

2003



# Postgraduate

*Coursework Studies*

*Handbook*

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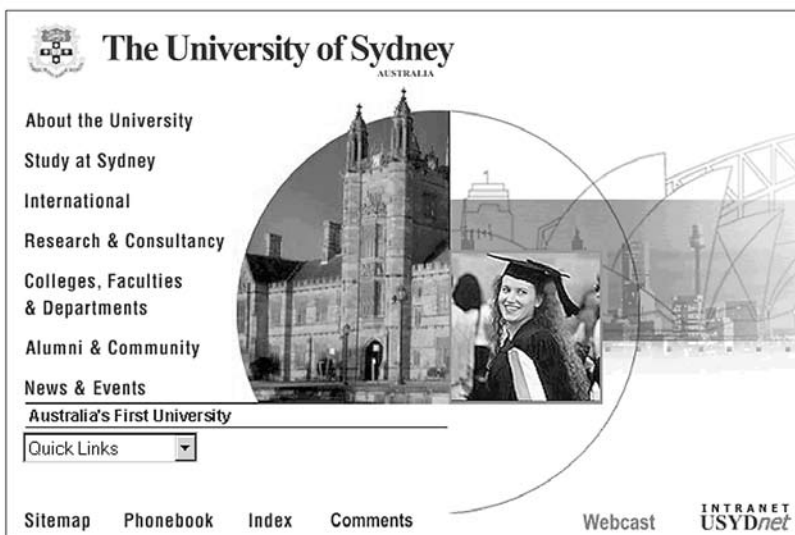


The University of Sydney



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# Postgraduate Coursework Studies Handbook 2003



This Handbook can be found on the web at:  
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Editorial panel  
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# Introduction

The University of Sydney is one of the foremost providers of quality postgraduate coursework education in Australia. The University is the only Australian university which offers award programs across all the discipline areas recognized by the federal government in its funding of the tertiary education sector. In 2002, over 7,000 students were enrolled in postgraduate coursework courses at the University of Sydney. Most of these students are enrolled in master's degrees by coursework, although there is growing interest in graduate diplomas and graduate certificates.

This University is committed to providing high quality education to all its students. One part of that commitment involves providing postgraduate students with useful and relevant information in a form which is easily accessible to them. This Handbook is an important part of this process. The focus of the Handbook is at the University level. You should also have access to other sources of information with more detailed information about individual courses and faculties.

## Purpose of Handbook

The purpose of this Handbook is to provide a convenient source of reference for coursework postgraduate students about the requirements for postgraduate coursework 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 should be familiar with, including the University's Code of Practice for Coursework Teaching and Learning. Other useful sources of important information are listed below.

## Regulations

*The University of Sydney (Coursework) Rule 2000* (as amended) governs all coursework award courses in the University. It is set out in Appendix 3. This Rule is to be read in conjunction with the *University of Sydney (Amendment Act) Rule 1999* (as amended) and the Resolutions of the Senate and the faculty resolutions relating to each award course in that faculty.

*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 2003 faculties will continue revising Senate and faculty resolutions relating to all 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 2003*, available from the University's Student Centre on the Camperdown Campus or from Student Administration Offices on other campuses and on the University web site at:  
[www.usyd.edu.au/publications/calendar/](http://www.usyd.edu.au/publications/calendar/)

## Faculty, college and board of studies handbooks

There are often more detailed faculty resolutions for coursework degrees, diplomas or certificates, and these are published in the faculty, college or board of studies handbooks and in the *Calendar 2003*. 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.

## University of Sydney Diary

An annual *Diary* is available upon enrolment. Although it is aimed primarily at new undergraduate students it is a useful source of information, especially for postgraduate students new to the University of Sydney, about the variety of services and facilities available for students at the University. Students on other campuses (eg Cumberland and Orange) should consult their faculty office or student organisation for information about local services and facilities on their particular campus.

## The Bulletin Board

The *Bulletin Board* is a fortnightly internal newsletter which contains information useful to postgraduates, particularly on scholarships. It is circulated throughout the University as an insert in the *UniNews*, which is available on the web at:  
[www.usyd.edu.au/publications/news/index.html](http://www.usyd.edu.au/publications/news/index.html)

Most *Bulletin Board* information appears on the web at the Positions Vacant site at: [www.bull.usyd.edu.au/personnel/](http://www.bull.usyd.edu.au/personnel/) and the Research Office site at:  
[www.usyd.edu.au/su/reschols/welcome.html](http://www.usyd.edu.au/su/reschols/welcome.html).

## USYDnet

A wide variety of information is available on the web at:  
[intranet.usyd.edu.au/](http://intranet.usyd.edu.au/).

## Practical Aspects of Producing A Thesis/Long Essay, Postgraduate Survival Manual, eXpress, SUPRAnet and egrad

The Sydney University Postgraduate Representative Association (SUPRA) publishes several publications which are useful information sources for postgraduate students. These include the quarterly magazine *eXpress*, which is direct-mailed to all postgraduate students, and the annual *Postgraduate Survival Manual*. SUPRA also produces *Practical Aspects of Producing a Thesis/Long Essay*, a guide to thesis writing, production and submission.

All of these publications are available from SUPRAnet, the SUPRA web site: [www.usyd.edu.au/supra/](http://www.usyd.edu.au/supra/) or by contacting the SUPRA Office on 02 9351 3715 or email: [supra@mail.usyd.edu.au](mailto:supra@mail.usyd.edu.au).

# Degrees, diplomas, certificates and definitions

The University offers the following types of degrees, diplomas and certificates.

## Bachelor's degree

Bachelor's degrees such as the Bachelor of Science degree (BSc) are typically of three or four years' duration. Sometimes the fourth year is an honours year.

## 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. Often programs are arranged so that there can be articulation between a graduate certificate, a graduate diploma and a master's degree. This means that students can leave the courses with differing qualifications depending on how much of the course has been completed. (While the term 'diploma' also used to be applied to some postgraduate diplomas offered by the University, this is no longer the case.)

## 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. These degrees are defined as being either a research degree or a coursework degree. A research master's, such as the Master of Philosophy, may require the completion of some coursework, and, similarly, a coursework master's, such as the Master of Economics, may have a research component. Coursework master's degrees normally require the completion of units of study totalling at least 48 credit points.

## 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.

## Doctor of Philosophy (PhD)

The Doctor of Philosophy (PhD) degree is offered in all faculties and colleges of the University. It is a research degree with a minimum period of full-time candidature of three years for the candidate commencing with an honours bachelor's degree or equivalent and two years (subject to faculty approval) if a master's degree or some other specific qualification is held.

