporary binding should be strong enough to withstand ordinary handling and postage. The preferred form of temporary binding is thermal or 'perfect' binding, which generally entails a soft cardboard cover into which pages are affixed by heat-fused glue. Note that ringback or spiral binding is not acceptable.

Theses submitted in a permanent form (see below for electronic submission) shall normally be on international standard A4 size paper sewn and bound in boards covered with bookcloth or buckram or other binding fabric.

The title of the thesis, the candidate’s initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear in lettering on the front cover or on the title page. The lettering on the spine, reading from top to bottom, should conform as far as possible to the above except that the name of the University of Sydney may be omitted and the thesis title abbreviated. Supporting material should be bound in the back of the thesis as an appendix or in a separate set of covers.

Length of thesis

The word limits for research degrees are set by faculties and vary from degree to degree. Please check the resolutions for your degree in the relevant faculty handbook. Handbook information is available from sydney.edu.au/handbooks

Please note that word limits do not include footnotes.

Preface

In presenting your thesis you will be required to state in general terms in the preface, and more specifically in the notes, your sources, the animal and human ethical approvals obtained, the extent to which you have used the work of others and that portion of the thesis you claim to be your own original contribution.

Generally speaking, you will be permitted to incorporate in your thesis work which you may have submitted for another degree provided you identify it as such but, of course, you may not submit a thesis that has already been successfully presented for a degree at this University or elsewhere.

Inclusion of publications

The University of Sydney (Amendment Act) Rule 1999 (as amended) allows for a candidate to submit in support of candidature, any publication of which the candidate is the sole or joint author, along with evidence identifying the sections of the work for which the candidate is responsible.

The Academic Board has approved the policy Submission of Doctor of Philosophy (PhD) Theses Containing Published Work to guide this process. You should consult this policy and discuss any additional requirements with your faculty. The policy is available online at: sydney.edu.au/ab/policies/PhD_Theses_Published_Wk.pdf

If you choose to include published work in the body of your thesis, then ensure the thesis is a consistent and unified whole, prepared specifically for the submission of examination for the degree. Critically place any published works used in the body of the thesis in the context of the appropriate field of study and the thesis as a whole. You may
only include published work if the research and publication of the work occurred during the course of your candidature.

Number of copies
The number of copies of a thesis required varies according to the degree. For example the PhD requires four copies to be submitted, while the Doctor of Juridical Studies in the Faculty of Law and most master’s degrees require three copies of the thesis.

You should check the appropriate Senate and faculty resolutions for any degree-specific requirements. The Senate resolutions for the PhD are available in the Calendar while faculty resolutions for other research degrees are available in the appropriate faculty handbook.

Summary
A summary of approximately 300 words must also be submitted with a PhD thesis.

Library copy
During the examination process it is important that one copy remain in the safekeeping of the Registrar while others are being examined. After the award of the degree one copy, corrected as necessary, printed on archival paper and bound in a final form, must be lodged with the Registrar for deposit in the University Library. Individual faculties may require an additional copy, also corrected and bound in a final form, to be lodged in a faculty or departmental/school library. Other copies of your thesis may be returned to you as they are received back, in due course, from examiners. Usually the faculty office will write or telephone to say that copies are available.

The statutes relating to the lodging of theses in the Library are prescribed in the University of Sydney (Amendment Act) Rule 1999 (as amended) included in Appendix 5 of this Handbook.

The requirement for the library copy to be printed on archival paper is because of the eventual disintegration of works printed on normal paper. The University Librarian has advised that any paper described as ‘acid free’ or ‘archival’ is of archival quality and acceptable for use in the copy deposited in the University Library. Most paper used for computer printing is ‘acid free’. The University Copy Centre and SUPRA carry stocks of such paper, as do many commercial stationery stores.

Both SUPRA and the University Publishing Service (UPS) are equipped to copy theses economically, and UPS does temporary bindings for examination and case bindings for permanent lodgement. SUPRA also maintains a list of binders that is available on request. Call (02) 9351 3715 or email admin@supra.sydney.edu.au

Public availability of thesis
It is University policy that a thesis which results from a program of advanced study and research should be lodged immediately in the University Library and/or departmental/school library after the degree has been awarded. There it becomes immediately available for consultation and, subject to your copyright rights, for photocopying and microfilming.

A program of advanced study and research should only be undertaken if these conditions can be fulfilled. The statutes relating to public availability of theses are prescribed in the University of Sydney (Amendment Act) Rule 1999 (as amended) included in Appendix 5 of this Handbook.

There are two types of circumstance for which these provisions may not apply:

- During your candidature it may become clear that it will be necessary for you to use confidential material which you would not be at liberty to disclose in the thesis. In this situation the faculty or college may recommend to the Graduate Studies Committee that permission be granted to include, in an appendix, material essential to the thesis but which may not be made available for general inspection. Access to the appendix would then be restricted by the University Library for a period normally not exceeding five years. The examiners of the thesis and, as necessary, members of committees concerned with the examination will have unrestricted access to the appendix. The University Librarian may also grant access under certain conditions to bona fide scholars. See also the comments about collaborative research projects in Section 5 on intellectual property. Permission to include material in an appendix must be sought during your candidature and not after your thesis is completed.

- You may also apply for a deferment of public availability of your thesis if you are preparing your thesis for publication and have reason to believe your interests would be at risk if the thesis were immediately available. For example, an application for deferment might be made to allow time for registration or protection of intellectual property such as the filing of a patent application. Where this can be anticipated, it is important to apply as soon as possible and to provide an adequate explanation to allow the application to be assessed.

Sponsoring bodies/agencies should be made aware of the University policy which endorses the principle of early publication, and where possible the need for and duration of deferment should be included in the initial funding contract. In any case, applications for deferment of public availability of the thesis should be made as soon as the need for deferment is identified, and certainly before the thesis is submitted for examination.

Potential examiners will also need to be made aware of the confidential nature of the thesis matter and may be required to sign confidentiality agreements before the thesis can be examined.

Your faculty can grant a deferment of up to six months without further consultation and can recommend to the Graduate Studies Committee that a further deferment, normally no longer than an additional six months, be granted. In exceptional circumstances you may apply to defer publication for a longer period. In all cases application is made via your faculty office, on the appropriate form, available from your faculty or from: sydney.edu.au/ab/committees/PhD_award/phd_award_forms

In all such applications, you should set out clearly the reasons for your request and submit firm evidence supporting it, such as a letter of acceptance from a publisher, contract with an industry partner or an explanation of the necessity to maintain confidentiality to protect patent or other rights. You will also need the support of your supervisor and head of department.

Submission
When you submit the required number of copies to the faculty office your thesis should be accompanied by the statement from your supervisor stating that the thesis is suitable for examination. Many faculties will not accept your thesis unless it is accompanied by this statement.

At this point you will sign the statement about your thesis being available for public use after examination and will receive a receipt acknowledging lodgement. If appropriate, this receipt can then be used to claim thesis preparation expenses. Please contact your faculty office for advice if you will not be able to submit your thesis in person.

Once your thesis is lodged the faculty office will affix a label inside covering copyright in relation to the thesis before it is distributed for examination.

Electronic submission of theses
The Academic Board has made provision for electronic submission of theses for the purpose of examination where the candidate wishes to submit in this form and examiners are prepared to examine in this way.

While the present print form of submission is likely to remain the most acceptable form of submission for the foreseeable future, this new
method will probably become increasingly popular with the passage of time and improvements in technology. It will also provide a saving in thesis printing and binding costs and examining time.

The introduction of the electronic option does not detract from the present system in any way and only increases the degree of choice available to both candidates and examiners.

The rules relating to electronic submission are set out in detail in Appendix 3. Students who wish to submit electronically need to inform their supervisor and faculty of their intention at least three months before their expected date of submission. Additionally, they need to specify clearly the medium(s)/format(s) in which they wish to submit.

It is the responsibility of the supervisor to advise examiners about the electronic format(s) available and to ascertain whether or not the examiner has the appropriate software available for electronic examination. It is not intended that examiners negotiate the format or that it be discussed between candidate and examiner.

The University provides general guidelines on the preferred form of electronic submission, with Academic Board policy suggesting submission of the thesis on disk. It is noted that the title of the thesis, the candidate’s initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear on both the title page of the thesis and on a label affixed to the disk.

The Academic Board also suggests that each chapter must be contained in a separate document. Some faculties have decided that they prefer theses submitted electronically to be submitted as a single document, preferably in PDF format, which may easily be emailed to examiners.

It is also suggested that a hard copy of the thesis should normally be submitted for retention by the faculty office even when the thesis is being examined electronically, although faculties may waive this requirement.

If after examination the degree is awarded, candidates who elect to have their thesis examined electronically must still submit one permanently bound copy of the corrected thesis printed on acid-free paper, for lodgement in the University Library. Note that the degree will not be awarded until this has been done.

Dissemination of your thesis
As the Library is one of the contributing members to the Australian Digital Theses Program, you may also wish to have your thesis included in this database. Information regarding this project, the relevant deposit form and instructions on uploading your thesis may be obtained from the Library website: www.library.sydney.edu.au/theses/subfaq.html

You may wish to have your thesis listed in Dissertation Abstracts International and to be available for purchase from its publisher, University Microfilms International. Details, including the fee charged for this service, can be obtained by consulting the UMI website at: www.tls.il.proquest.com/en-US/products/dissertations

Examination of thesis
The examination rules for the PhD are included in Appendix 3 in this handbook. While these rules refer specifically to the PhD, faculties are required to follow them (with appropriate modifications) for other research degrees.

Appointment of examiners
The examination process starts before the thesis has been completed. The University attempts to avoid any unnecessary delays in the examining process, and one way of reducing delays is to ensure that when the thesis is submitted the examiners have been arranged and are willing and ready to act.

You, as the candidate, should know when your thesis is likely to be ready for examination and alert your supervisor to identify suitable available examiners. Particularly at some times of the year, it can take time to make contact with potential examiners who are able to examine when your thesis is expected to be submitted.

You are required to let your supervisor and/or the head of your department/school know, three months before you expect to submit your thesis. The 'Notice of Intention to Submit Thesis' form is available from your faculty.

If you wish to submit your thesis in electronic form, advise your supervisor and/or the department/school, by way of the appropriate form available at the faculty office, at least three months prior to submission.

While the appointment of examiners remains the responsibility of the University, you, as a candidate, may make an input. In appointing examiners the University seeks to ensure that they are appropriately qualified in and conversant with current research in the field concerned, are familiar with the requirements for the degree in question, and are free from bias for or against the candidate or supervisor.

You as the candidate may indicate in writing to your head of department/school, chair of the postgraduate committee or dean of your faculty, the name of any person you believe should not be appointed as an examiner, clearly stating your reasons. You may also initiate with your supervisor and/or head a discussion as to the range of possible examiners.

Care must be taken not to jeopardise the integrity and independence of the examination process. As such, you will not be privy to the names of the examiners chosen to mark your thesis until after the examination is complete, and only then if they agree to the release of their details.

In the case of the PhD, the recommendation for appointment of examiners is made on a form which iterates the requirements expected of examiners and asks for supporting documentation if the examiner is not obviously research active or qualified by virtue of an academic appointment to so act (if they have retired, for example, or work in industry). The procedure is similar but less elaborate for master’s degrees.

Before a PhD thesis can be dispatched for examination, the examiners must be approved by the PhD Award Sub-Committee of Academic Board to ensure that they are suitably qualified to assess your work for the award of the degree.

Due to the time taken to approve the appointment of examiners, it is essential that the appointment process is commenced before you submit your thesis to avoid delay in the examination of your thesis. Lodgement of the Intension to Submit form three months before submission prompts the faculty to contact your supervisor to formally commence the appointment process.

Generally, your supervisor will recommend the appointment to your head of department/school (who officially forwards the recommendation to the dean for for endorsement before it is forwarded to the PhD Award Sub-Committee. Once the PhD Award Sub-Committee has approved the appointment, the faculty are contacted and the examination may commence as soon as your thesis is lodged.

Number of examiners
Three examiners are required for the PhD, DSW and EdD and generally two for master’s degrees and for the SJD and doctorates by research and advanced coursework.

From 2001, it is a requirement of University funding that every postgraduate research thesis, including those at the master’s level, be examined by at least one external examiner. In 2000 the Academic Board determined that there must be at least two examiners external to the University for the PhD degree, that an internal examiner need not be expected, and that the supervisor cannot be an examiner.
The examination

The examiners are requested to report within two months of receipt of the thesis. The faculty or college office monitors their progress and sends reminder notices if an examiner has not responded, and, if absolutely necessary, moves to appoint a replacement examiner.

On occasions there are problems with getting examiners’ reports returned promptly. However, delays can be lessened by having examiners ready to act on receipt of the thesis at the time they expected to receive it, and ensuring where possible that your thesis is submitted at the time indicated on your ‘Intention to Submit’ form. If your thesis is not submitted within three months of the appointment of examiners, those examiners may need to confirm their continued willingness and availability to examine.

Examiners are required to produce independent reports on a thesis and are not told who the other examiners are. If consultation inadvertently takes place, they are asked to indicate in their reports the extent of that consultation.

Recommendations on thesis

When all the examiners’ reports have been received, in respect of master’s degrees, the EdD, DSW and SJJD, they are sent to the head of department/school for a recommendation. The head, particularly if there is any disagreement among the examiners, should, if reasonably possible, consult the supervisor and the annual progress reports before making a recommendation.

In the case of master’s degrees the recommendation is made to the dean of the faculty or to a designated associate dean or college officer who will either act or refer the recommendation to the faculty or college postgraduate committee.

In the case of the EdD, DSW, SJJD and other doctorates by research and advanced coursework, the recommendation is made to the PhD Award Sub-Committee which can either award the degree without further conditions or subject to minor correction or subject to the making of emendations, or it can refer the recommendation to the faculty’s postgraduate committee.

In the case of the PhD there has been a series of delegations allowing the relevant faculty, in certain circumstances depending on the recommendations of the examiners, to award the degree without further conditions, subject to minor correction, or subject to the making of more substantial emendations, or the satisfaction of other conditions. In other circumstances a recommendation is made to the PhD Award Sub-Committee which can decide on whether or not to award the degree and under what conditions.

The outcomes that are possible are as follows:

- that the degree be awarded without further conditions
- that the degree be awarded subject to minor correction before the degree is conferred (this includes correction of minor errors or omissions in the thesis, such as incorrect citations, omissions, or typographical errors, which must be corrected but which do not alter the conclusions of the thesis)
- that the degree be awarded subject to emendations being made in all the copies of the thesis to be retained in the University
- except in the case of the report of an oral examination, that the candidate be required to pass an additional (usually oral) examination or answer specific questions put by an examiner
- except in the case of the report of an oral examination, that further examination processes be gone through such as the appointment of an additional examiner or the appointment of an additional examiner to act as an assessor or the referral of the reports to the other examiners together with the comments of the supervisor
- that the candidate not be awarded the degree but allowed to revise and resubmit the thesis within a prescribed maximum period of time
- that the degree not be awarded.

Where the recommendations of the examiners are all for award or for award subject to minor correction, the requirement for a recommendation from the head of department/school is dispensed with and the degree is awarded at faculty level. The candidate will be advised any corrections that are necessary by his or her head of department/school or supervisor. These corrections must be made in the Library copy of the thesis which must be lodged before graduation can occur.

Where the decision is that the degree will be awarded subject to the making of emendations the candidate will be advised what emendations are necessary by his or her head of department/school or supervisor. The Academic Board considers that copies of the thesis retained within the University (in Fisher or departmental libraries, for example) should be as free of error as possible and that where examiners have pointed out errors these should be corrected in all copies.

When these corrections/emendations have been completed to the head of department/school’s satisfaction, the head so advises the faculty office which, after it receives a copy of the thesis for lodgement in the University Archives, writes a further letter advising that the degree is to be awarded.

Any emendations or corrections should normally be made within three months of the candidate being informed of the outcome. If this has not happened within that time the head of department/school is required to report the circumstances to the faculty or college’s postgraduate committee which could then determine that the degree not be awarded. Quite simply, the sooner the emended thesis is submitted, the sooner your degree will be awarded.

If you are required to revise and resubmit you will be informed of this decision and invited to comment on the recommendation (see below). You will be advised on how long you have to complete the revision and when you will be expected to submit the revised thesis, and will be required to re-enrol for this period.

At the end of the revision period, you will resubmit copies of the thesis following the same process as for the first examination. Note that the same examiners will be reappointed to assess the revised thesis unless those examiners are unwilling or unable to act or the faculty considers that there are good academic reasons for not doing so.

When a thesis is submitted for re-examination, the examiners do not have available to them the recommendation of further revision and a third examination. Such a recommendation is available to the department/faculty only in exceptional circumstances and would require the special permission of the Graduate Studies Committee. In the case of a revised thesis, there is no option for the candidate to request that an oral examination be conducted.

In the circumstance that it has been recommended that the degree not be awarded, it may be possible to resubmit the thesis for a lower degree, graduate diploma or graduate certificate, either after some additional work or immediately. In the case of some degrees there is provision for the award of a lower degree without re-submission. For example, an MA can be awarded to an MPhil candidate.

If a faculty or college board forms the intention not to award the degree or not to award but allow revision and re-submission, there is a period of deferral to allow a process of consultation with the candidate. You will be advised in writing of the faculty or college board’s intent and may be given unidentified copies of such of the examiners’ reports as the examiners have said may be released.

You then have four weeks to give notice that you wish to provide comment on the proposed resolution of the faculty and a total of eight weeks to actually do so. This is a time when you should consult with your supervisor and/or your head of department/school or the associate dean or dean.

This process is intended to allow you to bring forward any additional information that you believe should be taken into account.
comments, if any, are then considered by the faculty or college board and a decision made.

Examiners’ reports
When this examination process is complete you will be sent the reports of the examiners or extracts from those reports. If the examiner has agreed to the release of his or her name the report will be identified, otherwise, reports are anonymous.

Examiners are asked to return their copies of the thesis by surface mail. You will be advised if and when these are received back in the faculty office so that you can either collect them or give instructions for their disposal.

Examiners are requested to make all comments or note all necessary corrections in the formal examination report, so access to the hard copy of the thesis that they have examined is generally not needed to complete any recommended changes before submission of the final version of the thesis.

Please note that while examiners are requested to return theses sometimes they fail to do so (especially if they are located overseas) and do not respond to further reminders. That is generally as far as the University will take the matter, so please do not harass administrative staff to chase outstanding copies.

Occasionally an examiner will ask to keep a copy of a thesis and such a request will be passed on to you after the examination process is complete. It could be an advantage for you in your professional career to comply with such a request, but you are by no means obliged to do so.

Oral examination of PhD Theses
This form of examination may not be appropriate for some projects. Students should discuss the possibility of an oral examination with their supervisor and faculty early in their candidature.

The objectives of an oral examination
An oral examination or re-examination of a thesis is seen as a desirable means of assessment, since it provides a means:

- to test the comprehension of the candidate of the field of study described by the thesis and any appended material
- to clarify points either of principle or of detail in the thesis
- to assess the contribution made by the candidate to the content and presentation of the thesis
- to provide an educationally rewarding and personally satisfying finale to the PhD candidacy, and
- to give the candidate the benefit of advice from the examiners.

In addition, the oral examination has the potential to reduce the length of a thesis examination by, for example, directly familiarising the examiners with the University’s standards and expectations, by clarifying points which might otherwise be dealt with by re-examination, and by providing a firm date for completion of the examination.

Note: The oral should not be a forum in which the examiners’ recommendation(s) are debated or challenged by the head of department/school, supervisor or candidate.

The content of the oral examination
The oral examination of the thesis examines only that material which would be examined by a thesis-only examination (ie the content of the thesis and any appended material).

The recommendation to conduct an oral examination
The dean of the faculty, or nominee, has the responsibility for determining that an oral, rather than a thesis-only examination, be conducted.

- An oral examination of the thesis can be recommended by the head of department/school or requested by the student. (To be consistent with other resolutions, however, a student cannot request an oral examination of a resubmitted thesis.)
- The head of department/school should already have discussed the examination process, including the possibility of an oral examination, with the student, and should confirm with the examiners their willingness to conduct an oral examination before appointment.
- An oral examination of the thesis is approved by the dean or nominee.
- An oral examination of the thesis will be approved only if the head of department confirms that the department/school will arrange the oral examination and bear the associated costs (including where necessary travel and accommodation for the examiners or the provisioning of video-, web- or tele-conferencing facilities).
- The examiners are notified and must agree to participate.
- The dean appoints a convener from the faculty in which the candidate has been studying.
- The examiners’ written reports are required within eight weeks of the submission of the thesis.
- The oral examination is set, prior to the submission of the thesis, for a date within approximately 10 weeks after the date of submission.
- If the student fails to submit the thesis by the nominated date, the examination reverts to a thesis-only examination.
- Each examiner provides an interim recommendation.
- The convener examines the examiners’ reports and recommends to the dean whether an oral should be held (eg no oral may be needed if all recommend: award, awarded subject to minor correction, revise and resubmit, non-award).
- If the dean agrees that no oral is required, the examiners are so advised and informed that their interim recommendations become confirmed recommendations.
- If no oral is required, the examiners’ reports and recommendations are processed as for a thesis-only examination.

Conduct of the oral examination
The oral examination is conducted in the following manner:

- The candidate, head of department/school and supervisor are given copies of the examiners’ reports and interim recommendation.
- The oral examination is chaired by the convener. The candidate may be accompanied by another member of the University, nominated by the candidate.
- The oral examination will normally last between one and two hours.
- Absent examiners may participate by video-, web- or tele-conferencing, as may the candidate.
- Absent examiners may send questions to the convener.
- Detailed responses to questions provided by absent examiners need not be returned to them.
- At least two examiners must participate in person or by video, web or telephone link.
- At the conclusion of the discussion with the candidate, the convener and the participating examiners prepare the examining committee’s recommendation in camera.
- The supervisor and the head of department/school will not be present at the closed session, but the head will be consulted and the supervisor advised about the result to be recommended after the completion of the oral examination.
- The convener advises the candidate of the examiners’ recommendation.
- The examiners may resolve to recommend that the degree be awarded subject to conditions listed in the examiners’ report. These conditions should be addressed to the satisfaction of the head of department/school. In this case, the convener, in consultation with the head of department/school, will determine the emendations required.
- The convener prepares a report, endorsed by the members of the examining committee present, describing procedures followed, conclusions reached and advice given to the candidate.
- The candidate and head of department endorse the report as appropriate.
- The convener forwards the report to the dean.
- Should the examiners participating in the oral examination fail to agree, the convener asks them to supply any rejection of their interim reports within 10 weeks. The examiners’ final reports
Research information

and the convener's report are then considered by the University as for the examiners' reports in a thesis-only examination.

Outcomes of the oral examination
If the examiners recommend award of the degree, or award subject to the making of emendations and the head of department/school agrees, the dean can approve award of the degree. The conduct of an oral examination and the result of the examination are reported to the faculty postgraduate studies committee and the PhD Award Sub-Committee for noting.

If the head of department/school disagrees with the examiners' report and/or the examiners recommend revise and resubmit or non-award, the examining committees' report, the head of department/school's comments and, if appropriate, the candidate's comments are forwarded to the faculty's postgraduate studies committee and the PhD Award Sub-Committee for consideration under sections 3(4) of the Resolutions of the Academic Board relating to the Examination Process (as set out in Appendix 3).

This is not intended to represent a form of veto by the head of department/school. It simply reflects the existing practice in which the head of department/school is required to comment on the examiners' reports.

Role and responsibilities of the convenor
Normally, the convener, appointed by the dean of the faculty, will be from a department/school other than the one in which the student is enrolled. The convener is a representative of the dean, and is authorised and required to:

- discuss with the candidate in advance, the nature of the oral examination, noting that candidates are expected to prepare their own defence
- advise the candidate, before the examination, of the main issues to be raised by examiners, observing, however, that examiners would have the right to ask other questions
- assure the candidate that the examination is intended to be constructive and helpful
- chair the closed session of the oral defence of the thesis
- explain the proceedings to the examiners and the candidate
- advise the candidate at the end of the session, on behalf of the dean, of the outcome of the examination
- give the head of department/school the opportunity to append comments to the convener's report on the oral examination, and
- provide a report to the dean of the faculty, outlining the procedures followed, the conclusions reached and advice given to the candidate; this report should be written at the conclusion of the oral examination and endorsed by the members of the examining committee present.

Outcomes of the oral examination

When the award of the qualification has been approved and the corrected, archival copy of the thesis has been lodged in the Library, the Registrar will write advising you of this and will send you details of the next conferring ceremony at which you may graduate.

A graduation information package will be sent several weeks before the ceremony, which will include tickets for three guests, information about the graduation ceremony itself and academic dress hire. A booklet about academic dress is available from the Student Centre and the academic dress for the various degrees is also listed in the Calendar.

Alternatively, you may apply to have your degree conferred in absentia, without attending a graduation ceremony. Information about how to arrange this will be sent with the graduation package. Note that until the qualification has been conferred, you are not entitled to call yourself a graduate in that course or to use any title associated with it.

For more information about graduation, please visit the Graduations Unit website: sydney.edu.au/current_students/student_administration/graduations

Post-submission
Traditionally, on submission of a thesis for examination, a candidate is no longer considered to be a student and access to core services ceases. The University recognises, however, that access to facilities such as email and the Library are essential to students immediately post-submission, to allow for preparation of publications arising from your research, maintain relationships with academic contacts, and ultimately to make any emendations that may be required before submission of the archival copy of your thesis.

Throughout 2009, students will automatically continue to have full borrowing rights at the Library from the time of submission until the award of the degree. Continuing access after award is currently being discussed by the Library and Alumni & Community Relations.

At the time of publication, automatic continuing email access after submission is still being finalised, so please check with your faculty office if you need continued access to email after you submit your thesis.

Grading systems for postgraduate research degrees
All faculties which award grades in postgraduate award courses, whether research or coursework award programs, are asked to use the same grading system that is used University-wide for undergraduate programs (that is, the Fail, Pass, Credit, Distinction and High Distinction system).

In respect of research master's degrees, a degree may be either awarded or not awarded at the end of the examination process, as for the PhD, and no provision should exist for research degrees to be awarded with any class or classes of honours or with merit or other distinction.

Provision should be made, however, for the thesis to be allocated a grade of Pass, Credit, Distinction or High Distinction system.

All faculties which award grades in postgraduate research degrees are asked to use the same grading system that is used University-wide for undergraduate programs (Fail, Pass, Credit, Distinction and High Distinction system).

Faculties need to inform examiners of the range of marks used by the University for awarding grades.
Important issues for students relating to intellectual property arise in the consideration of copyright, inventions, and involvement with confidential research projects. A brief summary of the major issues relating to each of these is given in the following paragraphs.

In the process of working with each other, students and other researchers, such as their supervisors, may jointly create new intellectual property. In such circumstances, the joint owners of the intellectual property need to work cooperatively together to ensure the best outcomes from its use.

Copyright

Generally the author of a work is the owner of copyright in it and this is the case for a thesis produced by a postgraduate student. In the event that there are multiple authors to a work, each is entitled to exercise all rights in relation to the whole work.

Copyright in a written work is automatically established as soon as it is created, and in Australia the author does not have to take any steps to bring this about.

It is the practice of the University not to enter into collaborative or contract research agreements which involve students and which would prevent either the submission and examination of the thesis during the period set by Senate or the inclusion of any necessary material.

This said, there are provisions within the University of Sydney (Amendment Act) Rule 1999 (as amended) for requesting that part of a thesis or the thesis in its entirety be withheld from public availability in the University Library for a period.

Once a thesis is lodged in the library it may be used, but only under the normal conditions of scholarly fair dealing for the purposes of research, criticism or review. In particular no results or conclusions should be extracted from it nor should it be copied or closely paraphrased in whole or in part without the written consent of the author. Proper written acknowledgment must be made for any assistance obtained from the thesis.

Candidates should ensure that they are aware of their rights and responsibilities under copyright legislation including the concept of 'fair dealing' in respect to copying copyright material.

For further information about copyright, contact your supervisor, the Sydnovate Office, Office of General Counsel, SUPRA, or a solicitor.

Information provided in the guide to copyright at sydney.edu.au may also be of assistance.

Confidential research and public availability of theses

The statutes and regulations of the University require that a thesis be publicly available in the University Library after examination. In special circumstances, public availability of a thesis may be delayed in accordance with a schedule and procedures established by the University’s Senate and detailed in the University of Sydney (Amendment Act) Rule 1999 (as amended), which are included as an Appendix of this Handbook.

A candidate involved in work which is funded by a contractual arrangement should ensure that he or she is fully informed about any conditions which could restrict disclosure of information.
If you develop new intellectual property which requires registration to ensure its protection, such as patenting, then you should seek advice from your supervisor or the Business Liaison Office as to any restriction which proceeding to register this new intellectual property may place on your thesis and its publication.

Postgraduate students who are involved in contract or collaborative research need to have a clear understanding of any restriction or delay to publication that is required by the sponsor of the research prior to commencing the work.

A student’s supervisor, Head of School and the staff of Sydnovate are ready to assist students who are attempting to evaluate the opportunities and restrictions presented through participation in a collaborative project. In no case should the submission and examination of theses be delayed beyond the period set by the Senate, nor should any necessary material be excluded.

The sponsor can request that a thesis is submitted in confidence to examiners for evaluation and the public availability be restricted for a short time if it is agreed that public availability would adversely affect the commercialisation of the results of the project. Such a delay will require an approval by the Graduate Studies Committee.

The application to the committee should be made through your head of department and faculty. The application must contain adequate justification for the request.

Inventions
For the purposes of this section, inventions includes patents, innovation patents, circuit layouts, trade marks, designs, Plant Breeders’ Rights, Plant Variety Rights, copyright in all forms and know-how. The capacity to exercise exclusive rights in relation to an invention, such as the sole right to use it, may require explicit registration, such as a patent application.

The University will assist any student in reviewing the opportunities for commercially exploiting an invention that the student has produced in the course of his or her study and that the student owns.

Although initial advice is both confidential and free, any action taken by the University to protect and commercialise an invention created by a student will require the student to first assign the invention to the University. Contact should be made with the Sydnovate Office after discussing the matter with your supervisor and Head of School.

Inventorship and acknowledgement guidelines
Agreement should be reached between the student and the supervisor concerning authorship of publications and acknowledgement of contributions during and after the candidature. There should be open and mutual recognition of the candidate’s and supervisor’s contribution on all published work arising from the project.

Both ethically and legally, all people who have made a substantial contribution to the production of work should be acknowledged.

It is suggested that the question of acknowledgement, including the likelihood of co-authorship, be discussed at the beginning of a project with all who are likely to participate. Agreement should be reached then, but decisions may need to be reviewed as the project proceeds.

Co-authorship
As a guiding principle it is understood that a co-author would have an excellent mastery of the subject.

Academic rank should neither preclude nor necessitate co-authorship. Special attention should be paid to the contributions of postgraduate students. They should be co-authors, as should others, if they have contributed significantly to the project.

Other acknowledgments
It is recommended that acknowledgement of contributions below the level of co-authorship be detailed in proportion to the importance to the project.

The following lists were designed to draw attention to contributions which should be considered for acknowledgement. They should be consulted for formulating decisions on co-authorship and other acknowledgement.

People who may be involved in the execution of a project include:

- animal attendant
- archivist
- collaborator
- computer personnel
- director/manager/coordinator
- electron microscopist
- laboratory assistant
- laboratory manager
- photographer
- postgraduate
- professional officer
- research assistant
- technical officer
- typist
- undergraduate.

Their areas of involvement in a project might include:

- initiation of project: concept formation; review of area/topic; integration of first two above/discussion; writing funding proposals
- pilot work: design and analysis strategy; execution and analysis of pilot study
- equipment: development of procedures/devices/measures for evaluation of experiments; designing technical equipment; building technical equipment
- computer programs and database system: development of original programs/tables; designing or adapting alternative programs/tables; computer/statistical construction and analysis
- execution of complete project: refer to list of people who may be involved
- analysis: analysis strategy; computation/analysis
- writing up: designing paper; literature review; empirical evidence; drafting paper; including bibliography; draft revision; final write up; illustrations; typing; index [for books].

Contacts
Sydnovate
Level 5, SIT Building (J12)
Cleveland St and City Rd
University of Sydney NSW 2006
Phone: 9351 4000
Fax: 9351 3636
sydney.edu.au/sydnovate
The research integrity group is concerned with promoting responsible conduct in research. Please visit sydney.edu.au/research_support/integrity for information about the University's Research Integrity Advisors and other initiatives.

Human and Animal Ethics

The Research Integrity Unit also ensures that all University of Sydney research is conducted in accordance with State Acts and National Codes of Practice. All new and existing animal and human research ethics applications are processed and monitored by the Research Integrity Unit which serves as the point of contact for the Animal Ethics and the Human Research Ethics Committees. All inquiries regarding the research ethics process should be made to:

Research Integrity
Level 6, Jane Foss Russell Building, G02
City Road, Darlington Campus
The University of Sydney NSW 2006
Website: sydney.edu.au/research_support/integrity
Ethics Fax: (02) 8627 8177

Human Ethics

University of Sydney staff and students who intend to conduct research involving human participants as part of an Honours, Diploma, Masters, Doctorate or other higher degree must apply for approval from the University's Human Research Ethics Committee (HREC). Research must be granted HREC approval BEFORE it can commence. The HREC does not give retrospective approval.

Research involving humans may include:

- Administering questionnaires/surveys
- Conducting interviews or focus groups
- Investigating or observing human behaviour
- Us of data or human tissue
- Routine testing of human participants
- Administering drugs, ionising radiation, chemical agents or vaccines
- Any other experimentation involving human beings

Research involving humans undertaken at any of the University’s affiliated research institutes (see Research Centres at sydney.edu.au/research/about/research_centres/index) must also be approved by the HREC.

Where a student is working on a project approved by another NHMRC/AHEC-registered HREC, the student must seek recognition of this approval from the University's HREC. Postgraduate students should submit their applications to the HREC via the Research Integrity Unit. Further information and application forms are available at the website: sydney.edu.au/research_support/integrity

Animal Ethics

The University of Sydney Animal Ethics Committee (AEC) is responsible for overseeing the safety and wellbeing of all animals used in research and teaching within the University. All research and teaching at the University which involves animals requires ethical approval from the AEC. The AEC meet 12 times per year to consider applications to use animals.

The use of non-human vertebrate animals for research and teaching in New South Wales is directed by a variety of federal and state legislation, codes of practice, guidelines and University policy. The key regulatory provisions in New South Wales can be found within the Animal Research Act 1985 (“the Act”) and the Animal Research Act Regulation 2010. Under the Act, the University and departments and faculties which carry out procedures using live animals must have “Accreditation as an Animal Research Establishment” and “Animal Supplier Licence” issued by Industry & Investment NSW. AECs review, approve and monitor the research and teaching projects, which originate from these licensed premises.

The core document directing researchers, teaching staff and AECs in all aspects of scientific animal use is the Australian Code of Practice for the Care and Use of Animals for Scientific Purposes, 7th Edition, 2004 (The Code).

The Code defines how animal work should be overseen and monitored, and identifies general principles governing the ethical and humane use and care of animals within science. AECs apply these principles to animal ethics approval and monitoring within the University.

For more information see:
Australian Code of Practice for the Care and Use of Animals for Scientific Purposes (The Code)

It is the responsibility of the investigator to ensure that all facets of animal care and use meet the requirements of The Code. This includes a responsibility to protect and promote the welfare of animals used.

The Code embodies the principles of the 3 Rs:

- Reduction of animal use
- Replacement of animal use
- Refinement of animal use

It is important to consider these principles when designing and carrying out projects.

The Code requires that animal use in research must be:

- valid
- humane
- justifiable
- considerate
It also requires researchers to actively seek alternatives to the use of animals in research and to justify why the use of animals is essential for their project.