## Higher doctorates

Higher doctorates are degrees such as the degree of Doctor of Science or degree of Doctor of Medicine which are awarded for published work which, in the opinion of the examiners, has been generally recognised by scholars in the field concerned as a distinguished contribution to knowledge or creative achievement. There are detailed regulations to be found within the *Calendar 2003* concerning these degrees. While they are not the result of supervised candidature within the University, an applicant must have had some association with the University, either by being a graduate or having been a member of the full-time academic staff for at least three years, or by having had a similar significant involvement with the teaching and research of the University. There is first a preliminary assessment of the published work by a faculty committee to ensure that it is *prima facie* worthy of examination and then the work is examined by at least three examiners of whom two are external to the University.

## Definitions of terms frequently used

**Advanced standing** — See "credit".

**Adviser** — An adviser is a member of the academic staff who may be appointed in an advisory role in respect of some coursework programs. If it is not the practice to appoint an adviser for the coursework program in which you are enrolled you should nonetheless find that there is someone within your department who is available to be consulted.

**Articulation** — See "embedded".

**Award course/program** — a formally approved program of study which can lead to an academic award granted by the University.

**Candidature** — A minimum and a maximum period of time is prescribed within which you must complete the requirements for a particular course. This is known as your candidature for the degree/diploma/certificate. It may be prescribed in terms of years or of semesters. See also later sections on extending and suspending your candidature.

**Census Date** — Each semester, the University is required to report to the Federal Government detailed statistical information about its student profile as of a Census Date. The two Census dates are the last working days in March and August.

**Confirmation of Enrolment Status Form** — This is one of the most important documents you receive while enrolled as a student at the University of Sydney. It is issued to students after enrolment each semester, showing the course and the unit(s) of study (defined below) they are enrolled in, together with the credit point value of the units of study and the HECS weights. Until all fees are paid, it is issued provisionally. A new Confirmation of Enrolment form is produced every time a student's enrolment is varied. If you change your enrolment and do not receive a new Confirmation of Enrolment Status form within a week, you should check at your Faculty Office that the changes have been processed.

**Convocation** — the body comprising, amongst others, all graduates of the University.

**Course** — See "award course".

**Course ID** — Each course at the University of Sydney is identified by a unique five digit alphanumeric code.

**Course leave** — Students (undergraduate and postgraduate) are permitted to apply for a period away from their course without losing their place. Course leave (sometimes referred to as “leave of absence”) is formally approved by the supervising faculty for a minimum of one semester and recorded on the Student Information System. (Leave for periods of less than one semester are normally only recorded internally by the Faculty.) Students on leave are regarded as having an active candidature, but they are not entitled to a student card. Students who are absent from study without approved leave may be discontinued and might be required to formally reapply for admission.

**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, supervised research, other forms of instruction and learning normally will be dominant. All undergraduate award courses are coursework award courses.

**Credit** — advanced standing based on previous attainment in another award course at the University or at another institution. The advanced standing is expressed as credit points granted towards the award course. Credit may be granted as specific credit or non-specific 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 point** — a measure of value indicating the contribution each unit of study provides towards meeting award course completion requirements stated as a total credit point value.

**Cross-institutional Enrolment** — enrolment in one or more Units of Study at one university to count towards an award course at another university.

Cross-institutional enrolments incur a HECS liability or tuition fee charges at the institution at which the unit of study is being undertaken. Students pay compulsory subscriptions to one university only (usually the university which will award their course). At the University of Sydney, students must obtain approval in advance from their faculty for any cross-institutional study they wish to undertake.

**Deferral** — formal name for a period of course leave taken before one semester of candidature has been completed.

**Discontinuation** — the cessation of all students subsequent to the census date in a given semester.

**Distance education and/or off-campus study** — a mode in which the student is not in regular physical attendance on a designated campus of the University. A student shall be regarded as engaging in work within the University when in approved distance and/or off-campus study provided that University staff are able to give adequate direction to the candidate’s work and that the candidate carries out such work under the control of the University.

**Embedded courses/programs** — award courses in the graduate certificate / graduate diploma / master’s degree by coursework sequence which allow unit of study credit points to count in more than one of the awards.

**Exchange program** — The University of Sydney has an extensive range of Student Exchange Programs with universities throughout the United States, Canada, Europe and Asia. The exchange programs are open to undergraduate and postgraduate students and allow you to complete a semester or a year of your degree overseas and have the results credited towards your degree at the University of Sydney.

**Exclusion** — A faculty may ask a student whose academic

progress is considered to be unsatisfactory to **Show 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. An excluded student may apply to the faculty for re-admission, but normally at least two years must have elapsed before such an application would be considered.

**Exemption** — In a prescribed course, a faculty may grant one or more exemptions from a course requirement for a particular student. Exemptions granted will involve a reduction in the number of credit points required for a course. (See also “Credit” and “Waivers”.)

**Flexible Learning** — a student-centred approach to education in which teaching and learning times, materials and assessment are organised in a way which suits the circumstances of the individual student. Teaching can be either on or off-campus.

**FlexSIS** — (Flexible Student Information System) is the name of the University’s new student record system which is under development. FlexSIS is designed to take maximum advantage of the World Wide Web and other new technologies.

**Full-time Study** — Under Federal Government regulations, any student who is enrolled in at least 18 credit points in a semester is considered to be a full-time student during that semester.

**Grade** — A grade is a result outcome for a unit of study normally linked with a mark range. The common result grades used are:

HD,	High Distinction,	85-100
D,	Distinction,	75-84
CR,	Credit,	65-74
P,	Pass,	50-64
F,	Fail,	0-49
AF,	Absent Fail	

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.

**HECS** — HECS stands for the Higher Education Contribution Scheme. All students, except international students, fee-paying students and those granted an APA (Australian Postgraduate Award), are obliged to pay HECS. HECS can be paid up front or through the tax system. Further information on HECS can be found at: [www.hecs.gov.au/](http://www.hecs.gov.au/)

**Mark** — See “Grade”.

**Major** — a defined program of study, generally comprising specified units of study from later stages of the award course.

**Minor** — a defined program of study, generally comprising units of study from later stages of the award course and requiring a smaller number of credit points than a major.

**MyUni** — MyUni is your personal part of the University’s intranet. You can access it by using your login name and password, which are provided to you on your enrolment form and forwarded to you on your first Confirmation of Enrolment. You can view your semester examination results and access your Uni-based email, among other things, via MyUni. The University is committed to making more administrative functions available through MyUni.

**Off-campus study** — See “Distance Education”.

**Off-shore study** — Mode of study in which the program content is delivered outside Australia.

**PELS** — Postgraduate Education Loans Scheme (PELS) is a scheme introduced from 1 January 2003 that provides full or

partial loans to local postgraduate students undertaking fee paying postgraduate award courses.

**Postgraduate award course** — an award course leading to the award of a graduate certificate, graduate diploma, degree of master or a doctorate. Normally, a postgraduate award course requires the prior completion of a relevant undergraduate degree or diploma.