The Code describes the responsibilities of people who use or supply animals for research, the responsibilities of Animal Ethics Committees, and the responsibilities of accredited research establishments. The Code requires that the welfare of the research animals is always given consideration as a top priority.

All use of animals for scientific purposes in New South Wales must comply with the code.

Postgraduate students should submit their applications to the AEC via the Research Integrity Unit. Further information and application forms are available at the website: sydney.edu.au/research_support/ethics

**Contact Animal Ethics Staff**

General Enquiries:
Email: animal.ethics@sydney.edu.au

Roslyn Todd
Phone: (02) 8627 8174
Email: roslyn.todd@sydney.edu.au

Lucie Nedved (Animal Welfare Manager)
Phone: (02) 8627 8175
Email: lucie.nedved@sydney.edu.au
Any student may appeal against an academic decision. All information regarding appeals is located in the Calendar 2010. Calendar located at sydney.edu.au/calendar

If you wish to lodge an appeal against an academic decision you should read the following policies:

- The University of Sydney (Student Appeals against Academic Decisions) Rule 2006. Policy located at sydney.edu.au/senate/policies/Ac_Appeals_Rule.pdf
- The University of Sydney (Doctor of Philosophy (PhD)) Rule 2004. Policy located at sydney.edu.au/senate/policies/PhD_Rule.pdf

Note: It has been expedient throughout this document to refer to faculties and deans of faculties. It should be understood that the procedures are to be read as also applying to colleges and boards of study and the college principals and directors.

Comprehensive information on appeals policy, types of appeals and relevant forms can be found at the Student Affairs Unit website at sydney.edu.au/student_affairs/AcAppeals_index.shtml
Appeals against academic decisions
Appendix: Code of Conduct for Students

1. Principles
This Code of Conduct has been formulated to provide a clear statement of the University's expectations of students in respect of academic matters and personal behaviour.

Study at the University presents opportunities for interacting with other members of the University community. The University recognises and values the diversity of student experiences and expectations, and is committed to treating students, both academically and personally, in a fair and transparent manner. All students, in return, are required to comply with the requirements set down in this Code of Conduct.

The University reaffirms its commitment to:
- high academic standards, intellectual rigour and a high quality education
- intellectual freedom and social responsibility
- recognition of the importance of ideas and the pursuit of critical and open inquiry
- tolerance, honesty and respect as the hallmarks of relationships throughout the University community, and
- high standards of ethical behaviour.

All students are required to be aware of and act consistently with these values.

2. Coverage
This Code of Conduct applies to all students of the University of Sydney, in respect of all actions and activities (including inaction or inactivity) relating to or impacting on the University or its students and employees. It must be read in conjunction with the statutes, rules, and resolutions of the University.

3. Definitions
In this Code of Conduct:

Student means all students of the University of Sydney, including but not limited to fee paying students, HECS students, PELS students, audit students, Centre for Continuing Education students, Centre for English Teaching students, exchange students, Study Abroad students, Summer School students and Winter School students.

Employee means all staff of the University of Sydney, (including full-time, part-time or casual staff).

4. Personal conduct
All students must:
- treat all employees, honorary appointees, consultants, contractors, volunteers, any other members of the public and other students with respect, dignity, impartiality, courtesy and sensitivity
- maintain a cooperative and collaborative approach to inter-personal relationships
- act honestly and ethically in their dealings with University employees, honorary appointees, consultants, contractors, volunteers, any other members of the public and other students
- respect the privacy of employees, honorary appointees, consultants, contractors, volunteers, any other members of the public and other students
- ensure that they do not act in a manner that unnecessarily or unreasonably impedes the ability of employees, honorary appointees, consultants, contractors, volunteers, any other members of the public and other students to carry out their study, research or work at the University, including in the University of Sydney Library, lecture theatres and laboratories

5. Academic conduct
All students must:
- ensure that they do not act in a manner that unnecessarily or unreasonably impedes the ability of employees, honorary appointees, consultants, contractors, volunteers, any other members of the public or other students to access or use the resources of the University, including the University of Sydney Library resources, lecture theatres and laboratories, and
- ensure that they do not become involved in or encourage discrimination against or harassment or bullying of employees, honorary appointees, consultants, contractors, volunteers, any other members of the public or other students.

6. Authority
This Code of Conduct was approved by the Academic Board pursuant to the University of Sydney (Academic Governance) Rule 2003 on 2 February 2005.

7. Useful references
For a list of policies and guidelines applying to students at the university visit the Graduate Studies Office homepage at sydney.edu.au/graduate_studies_office/policies/index

The full set of University policies is available from Policy Online at sydney.edu.au/policy

To view the latest updates, or to purchase or search a handbook, please visit the website: sydney.edu.au/handbooks
Appendix: Code of Conduct for Responsible Research Practice

Preliminary

1. Definitions

In this document:

**Researcher** means all staff members and students carrying out research under the imprimatur of the University.

2. Aim

This document establishes a framework of responsible research practice and conduct.

Code of Conduct for Responsible Research Practice

1. Introduction

The University of Sydney holds Researchers responsible for scholarly and scientific rigour and integrity, in obtaining, recording and analysing data and in presenting, reporting and publishing results.

Rigour and integrity are indicated by:

1.1 giving appropriate recognition to those who have made an intellectual contribution to the contents of a publication;

1.2 obtaining the permission of the author before using new information, concepts or data originally obtained through access to confidential data;

1.3 conforming to University requirements for working with humans, animals, and biohazards;

1.4 using research funds in accordance with the terms and conditions under which those funds were received;

1.5 disclosing to the University any conflict of interest (financial, personal or other) that might influence their research.

2. General ethical considerations

2.1 An institution conducting scholarly, creative and scientific activity must ensure that it fulfils a collective responsibility of commitment to high standards of professional conduct. Researchers also have an individual duty to ensure that their work enhances the good name of the institution and the discipline to which they belong.

2.2 Researchers should only participate in work that conforms to accepted ethical and discipline standards and that they are competent to perform. When in doubt Researchers should seek assistance from their designated academic supervisor(s).

2.3 Institutions and Researchers have a responsibility to ensure the safety of all those associated with research. It is also essential that the design of projects take account of any ethical guidelines specific to a discipline area and the published University ethics guidelines and procedures.

2.4 If data of a confidential nature are obtained, for example, from individual patient records or questionnaires, confidentiality must be observed and Researchers must not use such information for their own personal advantage or that of a third party. In particular, Researchers must observe the University’s legislative responsibilities and policies relating to privacy of personal information used in research. It is the obligation of the Researcher to enquire whether confidentiality applies and of the principal researcher to inform team or co-researchers of their obligations with respect to any such confidentiality requirements.

2.5 Research results and methods should be open to scrutiny by colleagues within the institution and, through appropriate publication, by peer review. Where confidentiality provisions apply, data must be kept in a way that reference to them by third parties can occur without breaching confidentiality.

2.6 Secrecy may be necessary for a limited period in the case of contract research. Confidentiality provisions in research contracts or separate confidentiality agreements may be entered into by the University, the Researcher and the client or sponsor of research. Where such agreements limit publication and discussion, limitations and restrictions must be explicitly stated in the agreement. All Researchers should ensure that they are familiar with and comply at all times with the confidentiality obligations in research contracts.

3. Retention of data

3.1 Sound research procedures entail the discussion of data and research methods with colleagues. Discussion may also occur after the research is complete, often because of interest following publication. It is in the interests of all Researchers to ensure that research data are safely held in the University for a minimum period of five years. For some types of data, for example, clinical data, a longer period is appropriate. Researchers are also required to comply with the University’s legislative responsibilities and policies with respect to record keeping.

3.2 Data must be recorded in a durable and appropriately referenced form. Each department or research unit must establish procedures appropriate to their needs for the retention of data and for the keeping of records of data held. Data must be kept in a way that reference to them by third parties can occur, except where confidentiality applies.

3.3 A copy of the original data should be retained in the department or research unit in which they were generated. Data obtained from limited access databases or in a contracted project may not be able to be retained. In such cases, a written indication of the location of the original data or key information regarding the limited access database from which it was extracted must be kept in the department or research unit. Individual Researchers are able to hold copies of the data for their own use. Nevertheless, it should be understood that data retention solely by the individual Researcher provides little protection to the Researcher or the institution in the event of an allegation of falsification of data. Researchers who leave the University within a period of five years of the collection of the data should ensure that the department or research unit where the data were generated retains a copy of the data.

4. Publication and authorship

4.1 Where there is more than one author of a publication, one author (by agreement among the authors) should formally accept overall responsibility for the entire publication. Such formal acceptance must be in writing and kept on file in the department or research unit of that author, together with the names of all other authors.

4.2 The minimum requirement for authorship of a publication is substantial participation in conceiving, executing or interpreting at least part of the research reported. “Honorary authorship” is unacceptable. Authorship means that a person is listed as an author of a publication only when they have participated in a substantial way.
Appendix: Code of Conduct for Responsible Research Practice

in the conception, execution or interpretation of at least part of the work described in the publication.

4.3 Due recognition of all research participants is a part of a proper research process. Authors should ensure that the work of research students/trainees, research assistants, technical officers and other staff is properly acknowledged.

4.4 The named authors of the publication must read the final paper and sign a statement indicating that each of them has met the minimum requirements for authorship and who is the author taking overall responsibility for the publication. Such a statement must include an indication that there are no other "authors" of the publication, according to the definition under 4.2. If, for any reason, one or more co-authors are unable to sign the statement, the Head of the research unit or department may sign on their behalf, noting the reason for their unavailability. This statement should accompany the work to the publishers and a copy should be retained in the department or unit.

4.5 Publication of multiple papers based on the same set(s) or sub-set(s) of data is improper unless there is full cross referencing (for example, by reference to a preliminary publication at the time of publication of the complete work, which grew from it). Simultaneous submission to more than one journal or publisher of material based on the same set(s) or sub-set(s) of data should be disclosed at the time of submission.

5. The role of research supervisors

5.1 Supervision of each research student/trainee (including honours, masters and doctoral students and postdoctoral fellows) should be assigned to a specific, responsible and appropriately qualified Researcher.

5.2 The ratio of research students/trainees to supervisors should be small enough to ensure effective interaction, as well as effective supervision of the research at all stages.

5.3 Research supervisors should advise each research student/trainee of applicable government and institutional guidelines for the conduct of research, including those covering ethical requirements for studies on human or animal subjects, and requirements for the use of potentially hazardous agents.

5.4 Research supervisors should be the primary source of guidance to research students/trainees in all matters of sound research practice.

5.5 As far as possible, research supervisors should ensure that the work submitted by research students/trainees is their own and that, where there are data, the data are valid.

5.6 Where possible, the Head of a Department or research unit should be personally involved in active research supervision and observe the research activities of those for whom he or she is responsible. Professional relationships should be encouraged at all times. In particular, there should be wide discussion of the work of all individuals by their peers.

5.7 Research conditions for all involved in a research team/project, and reference to relevant University policies, should be outlined in a letter from the principal investigator when team members are engaged.

5.8 Research supervisors should ensure that any Intellectual Property embodied in the research is protected appropriately according to the relevant University policies.

6. The role of the Department/School

Insofar as Researchers carry out their research within Departments or Schools, departmental staff have a responsibility to adhere to the Code of Conduct for Responsible Research Practice and associated University policies. The Head of Department/School has a responsibility to put in place procedures to facilitate and monitor the issues raised in this document.

7. Disclosure of conflict of interest

7.1 Disclosure of any conflict or potential conflict of interest is essential for the responsible conduct of research.

7.2 Researchers are obliged to disclose to their academic supervisor, research team leader and co-researchers any affiliation with or financial involvement in any organisation or entity with a direct interest in the subject matter or in the provision of materials for the research. These would include benefits in-kind such as the provision of materials or facilities for the research and the support of individuals through the provision of benefits (for example, travel and accommodation expenses to attend conferences). Where a research student’s scholarship or studentship is funded by a company which has an interest in the research results and the academic supervisor has an interest in the company, the academic supervisor must disclose that interest at the time of the award of the funds.

7.3 Researchers who are staff members must disclose to their academic supervisors actual or perceived conflict between their personal interests and relationships and their duties and responsibilities as research staff of the University.

8. Disputes

Team member disputes or grievances arising out of the conduct of any research should be referred to the principal researcher for resolution or to the academic supervisor where relevant. Grievances between staff members can be dealt with under the grievances procedures contained in the enterprise agreements.

9. Allegations of Research Misconduct

Allegations of misconduct that arise out of the conduct of research must be dealt with in accordance with the University’s Policy on Dealing with Allegations of Research Misconduct.

Guidelines for Dealing with Allegations of Research Misconduct

1. Introduction

The Code of Conduct for Responsible Research Practice aims to ensure a research environment that minimises the incidence of Research Misconduct. It is inevitable, however, that there will be some allegations of misconduct. It is therefore essential that the University have in place effective and efficient procedures for dealing with such allegations.

The University has policies for dealing with allegations of misconduct against academic and general staff as well as procedures for dealing with allegations made against students.

While these policies/procedures must be followed when dealing with allegations of Research Misconduct there are specific matters connected with research that must be taken into consideration.

The purpose of this document is to set out how these specific matters should be dealt with in conjunction with the implementation of the above policies and procedures.

2. Definition of Research Misconduct

2.1 The University considers Research Misconduct by a staff member to be misconduct (which includes serious misconduct) and a breach of its Code of Conduct. It is also considered to be misconduct on the part of a student as defined in Chapter 8 of the By-law 1999.

2.2 "Research Misconduct" means fabrication, falsification, plagiarism, or other academically dishonest practices that seriously deviate from those that are commonly accepted within the scientific and scholarly community for proposing, conducting, or reporting research. It includes the misleading ascription of authorship, including the listing of authors without their permission, attributing work to others who have not in fact contributed to the research, and the lack of appropriate acknowledgment of work primarily produced by a research
students/trainee or associate. It does not include honest errors or honest differences in interpretation or judgements of data.

2.3 Examples of Research Misconduct include, but are not limited to, the following:

2.3.1 Misappropriation: A researcher or reviewer shall not intentionally or recklessly:

2.3.1.1 plagiarise, which is understood to mean the presentation of the documented words or ideas of another as his or her own, without attribution appropriate for the medium of presentation;

2.3.1.2 make use of any information in breach of any duty of confidentiality associated with the review of any manuscript or grant application;

2.3.1.3 intentionally omit reference to the relevant published work of others for the purpose of inferring personal discovery of new information.

2.3.2 Interference: A researcher or reviewer shall not intentionally and without authorisation take or sequestrate or materially damage any research-related property of another, including without limitation the apparatus, reagents, biological materials, writings, data, hardware, software, or any other substance or device used or produced in the conduct of research.

2.3.3 Misrepresentation: A researcher or reviewer shall not with intent to deceive, or in reckless disregard for the truth:

2.3.3.1 state or present a material or significant falsehood; or

2.3.3.2 omit a fact so that what is stated or presented as a whole states or presents a material or significant falsehood.

3. Protection of interested parties

3.1 Allegations of Research Misconduct require careful handling. When an allegation is made, the protection of all interested parties is essential. Interested parties may include:

3.1.1 the person bringing the allegation;

3.1.2 the person against whom an allegation is made;

3.1.3 research students/trainees and staff working with the person concerned;

3.1.4 journals in which allegedly fraudulent papers have been or are about to be published;

3.1.5 funding bodies that have contributed to the research; and

3.1.6 in some cases the public - for example, if a drug is involved.

3.2 Adequate protection of the complainant and the accused demands absolute confidentiality and reasonable speed in the early stages of investigation. On the other hand, the protection of other parties may involve some disclosure. This is a matter for the Vice-Chancellor or his or her nominee to decide.

4. The receipt of allegations

4.1 Allegations of Research Misconduct may originate from within the University, from other institutions, in learned journals or in the press. Allegations from outside the University must be referred to the Vice-Chancellor in the first instance. The Vice-Chancellor will then determine if he or she will nominate a designated person to deal with the matter.

4.2.1 Where the allegation originates from within the University, the matter is to be referred to the Deputy Vice-Chancellor (Research and Innovation) (DVCR) as the Vice-Chancellor’s standing nominee for dealing with such complaints. The University however, encourages its staff and research students/trainees to raise their concerns with their Head of Departments, Supervisor or Chair of the relevant Faculty Research Committee in the first instance.

4.2.2 A reference to the DVCR in this document includes any nominee appointed by the Vice-Chancellor to deal with allegations of Research Misconduct from outside the University.

4.3 Advisers on Integrity in Research

Chairs of Faculty Research Committees will act as advisers on integrity in research and should be familiar with the literature and guidelines on Research Misconduct. The literature available includes the Joint NHMRC/AV-CC Statement and Guidelines on Research Practice as well as the University’s own Code of Conduct for Responsible Research Practice. The task of a Chair is to give confidential advice to staff and students/trainees about what constitutes Research Misconduct, the rights and responsibilities of a potential complainant, the rights of the person complained about and the procedures for dealing with allegations of Research Misconduct within the University.

4.4 Designated Person to Receive Internal Complaints

Persons intending to make an allegation should consider having a confidential meeting with the DVCR to determine if lodging a formal allegation is appropriate. It may be that there are other ways of dealing with the perceived difficulty.

4.5 Lodging a Complaint

Allegations are to be made, preferably in writing, to the DVCR in the first instance. The DVCR will inform the Vice-Chancellor immediately on receipt of the allegation and will keep the Vice-Chancellor informed as the investigation progresses.

5. The initial investigation

5.1 The purpose of the initial investigation is to determine how to proceed with the allegation.

5.2 To the maximum extent possible, all affected persons will be treated with confidentiality. If necessary the DVCR will take appropriate interim administrative action to protect funds provided by external funding bodies.

5.3 If the allegation is against a member of the Academic Staff, the DVCR must follow the procedures set out in the policy ‘Misconduct Procedures: Academic Staff’.

5.4 If the allegation is against a member of the General Staff, the DVCR must follow the procedures set out in the policy ‘Misconduct Procedures: General Staff’.

5.5 If after consideration (and where necessary, informal investigation) of an allegation against a student the DVCR is of the view the matter warrants further investigation he or she shall inform the Registrar of the alleged misconduct in accordance with clause (62)(1) of Chapter 8 (Student Discipline) of the University of Sydney By-law 1999. Alternately the DVCR may determine that there is no substance to the allegation, refer the matter back to the student’s supervisor for appropriate counselling or such other action the DVCR deems appropriate. Consideration or initial investigation of the complaint may include interviewing the student.

5.6 The initial inquiry must be conducted expeditiously and, where possible, within seven days. Where the DVCR considers it necessary he or she has the power to secure appropriate expertise from within or outside the University to assist with the informal inquiries, taking precautions to ensure no real or perceived conflict of interest exists.

6. Action on the completion of the initial investigation

6.1 Action on completion of the initial investigation into allegations against a staff member shall proceed in accordance with the relevant policy.
6.2 Where the DVC R has determined that the allegation against a student warrants further investigation then the matter must be referred to the Registrar.

6.3 The Vice-Chancellor (on advice from the DVC R) shall judge whether there are individuals or organisations that need to be informed at this point. This may depend on the degree of confidentiality that has been achieved. Appropriate action may be needed to protect or restore the reputation of persons alleged to have engaged in Research Misconduct when allegations are not confirmed. Appropriate action may be needed to protect from victimisation those persons who, in good faith, have made allegations of Research Misconduct.

7. Where the decision is that the allegation is serious and warrants further investigation

7.1 An investigator, appointed to conduct further investigations into an allegation, should conduct that investigation, where possible, within four weeks of the referral of the matter to him/her. The investigator shall have the power to secure necessary and appropriate expertise from within or outside the University to assist with the investigation. The investigator shall take precautions to ensure no real or perceived conflict of interest exists. The investigator should normally be from outside the relevant academic unit or outside the University working within the same discipline or field of study.

7.2 If the staff member is in receipt of a grant from an external funding body, the Vice-Chancellor will advise the Secretary of that funding body, in confidence, that a case is being formally investigated. The Vice-Chancellor and his or her nominees will take appropriate interim administrative actions to protect funds granted by external funding bodies.

7.3 Again, at this point, appropriate action may be needed to protect or restore the reputation of persons alleged to have engaged in Research Misconduct when allegations are not confirmed. Appropriate action may be needed to protect from victimisation those persons who, in good faith, have made allegations of Research Misconduct.

8. Special requirements

8.1 There are other matters which shall be considered by the Vice-Chancellor and his or her nominees at all times in dealing with any initial inquiry or further investigation into Research Misconduct.

8.1.1 Where United States Federal Funds are involved, the provisions of the Public Health Service Regulation 42 CFR Part 50, Subpart A shall apply. The Vice-Chancellor shall promptly notify the United States Office of Research Integrity:

8.1.1.1 if there is an immediate health hazard involved;

8.1.1.2 if there is a need to protect current or potential US Federal funds or equipment or to protect individuals affected by the inquiry;

8.1.1.3 of any developments during the course of an investigation which disclose facts that may affect current or potential US Federal Funding for individual(s) under investigation, or that the US Public Health Service needs to know to ensure appropriate use of Federal Funds and otherwise protect the public interest;

8.1.1.4 if there is the likelihood that the matter will be reported publicly;

8.1.1.5 if there is a reasonable indication that a criminal violation has occurred, in which case notification will occur within 24 hours;

8.1.1.6 if, for any reason, an inquiry will be terminated before completion of all requirements of the above regulation.

Within 120 days of initiating a further investigation, a Final Report shall be submitted to the Director, Office of Research Integrity. If an investigation cannot be completed in this time, a request for extension shall be forwarded to the Office of Research Integrity, detailing the reasons for delay, progress to date, and an estimated date of completion.

8.1.2 There may in some circumstances be a reason to inform the publishers of a journal that the authenticity of a paper or papers is in doubt. A false paper may be dangerous to the community.

8.1.3 If allegations are made which appear to cast doubt on the validity of one or more research publications produced by a staff member, it may be necessary to investigate the person's past research as well as that covered by the allegations.

8.1.4 If the claim of research misconduct has been substantiated, it is important that the position of research students/trainees and staff working with the accused be clarified. In some cases, if there has been Research Misconduct, it may be necessary to provide compensation to innocent people who have been affected.

9. Action following the completion of the further investigation process

9.1 If the staff member is found to have committed Research Misconduct then, the University will take disciplinary action, having regard to the provisions of the relevant policies and enterprise agreements.

9.2 Relevant publishers and sponsoring agencies shall be notified.

9.3 If the allegations are unfounded, action may be needed to redress any damage resulting from the allegation. If an external funding body was advised during the course of investigations that a preliminary determination had been made that the allegation was serious and warranted further investigation, and the staff member has been exonerated, then the external funding body must be advised accordingly.

10. Action if the accused resigns

10.1 If a staff member, against whom allegations of Research Misconduct have been made, resigns then procedures should cease immediately. The University of Sydney has no jurisdiction to take any action against a former staff member.

10.2 It is not necessarily satisfactory for an enquiry into Research Misconduct to be abandoned if a resignation is received. Almost always others will have been affected or will be affected, perhaps very seriously, unless the facts are determined. In such an event, the Vice-Chancellor or his or her nominee may convene an enquiry to report on the status of the research and on any remedial action needed to protect affected people, bodies and the public.
Appendix: Degree of Doctor of Philosophy: Resolutions of the Academic Board

Form of the thesis

Four copies of the thesis shall be submitted for examination for the degree of Doctor of Philosophy and shall normally be submitted in one of the forms set out below in sections 1 and 2.

1. The four copies may be bound in either a permanent or temporary form as set out in subsections (a) and (b).

(a) A thesis submitted in permanent binding shall be on international standard A4 size paper sewn and bound in boards covered with bookcloth or buckram or other binding fabric. The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear in lettering on the front cover or on the title page. The lettering on the spine, reading from top to bottom, should conform as far as possible to the above except that the name of the University of Sydney may be omitted and the thesis title abbreviated. Supporting material should be bound in the back of the thesis as an appendix or in a separate set of covers.

(b) A thesis submitted in a temporary binding should be strong enough to withstand ordinary handling and postage. The preferred form of temporary binding is the 'perfect binding' system; ring-back or spiral binding is not acceptable. A thesis submitted in temporary form shall have fixed to the cover a label clearly identifying the name of the candidate, the title of the thesis and the year of submission. The Xerox Demand Binding system is acceptable both for temporary and permanent purposes.

2. A thesis may also be submitted in electronic form in accordance with the provisions of section 3.

(a) When a thesis is submitted in electronic form, four copies must be submitted as set out in subsection (b).

(b) A thesis submitted in electronic form must normally be submitted on disk and must be in a format which the faculty determines as acceptable to both the candidate and the examiner(s), with the same structure as the ultimate printed version referred to in sections 1(a) and 4, and each chapter must be in a separate document.

The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear on the title page and on a label affixed to the disk.

A hard copy of the thesis should normally be submitted for retention by the faculty office, and further copies for any examiner(s) unwilling or unable to examine the thesis electronically. Individual faculties may determine, however, that the copy for retention in the faculty office may also be submitted in electronic form.

3. Procedures for electronic submission of theses:

Provision for electronic submission of theses for the purpose of examination may occur where both the candidate wishes to submit in this form and examiners are prepared to examine in this way. Candidates wishing to submit electronically are required to advise of their intent to submit so that arrangements may be made with prospective examiners. The usual examination process will be followed when a thesis is submitted electronically, except as set out below.

(a) A student who wishes to submit electronically must so advise the supervisor and the department at least three months prior to submission. This advice should be by the completion of a (centrally-designed) form, on which the student must indicate the likely length of the thesis and any special features relating to its format.

(b) Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically.

(c) When confirming the appointment of examiners, the faculty office should confirm their willingness or otherwise to examine an electronic version of the thesis.

(d) Prospective examiners must be advised of the format in which the thesis is available and they must be asked whether they prefer to accept it in that form (on disk, but possibly as an e-mail attachment) or in the traditional hard copy form.

(e) Under certain circumstances particular specialised electronic applications may form part of the thesis. In such circumstances, it should be ascertained that the examiner has the capability to accept this format, and this must be done three months prior to submission.

(f) If an examiner advises that he or she does not wish to examine electronically, then the examiner will be sent a hard copy of the thesis.

4. The degree shall not be awarded until the candidate has submitted a permanently bound copy of the thesis (containing any corrections or amendments that may be required) and printed on acid-free or permanent paper, for lodgement in the University Library.

The examination process

1. Appointment of examiners

Faculty or college board to seek recommendation for examiners

(1) After the prescribed number of copies of the thesis have been lodged and the supervisor's certificate has been received, the faculty or college board, having considered the certificate, shall seek a recommendation for the appointment of examiners from the head of department concerned, unless the faculty or college board considers that examiners should not be appointed.

Examiners not appointed

(2) If a faculty or college board, after consideration of the supervisor's certificate, has resolved not to proceed to the appointment of examiners, it shall report the circumstances and the reasons for the decision to the PhD Award Sub-Committee which may note the decision or require the faculty or college board to appoint examiners.

Delays in appointment to be avoided

(3) (a) The head of department and the faculty or college board shall take all possible steps to ensure that examiners are appointed within four weeks of the submission of the thesis and, where this does not occur, shall report the circumstances to the PhD Award Sub-Committee.

(b) The head of department should normally have taken the steps outlined below in sections 1(4) to 1(11), noting the provisions of section 1(13), before the thesis is submitted.

Head to consult and recommend

(4) The head of department shall, if reasonably possible, before making his or her recommendation for the appointment of examiners, consult the supervisor and, if it is considered by the supervisor to be necessary, any appointed associate supervisor.

(5) The head of department shall recommend the appointment of three examiners of the thesis of whom at least two shall be external to the
(6) The head of department may also recommend the appointment of one or more qualified additional persons who may be called on to act in place of one or more of the three first appointed examiners.

Qualifications of examiners
(7) (a) Examiners recommended should be known to be familiar with the supervision and examination of research theses and should normally still be active in research and/or scholarship.

(b) An examiner appointed to act as an assessor under section 4(3)(e) should possess very high standing in the subject in question.

Examiners free from bias
(8) A head of department, in making a recommendation, shall take all reasonable steps to ensure that the examiners proposed are free from bias (either for or against the candidate or the supervisor) and conflict of interest.

Involvement of candidate
(9) The head of department or the supervisor or the candidate may initiate a general discussion with the candidate by the supervisor and/or the head of department of a wide range of possible examiners, including the possibility of the student submitting to an oral examination of the thesis.

Faculty to appoint examiners
(10) (a) The head of department shall make a recommendation to the faculty for the appointment of examiners. In making this recommendation, the head of department should indicate: whether or not he or she has ascertained the prospective examiners' willingness to examine

(i) electronically; or

(ii) conduct an oral examination

whether or not they wish to examine in this way, and, if so, the format(s) in which they are able to receive the thesis. Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically or participate in an oral examination of the thesis

(b) The faculty or college board, on receipt of a recommendation for the appointment of examiners from a head of department, and having considered through its dean or chair of the board of postgraduate studies any advice from the candidate, may appoint the examiners as recommended or appoint different examiners after consultation with the head of department.

Report to PhD Award Sub-Committee
(11) The faculty shall, using the prescribed from, report the names and qualifications of the examiners appointed to the PhD Award Sub-Committee which may itself appoint, or may request the faculty or college board to recommend for appointment, one or more additional examiners. The faculty shall indicate on the form if the examiners are currently active in research and/or have previous experience as an examiner and are free from bias and conflict of interest. The prescribed form should also indicate which, if any, of the examiners will be examining the thesis electronically or if the student will be submitting to an oral examination of the thesis. If an examiner does not fulfill the above criteria, a short justification of why that examiner was chosen should be provided by the faculty concerned. The appointment of examiners for all PhD candidates shall be endorsed by the PhD Award Sub-Committee prior to the examination process commencing.

Names not to be disclosed
(12) Except as may be necessary when an oral examination is required, the names of the examiners appointed shall not be disclosed to the candidate until a determination has been made about the award of the degree.

Invitation to examiners
(13) After the appointment of examiners by the faculty or college board, the Registrar shall write to each external examiner inviting him or her to act, specifying the conditions applicable to the examination process and enclosing the resolutions for the degree, an information statement. An examiner's report form will be enclosed with the letter and, if possible, will also be sent to the examiner in electronic form via electronic mail if the examiner is able to receive it in one of the formats available. If the examiner has indicated a willingness to participate in an oral examination of the thesis the date and arrangements for the oral examination will also be notified.

(14) On receipt of an acceptance of the invitation to act, or on advice from the head of department concerned that the examiner is willing to act under those conditions, the Registrar shall dispatch a copy of the thesis in either hard copy or electronic form if the examiner has indicated willingness to examine in electronic form.

(15) The Registrar shall similarly write to any internal examiner advising him or her of the appointment and the conditions which apply and enclosing the resolutions for the degree and the examiner's report form together with a copy of the thesis either in hard copy or electronic form.

Delay between appointment of examiners and receipt of thesis
(16) In the event of a candidate's thesis not being received within three months of the acceptance by the examiners of their appointment, the faculty shall write to all examiners concerned, both internal or external, to ascertain their willingness to continue to act as examiners of the thesis in question.

Delegations of authority
(17) A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section 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.

2. Consideration by examiners
Examiners to report within two months
(1) An examiner is required to complete the examination of the thesis and submit a report on the prescribed form within two months of receipt of the thesis. The examiner may return the report by electronic mail, but if using this medium must also send a signed, hard copy of the report by mail or facsimile.

Examiners to submit independent reports
(2) The examiner shall not be advised of the names of the other examiners who have agreed to act. The University requires that there be no consultation among co-examiners during the examination process and that examiners submit an independent report.

Content of report
(3) The report shall include the recommendation that:

(a) the candidate be awarded the degree without further examination; or

(b) the candidate be awarded the degree subject to correcting typographical errors before the degree is conferred (typographical errors include spelling, grammar, punctuation, capitalisation and reference dates); or

(c) the candidate be awarded the degree subject to conditions listed in the examiner's report being addressed to the satisfaction of the University (which may include a recommendation that if reasonably possible the candidate should be required to take an additional oral or other examination); or

(d) the candidate be not awarded the degree, but be permitted to resubmit the thesis in a revised form for re-examination following a further period of study, the examiner having formed the opinion that
the errors or deficiencies substantially affect the argument or the thesis; or

(e) the candidate be not awarded the degree.

(f) In the case of a thesis which is also to be examined by an oral examination, the report of the examiners shall be an interim report, to be completed following the conclusion of the oral examination.

(4) The report shall also record whether in the opinion of the examiner:

(a) the thesis is a substantially original contribution to the knowledge of the subject concerned;

(b) the thesis affords evidence of originality by the discovery of new facts;

(c) the thesis affords evidence of originality by the exercising of independent critical ability;

(d) the thesis is satisfactory as regards literary presentation; and

(e) a substantial amount of material in the thesis is suitable for publication.

(5) The examiner shall state the grounds on which his or her recommendation is based, indicating the strengths and weaknesses of the thesis and the particular contributions made by the candidate and may list emendations that it is considered should be made and shall indicate the extent of any consultation with other examiners or associate or co-examiners.

Release of examiners' names

(6) As part of the report form, the examiner shall be asked to indicate whether he or she is willing to have his or her name and/or his or her report in full or in part released to the candidate, either at the conclusion of the examination, or in the circumstances outlined in sections 4(17) to 4(20).

Receipt of reports to be monitored

(7) The Registrar shall acknowledge receipt of reports as received and arrange for payment of the examiner's fee to external examiners.

(8) The Registrar shall contact any examiner who has not submitted his or her report within six weeks of despatch of the thesis, reminding the examiner of the due date for the report, and the Registrar shall contact any examiner who has not submitted his or her report within ten weeks of despatch of the thesis, requesting advice as to when it will be submitted and reminding the examiner of the conditions of the examination.

Replacement examiner if report not received

(9) The Registrar shall contact any examiner who has not submitted the report by the end of the fourteenth week after despatch of the thesis, advising that it will be necessary to proceed to the appointment of a replacement examiner if the report is not received within a further two weeks and shall proceed to do so if the report is not received within that time.

(10) Notwithstanding the fact that replacement examiners may previously have been appointed, the Registrar shall seek advice from the head of department as to who should act as a replacement examiner in the event of an examiner being replaced under the circumstances referred to in section 2(9) and, if necessary, the faculty or college board shall appoint a further qualified examiner on the recommendation of the head of department who shall, if necessary, have carried out the same consultative procedures as applied to the initial appointment of examiners.

(11) Should the process of appointing a replacement examiner under the circumstances referred to in section 2(9) have proceeded to the point where a copy of the thesis has been dispatched to the replacement examiner, any report subsequently received from the examiner who has been replaced shall not be considered in determining the result of the candidature.

(12) Notwithstanding the provisions of sections 2(9) to 2(11), the PhD Award Sub-Committee or its Chair may, in such circumstances as it shall determine are exceptional, and on the recommendation of the faculty or college board concerned, allow such specific variation to those requirements.

(13) In the case of a thesis also being examined by an oral examination, the procedures for the conduct of the oral examination and the consideration of the examiners' reports shall be those adopted by the Academic Board.

3. Consideration of examiners' reports

By the faculty

(1) When all three examiners' reports have been received,

(a) if all examiners have recommended either that the degree be awarded without qualification or the degree be awarded subject to correction of typographical errors, the faculty may award the degree either without further examination or subject to the correction of typographical errors (as specified by the examiners) being made in all copies of the thesis to be retained in the University before the degree is conferred and shall forward the reports to the head of department and supervisor for information; or

(b) if any other recommendations have been made, the faculty shall forward the reports to the head of department for a recommendation and to the supervisor.