**Research award course** — an award course in which students undertake and report systematic, creative work in order to increase the stock of knowledge. The research award courses offered by the University are: higher doctorates, Doctor of Philosophy, doctorates by research and advanced coursework, and certain degrees of master designated as research degrees. The systematic, creative component of a research award course must comprise at least 66% of the overall award course requirements.

**Satisfactory Progress** — Students are expected to make satisfactory progress each semester towards the attainment of the requirements of their course. In a coursework program of study, satisfactory progress is deemed to mean that all units of study in which a student is enrolled are successfully completed. Students who fail one or more units of study may be required to show cause why they should not be excluded from further study. (See also “Exclusion” and “Show Cause”.)

**Semester** — Most teaching is based around an 18-week semester involving 13-14 weeks of structured learning followed by a 1-week study vacation and a 2-3 week examination period. There are two semesters in each academic year. First Semester runs from late February/early March to early July. Second Semester runs from late July/early August to late November/early December. The full-time study load in a semester is 24 credit points.

**Show cause** — Students who are not performing satisfactorily will be asked to show good cause why they should not be excluded from further study. This involves producing evidence that their academic performance has been temporarily weakened by circumstances beyond their reasonable control. Such circumstances include serious ill-health or misadventure, but do not include employment-related demands, or demands of time devoted to other non-university activities. The onus is on the student to provide the University with satisfactory evidence. (See also “Exclusion” and “Satisfactory Progress”.)

**Special Consideration** — Candidates who have medical or other serious problems which may affect performance in any assessment may request that they be given Special Consideration in relation to the determination of their results.

They can obtain an official form from the Student Centre on the Camperdown Campus or from their Student Administration Office on other campuses. The form and the medical or other documentation are stamped by the Student Centre/Student Administration Office. The student gives a copy of the material to the Student Centre/Student Administration Office staff and takes copies to the relevant Departments. The student retains the originals. The dates for which Special Consideration is sought are recorded on SIS and printed on the Examination Register.

**Stream** — a defined program of study within an award course, which requires the completion of a program of study specified by the award course rules for the particular stream, in addition to the core program specified by award course rules for the award course.

**Summer Session** — A period of intensive teaching during the period between the end of Second Semester and the beginning of First Semester in the next year. The full-time study load in the summer session is 12 credit points.

**Suspension of Candidature** — The formal name for a period of course leave taken after at least one semester of candidature has been completed. (See also “Course Leave”.)

**Testamur** — This means a certificate of award provided to a graduate, usually at a graduation ceremony.

**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.

Elsewhere in this Handbook when a general term is required, “dissertation” will be used.

**Transcript or academic transcript** — a printed statement setting out a student’s academic record at the University.

**Unit of study** — the smallest stand-alone component of a student’s award course that is recordable on a student’s transcript. Units of study have an integer credit point value, normally in the range 3-24.

**Waiver** — In a prescribed course, a faculty may waive the pre-requisite or co-requisite requirement for a Unit of Study or the course rules for a particular student. Waivers do not involve a reduction in the number of credit points required for a course. (See also “Credit”, and “Exemption”.)

**Winter Session** — a period of intensive teaching during the period between First Semester and Second Semester. The full-time study load in a winter session is 6 credit points.

**Withdrawal** — name for a complete discontinuation of candidature before the HECS census date. A candidate who has withdrawn or discontinued but later wishes to re-activate his or her studies will need to lodge a fresh application for admission to the course. See also “Course Leave”.

# Organisation and administration

## 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 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 co-operate with the other faculties and colleges. Among the specific responsibilities of a faculty or college are:

- (a) to admit to and determine candidature for the degrees, graduate diplomas and graduate certificates in that faculty or college;
- (b) to appoint supervisors and examiners of candidates for higher degrees in that faculty or college.

The faculty or college typically consists of: all the full-time members of the academic staff of departments 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, 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 candidature 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.

The Board of Studies in Music is similar to the faculties as far as postgraduate matters are concerned but has a chairperson rather than deans and does not supervise PhD candidatures.

### Departments and schools

An academic department comprises all those appointed to teach and carry out research in a particular area which has

been delineated as a department. A school, from the point of view of the regulations, is the same as a department. This term is commonly used when a number of previously autonomous departments have been brought together to form a new, larger department or school. A department or school also includes a range of general staff such as professional and technical staff and administrative staff.

A head of department/school is appointed by a pro-vice-chancellor, after a consultation process carried out by the dean, normally from among the professors and associate professors in that department/school. 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 by 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. You should take the time to find out how your department/school works. It will be different to others even within the same faculty.

### Graduate Studies Committee

The Graduate Studies Committee advises the Academic Board on a wide range of policy issues relating to all graduate coursework and research studies in the University. This Committee consists of a chair who is a deputy chair of the Academic Board, the pro-vice-chancellors with responsibilities for research and for teaching and learning, the chair (or nominee) of each faculty or college board or committee for postgraduate studies, the chair of the Research Committee (who is a deputy chair of the Academic Board), a member of the Teaching and Learning Committee, at least one member of the Postgraduate Awards Sub-Committee (other than the chair) and two postgraduate students, one nominated by SUPRA and one a postgraduate student member of the Academic Forum. The membership of the Graduate Studies Committee is set out in Appendix 2.

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, exercises a review role with respect to protracted higher degree candidatures and considers appeals from students

about aspects of their candidature where departmental and faculty avenues have been exhausted. (See Chapter 12 on the resolution of problems.)

The Graduate Studies Committee has responsibility for the review and updating of the *Postgraduate Studies Handbooks* and for the policy for their dissemination.

The Graduate Studies Committee has four sub-committees to address particular areas of its functions: the PhD Award Sub-Committee, the Postgraduate Coursework Sub-Committee, the Postgraduate Research Training Sub-Committee and the Postgraduate Awards Sub-Committee, two of which are relevant to coursework students, and establishes working parties to consider specific issues as required.

#### **Postgraduate Coursework Sub-Committee**

This Sub-Committee of the Graduate Studies Committee was established in 1997 to consider policy matters relating to postgraduate coursework in order to identify appropriate standards, criteria and procedures for consideration by the Graduate Studies Committee (and Academic Board).

This is applicable to coursework in all award courses, both coursework courses (graduate certificates, graduate diplomas and coursework master's degrees) and research degrees.

The Sub-Committee's work has focused, *inter alia*, on the consideration of the guidelines for submissions for new and amended postgraduate courses, and on consideration of policy issues in respect of flexible learning, guidelines on usage of the terms thesis, treatise, dissertation, essay and long essay as units of study within coursework courses, development and implementation of semesterisation and nomenclature in respect of postgraduate courses, parallel teaching of postgraduate and undergraduate students, distance education, credit for prior studies, minimum lengths of courses, and postgraduate coursework units of study.

The Sub-Committee reviews most of the proposals for new postgraduate coursework courses and proposals for major changes to such existing courses.

#### **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. It includes two members selected from each of the three Colleges.

#### **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 teaching and research activities and its educational programs, including general advice on the academic priorities and policies of the University. The Academic Board comprises some 60 members, including all the deans of faculties and colleges, members elected from the professors, non-professorial members of staff and heads of departments/schools, the President of SUPRA and an elected postgraduate student member.

#### **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 responsibilities the Senate is responsible, with the aid of recommendations from the Academic Board, for making regulations (known as Resolutions of the Senate or Rules) concerning the requirements for particular degrees, graduate diplomas and graduate certificates. The Chancellor, who is elected by the Fellows of Senate, presides at meetings of

the Senate and on University occasions such as conferring of degrees ceremonies. The Senate is also the ultimate point of appeal within the University. (See the later chapter on appeals.)

## **Administration**

### **Departmental/School offices**

In many instances if you have an administrative enquiry you should not need to go beyond your department/school. There will be a departmental/school office where you will find that the administrative assistant is able to point you in the right direction. Some departments/schools have an administrative officer whose responsibility is to assist the head of department/school in the efficient running of the department/school. Find out how matters are arranged in your department/school.

### **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 find out who is 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 given in an appendix to this Handbook.

In the faculty or college office, as well as the dean there is a faculty or college secretary or manager who is responsible to the dean. 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 and Pharmacy have a common postgraduate administration office.

### **Student Centre (Camperdown campus)**

The Student Centre (on level 1 of the Carlaw Building, tel 9351 3023) is the focus for initial student enquiries. This is the area responsible for provision of general information and application forms. It acts as the information point for the Student Records Office, for HECS/PELS/Fee enquiries (tel 9351 2086/5062/5659), and for the Graduation Section (tel 9351 4009). The Student Centre web site is at: [www.usyd.edu.au/su/studentcentre/](http://www.usyd.edu.au/su/studentcentre/).

### **Student Administration Offices on other campuses**

Student Administration for the Cumberland Campus is located in Building A, Jeffrey Miller Building (tel 9351 9161).

Student Administration for the Orange Campus is located in the Administration Block, Leeds Parade, Orange (tel (02) 6360 5511).

## **Principal officers and organisation of the University**

### **The Vice-Chancellor and Principal**

The Vice-Chancellor and Principal is the chief executive officer of the University. The Vice-Chancellor, Professor Gavin Brown, 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.

### Administrative structure

The University's faculties and colleges are organised into three Colleges —the College of Health Sciences, the College of Humanities and Social Sciences and the College of Sciences and Technology.

The three Colleges are headed by Pro-Vice-Chancellors reporting directly to the Vice-Chancellor. The Pro-Vice-Chancellors (College) have responsibility for overall academic leadership, budget, staffing, building usage and equipment within their College.

The College of Health Sciences includes the Faculties of Dentistry, Health Sciences, Medicine, Nursing and Pharmacy. The College of Humanities and Social Sciences includes the Faculties of Arts, Education and Social Work, Economics and Business and Law, together with the Sydney College of the Arts and the Sydney Conservatorium of Music. The Faculties of Agriculture, Food and Natural Resources, Architecture, Engineering, Rural Management, Science and Veterinary Science are in the College of Sciences and Technology.

The Australian Graduate School of Management is a joint venture of the University of Sydney and the University of New South Wales.

(Generally in this Handbook when the term “faculties and colleges” is used, this is not a reference to the organisational Colleges but to the two faculty-equivalent colleges: Sydney College of the Arts and Sydney Conservatorium of Music.)

Central administrative portfolios are held by two Deputy Vice-Chancellors.

The Senior Deputy Vice-Chancellor (Planning and Resources), Professor Ken Eltis, in addition to assisting the Vice-Chancellor, is responsible for industrial relations, equity, non-devolved personnel services and union liaison, student administration and services, overseeing the budget and budget development, including financial management, control and audit, capital works development, resource management and properties, preparing the Education Profile and associated DEST liaison, providing planning information and support, IT policy and management, corporate information and secretariat and legal services.

The Acting Deputy Vice-Chancellor, Professor Geoff Sherington, in addition to assisting the Vice-Chancellor, is responsible for developing international operations and activities including international student recruitment and welfare, fostering links and collaborative activities with industry, the public sector and government, promotion, marketing and student recruitment, and University libraries.

There are three corporate Pro-Vice-Chancellors: Research (Professor Les Field, Acting); Employee Relations (Professor Michael Fry); and Teaching and Learning (Professor Paul Ramsden). There is also an Assistant Pro-Vice-Chancellor (Professor Ann Brewer).

### Registrar

The Registrar's Division is most directly concerned with services relevant to postgraduate students. Those services are outlined in Chapter 15.

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, for keeping student records, and for managing and supervising examinations. Often you will find reference in the regulations to the 'Registrar' taking some action. This usually means in practice,

a member of a faculty office or of the Registrar's Division taking that action on behalf of the Registrar.

The Secretariat services the principal committees of the University. Its members, including the Secretary to the Graduate Studies Committee, are located in the north-western corner of the main building on the Camperdown Campus.

### Student Services

Student Services exists to help you achieve your educational goals by providing personal, welfare and academic support services to facilitate your success at University. Many factors can impact on your wellbeing whilst studying at University and Student Services can assist you in managing and handling these more effectively.

Further information regarding services is outlined in Chapter 15 under the headings: Accommodation Service, Casual Employment Service, Child Care Information Officer, Counselling Service, Disability Services, Financial Assistance Office, Learning Centre, Mathematics Learning Centre or visit the web site at: [www.usyd.edu.au/stuserv/](http://www.usyd.edu.au/stuserv/).

# Application and admission

## Admission requirements

The Resolutions of the Senate setting out the requirements for each of the various postgraduate degrees, graduate diplomas and graduate certificates can be found in the *Calendar 2003*. General requirements are outlined in this chapter.

### Graduate diplomas and graduate certificates

Admission requirements for the various graduate diplomas and graduate certificates are normally a bachelor's degree in the appropriate discipline or an equivalent qualification supported by the completion of studies viewed as relevant by the faculty. In some cases relevant experience may be required. In some instances the admission requirements for a graduate certificate may be met by appropriate work experience or other forms of prior learning.

In determining the entry requirements for each of the University's postgraduate degrees, graduate diplomas and graduate certificates the Senate has acted on the advice of the Academic Board, the Graduate Studies Committee and the faculties and college boards. In making their recommendations these bodies have considered the demands of the course, the needs of the profession, the likely background of applicants and the academic standards they are seeking to maintain.