(c) In the case of a thesis also being examined by an oral examination, the procedures for the consideration of the examiners' reports shall be those adopted by the Academic Board.

(2) Neither head of department nor supervisor shall have a right of access to the examiners' reports before they have all been received, except where the dean of the faculty or chair of the college board considers that special circumstances exist.

Head of department to consult

(3) The head of department, if there is disagreement among the examiners, or, if asked to comment of the report of an oral examination, shall, before making a recommendation, if reasonably possible, consult the candidate's supervisor and shall consult the candidate's annual progress reports.

(4) The head of department shall indicate when making his or her recommendation the nature and extent of consultation that has been carried out and shall forward a copy of any written report he or she has received from the supervisor.

Head of department's recommendation

(5) The head of department, having considered the reports of the examiners and carried out any required consultation, may make one of the following recommendations:

(a) that the degree be awarded without further conditions; or

(b) that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or

(c) that the degree be awarded subject to emendations being made in all copies of the thesis to be retained in the University; or

(d) except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner; or

(e) except in the case of the report of an oral examination, that an additional examiner be appointed; or

(f) except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, and the comments of the supervisor, whether or not already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider
the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate’s comments have been received, the faculty’s Postgraduate Committee should determine whether the candidate’s comments should be forwarded to the assessor; or

(g) except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or

(h) that the candidate not be awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or

(i) that the degree be not awarded.

**Head of department to specify emendations**

(6) A head of department, if recommending under section 3(5)(b) or (c) that the degree be awarded subject to typographical corrections or emendations, shall specify the typographical corrections or emendations to be made, if not already specified in the report of an oral examination, noting that the PhD Award Sub-Committee normally expects any typographical corrections or emendations or errors identified by examiners to be corrected after consideration of the examiners’ reports and head of department’s recommendation.

**Release of examiners’ reports**

(7) The head of department shall, with his or her recommendation, after noting the wishes of the examiners, indicate what portions of the examiners’ reports may be released to the candidate, but the reports shall remain confidential until after consideration by the PhD Award Sub-Committee, faculty or college board.

**Delegation of authority**

(8) A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidate or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

4. Examiners’ reports and head of department’s recommendation

**Referral of head of department’s recommendation and faculty or college board action**

(1) (a) The head of department shall forward his or her recommendation to the dean of the faculty or chair of the college board.

(b) If the head of department has recommended that the degree be awarded, under section 3(5)(c), subject to emendations as specified by one or more of the examiners, and one or more of the examiners have recommended that the degree be awarded subject to emendations and the remaining examiners have recommended award without further examination or subject to the correction of typographical error, the faculty may award the degree subject to all the corrections and/or emendations required by the examiners being carried out in all the copies of the thesis to be retained in the University before the degree is conferred.

(c) If the head of department has recommended, under section 3(5)(c), that the degree be awarded but that not all the emendations required by all the examiners should be carried out, the faculty may not award the degree, and the reports of the examiners, together with the recommendation of the head of department and of the faculty or college board, shall be forwarded to the PhD Award Sub-Committee. The recommendation of the Faculty shall specify the nature of such corrections, emendations or other conditions as may be intended.

(d) Except as provided under section 3(1)(a) or 4(1)(b), the dean of the faculty or chair of the college board shall refer the recommendation of the head of department to the faculty or college board, which shall forward a recommendation to the PhD Award Sub-Committee together with the recommendation of the head of department and copies of the reports of the examiners. The recommendation of the Faculty shall specify the nature of such corrections, emendations or other conditions as may be intended.

**PhD Award Sub-Committee action**

(2) The PhD Award Sub-Committee, after consideration of the examiners’ reports and the recommendation of the head of department and where these have been made any recommendation from the faculty or college board:

(a) may award the degree without further examination; or

(b) may award the degree subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or

(c) may award the degree subject to emendations specified by the head of department or the Sub-Committee being made in all copies of the thesis to remain available in the University; or

(d) may refer the candidate to the faculty or college board concerned; and shall refer the candidate to the faculty or college board concerned if a member of the Sub-Committee so requires and the examiners’ reports and the recommendation of the head of department have not already been considered by the faculty or college board.

**Faculty or college board action**

(3) The faculty or college board, after considering the recommendation of the head of department and the reports of the examiners that have been referred directly to it or by the PhD Award Sub-Committee, may resolve:

(a) to recommend to the PhD Award Sub-Committee that the degree be awarded without further examination; or

(b) to recommend to the PhD Award Sub-Committee that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or

(c) to recommend to the PhD Award Sub-Committee that the degree be awarded subject to emendations specified by the head of department or the faculty or college board being made in all copies of the thesis to remain available in the University; or

(d) except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner, this not being a substitute for requiring the candidate to make emendations to the thesis or to revise and resubmit the thesis; or

(e) except in the case of the report of an oral examination, that an additional examiner be appointed; or

(f) except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, and the comments of the supervisor, whether or not already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate’s comments have been received, the faculty’s Postgraduate Committee should determine whether the candidate’s comments should be forwarded to the assessor.

(g) except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or
Appendix: Degree of Doctor of Philosophy: Resolutions of the Academic Board

(h) that the candidate be not awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or

(i) that the degree be not awarded.

Award without further conditions

(4) Where the faculty or college board or PhD Award Sub-Committee has approved the award of the degree without further conditions, the Registrar shall advise the candidate that the degree has been awarded subject to the lodgement of a permanently bound copy of the thesis printed on archival or permanent paper, which the typographical corrections have been made to the satisfaction of the head of department, and shall advise the examiners, head of department and supervisor.

Award subject to correction of typographical errors

(5) Where the faculty or college board or PhD Award Sub-Committee has approved the award of the degree subject to the correction of typographical errors, the Registrar shall advise the candidate that the degree has been awarded subject to the lodgement of a permanently bound copy of the thesis printed on archival or permanent paper in which the typographical corrections have been made to the satisfaction of the head of department, and shall advise the University Librarian, and shall advise the examiners, head of department and supervisor.

Award subject to emendations

(6) When the award of the degree has been approved by a faculty or college board or by the PhD Award Sub-Committee, subject to specified emendations being made in all copies of the thesis to remain available in the University, the Registrar shall advise the candidate of the decision and of the nature of the emendations required and the latest date by which the emendations shall be made, being, unless otherwise determined by the faculty or college board, within a further three months, and shall provide such detail in relation to the examiners' reports as the head of department recommends.

Additional oral or other examination

(7) (a) Where a faculty or college board has resolved under section 4(3)(d) that the candidate be required to take an additional oral or other examination, or answer specific questions put by an examiner, unless the faculty or college board has determined otherwise, the faculty or college board shall be responsible for the oversight of these further examining processes.

(b) At the completion of an additional oral or other examination, or once a specific question(s) put by an examiner have been answered, the faculty or college board shall obtain a further recommendation from the head of department and shall then resolve in accordance with section 4(3)(a) – (c), (h) or (i).

Conduct of oral examination

(8) Those present at an oral examination may include one or more of the examiners and persons, other than the examiners, nominated by the faculty or college board; shall include the supervisor if he or she wishes; and may include, with the approval of the dean of the faculty or chair of the college board, a member of the University nominated by the candidate.

(9) A candidate shall be given reasonable notice of any oral examination and of the nature of the examination and the names of the persons who will be present, and may advise the dean of the faculty or chair of the college board of reservations he or she may have about the presence of any particular person, giving reasons in writing.

Additional examiner

(10) Where a faculty or college board resolves under section 4(3)(e) that an additional examiner be appointed, the provisions of sections 1, 2 and 3 shall apply as appropriate and the Registrar shall write to the examiner as provided in section 1(14) or 1(15) and shall advise the previously appointed examiners of the name of the additional examiner.

(11) A faculty or college board, having received a further recommendation from the head of department together with an additional examiner's report, may then resolve as provided in section 4(3)(a)-(d), (h) or (i).

Additional examiner as assessor

(12) Except in special circumstances, an additional examiner acting as assessor will be an external appointment.

(13) Where a faculty or college board resolves under section 4(3)(f) that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, the provisions of sections 1, 2 and 3 of these resolutions shall apply as appropriate and the Registrar shall seek comments from the supervisor and then write to the examiner as provided in section 1(14) or 1(15), inviting the examiner to act as an assessor of the examiners' reports as well as an examiner of the thesis and shall provide copies of the unidentified examiners' reports, and the comments of the supervisor, whether or not already an examiner. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor. The Registrar shall also advise the previously appointed examiners of the name of the additional examiner who is also to act as assessor.

(14) A faculty or college board, having received a further recommendation from the head of department (with any written report provided by the supervisor) together with an additional examiner-as-assessor's report, may then resolve as provided in section 4(3)(a)-(c), (h) or (i), except that, where the faculty or college board does not substantially resolve in the terms recommended by the assessor, it shall include a report of the reasons for its decision with any recommendation to the PhD Award Sub-Committee.

Referral of reports to examiners

(15) Where a faculty or college board resolves under section 4(3)(g) that the reports of the examiners, together with comments from the supervisor, shall be referred to all the examiners for their comment, the Registrar shall seek comments from the supervisor and then send copies of the examiners' reports and the supervisor's comments to each of the examiners, advising them that it is in order for them to confer and seeking a further report from each examiner within a period of four weeks.

(16) The Registrar shall forward the responses received, following the circulation of reports, to the head of department for such consultation as is required under section 3 and to make a recommendation, and the faculty or college board on receipt of that recommendation may then resolve as provided in section 4(3).

Candidate to be consulted before degree not awarded

(17) Where a faculty or college board forms the intention, either to resolve under section 4(3)(h) that the degree not be awarded but that the candidate be allowed to revise and resubmit the thesis within a prescribed maximum period of time, or to resolve under section 4(3)(i) that the degree not be awarded, that resolution shall be deferred to allow a process of consultation with the candidate.

(18) The Registrar shall advise the candidate in writing of the faculty or college board's intent; shall provide unidentified copies of such of the examiners' reports as the examiners have indicated may be released and shall advise the candidate that he or she may within a period of four weeks give notice of intention to provide comment on the foreshadowed recommendation of the faculty or college board, such comments to be submitted in writing by no later than a total of eight weeks from the date of the Registrar's advice.

(19) The faculty or college board shall further consider the examiners' reports and the head of department's recommendation, together with any comments provided by the candidate and any further comments
provided by the head of department or supervisor and may then resolve as provided in section 4(3).

(20) The dean of a faculty or chair of a college board may extend either of the time limits set out in section 4(17).

Revise and resubmit

(21) Where a faculty or college board, following the consultation process referred to in sections 4(17)–4(20), resolves under section 4(3)(h) that the degree not be awarded but the candidate be allowed to revise and resubmit the thesis within a prescribed maximum period of time, this decision shall be reported to the PhD Award Sub-Committee, which may note the decision or refer it back to the faculty or college board for further consideration, and the Registrar shall advise the candidate of the decision, of any provisions relating to appeals, the particular conditions applying and the general requirements in respect of revision and resubmission and shall provide such detail in relation to the examiners' reports as the head of department recommends and shall also advise the examiners, head of department and supervisor of the terms of the decision.

Emendations and lodging of corrected thesis

(23) A candidate, on receipt of advice from the Registrar that the degree has been awarded subject to emendations being made, shall make these emendations in consultation with his or her supervisor or head of department on all the copies of the thesis which are to be available within the University, including the copy printed on permanent or acid-free paper which is to be lodged with the University Librarian; shall comply with the requirements with respect to permanently binding a copy of the thesis; shall request the head of department to certify that the corrections have been made and shall submit the thesis copies to the Registrar by no later than the latest date advised for completing such action.

(24) The Registrar, on receipt of at least one corrected, permanently bound copy of the thesis and a statement from the head of department that the corrections have been made to his or her satisfaction, shall cause all corrected hard copies submitted to be stamped, and electronic copies to be annotated and stored as 'read-only file' to indicate that the thesis is in the form which has been accepted for the degree; shall advise either the PhD Award Sub-Committee or the faculty, as appropriate, that the corrections have been made and that the faculty or Sub-Committee can therefore approve the award of the degree; shall write to the candidate advising that all the requirements for the award of the degree have been met; shall lodge the permanently printed copy with the University Librarian, and shall so advise the examiners, head of department and supervisor.

(25) If a candidate does not carry out the required emendations within the time limit set, or the head of department after consultation with the supervisor does not consider that the emendations made are satisfactory, the head of the department shall refer the matter to the faculty or college board which may grant additional time or set different conditions or may initiate proceedings under the provisions for the termination of candidature.

Transfer to master's candidature

(26) A faculty or college board may permit a candidate for the degree of Doctor of Philosophy who, after examination, has not been awarded the degree, to use part or all of the material in the thesis as a thesis to be submitted for a master's degree, subject to completing all of the necessary administrative requirements.

Participation of supervisor and head of department

(27) The supervisor and head of department may be present at any discussion by a faculty or college board of a recommendation by the head of department in respect to examiners' reports on the thesis of a candidate.

Delegation of authority

(28) A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidate or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

(29) The Sub-Committee may delegate to its chair, or in the absence of the chair to the chair's nominee from the Sub-Committee, its powers to award the degree under section 4(2)(a), (b) or (c).

(30) The Sub-Committee may delegate to its chair, or in the absence of the chair to the chair's nominee from the Sub-Committee, its powers under section 4(21), where the candidate has been consulted in accordance with section 4(17) and agrees with the recommendation of the faculty.

(31) Where the PhD Award Sub-Committee has delegated to faculties and colleges the authority to approve the award of the degree under sections 3(1)(a) or 4(1)(b), the authority for the approval of the award shall be the responsibility of the faculty's or college board's postgraduate committee which may delegate authority to act on its behalf to its chair, or in the absence of the chair to the chair's nominee.

5. Revision and re-examination

Faculty or college board to prescribe conditions

(1) A faculty or college board which has resolved that a candidate not be awarded the degree but be permitted to revise and resubmit the thesis for re-examination, shall prescribe a maximum period of further candidature and may prescribe particular conditions to be met.

Candidate to re-enrol

(2) A candidate permitted to revise and resubmit shall re-enrol while remaining a candidate for the degree and shall proceed according to the provisions of these resolutions.

Appointment of examiners

(3) A head of department shall recommend examiners for a revised and resubmitted thesis after the consultation processes provided for in section 1, but the faculty shall normally reappoint the original examiners of the thesis, provided that they are available, unless one or more of those examiners has required modifications of the thesis that the faculty or college board consider to be unnecessary or undesirable or, in the opinion of the faculty or college board, there are academic reasons for not reappointing any or all of the original examiners.

Process of examination

(4) Subject to section 5(5), all the provisions of sections 1, 2, 3 and 4 relating to the examination process apply to the examination of a revised and resubmitted thesis.

(5) Except where the Research and Research Training Committee on the recommendation of the faculty or college board permits otherwise, the recommendation that a candidate be not awarded the degree but be permitted to resubmit the thesis in a revised form for re-examination shall not be available to examiners of a thesis that has itself been submitted for re-examination.

6. Faculty and college board delegations

Where in these resolutions reference is made to a faculty or college board or action to be taken by a faculty or college board, that reference shall also include a faculty or college board of postgraduate studies or equivalent and any dean, chair, associate dean or other
officer of the faculty or college board acting with the authority of the faculty or college board.

7. Annual quarterly reports to the PhD Award Sub-Committee
Where the degree is awarded by faculty delegation, the faculty shall report to the PhD Award Sub-Committee at the end of March, June, September and December of each year the details of such awards for the previous three months showing for each the name of the candidate, the department, the title of the thesis, the category of award recommended by each examiner, the final result, the date of submission of the thesis and the date on which the candidate was informed of the result.

8. Cotutelle agreements
(1) Where a candidature has been conducted under an approved cotutelle agreement with a French university four examiners shall be appointed, two being on the recommendation of each participating institution.

(2) Where a candidature has been conducted under an approved cotutelle agreement with other than a French university the examination arrangements must be approved by the Research and Research Training Committee.
Appendix: University of Sydney (Doctor of Philosophy (PhD))
Rule 2004

Note: Part 1 is not included here – it contains legal information about the creation of this rule.

Part 2 – Admission to candidature

3. Heads of Department

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

(1) An applicant for admission as a candidate for the degree shall, except as provided in (2) and (3) below, hold or have fulfilled all the requirements for:

(a) the degree of master, or

(b) the degree of bachelor with first or second class honours.

(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.

(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) 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 (1) or (2) above and such candidate shall proceed to the degree under such conditions as the Academic Board may prescribe.

(5) An applicant for admission to candidature shall submit to the faculty concerned:

(a) 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

(b) satisfactory evidence of adequate training and ability to pursue the proposed course.

(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.

(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

(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.

(2) In the case of a candidate accepted on a probationary period under (1) above, the candidature shall be deemed to have commenced from the date of such acceptance.

6. Control of candidature

(1) Each candidate shall pursue his or her course of advanced study and research wholly under the control of the University.

(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

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

(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.

(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:

(a) 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 3. above;

(b) 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;

(c) the candidate shall have abandoned candidature for the higher degree of the other university or institution concerned for which credit is sought;
Part 3 – Supervision

9. Appointment and qualifications of supervisors and associate supervisors

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

(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:

(a) within the University including its research stations and teaching hospitals;

(b) on fieldwork either in the field or in libraries, museums or other repositories;

(c) 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

(d) within a professional working environment; 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.

(2) 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. The corresponding period for candidates for whom the minimum length of candidature is four semesters is a minimum of one semester.

(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

(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.

(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.

(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

(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. 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.

(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.

(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.

(4) Theses shall be written in English, except that:

(a) in the case of a candidature governed by an approved cotutelle agreement, the thesis may be written in English or in another language; and

(b) 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:

(i) English; or

(ii) a target language of the department.

Such applications should be:

(iii) made in writing; and

(iv) approved by the head of department concerned and the Dean of the Faculty, before the commencement of candidature. In considering applications a head of department shall take into account arrangements for supervision and examination.

(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.

(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

(1) Except as provided below, a candidate may not submit a thesis for examination earlier than the end of the sixth semester of candidature.