### Master's degrees

Admission requirements for the various master's degrees vary and you must consult the individual degree requirements.

A research-only master's degree usually requires entry requirements of a bachelor's degree with 1st or upper 2nd class honours or equivalent. Coursework master's degrees usually require a three-year Bachelor's degree as an entry requirement.

However all degrees require prerequisites to be met in terms of appropriate courses undertaken at the undergraduate level or standards of performance in the first degree or professional or other experience gained concurrently with or subsequent to the first degree being obtained or in addition to the degree or professional qualifications a high level pass in an external examination such as the Graduate Management Admissions Test (GMAT).

For admission to some master's degrees a bachelor's degree may not be essential. Evidence of general or professional qualifications and experience may be sufficient to satisfy the faculty concerned that the applicant possesses the academic preparation and capacity to complete the course in question. In any individual case the faculty concerned can prescribe additional work to be completed before or subsequent to admission.

### 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 1st or 2nd class honours. Alternatively an applicant may be admitted having passed a qualifying examination at a standard equivalent to the bachelor's degree with 1st or upper 2nd class honours. This 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 the PhD.

In addition to these academic requirements the head of department 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 also the section below on application procedures.)

The faculties are particularly concerned to ensure before admission to PhD candidature that there is every likelihood of a successful outcome. The Academic Board has agreed that a probationary period of 12 months for a PhD should be seen as usual practice. (The faculty may vary this requirement in special circumstances.) This probationary period may have been prior enrolment in and/or completion of a master's degree by research. Some departments and faculties require all potential PhD candidates first to enrol in an appropriate master's degree with transfer to PhD candidature only after completion of that degree or after at least one semester's satisfactory progress.

### Graduates of other institutions

The admission requirements for postgraduate degrees, graduate diplomas and graduate certificates 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 qualification deemed equivalent to those expected of Sydney graduates.

Eligibility for admission to a particular degree, graduate diploma or graduate certificate is **not** simply determined by the applicant's qualification, however. 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, graduate diploma or graduate certificate concerned. This means that where, for example, a 1st or 2nd 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. 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

Applicants applying for admission to a postgraduate degree, graduate diploma or certificate on the basis of qualifications obtained from a university or other institution where the language of instruction was not primarily English are required to meet the same English language proficiency requirements as international students unless specifically exempted by the dean of the faculty concerned on the basis of other evidence of English language proficiency.

The following are acceptable language qualifications for most courses:

TOEFL (Paper based) 575 or better plus TWE (Test of Written English) at 4.5+

TOEFL (Computer based) 233, Essay Rating 4.5

IELTS Overall band score of 6.5 or better, with a minimum of 6.0 in each band

Some faculties have more stringent language requirements:

#### *Architecture*

Postgraduate courses in Architecture require TOEFL 600 or better plus TWE at 4.5+ or IELTS 7.0 or better.

#### *Economics and Business*

Postgraduate courses in Economics and Business (except Commerce) require IELTS 7.0 (with a minimum of 6.0 in each band) or TOEFL 600 plus TWE at 4.5. The requirements for Commerce are under review and may be brought into line with the rest of the Faculty.

#### *Education and Social Work*

Master of Teaching requires IELTS 7.5.

#### *Health Sciences*

Postgraduate courses in Physiotherapy require IELTS 7.0.

Master of Occupational Therapy requires TOEFL 600 or better plus TWE at 5.0+ or IELTS overall band score of 7.0 or better, with at least 6 for Speaking and 7 for Writing on each band.

#### *Law*

Postgraduate courses in Law require IELTS 7.0 (with a minimum of 6.0 in each band) or TOEFL 600 plus TWE at 4.5.

#### *Medicine*

Postgraduate courses in Medicine require TOEFL 600 plus TWE at 4.5.

A statement from the supervisor about the written language expression of a candidate is also required at the end of the probationary period before a candidature is approved. 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 dissertation.

### **Other admission procedures**

#### ***Probationary candidature***

A faculty may admit an applicant to probationary candidature for a period of up to one year if a head of department is unsure for any reason of the applicant's preparedness to undertake postgraduate candidature. (This could be, for example, because of unfamiliarity with the applicant's qualifications.) Where progress is not considered satisfactory the faculty will give clear reasons, to be transmitted to the candidate by the Registrar, as to why termination of the candidature will be recommended. Where admission is confirmed the candidature is normally deemed to have commenced from the date of original acceptance.

#### ***Preliminary candidature***

A faculty may admit an applicant to a period of preliminary candidature where the normal entry requirements for a particular degree have not been met. This may involve completing certain courses or units of study at either an undergraduate or postgraduate level or carrying out a particular piece of research. Admission to preliminary candidature does not constitute provisional acceptance to a particular course of study. A further application to that course must be made on completion of the preliminary candidature.

## **Application procedures**

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

Unless there is a specific deadline stated for a particular course, an applicant within Australia must apply by no later than 10 weeks before the commencement of the next following semester: by 30 November for commencement at the end of February; and by 30 April for commencement in late July. Applicants must check the closing date because many faculties have earlier closing dates.

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

A result of your application will be a formal response sent by the faculty office. An offer of admission will usually set out details of your candidature and should be checked carefully. If you have any questions about the terms of the offer, check with the faculty office and your intended department as necessary.

If for any reason you are unable to take up an offer of admission please let both the department and the faculty office know. It may be that it is then possible for the University to offer a place to another applicant. 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***

The deadline for international students is 31 October for First Semester and 30 April for Second Semester as additional lead time is required for processing visas. While late applications are accepted, they may not be processed in time for the next semester.

#### ***Quotas***

Admission to candidature for any course may be limited by quota. In determining any particular quota the University will take into account availability of resources, including space, library, equipment and computing facilities and the availability of adequate and appropriate supervision.

Where a quota has been established for a particular course the faculty is required to select in preference those applicants who are most meritorious in terms of the expressed entry requirements and who have made application by the due date.

# Enrolment and tuition fees

## Enrolment

You will be provided with detailed information about the particular enrolment dates and times and about the level of fees for which you will be liable either in your offer of admission letter or subsequently. This chapter 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 relevant scheduled enrolment period in January/February or June/July or the offer will lapse. In exceptional circumstances and on the recommendation of the appropriate dean a new coursework student may enrol on a scheduled late day before 31 March or 31 August on payment of a late fee of \$100.

After the March census date in First Semester and the August census date in Second Semester, you cannot discontinue, vary or withdraw your candidature without incurring a substantial financial liability. This has a particular significance for those not exempt from HECS and those paying fees. 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, and you will receive the necessary forms with the re-enrolment advice. In mid-November you will receive comprehensive information on a range of topics for the following year. In early January, you will receive confirmation of your pre-enrolment and advice about the procedure for completing enrolment for First Semester.

You cannot pursue your studies as a candidate for the course unless you are enrolled. If you have been absent from the University on a suspended candidature your recommencement must take effect by re-enrolment in one of the two semester enrolment periods.

There is a second enrolment period at the beginning of Second Semester at which enrolment details for Second Semester are finalised.

## Fee-paying courses

For most postgraduate courses undertaken by coursework (and for some undergraduate degrees), tuition fees are charged rather than HECS. Such fees vary from course to course, and detailed information is available from faculty offices and the Student Centre. International students should contact the International Office regarding fees.

Tuition fees for the forthcoming semester are due at enrolment initially. You will be billed for Second Semester, prior to that semester's commencement.

There are also a small number of HECS Equity places available for postgraduate coursework students enrolling in fee-paying courses. Please contact your faculty office for further information regarding these.

From January 1, 2003 the Postgraduate Education Loans Scheme (PELS) was introduced. This scheme provides full or partial loans for tuition fees for local students enrolling in fee-paying postgraduate award courses.

## Postgraduate Education Loans Scheme (PELS)

The Postgraduate Education Loans Scheme (PELS) is an income-contingent loans scheme available to all local fee-paying postgraduate coursework students. Students are encouraged to visit the Commonwealth Government's PELS website: [www.hecs.gov.au/pels.htm](http://www.hecs.gov.au/pels.htm).

### What Does PELS Provide?

Fundamentally, PELS enables local postgraduate coursework students to secure a loan from the Commonwealth Government for all or part of their **tuition fees** (PELS loans will **not** be provided to cover compulsory subscriptions to the various student organisations). In many ways the process mirrors HECS, however, there are differences, some of these are:

Unlike HECS the Government does not prescribe the tuition fee in PELS. The postgraduate coursework fee structure the University has in place, which it reviews annually, is that which is utilised by PELS;

There is no discount for an upfront fee payment;

Students can elect to pay any amount, above a minimum set by the University, off their semester fee upfront and seek a PELS loan for the remainder. University policy in respect of partial payments is as follows:

**Minimum individual PELS partial payment amount accepted:** \$500. Where a student elects to make two payments in any one semester the total minimum amount received will be \$1,000. An individual payment of less than \$500 will be accepted where that amount will eliminate the need to secure a PELS loan.

**Maximum number of PELS partial payments per semester:** Two. For semester one, one at either pre-enrolment or in-person enrolment and the other, if required, in the period 25 to 29 March. For semester two, one following receipt of the semester two fees notice and the other, if required, in the period 26 to 30 August.

### Which Students are Eligible for PELS?

All local students enrolled in fee-paying postgraduate award courses. Eligibility also extends to Australian Permanent Residents in the same way as does HECS, i.e. Australian Permanent Residents will be eligible to PELS for the three years following the granting of Permanent Residence. Thereafter, should Australian Citizenship not have been achieved, eligibility will be denied with full fee-paying being the only remaining option.

- New Zealand Citizens will not be eligible for PELS.
- PELS will apply to continuing and commencing students from its introduction in 2003.

### When Does PELS Commence?

The Scheme came into effect on 1 January 2003. It is not retrospective.

### Are PELS Upfront Payments Discounted?

Unlike upfront HECS, no discount applies to PELS upfront payments.

### Are Tax File Numbers Required?

Yes, as for students deferring their HECS to the Taxation System, PELS students must provide a tax file number where a loan is sought.

### When a Loan is Sought are Special Forms Required?

Yes, in the same way as students subject to HECS must complete a Payment Options Form, students taking out a PELS loan must complete a Loan Request Form (LRF). One LRF is sufficient for the duration of the course, however,

should a student transfer to another course a new LRF is required.

University policy in respect of the number of times a student is permitted to vary between PELS and full fee paying within a given semester provides for one change only, in either direction.

### ***What Happens to a PELS Loan Where a Student Withdraws Prior to the Census Date?***

Where a student withdraws from a unit or units of study, or the course, prior to the census date in a given semester any loan for that semester for the unit, units or course is cancelled.

### ***How is a PELS Loan Repaid?***

Repayment arrangements will be similar to those that already apply to HECS. Students will begin repaying their loan when their income reaches a minimum threshold for compulsory repayment. This minimum threshold will be set by the Government.

### ***Is Interest Charged Against a PELS Loan?***

There is no interest charged against a PELS loan but the debt is indexed annually by adjusting it in accordance with the cost of living.

### ***Are PELS Loan Repayments Tax Deductible?***

No, while the employment circumstances of some local fee-paying postgraduate students enable upfront fee payments to be tax deductible PELS loan repayments are not.

### **Refund of tuition fees for fee-paying award courses**

If you withdraw from an award course completely, or defer or suspend your candidature before the relevant census date you will be reimbursed 100% of the tuition fee and 100% of any compulsory subscriptions paid.

Beyond the census date for each semester, the University retains 100% of all fees paid.

### **Refund of tuition fees for fee-paying units of study**

Students who withdraw from First or Second Semester units of study prior to the relevant census date but who remain actively enrolled in one or more other units of study will be refunded 100% of the tuition fee for those units.

Students who withdraw from “Intensive Mode” postgraduate units of study prior to the commencement of those units will be refunded 100% of the tuition fee for those units.

Beyond the census date for each semester, or beyond the commencement of any “Intensive Mode” unit, the University retains 100% of the tuition fee paid.

### **Compulsory subscriptions**

All postgraduate students are required, as a condition of their enrolment, to become members of (1) either The University of Sydney Union or the Cumberland College of Health Sciences Students Union or the Orange Agricultural College Students Association; and (2) the Sydney University Postgraduate Representative Association (SUPRA).

### **HECS-liable courses**

A small number of postgraduate coursework degrees are HECS-liable rather than requiring the payment of tuition fees. Details of how the HECS Scheme works are printed in the booklet entitled “HECS – Your Questions Answered 2003”, produced by the Department of Education, Science and Training (DEST), and distributed to all students at enrolment. Copies are also available from the Student Centre, Level 1, Carlaw Building.

### **Changing your enrolment**

Changes to your First Semester’s enrolment may be made, with permission, up to 5 pm on the last working day in March but, other than to discontinue units of study, no changes will be permitted after this date. Students who vary their enrolment (including discontinuation or deferral) up to 31 March will be entitled to an appropriate adjustment to HECS, PELS or refund of tuition fees. No adjustments or refunds will be made after that date except in the special circumstances explained in the official HECS and PELS booklets which you should ensure you obtain at enrolment. Shortly after this deadline a notice will be sent to all students stating clearly their course load including any re-calculation of their HECS or PELS liability as a result of agreed units 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**. You should check particularly your Second Semester notice to see that this still accurately reflects the units of study you are taking.