(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:

(a) a degree of master completed primarily by research;

(b) both the degrees of Bachelor of Dental Surgery with honours and Bachelor of Science (Dental) with honours;

(c) both the degrees of Bachelor of Medicine with honours and Bachelor of Science (Medical) with honours; or

(d) both the degrees of Bachelor of Veterinary Science with honours and Bachelor of Science (Veterinary) with honours.

(3) Notwithstanding (1) and (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.

(4) Notwithstanding (1), (2) and (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. The Chair of the Academic Board may take advice from the Chair of the Research and Research Training 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

(1) Except as provided in (2) to (3) below, a candidate shall submit the thesis for examination not later than the end of the eighth semester of candidature.

(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.

(3) The time limits set out in (1) to (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.

(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

The procedures for examination shall be prescribed by the Academic Board.
Appendix: University of Sydney (Amendment Act) Rule 1999 (as amended), Part 10, Division 5: Higher degree theses

Note: Part 10, Division 5 of the University of Sydney (Amendment Act) Rule 1999 (as amended) contains policy relevant to postgraduate research students. The complete Rule can be viewed at sydney.edu.au/senate/policies/Amendment_Act_Rule.pdf

Part 10 – Awarding degrees, diplomas and certificates

Division 5: Higher degree theses

89. Lodgment

89.1 In all cases where a higher degree has been awarded, after examination of a thesis the Registrar shall lodge with the University Librarian one bound copy of the thesis, printed on permanent or archival paper.

89.2 It is the policy of the Senate that a candidate for a higher degree should not normally be permitted to undertake a program of advanced study and research which is likely to result in the lodgment of a thesis which cannot be available for use immediately, to be read, photocopied or microfilmed, except as provided in Rule 92 below.

89.3 An applicant for admission to candidature for a higher degree shall be required to acknowledge awareness of this policy when applying for such admission.

89.4 Subject to Rules 90 and 91, a higher degree thesis lodged in the University Library or in a departmental library shall be available immediately for use. The University Librarian (or, in the case of a departmental library, the head of department) may supply a copy of the thesis to an individual for research or study, or to a library.

89.5 Except as provided in Rule 90, a candidate for a higher degree lodging a thesis for examination shall sign the following undertaking: "I………………………………….. understand that if I am awarded a higher degree for my thesis entitled ‘………………………………..’, being lodged herewith for examination, the thesis will be lodged in the University Library and be available immediately for use. I agree that the University Librarian (or, in the case of a departmental library, the head of department) may supply a copy of the thesis to an individual for research or study or to a library. Signed……………………………….. Date……………….”

90. Use of confidential material

90.1 If, at any time between application for admission to candidature and the lodgment of the thesis, it shall appear to the supervisor and to the head of the department that successful prosecution of the candidature will require the use of confidential material which the candidate would not be at liberty fully to disclose in the thesis, the matter shall be reported as soon as practicable to the faculty or board of studies concerned.

90.2 The faculty or board of studies may, if it thinks fit, recommend to the Research and Research Training Committee of the Academic Board that the candidate be granted:

90.2.1 permission to include in an appendix to the thesis such material as is essential to the thesis but which, for a limited period, may not be available for general inspection; and

90.2.2 exemption, in respect of such an appendix, from the requirement to give the undertaking specified in Rule 89.5.

90.3 Subject to the provisions of Rule 91, if the Research and Research Training Committee of the Academic Board resolves to grant such permission and exemption, the University Librarian shall restrict access, for a period to be specified by the Research and Research Training Committee of the Academic Board, to any appendix referred to in Rule 90.2.2. This period of restriction shall not exceed five years unless there are exceptional reasons for an extension of the period.

91. Access to restricted thesis

91.1 The University Librarian may grant access to an appendix to a thesis to which access has been restricted in accordance with Rule 90.3, to a scholar who:

91.1.1 demonstrates bona fide concern with the material in that appendix; and

91.1.2 has the written consent of either:

91.1.2.1 the author of the thesis, or

91.1.2.2 the head of the department concerned in a case where the author cannot be contacted, notwithstanding that all reasonable steps have been taken to contact him or her.

91.2 Notwithstanding any other provision of these resolutions, the examiners of a thesis, including any committee or board of postgraduate studies of a faculty or board of studies or any committee of the Academic Board which is directly concerned with the examination of such thesis, shall have access to the thesis and any appendix of it form the purposes of any examination or re-examination.

91.3 Immediately a candidate for a higher degree lodges the prescribed number of copies of the thesis with the Registrar for examination, the Registrar shall arrange for a label stating the rights of the author under the laws relating to copyright to be affixed to the inside of the front cover of each copy or to any disk or other electronic medium on which the thesis is submitted.

92. Public availability of theses

92.1 For the purposes of this Part 10, references to ‘theses’ shall be taken to include also reference to treatises, dissertations and other similar productions where there is a requirement that a copy of the production be lodged by the Registrar with the University Librarian.

92.2 The Senate recognises that there are certain circumstances where deferment of the public availability of the thesis is appropriate.

92.3 In a case where a candidate or potential candidate is to be associated with a project in collaboration with industry that has potential for concern over exploitation of intellectual property, the Dean, if satisfied that the circumstances warrant it, may recommend to the Research and Research Training Committee of the Academic Board that:

92.3.1 the candidate or prospective candidate be granted exemption from the requirement to give the undertaking specified in Rules 89.3 and 89.5; and

92.3.2 authorisation be given to the Registrar to delay lodgment of the thesis in the Library for a period that, except in exceptional circumstances, shall not exceed 18 months from the date of the award of the degree.

92.4 The Senate authorises the Chair of the Research and Research Training Committee to approve such applications where the Chair is satisfied that they are appropriate.
92.5 If, at any time between application for admission to candidate and the lodgment of the thesis, it shall appear to the candidate, supervisor and to the head of the department that there are reasons to believe that the candidate's interests would be at risk if the thesis were immediately made available, the candidate may apply in writing for deferment of the availability of that thesis in the University Library for a specific period of time. Any such application should set out clearly the reasons for the request and include supporting evidence, as appropriate.

92.6 The dean, if satisfied that such a deferment is necessary to protect the interests of the candidate, may:
92.6.1 authorise the Registrar not to lodge the thesis in the Library for a period not exceeding 6 months from the date of award of the degree; and may also
92.6.2 recommend to the Research and Research Training Committee of the Academic Board that a longer period of deferment, or an extension of the original deferment, be approved provided that, except in exceptional circumstances, the total period shall not exceed 18 months.
Appendix: Code of Practice for Supervision of Postgraduate Research Students

Introduction
The University of Sydney is an institution of higher education at which research and research training of the highest national and international quality are pre-eminent responsibilities. The University has a responsibility to ensure that candidates for higher degrees work in an appropriate intellectual and academic environment. A postgraduate research candidature involves a commitment from the student, the supervisor and the University which will extend over years. In this context the University has defined the minimum responsibilities of all parties concerned with the supervision of postgraduate research candidates in the following guidelines. These have to be read in conjunction with the University’s regulations for particular degrees and the defined roles of heads of departments and schools, deans and faculties and colleges.

A. Responsibilities at University level
The University has the responsibility:

(a) to ensure that adequate University policies in respect of postgraduate supervision are developed and kept under review and are effectively promulgated;

(b) to ensure that candidates have an acceptable level of access to physical space and other facilities, including library facilities, and that departments advise prospective candidates of what facilities will be made available;

(c) to ensure that adequate support services in areas such as learning assistance are available;

(d) to ensure that adequate training and other support is provided for supervisors of postgraduate students;

(e) to ensure that clear policies exist with respect to the intellectual property rights of students and staff;

(f) to ensure throughout the candidature that there are effective reporting and review mechanisms in place and that there are procedures to allow candidates to seek assistance in the resolution of difficulties;

(g) to ensure that the examining process for postgraduate candidates is both expeditious and maintains the standards required for the degrees concerned;

(h) to ensure that candidates are provided with written information in supervision training activities provided within the University;

(i) to encourage supervisors and associate supervisors to participate in supervision training activities provided within the University;

B. Responsibilities at the faculty or college level
The faculty or college has the responsibility:

(a) to ensure that applicants for admission to candidature are properly qualified both with respect to the minimum requirements for admission to the degree concerned and with respect to the particular course of study proposed;

(b) to ensure that facilities required for any particular candidature are available or will be available before approving the admission of particular candidates;

(c) to ensure that the supervisor and associate supervisor recommended are properly qualified and that where it is proposed that a supervisor supervise more than five candidates an adequate justification is provided;

(d) to ensure that appropriate review mechanisms exist within departments and that departments are properly advising candidates of their rights and obligations;

(e) to monitor the progress of postgraduate candidates during the whole candidature through reports from departments and to intervene if necessary;

(f) to ensure that candidates within the faculty or college are aware of persons within the faculty or college to whom they can turn for advice;

(g) to ensure that the annual attendance requirements established for each candidate comply with any faculty policy and are generally seen to be satisfactory;

(h) to ensure that examiners recommended are appropriately qualified and that the examination process is both expeditious and maintains the standards required for the degree concerned.

C. Responsibilities at the departmental level
These responsibilities are those of the head of department. They may, however, in many instances be delegated to a postgraduate coordinator or may be exercised through a departmental committee. Such delegations must be clearly defined.

The department has the responsibility:

(a) to ensure that applicants for admission to candidature are properly qualified both with respect to the minimum requirements for admission to the degree concerned and with respect to the particular course of study proposed and that they have had appropriate discussions/correspondence concerning their proposed course of study;

(b) to determine the facilities likely to be required for any particular candidature and to ascertain whether they will be available and whether the project proposed is appropriate to the degree;

(c) to ensure that applicants are correctly advised as to the availability of facilities including access to physical space and other resources and are correctly advised as to the financial support that is likely to be available to them;

(d) to ensure that adequate appropriate supervision can be made available for any particular candidature, for monitoring the supervision load of members of staff within the department, for ensuring that proper recognition of that load is given in the overall allocation of duties within the department and to ensure that the candidate receives proper supervision throughout the candidature;

(e) to ensure that the respective role of supervisors and associate supervisors is properly defined and understood and that they have access to information defining their responsibilities;

(f) to encourage supervisors and associate supervisors to participate in supervision training activities provided within the University;

(g) to ensure that candidates are provided with written information concerning departmental facilities and requirements including reference
Appendix: Code of Practice for Supervision of Postgraduate Research Students

1. The supervisor has a responsibility before undertaking the supervision of any candidature:

(a) to ensure that the candidate is aware of the standards expected for the degree concerned and for identifying with the candidate the particular research skills that will need to be acquired and the most appropriate data-gathering and analysing techniques;

(b) for reaching agreement with the candidate on the contact that will be necessary between them both in general terms and quite specifically for the first year of a PhD candidature or first semester of a master’s candidature; this will include agreement upon indicators of progress being made and submission of appropriate written work, interim reports or research results. Written work is to be returned by the supervisor with constructive criticism within one month or a shorter agreed time;

(c) to ensure that the candidate participates in the work of the department including presentations at departmental seminars.

2. The supervisor of a research student has an any interest in a faculty for interaction and development of profitable intellectual relationships amongst students and staff and that all students are encouraged to participate in appropriate departmental or faculty activities;

(i) to ensure that students are encouraged to participate in appropriate training activities offered within the University;

(j) to ensure that review procedures as required by the University are carried out properly; the load that participation in such activities places on members of staff must be recognised within the department;

(k) to ensure that appropriate alternative supervision is provided during absences from the University of the supervisor; an acting supervisor should be appointed when the supervisor will be absent for periods of absence of a month or more, including during the thesis examination period;

(l) to ensure that where a postgraduate coordinator or equivalent has been appointed the duties and responsibilities of the position are properly defined, adequate resources are provided to assist in the performance of those duties and proper recognition is given to the workload these duties entail;

(m) to ensure that necessary approvals are obtained from the faculty in respect of conditions of candidatures, that scholarship reporting requirements are met and that candidates receive all due entitlements;

(n) to ensure that the examination process is conducted promptly in an expeditious and correct manner; this includes early selection of appropriate examiners;

(o) to ensure that students and supervisors are aware of the University’s policies and procedures with respect to intellectual property, including questions of authorship and exploitation of inventions and other intellectual property.

D. Responsibilities of the supervisor

1. The supervisor has a responsibility before undertaking the supervision of any candidature:

(a) to ensure to the best of his or her ability that the candidate is prima facie capable of undertaking the project proposed and that the proposed supervisor is both suitably qualified to carry out the supervision and has sufficient time available;

(b) to ensure that the facilities are available to enable the project to succeed; the supervisor should pay particular attention to the likely time scale of the project bearing in mind that a three-year (full-time equivalent) PhD candidature should be an objective.

If the supervisor is not confident at this stage that the research proposal is likely to succeed or that the facilities are available or has any doubts about his or her ability for any reason to supervise the candidate he or she must raise this with the head of department, postgraduate coordinator and/or faculty. A decision should then be made as to whether the candidature may proceed or whether the candidate might be better supervised by another person or require the assistance of an associate supervisor. Particularly careful attention must be paid to proposals for part-time candidature.

2. Where the supervisor of a research student has any interest in a company that has contracted with the University to do research involving research students, the supervisor must declare this interest to the department and the student before embarking on a research program.

3. The supervisor has a responsibility:

(a) to identify the various degree and other administrative requirements and to advise the candidate as necessary; he or she should ensure that necessary approvals are sought for absences from the University by the candidate and that the candidate receives any due entitlements from the department;

(b) to advise each candidate of applicable government and institutional guidelines for the conduct of research, including requirements relating to ethical approvals for studies on human or animal subjects, and the use of potentially hazardous agents; reference should be made to the AVCC Guidelines for Responsible Practice in Research and Dealing with Problems of Research Misconduct; as far as possible, research supervisors should ensure that the work submitted by candidates is their own and that data are valid;

(c) to ensure that the candidate is aware of the requirements regarding the retention of data within departments and the requirements of members of staff to complete a statement of authorship in respect of each paper submitted for publication;

(d) to ensure that safe working practices are developed and maintained and that the candidate is aware of the University’s Occupational Health and Safety Policies.
10. The supervisor has a responsibility, where an associate supervisor has been appointed:

(a) to ensure that responsibilities are clearly understood by all three parties and should maintain regular contact with the associate supervisor;

(b) to ensure that the direction of the work is entirely under the control of the University and the candidate.

11. The supervisor has a responsibility to ensure that an acting supervisor is appointed during her or his absence from the University for any period of a month or more, including during the thesis examination period. He or she should inform such an acting supervisor about the progress of the candidature.

12. The supervisor has a responsibility to ensure that an acting supervisor is appointed during her or his absence from the University for an y period of a month or more , including during the thesis examination period. He or she should inform such an acting supervisor about the progress of the candidature.

13. The supervisor has a responsibility to give thought to the suitability and availability of examiners in good time before the thesis is submitted and to advise the head of department of the necessity to take action.

14. The supervisor has a responsibility to reach agreement with the candidate concerning authorship of publications and acknowledgement of contributions during and after the candidature. There should be open and mutual recognition of the candidate’s and supervisor’s contribution on all published work arising from the project.

15. The supervisor has a responsibility to be aware of the problem-solving mechanisms and the support services for students which exist within the University and should ensure that the head of department and the faculty or college are kept informed as necessary if problems occur during the candidature.

16. The supervisor has a responsibility to ensure that the candidate is aware of his or her rights with respect to intellectual property and to encourage, where appropriate, the exploitation of such intellectual property through the University.

E. Responsibilities of the candidate

1. The candidate has a responsibility:

(a) to play an informed part in the process of the selection and appointment of the supervisor;

(b) to plan and execute the project within the time limits defined for the degree in question;

(c) to devote sufficient appropriate time to the candidature;

(d) to establish with his or her supervisor agreed methods of working and then to fulfil his or her side of any agreement;

(e) to attend as agreed for consultation and provide evidence of the progress being made including submission of any required report forms;

(f) to undertake any coursework or other activities required by the supervisor or head of department;

(g) to participate in the opportunities offered by the department to be part of that intellectual community; the candidate must participate in such departmental activities as are required;

(h) to draw the supervisor’s attention to difficulties being experienced, to be aware of the mechanisms that exist for helping with supervisor-candidate difficulties and to take advantage of them if necessary;

(i) to ensure that there is sufficient time allocated to write up the thesis and to ascertain what is necessary in terms of content, style and presentation.

2. The candidate has a responsibility:

(a) to be familiar with both the legislative requirements for the degree in which he or she is enrolled and any departmental, faculty or other University written guidelines relating to that degree or to postgraduate work in general;

(b) to be familiar with government and institutional guidelines for the conduct of research and to ensure that through the supervisor the necessary approvals for studies on animal or human subjects (including the use of questionnaires) are obtained;

(c) to adopt at all times safe working practices relevant to the field of the research and to take note of the University’s Occupational Health and Safety Policies;

(d) to apply for any faculty or departmental approvals needed to spend time away from the University, whether as part of the candidature or under some form of suspension;

(e) to ensure that all the administrative requirements of the faculty and the University, such as re-enrolling each year, are met;

(f) to give three months’ notice to the supervisor of the expected submission date of the thesis in order to allow early selection of examiners.

3. The candidate is solely responsible for the content, style and presentation, and for the production, of the thesis that is finally presented.

4. The candidate has a responsibility to make any emendations required after examination in a timely fashion.

5. The candidate has a responsibility to explore with the supervisor and the University the possible exploitation of any invention or other intellectual property arising from the research.
Please note that the information below is based on the University of Sydney (Intellectual Property) Rule 2002, which is currently being revised. For the latest version of this Rule, check Policy Online: sydney.edu.au/policy

Introduction
Universities are places of scholarship and research, and those who work in a university value excellence in teaching and research, and assume responsibility for the acquisition, generation and dissemination of knowledge. Intrinsic to this process is the need to have open channels of communication and to be able to engage in discussion freely and without inhibition.

Within this environment, there is the opportunity to develop certain works for their commercial value, as well as their overall contribution to knowledge. To that end, the Senate has approved a rule that regulates the ownership and development of intellectual property generated within the University – from the perspective of academic and general staff, students and visitors.