It is essential that an accurate record be made of the units of study being taken.

## Types of candidature and modes of attendance

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. 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.

### Types of candidature

Whether a candidate 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 (full-time) in a semester if he/she is enrolled in units of study which total less than (at least) 18 credit points. 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.

### Modes of attendance

In many courses, 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 semesters, during the Summer session, Winter session or in concentrated blocks of teaching.

## Time limits and time away

A minimum and maximum period of candidature is specified for each candidate for a postgraduate degree, graduate diploma or graduate certificate. Actual time limits for a particular course will be specified in Resolutions of the Senate and will depend on the number of credit points required to graduate. Minimum time limits are calculated on the basis that a full-time semester is equivalent to 24 credit points of study. Maximum time limits include an allowance for some failed units and some time away from study. You should note that there are pressures on students and on universities for students to complete as soon as possible.

The most common time limits are:

Course	Minimum	Maximum
Graduate Certificate, full-time	1 semester	2 semesters
Graduate Certificate, part-time	2 semester	4 semesters
Graduate Diploma, full-time	2 semesters	4 semesters
Graduate Diploma, part-time	3 semesters	6 semesters
Master's by coursework, full-time	2 semesters	6 semesters
Master's by coursework, part-time	4 semesters	10 semesters

If you do need an extension or time away from your course, it is important that you inform the graduate section of your faculty office. You should also keep a copy of correspondence between you and the faculty office and notes of advice you have received in person or by phone.

### Course leave or suspension of candidature

The occasion may arise where it is appropriate to seek course leave (suspension of candidature). You should seek approval for course leave by contacting your faculty office. If you hold a scholarship you should also note any obligations you may have to notify the Scholarships Office of periods of absence. 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 candidature you should seek to withdraw from your candidature by writing to the faculty office. Should you be able to resume at a later date you would have to re-apply for admission. Some credit might then be given for work that you had done up to your withdrawal but you would be commencing a new candidature.

Your eligibility for refund of fees/HECS depends on when you withdraw from candidature. Refer to the section on fees in Chapter 5.

If in any year you fail to re-enrol as instructed your candidature will be regarded as having lapsed.

## Satisfactory progress

The requirements for most postgraduate degrees, graduate diplomas and graduate certificates contain the provision that the faculty or college or board of studies may:

- (a) 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 degree, graduate diploma or graduate certificate; and
- (b) where, in the opinion of the faculty or college board or board of studies, the candidate does not show good cause, terminate the candidature.

Such formal action is not taken frequently. It would be more usual for candidates who are not making good progress to discontinue or fail to re-enrol and so forfeit their candidature.

The Senate has adopted the following definition in relation to 'good cause':

All acceptable reasons cannot be defined in advance, but:

- (a) serious ill health or misadventure, properly attested, will be considered.
- (b) demands of employers, pressure of employment, time devoted to non-university activities will not ordinarily be accepted except as they may be relevant to reasons advanced in (a).
- (c) a student's general record, e.g. in other courses, will be taken into account. (In particular, where students transfer from other faculties, regard will be had to their record in the previous faculty.)

## CHAPTER 9

# The assessment process

Coursework master's degrees, graduate diplomas and graduate certificates require attendance at, and completion of, assessable tasks (e.g. examinations, essays, and projects) for prescribed units of study each semester. The University's Code of Practice stipulates that a hard copy of this information must be provided to every enrolled student at the first class meeting of a unit of study. Students who do not attend this class are advised to seek the information as soon as is practicable. This information will cover all details of assessment, including the relative weight of each task, deadlines, word lengths on essays or other written work, and nature of examinations.

A grade is finalised for each unit of study at the end of the semester and these grades are recorded on the Student Information 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. 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, once all course requirements have been successfully completed.

If you have concerns with the assessment process or the results, consult Chapters 12 and 13 which outline problem resolution and formal appeal mechanisms.

### Common result grades

The Academic Board has adopted the following table of common result grades; not all faculties, however, use all grades in all courses.

Permanent results			
Grade	Description	Mark range if applicable	Comments
HD	High Distinction	85-100	
D	Distinction	75-84	
CR	Credit	65-74	
P	Pass	50-64	
R	Satisfied requirements		This is used in Pass/Fail only outcomes.
UCN	Unit of Study continuing of the last semester of the Unit of Study.	approved to extend into a following semester. This will automatically flag that no final result is required until the end	Used at the end of a semester for Units of Study which have been
PCON	Pass (Concessional)	46-49	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”.
F	Fail	0-49	This grade may be used for students with marks from 46-49 in those faculties which do not use PCON.
AF	Absent Fail		Includes non-submission of compulsory work (or non-attendance at compulsory labs etc) as well as failure to attend an examination.
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 transcript. This applies from the time DNF ceases to be automatically available up to the cessation of classes for the Unit of Study.

<b>Temporary results</b>			
<b>Grade</b>	<b>Description</b>	<b>Mark range if applicable</b>	<b>Comments</b>
MINC	Incomplete with a mark of at least 50	50-100	<p>This result may be used when examiners have grounds (such as illness or misadventure) for seeking further information or for considering additional work from the student before confirming the final mark and passing grade.</p> <p>Except in special cases approved by the Academic Board[1], this result will be converted to a normal passing mark and grade either:</p> <p>(a) by the Dean at the review of examination results conducted pursuant to section 2(4) of the Academic Board policy 'Examinations and Assessment Procedures'; or</p>
			(b) automatically to the indicated mark and grade by the third week of the immediately subsequent academic session.
INC	Incomplete		<p>This result is used when examiners have grounds (such as illness or misadventure) for seeking further information or for considering additional work from the student before confirming the final result.</p> <p>Except in special cases approved by the Academic Board[1], this result will be converted to a normal permanent passing or failing grade either:</p>
			(a) by the Dean at the review of examination results conducted pursuant to section 2(4) of the Academic Board policy 'Examinations and Assessment Procedures'; or
			(b) automatically to an AF grade by the third week of the immediately subsequent academic session.
<p>[1] At its meeting of 13 October 1999, the Academic Board approved the following policies for dealing with special cases:</p> <p>(a) Incomplete Units of Study Where a MINC or INC grade arises because all or many students in a Unit of Study have not completed the requirements of the Unit, the grade will be converted to UCN on the advice of the relevant Dean. The students may be engaged in practicum or clinical placements, or in programs extending beyond the end of the semester (e.g. Honours). Heads of Departments are encouraged to return UCN and not INC for students in such extended Units of Study. Deans are asked to avoid approving the use of UCN to deal with late results from a completed Unit of Study.</p> <p>(b) Students with incomplete results Deans are authorised to approve the extension of a MINC/INC grade for individual students having a valid reason for their incomplete status.</p>			

# Outcomes – awards and graduations

When the award of the degree, graduate diploma or graduate certificate 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. Alternatively, you may apply to have your degree conferred *in absentia*, that is to say without attending a graduation ceremony. Until the degree, graduate diploma or graduate certificate has been conferred on you, you are not entitled to call yourself a graduate in that qualification or to use the title of the course.