The amendments made to the rule ensure that the University meets the National Principles of Intellectual Property Management for Publicly Funded Research.

The purpose of this document is to provide a guide to the Rule so that staff, students and visitors understand their roles, obligations and rights.

A brief overview of intellectual property and what it means

Intellectual property or, more correctly, intellectual property rights, refers to those rights conferred on authors or creators of the following types of works as defined by the World Intellectual Property Organisation (of which Australia is a member):

- literary, artistic and scientific works
- performances of performing artists, phonograms and broadcasts
- inventions in all fields of human endeavour
- scientific discoveries
- industrial designs
- trademarks, services marks and commercial names and designations.

In Australia, intellectual property rights are dealt with in five distinct categories, these being:

- copyright, which is regulated by the Copyright Act 1968 (Cth)
- registered designs, which are regulated by the Designs Act 1906 (Cth)
- patents, which are regulated by the Patents Act 1990 (Cth)
- trademarks, which can exist at common law, or which, if registered, are regulated by the Trade Marks Act 1995 (Cth)
- other statutory regimes for integrated circuits [regulated by the Circuit Layouts Act 1989 (Cth)], plant breeders’ rights [regulated by the Plant Breeder’s Rights Act 1994 (Cth)], and other rights relating to logos and symbols (which are regulated by specific legislation, for example, Olympic insignia).

The common law also recognizes other rights, in particular, confidential information and trade secrets.

It is important to note that there can be no intellectual property in an idea itself – it must be manifested in some tangible form.

Moral rights

The concept of moral rights transcends intellectual property rights of an economic nature. It recognises the personal interest of the creator or author in the integrity of the work. This concept has long been recognised in continental European countries, but has only recently been recognised in Australia with the enactment of the Copyright Amendment (Moral Rights) Act 2000 (which came into force on 21 December 2000), which recognises three types of moral rights:

- an author’s right to be identified as the author of a work – known as the right of attribution of authorship;
- the right of an author to take action against false attribution – known as the right not to have authorship of a work falsely attributed; and
- an author’s right to object to derogatory treatment of his or her work that prejudicially affects his or her honour or reputation – known as the right of integrity of authorship of a work.

The right of integrity in a work lasts until the author dies, and the other two types of rights remain in force until copyright ceases to subsist in the work in question. Moral rights vest in the author, regardless of whether the work in created in the course of one’s employment. The Act provides for exceptions for infringement of moral rights, based on concepts of reasonableness or consent of the author.

University of Sydney (Intellectual Property) Rule

The Senate has enacted the University of Sydney (Intellectual Property) Rule 2002 pursuant to its rule-making powers under the University of Sydney Act 1989. The Rule regulates intellectual property created within the University in the following ways:

Ownership

Staff members

University asserts ownership of all intellectual property created by a staff member in pursuance of the terms of his or her employment with the University, including, without limitation, copyright in any material which is (i) teaching material, (ii) computer programs; (iii) anything created at the express request or direction of the University or (iv) anything the subject of an agreement with a third party (for example, a funding agreement).

The University does not assert ownership over copyright in any scholarly books, journal articles, conference papers, creative works or proceedings or texts.

The University retains a non-exclusive, royalty-free, perpetual licence to use or develop any intellectual property rights in any of those things, although the creator will be entitled to a share of any commercial benefits obtained according to the Rule.

In relation to teaching material, the University grants the author a non-exclusive, royalty-free, non-transferable, perpetual licence to use those teaching materials for the sole purpose of teaching a course.

Students

The University has always recognised that students always own any intellectual property that they create unless:

(a) there is a law that says otherwise; or
(b) the student agrees otherwise.
However, a student may agree to transfer his or her intellectual property rights. Where a student is involved in research activities that involve third party agreements, or where the activity involves the creation of intellectual property of a kind that may be developed in the future, it is the responsibility of both the chief researcher and the student’s supervisor to notify the student, before he or she begins work on that project, if the third party agreement requires the student to transfer his or her intellectual property or to give consent with respect to any moral rights, and to ensure that the student has a reasonable amount of time in which to take advice (which generally should not be less than 14 days).

Students who transfer their intellectual property rights are entitled to a share of any commercial benefits, subject to any third party agreement (see the section below entitled, Reporting and developing intellectual property).

Visitors
Visitors to the University usually have access to and make use of University resources. The Rule requires a visitor to disclose any intellectual property rights that he or she creates at the University, and the University may then decide whether it wishes to claim ownership. The University may also require the visitor to sign an agreement in advance. This may also involve an agreement with the visitor’s own institution.

Reporting and developing intellectual property
Staff members are encouraged to report any intellectual property that they create. Apart from any commercial benefits that might come from developing it, it also contributes to the University’s research profile, which in turn attracts more funding.

The Rule sets out a procedure for reporting through the staff member’s relevant Department and the Business Liaison Office, as well as the University’s decision-making process in deciding whether to protect or develop that intellectual property. The Rule also sets out how any commercial benefits will be shared, if the intellectual property is developed. Staff should note that sharing of commercial benefits does not apply to teaching materials used for the delivery of courses at this University.

Dispute resolution
The University recognises that sometimes disputes can arise about ownership and other issues relating to intellectual property and is keen to implement a process that can deal with these disputes quickly, fairly and cost-effectively. Accordingly, the Rule sets out a dispute resolution procedure.
Listed below are the more commonly used acronyms that appear in University documents and publications. (See also the Glossary.)

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<td>FlexSIS</td>
<td>Flexible Student Information System</td>
</tr>
<tr>
<td>FHS</td>
<td>Faculty of Health Sciences</td>
</tr>
<tr>
<td>FOS</td>
<td>Field of study</td>
</tr>
<tr>
<td>FTE</td>
<td>Full-time equivalent (staff)</td>
</tr>
<tr>
<td>FRM</td>
<td>Faculty of Rural Management</td>
</tr>
<tr>
<td>GATS</td>
<td>General Agreement on Trade in Services</td>
</tr>
<tr>
<td>GCCA</td>
<td>Graduate Careers Council of Australia</td>
</tr>
<tr>
<td>GDS</td>
<td>Graduate destination survey</td>
</tr>
<tr>
<td>GPOF</td>
<td>General Purpose Operating Funds</td>
</tr>
<tr>
<td>GSA</td>
<td>Graduate Skills Assessment</td>
</tr>
<tr>
<td>GSG</td>
<td>Graduate School of Government</td>
</tr>
<tr>
<td>GWLSN</td>
<td>Greater Western Sydney Learning Network</td>
</tr>
<tr>
<td>HDR</td>
<td>Higher Degree Research</td>
</tr>
<tr>
<td>HEC</td>
<td>Higher Education Contribution Scheme</td>
</tr>
<tr>
<td>HECS-HELP</td>
<td>Higher Education Contribution Scheme – Higher Education Loan Program</td>
</tr>
<tr>
<td>HEEP</td>
<td>Higher Education Equity Program</td>
</tr>
<tr>
<td>HEIMS</td>
<td>Higher Education Information Management System</td>
</tr>
<tr>
<td>HEIP</td>
<td>Higher Education Innovation Program (DEST)</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>-------------</td>
</tr>
<tr>
<td>HELP</td>
<td>Higher Education Loan Program</td>
</tr>
<tr>
<td>HEO</td>
<td>Higher education officer</td>
</tr>
<tr>
<td>HEP</td>
<td>Higher education provider</td>
</tr>
<tr>
<td>HERDC</td>
<td>Higher Education Research Data Collection</td>
</tr>
<tr>
<td>HESA</td>
<td>Higher Education Support Act</td>
</tr>
<tr>
<td>IAF</td>
<td>Institutional Assessment Framework</td>
</tr>
<tr>
<td>IAS</td>
<td>Institute of Advanced Studies</td>
</tr>
<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
</tr>
<tr>
<td>IELTS</td>
<td>International English Language Testing Scheme</td>
</tr>
<tr>
<td>IGS</td>
<td>Institutional Grants Scheme (DEST)</td>
</tr>
<tr>
<td>IO</td>
<td>International Office</td>
</tr>
<tr>
<td>IPRS</td>
<td>International Postgraduate Research Scholarships</td>
</tr>
<tr>
<td>IREX</td>
<td>International Researcher Exchange Scheme</td>
</tr>
<tr>
<td>ISFP</td>
<td>Indigenous Support Funding Program</td>
</tr>
<tr>
<td>ISIG</td>
<td>Innovation Summit Implementation Group</td>
</tr>
<tr>
<td>ISSU</td>
<td>International Student Services Unit</td>
</tr>
<tr>
<td>ITC</td>
<td>Information Technology Committee</td>
</tr>
<tr>
<td>ITL</td>
<td>Institute for Teaching and Learning</td>
</tr>
<tr>
<td>ITS</td>
<td>Information Technology Services</td>
</tr>
<tr>
<td>JASON</td>
<td>Joint Academic Scholarships Online Network</td>
</tr>
<tr>
<td>LBOTE</td>
<td>Language background other than English</td>
</tr>
<tr>
<td>MISG</td>
<td>Management Information Steering Group</td>
</tr>
<tr>
<td>MNRF</td>
<td>Major National Research Facilities Scheme</td>
</tr>
<tr>
<td>MOU</td>
<td>Memorandum of Understanding</td>
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<tr>
<td>MRB</td>
<td>Medical Rural Bonded Scholarship Scheme</td>
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<tr>
<td>NBCOTP</td>
<td>National Bridging Courses for Overseas Trained Program</td>
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<tr>
<td>NCGr</td>
<td>National Competitive Grant</td>
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<tr>
<td>NESB</td>
<td>Non-English-speaking background</td>
</tr>
<tr>
<td>NHMRC</td>
<td>National Health and Medical Research Council</td>
</tr>
<tr>
<td>NOIE</td>
<td>National Office for the Information Economy</td>
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<tr>
<td>NOCSR</td>
<td>National Office for Overseas Skill Recognition</td>
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<tr>
<td>NSRL</td>
<td>Non-recent school leaver</td>
</tr>
<tr>
<td>NSW VCC</td>
<td>New South Wales Vice-Chancellors’ Conference</td>
</tr>
<tr>
<td>NTEU</td>
<td>National Tertiary Education Industry Union</td>
</tr>
<tr>
<td>OECD</td>
<td>Organisation for Economic Cooperation and Development</td>
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<tr>
<td>OLA</td>
<td>Open Learning Australia</td>
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<tr>
<td>OPTS</td>
<td>Overseas Postgraduate Research Scholarships</td>
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<tr>
<td>OS-HELP</td>
<td>Overseas Study – Higher Education Loan Program</td>
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<tr>
<td>PELS</td>
<td>Postgraduate Education Loans Scheme (replaced by FEE-HELP)</td>
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<tr>
<td>PSO</td>
<td>Planning Support Office</td>
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<tr>
<td>PVC</td>
<td>Pre-Vice-Chancellor</td>
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<tr>
<td>QA</td>
<td>Quality assurance</td>
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<tr>
<td>QACG</td>
<td>Quality Advisory and Coordination Group</td>
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<tr>
<td>R&amp;D</td>
<td>Research and Development</td>
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<tr>
<td>R&amp;RR</td>
<td>Restructuring and Rationalisation Program</td>
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<tr>
<td>RC</td>
<td>Responsibility Centre</td>
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<tr>
<td>REG</td>
<td>Research and Earmarked Grants</td>
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<tr>
<td>REP</td>
<td>Research Education Program</td>
</tr>
<tr>
<td>RFM</td>
<td>Relative Funding Model</td>
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<tr>
<td>RIBG</td>
<td>Research Infrastructure Block Grant (DEST)</td>
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<tr>
<td>RIEF</td>
<td>Research Infrastructure Equipment and Facilities Scheme</td>
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<tr>
<td>RISF</td>
<td>Restructuring Initiatives Support Fund</td>
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<tr>
<td>RMO</td>
<td>Risk Management Office</td>
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<tr>
<td>ROA</td>
<td>Record of Achievement</td>
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<tr>
<td>RQ</td>
<td>Research Quantum</td>
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<tr>
<td>RQU</td>
<td>Recognition Quality Unit (Higher Education Division – DEST)</td>
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<tr>
<td>RRTMR</td>
<td>Research and Research Training Management Reports</td>
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<tr>
<td>RSL</td>
<td>Recent School Leaver</td>
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<tr>
<td>RTS</td>
<td>Research Training Scheme (DEST)</td>
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<tr>
<td>SCA</td>
<td>Sydney College of the Arts</td>
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<tr>
<td>SCEQ</td>
<td>Sydney Course Experience Questionnaire</td>
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<tr>
<td>SCM</td>
<td>Sydney Conservatorium of Music</td>
</tr>
<tr>
<td>SCR</td>
<td>Science Capability Review</td>
</tr>
<tr>
<td>SDF</td>
<td>Strategic Development Fund</td>
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<tr>
<td>SEG</td>
<td>Senior Executive Group</td>
</tr>
<tr>
<td>SES</td>
<td>Socioeconomic Status</td>
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<tr>
<td>SI</td>
<td>Scholarship Index</td>
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<tr>
<td>SLE</td>
<td>Student Learning Entitlement</td>
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<tr>
<td>SNA</td>
<td>Safety Net Adjustment</td>
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<tr>
<td>SPIRIT</td>
<td>Strategic Partnerships with Industry - Research &amp; Training Scheme</td>
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<tr>
<td>SPR</td>
<td>Student Progress Rate</td>
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<tr>
<td>SRC</td>
<td>Students’ Representative Council</td>
</tr>
<tr>
<td>SSR</td>
<td>Student/Staff Ratio</td>
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<tr>
<td>STABEX</td>
<td>Study Abroad Exchange (database)</td>
</tr>
<tr>
<td>SUPRA</td>
<td>Sydney University Postgraduate Students’ Representative Association</td>
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<td>SUSF</td>
<td>Sydney Uni Sport &amp; Fitness</td>
</tr>
<tr>
<td>TAFE</td>
<td>Technical and Further Education</td>
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<tr>
<td>TOEFL</td>
<td>Test of English as a foreign language</td>
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<td>TPI</td>
<td>Teaching Performance Indicator</td>
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<tr>
<td>UAC</td>
<td>Universities Admissions Centre</td>
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<tr>
<td>UMAP</td>
<td>University Mobility in Asia and the Pacific</td>
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<td>UNESCO</td>
<td>United Nations Educational, Scientific and Cultural Organisation</td>
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<td>UPW</td>
<td>University Postgraduate Awards</td>
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<td>USydIS</td>
<td>University of Sydney International Scholarship</td>
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<td>VCAC</td>
<td>Vice-Chancellor’s Advisory Committee</td>
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<tr>
<td>VET</td>
<td>Vocational Education and Training</td>
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<tr>
<td>WAM</td>
<td>Weighted Average Mark</td>
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<tr>
<td>WRP</td>
<td>Workplace Reform Program</td>
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<tr>
<td>WTO</td>
<td>World Trade Organization</td>
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<td>WUN</td>
<td>World Universities Network</td>
</tr>
<tr>
<td>YFE</td>
<td>Year of first enrolment</td>
</tr>
</tbody>
</table>
Appendix: Glossary of frequently used terms

The following list is of particular relevance to postgraduate students.

A

Admission (deferment): An applicant who receives an offer of admission to a course may apply to defer enrolment in that course for one semester or one academic cycle.

Advanced standing: See ‘credit’.

Advisor: A member of academic staff appointed in an advisory role for some postgraduate coursework students. See also ‘associate supervisor’, ‘supervision’.

Annual progress report: A form used to monitor a research student’s progress each year. The form provides for comments by the student, the supervisor, the head of the department and the dean (or their nominee). The completed form is attached to the student’s official file.

Associate supervisor: A person who is appointed in addition to the supervisor of a research student, who can provide the day-to-day contact with the candidate or provide particular expertise or additional experience in supervision. See also ‘advisor’, ‘supervision’.

Attendance mode or attendance pattern: The attendance pattern for a course is full-time, part-time or external, depending on the student attendance requirements and the student load.

Australian Postgraduate Award (APA): A Federal Government scholarship available to some postgraduate research students.

Award course: see ‘course’.

C

Candidature: This commences when a student is admitted to a course of study leading to the award of a degree, diploma or certificate. There are maximum and in some cases minimum periods of candidature depending on the award course and whether the candidate is a full- or part-time student.

Census date: The date at which a student’s enrolment, load and student contribution liability are finalised before this information is reported to DEEWR. See also ‘Commonwealth Supported Student, ‘HECS-HELP’.

Commonwealth Supported Place (CSP): Previously known as a HECS Place. A student in a Commonwealth Supported Place makes a contribution towards the cost of their education (known as the student contribution). The Australian Government contributes the majority of the cost.

Confirmation of Enrolment (CoE): This notice is issued to each student after enrolment, showing the course and the units of study in which the student is enrolled, with the credit point value of the units of study and the student-contribution weights. Until all fees are paid, it is issued provisionally. A new confirmation of enrolment notice is produced every time a student’s enrolment is varied.

Convocation: The body comprising the Fellows and former Fellows of the Senate of the University of Sydney; members of the former governing bodies of the institutions with which the University has amalgamated or their predecessors; the graduates of the University of Sydney, which include graduates of the institutions with which the University has amalgamated or their predecessors; professors and other full-time members of the academic staff of the University; and principals of the incorporated colleges.

Course: A program of study at the University of Sydney:

Award course: A formal course of study that will see attainment of a recognised award. Award courses are approved by Academic Board. The University broadly classifies courses as undergraduate, postgraduate coursework or postgraduate research.

Non-award course: Studies undertaken by students which do not lead to an award from the University. Can include professional development programs. See also ‘cross-institutional enrolment’.

Coursework: An award course not designated as a research award course. While the program of study in a coursework award course may include a component of original work, other forms of instruction and learning normally will be dominant.

Research: A course in which at least 66% of the overall course requirements involve students in undertaking supervised research, leading to the production of a thesis or other piece of written or creative work, over a prescribed period of time.

Course alias, code or ID: A unique five character alpha-numeric code which identifies a University course.

Course leave: Students are permitted to apply for a period away from their course without losing their place. Course leave is formally approved by the supervising faculty for a minimum of one semester. Students on leave are regarded as having an active candidature, but they are not entitled to a student card. At undergraduate level, leave is not counted towards the total length of the course. Students who are absent from study without approved leave may be discontinued and may be required to formally reapply for admission.

Credit: The recognition of previous studies successfully completed at this University, or another university or tertiary institution recognised by the University of Sydney, as contributing to the requirements of the course to which the applicant requesting such recognition has been admitted. Credit may be granted as specified credit or non-specified credit.

Specific credit means the recognition of previously completed studies as directly equivalent to units of study.

Non-specific credit means a ‘block credit’ for a specified number of credit points at a particular level. These credit points may be in a particular subject area but are not linked to a specific unit of study.

Credit points: The value of the contribution each unit of study provides towards meeting course completion requirements. Each unit of study normally has a 6 credit point value assigned to it. The total number of credit points required for completion of award courses will be specified in the Senate Resolutions relevant to the award course.

Cross-institutional Enrolment: An enrolment in units of study at one university to count towards an award course at another university.

D

Deferral, deferment: See ‘admission (deferment)’, ‘course leave’.
Appendix: Glossary of frequently used terms

Discontinuation: See 'enrolment variation'.

Distance education: Where a student does not attend campus on a daily basis for a given course or unit of study.

E

EFTSL: The equivalent full-time student load (EFTSL) for a year. It represents the study load for a year of a student undertaking a course of study on a full-time basis.

Embedded courses/programs: Award courses in the graduate certificate, graduate diploma and master's degree by coursework sequence which allow unit of study credit points to count in more than one of the awards, eg the Graduate Certificate in Information Technology, Graduate Diploma in Information Technology and Master of Information Technology.

Enrolment variation: Students may vary their enrolment at the beginning of each semester. Each faculty determines its deadlines for variations, but student-contribution liability depends on the Commonwealth census date.

Exchange student: Either a student of the University of Sydney who is participating in a formally agreed program involving study at an overseas university or an overseas student who is studying here on the same basis. The International Office provides administrative support for some exchanges.

Exclusion: A faculty may ask a student whose academic progress is considered unsatisfactory to 'show good cause' why the student should be allowed to re-enrol. If the faculty deems the student's explanation unsatisfactory, or if the student does not provide an explanation, the student may be excluded either from a unit of study or from a course of faculty. An excluded student may apply to the faculty for permission to re-enrol. Normally, at least two years must have elapsed before such an application would be considered. See the Calendar 2009 for University policy relating to exclusion.

Exemption: A decision made at a sub-unit of study level to allow a student to complete a unit of study without also completing all the prescribed components of coursework and/or assessment. See also 'credit', 'waiver'.

F

FEE-HELP: An interest-free loan facility available to fee-paying postgraduate students undertaking coursework programs.

FlexSIS: The computer-based Flexible Student Information System at the University of Sydney. FlexSIS holds details of courses and units of study being offered by the University and the complete academic records of all students enrolled at the University.

Grade: The outcome for a unit of study linked with a mark range. For example, a mark in the range 85–100 attracts the grade 'high distinction' (HD). The most common result grades used are:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
<th>Mark Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>HD</td>
<td>High Distinction</td>
<td>85-100</td>
</tr>
<tr>
<td>D</td>
<td>Distinction</td>
<td>75-84</td>
</tr>
<tr>
<td>CR</td>
<td>Credit</td>
<td>65-74</td>
</tr>
<tr>
<td>P</td>
<td>Pass</td>
<td>50-64</td>
</tr>
<tr>
<td>F</td>
<td>Fail</td>
<td>0-49</td>
</tr>
<tr>
<td>AF</td>
<td>Absent Fail</td>
<td>0-49</td>
</tr>
</tbody>
</table>

Some faculties may use other grades in addition to these.

Graduate/Graduand: a graduate is a person who holds an award from a recognised tertiary institution. A graduand is a student who has completed all the requirements for an award course but has not yet graduated.

H

HDR: This stands for 'Higher Degree by Research'.

HECS-HELP: An eligible student in a Commonwealth Supported Place can apply for assistance in paying their student contribution. This may take the form of a HECS-HELP loan to pay all or some of the student contribution, or a HECS-HELP discount if all (or at least $500) of the student contribution is paid by the census date.

M

Major: A field of study, chosen by a student, to represent their principal interest. This would consist of specified units of study from later stages of the award course. Students select and transfer between majors by virtue of their selection of units of study. One or more majors may be awarded upon the graduand's assessment of study.

Mark: An integer (rounded if necessary) from 0 to 100 indicating a student's performance in a unit of study. See 'Grade'.

Minor: Studies undertaken to support a Major. Requiring a smaller number of credit points than a major students select and transfer between minors (and majors) by virtue of their selection of units of study. One or more minors may be awarded upon the graduand's assessment of study.

MyUni: The University of Sydney’s student portal system. It provides students with access to information about the University and its courses, including access to email, library services, student support services, student self-administration and e-learning software such as Blackboard and WebCT.

P

PhD: The Doctor of Philosophy (PhD) and other doctorate awards are the highest awards available at the University. A PhD course is normally purely research-based; the candidate submits a thesis that is an original contribution to the field of study.

Progression: Satisfactory progression is satisfying all course and faculty rules (normally assessed on an annual basis) to enable the completion of the chosen award within the (maximum) completion time allowed. See also 'exclusion'.

R

Research Training Scheme (RTS): The RTS provides Commonwealth-funded higher degree by research (HDR) students with an ‘entitlement’ to a student-contribution exemption for the duration of an accredited HDR course, up to a maximum period of four years' full-time equivalent study for a Doctorate by research and two years' full-time equivalent study for a Masters by research.

S

Semester: A half-yearly teaching session whose dates are determined by the Academic Board. Normally all undergraduate sessions will conform to the semesters approved by the Academic Board. Any offering of an undergraduate unit not conforming to the semester dates (non-standard session) must be given special permission by the Academic Board.
Show cause: See Progression, Exclusion.

Special Consideration: Candidates who suffer serious illness or misadventure which may affect performance in any assessment, may request that they be given special consideration in relation to the determination of their results.

Stream: A defined award course, which requires the completion of set units of study as specified by the course rules for the particular stream, in addition to the core program specified by the course rules. A stream will appear with the award course name on testamurs, e.g. Bachelor of Engineering in Civil Engineering (Construction Management).

Supervision: Refers to a one-to-one relationship between a student and a nominated member of the academic staff or a person specifically appointed to the role.

Suspension of Candidature: See 'course leave'.

Sydney Summer School: A program of accelerated, intensive study running for approximately 6 weeks during January and February each year. Both undergraduate and postgraduate units are offered. Summer School provides an opportunity for students at Sydney and other universities to catch up on needed units of study, to accelerate completion of a course or to undertake a unit that is outside their award course. All units attract full fees however some scholarships are available.

Sydney Winter School: An intensive session offered by the University during the mid-year break.

Testamur: a certificate of award provided to a graduand, usually at a graduation ceremony. The Award conferred will be displayed along with other appropriate detail.

Thesis, treatise, dissertation and essay: The Academic Board has endorsed the following definitions:

Thesis: The written output from a supervised student project that is the only or major examinable assessment requirement for a research degree. Word limit: should not normally exceed 80,000 words.

Treatise: The written output from a supervised student project that is undertaken towards a majority coursework degree for which some coursework and some research work are examinable components. Word limit: should not normally exceed 40,000 words.

Dissertation: The written output from a supervised student project that is undertaken as a unit of study (or multiples of units of study) within a coursework postgraduate program. Word limit: should not normally exceed 20,000 words.

Essay: The written output from an unsupervised student project that is an assessment requirement for a unit of study within a coursework postgraduate program. Word limit: should not normally exceed 8,000 words.

Transcript or academic transcript: a printed statement setting out a student's academic record at the University. There are two forms of academic transcript: external and internal.
Directory

University buildings

G6 Aeronautical Engineering Building
J4 Anderson St Start Building
G3 Badham Building
H3 Bank Building
L2 Baethells Lodge
L8 Biochemistry and Microbiology Building
B5 Blackburn Building
E7 Boschi Building 1A
E7 Boschi Building 1B
H3 Brennan MacCallum Building
E6 Bruce Williams Pavilion
L6 Carlswald Building
F4 Chaplaincy
MB Chemical Engineering Building
J1 Chemistry Building
N8 Civil Engineering Building
N9 Civil Engineering Workshop
K10 Clark Building
J10 Darlington Centre
J10 Darlington House
K9 Darlington Road Trams
L10 Demountable Village
K5 Eastern Avenue Auditorium & Lecture Theatre Complex
L9 Economic and Business Building
H2 Edgeworth David Geology Building
G4 Education Building
G4 Education Building Annex
H5 Edward Ford Building
N7 Electrical Engineering Building
N7 Electrical Engineering Building Annex
C4 Evelyn Williams Building
K3 Fisher Library
K4 Fisher Library Stack
G2 Frostbite Theatre
C3 Gatekeeper's Lodge
J7 Gatekeeper's Lodge (City Road)
M8 Gordon Yu-Hoi Chub Building
Z1 Great Hall
G3 Griffith Taylor Building
D4 HK Ward Gymnasium
H2 Holme Building
G2 Homewell Building
N5 Information Technologies
K8 Institute Building
K5 International House
J10 JLL Building
D3 JLL Stewart Building
F2 JMA McMillan Building
L7 Jane Free Russell Building
F3 John Woolley Building

Childcare centres

K11 Boundary Lane
L4 Law School
N9 KU Union
H1 Laurel Tree House

Libraries

G3 Badham
H5 Bullett Food
K3 Fisher
L4 Freehills Law Library
E7 Medical
H1 Schaeffer Fine Arts
L7 SIEC

Universals & associations (offices)

K7 Student Representative Council (SRC)
M9 Sydney University Postgraduate Representative Association (SUPA)
M8 Sydney Uni Sport & Fitness
G2 University of Sydney Union

University administration, centres & services

L7 Accommodation Service
H3 Alumni Relations Office
L7 Careers Centre
L7 Cashier
D10 Centre for Continuing Education
K7 Centre for English Teaching
H3 Chancellor
G3 University Sports & Aquatic Centre
M9 University Co-op Bookshop
C3 University Co-op Gym
C3 University Hospital & Clinic
K7 Wentworth Building

Security

M10 Emergency Services
M10 Lost Property
M10 Traffic & Parking

Sports & recreational venues

K2 Fisher Tennis Courts
D4 HK Ward Gymnasium
H5 Lawn Tennis Courts
H4 Manning Squash Courts
F5 The Arena Sports Centre
G5 The Square
H3 University Oval No. 1
E3 University Oval No. 2

Faculties (offices)

F2 Agriculture, Food and Natural Resources
M6 Architecture
H3 Arts
K8 Economic & Business
G4 Education and Social Work
N7 Engineering
L4 Law
H3 Medicine
L6 Science
D3 Veterinary Science

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Directory

University Buildings

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<td>E4</td>
<td>A Block</td>
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<tr>
<td>F3</td>
<td>B Building</td>
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<td>C Building</td>
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<td>C4</td>
<td>D Building</td>
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<td>F2</td>
<td>G Building</td>
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<td>E5</td>
<td>Gatehouse</td>
</tr>
<tr>
<td>D3</td>
<td>H Block</td>
</tr>
<tr>
<td>G3</td>
<td>Horticulture Centre</td>
</tr>
<tr>
<td>F2</td>
<td>J Building</td>
</tr>
<tr>
<td>D4</td>
<td>K Block</td>
</tr>
<tr>
<td>F3</td>
<td>L Block</td>
</tr>
<tr>
<td>E2</td>
<td>M Building</td>
</tr>
<tr>
<td>E2</td>
<td>N Building</td>
</tr>
<tr>
<td>E2</td>
<td>O Building</td>
</tr>
<tr>
<td>F3</td>
<td>O.T. Annex</td>
</tr>
<tr>
<td>H4</td>
<td>Q Building - Ngallia Childcare Centre</td>
</tr>
<tr>
<td>F3</td>
<td>R Block</td>
</tr>
<tr>
<td>E3</td>
<td>S Block</td>
</tr>
<tr>
<td>G4</td>
<td>T Building</td>
</tr>
<tr>
<td>F4</td>
<td>U Building - Campus Rewards</td>
</tr>
<tr>
<td>C4</td>
<td>V Building - Sport Centre</td>
</tr>
<tr>
<td>C4</td>
<td>W Building - Building &amp; Grounds</td>
</tr>
<tr>
<td>G3</td>
<td>Y Building - Yannadah/Residential Building</td>
</tr>
</tbody>
</table>

Childcare

<table>
<thead>
<tr>
<th>Location</th>
<th>Building</th>
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</thead>
<tbody>
<tr>
<td>H4</td>
<td>Ngallia Child Care Centre (Q Building)</td>
</tr>
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</table>

Clinics, community services and research units

<table>
<thead>
<tr>
<th>Services</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Stuttering Research Centre ASRC</td>
<td>D Building</td>
</tr>
<tr>
<td>Driver Rehabilitation and Fleet Safety Services</td>
<td>J Building</td>
</tr>
<tr>
<td>Fitability</td>
<td>C Building</td>
</tr>
<tr>
<td>National Centre for Classification in Health</td>
<td>M Building</td>
</tr>
<tr>
<td>Rehabilitation Research Centre</td>
<td>C Building</td>
</tr>
</tbody>
</table>

Library

<table>
<thead>
<tr>
<th>Library</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>F3</td>
<td>Health Sciences Library (R Block)</td>
</tr>
</tbody>
</table>

Retail

<table>
<thead>
<tr>
<th>Retail</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>F4</td>
<td>Campus bookstore (U Building)</td>
</tr>
<tr>
<td>F4</td>
<td>Campus Rewards administration (U Building)</td>
</tr>
<tr>
<td>F4</td>
<td>JDV food court (U Building)</td>
</tr>
<tr>
<td>F4</td>
<td>The Depot &amp; Rewards information (F Block)</td>
</tr>
</tbody>
</table>

Disciplines

<table>
<thead>
<tr>
<th>Disciplines</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Behavioural and Social Sciences in Health</td>
<td>G Building</td>
</tr>
<tr>
<td>Biomedical Science</td>
<td>S Building</td>
</tr>
<tr>
<td>Exercise and Sport Science</td>
<td>K Building</td>
</tr>
<tr>
<td>Health Informatics</td>
<td>M Building</td>
</tr>
<tr>
<td>Medical Radiation Sciences</td>
<td>M Building</td>
</tr>
<tr>
<td>Occupational Therapy</td>
<td>J Building</td>
</tr>
<tr>
<td>Orthoptics</td>
<td>T Building</td>
</tr>
<tr>
<td>Physiotherapy</td>
<td>O Building</td>
</tr>
<tr>
<td>Rehabilitation Counselling</td>
<td>G Building</td>
</tr>
<tr>
<td>Speech Pathology</td>
<td>S Block</td>
</tr>
<tr>
<td>Yooraung Garang: Indigenous Support Unit</td>
<td>T Building</td>
</tr>
<tr>
<td>Graduate Program in Sexual Health</td>
<td>T Building</td>
</tr>
</tbody>
</table>

Security

<table>
<thead>
<tr>
<th>Security</th>
<th>Building</th>
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</thead>
<tbody>
<tr>
<td>Emergency</td>
<td>E5</td>
</tr>
<tr>
<td>Parking</td>
<td>E5</td>
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</table>

Sport and recreation venues

<table>
<thead>
<tr>
<th>Sport and recreation venues</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oval</td>
<td>B3</td>
</tr>
<tr>
<td>Sport centre</td>
<td>V Building</td>
</tr>
<tr>
<td>Tennis courts</td>
<td>C4</td>
</tr>
</tbody>
</table>

Student services

<table>
<thead>
<tr>
<th>Services</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Counselling service</td>
<td>A Block</td>
</tr>
<tr>
<td>Disability service</td>
<td>A Block</td>
</tr>
<tr>
<td>International student support service</td>
<td>A Block</td>
</tr>
<tr>
<td>Learning centre</td>
<td>A Block</td>
</tr>
<tr>
<td>Lost property</td>
<td>A Block</td>
</tr>
<tr>
<td>Official notice board (Block A, courtyard entrance side)</td>
<td></td>
</tr>
<tr>
<td>Official notice board (Block R, outside main entrance)</td>
<td></td>
</tr>
<tr>
<td>Open access computer laboratories</td>
<td>B Building</td>
</tr>
<tr>
<td>Research Student Inquiries (Research &amp; Innovation Office)</td>
<td>G Building</td>
</tr>
<tr>
<td>Student central</td>
<td>F Block</td>
</tr>
<tr>
<td>Student residence</td>
<td>Y Building</td>
</tr>
<tr>
<td>Student services</td>
<td>A Block</td>
</tr>
</tbody>
</table>

University administration and services

<table>
<thead>
<tr>
<th>Services</th>
<th>Building</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building and grounds</td>
<td>W Building</td>
</tr>
<tr>
<td>Central store</td>
<td>F Block</td>
</tr>
<tr>
<td>Dean's office</td>
<td>A Block</td>
</tr>
<tr>
<td>Faculty services</td>
<td>A Block</td>
</tr>
<tr>
<td>Finance / Cashier</td>
<td>A Block</td>
</tr>
<tr>
<td>Information Technology services</td>
<td>B Building</td>
</tr>
<tr>
<td>Learning &amp; Teaching office</td>
<td>A Block</td>
</tr>
<tr>
<td>Marketing</td>
<td>A Block</td>
</tr>
<tr>
<td>Printing</td>
<td>R Block</td>
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<tr>
<td>Property services</td>
<td>A Block</td>
</tr>
<tr>
<td>Purchasing</td>
<td>A Block</td>
</tr>
<tr>
<td>Research &amp; Innovation office</td>
<td>G Building</td>
</tr>
</tbody>
</table>