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 2003*.

In April 1997, the Academic Board endorsed the view of the Graduate Studies Committee that it would be desirable to have some uniformity across the University in the grading systems used, in levels of award and in the nomenclature of master's degrees. The Board adopted the following recommendations and commended them to faculties.

## Grading systems for all master's degrees and graduate diplomas and graduate certificates

- All faculties which award grades for coursework in postgraduate award programs, whether research degrees 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) and that marks also be supplied in accordance with the undergraduate mark scale. (The table of common result grades is set out in Chapter 9.)
- In respect of research master's degrees, examiners should be asked to allocate a grade of Pass, Credit, Distinction or High Distinction for theses so that faculties are able to award one of these grades as a thesis final result. This result will then be entered upon candidates' transcripts of academic record and can be used for scholarships ranking.
- Faculties will need to inform examiners of the range of marks used by the University for awarding grades.
- Results of 'Satisfactory' and 'Unsatisfactory' and other such 'grades' should no longer be used.
- Explanations of the grades and marks should be published in handbooks and other relevant publications.

## Levels of award for master's degrees

- In respect of coursework degrees, provision should exist for the award either without honours or, preferably, with just one class of honours, but the award with merit is an acceptable alternative to the award with honours.
- In respect of research 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 for the thesis to be allocated a grade, however, as set out above.

## Nomenclature of master's degrees

- Faculties use nomenclature for degrees that distinguishes between research degrees and coursework degrees, and the same award should not be available by the two methods of candidature.
- The degree of 'Master of Philosophy in (name of Faculty)' is reserved for the Faculty's main research master's degree. It is considered that the addition of the name of the Faculty to 'MPhil' will avoid any possible confusion over whether the degree is a science- or humanities-based degree. It is recognised, however, that some faculties award more than one research degree and that the entry requirements for these degrees are not always the same.

# Intellectual property, authorship and ethics

## Intellectual property

Intellectual property is a term which refers to a collection of specific rights which attach to the results of intellectual activity, including those in the industrial, commercial, scientific, literary and artistic fields. The University's Intellectual Property Policy is expressed as the *University of Sydney (Intellectual Property) Rule 2002*, and a copy is set out in Appendix 6 of this Handbook.

The rights and responsibilities of students differ from those of members of the University's general and academic staff. The University specifically acknowledges that students own any intellectual property that they create pursuant to their studies unless they agree to some other arrangement. The information below pertains solely to students. Students who are also members of staff should ensure that they are aware of the different provisions for staff and students. They can then act in accordance with the provisions relevant to their circumstances.

There may be occasions when, in return for benefits, you would like to assign some of your intellectual property to the University. This may happen, for example, in cooperative research ventures with industry, government, or the community. It is important that all such agreements be made to the mutual satisfaction of all of the parties. This is most easily achieved if issues, such as ownership and the distribution of benefits from the use of some intellectual property, are resolved before the project is begun. Students should note that a requirement to assign intellectual property to another party in exchange for a scholarship may make that scholarship subject to income tax.

As already stated, it is University policy that students own the intellectual property that they create unless an explicit written agreement to transfer it to someone else is made. No agreement to any transfer or restrictions should be made without you taking the opportunity to seek advice. Advice on these issues can be obtained from any or all of the following people: your supervisor; the staff of the Business Liaison Office; your student representatives; or a third party, such as a solicitor, familiar with these issues.

Students' opportunities to commercially exploit their intellectual property may be limited because utilisation of that intellectual property may depend on also using intellectual property owned by others. If this is so, then permission to utilise the additional intellectual property needs to be obtained from its owner/s before any discussion about commercial exploitation can take place with a third party. You should note that permission to use someone else's intellectual property may require the user to pay the creator of that intellectual property.

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

Copyright is a legal right which vests in the creators of literary works, dramatic works, musical works, artistic works, films, sound recordings, broadcasts, published editions and certain types of performances. It can include computer programs. (Computer programs may also be inventions subject to treatment as set out below.)

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 you could contact your supervisor, the Business Liaison Office, SUPRA, or a solicitor.

## 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 set out in the *Calendar 2003*. 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 department and the staff of the Business Liaison Office 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 application to the Graduate Studies Committee 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 which the student has produced in the course of his or her study and which the student owns. Although initial advice is both confidential and free, any action taken by the University to commercially develop an invention created by a student may require the student to enter into an agreement with the University. Contact should be made with the Business Liaison Office (Tel 9351 4000) after discussing the matter with your supervisor and head of department.

### **Authorship and acknowledgment guidelines**

Agreement should be reached between the student 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.

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 acknowledgment, 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 acknowledgment 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 acknowledgment. They should be consulted for formulating decisions on co-authorship and other acknowledgment.

People who may be involved in the execution of a project include: animal attendant; archivist; collaborator; computer personnel; director/manager/co-ordinator; 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:

1. Initiation of project: concept formation; review of area/topic; integration of first two above/discussion; writing funding proposals.
2. Pilot work: design and analysis strategy; execution and analysis of pilot study.
3. Equipment: development of procedures/devices/measures for evaluation of experiments; designing technical equipment; building technical equipment.
4. Computer programs and data base system: development of original programs/tables; designing or adapting alternative programs/tables; computer/statistical construction and analysis.
5. Execution of complete project: refer to list of people who may be involved.
6. Analysis: analysis strategy; computation/analysis.
7. Writing up: designing paper; literature review; empirical evidence; drafting paper, including bibliography; draft revision; final write up; illustrations; typing; index (for books).

### **Ethics and Biosafety**

Supervisors are responsible for advising candidates of the need to apply for ethical and biosafety approval for research. Projects that require ethical approval involve human or animal subjects; projects that require biosafety approval involve genetic manipulation. If projects require such approvals they will go before the appropriate committee. For further information about ethics and biosafety, please contact the Manager, Ethics Administration (Tel 9351 4811, fax 9351 6706).

There is a two-day workshop on animal ethics which you will be expected to attend at the beginning of your research degree, if appropriate. 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.

### **The University of Sydney Code of Conduct for Responsible Research Practice and Guidelines on Dealing with Allegations of Research Misconduct**

These Guidelines are included as an appendix to this Handbook. They include material on retention of data, publication and authorship, the role of research supervisors and disclosure of potential conflict of interest.

# Resolution of problems

Problems arising for the candidate, teaching staff or supervisor can and do occur. It is obviously desirable that these are addressed and settled as expeditiously as possible and preferably within the department.

A candidate may approach the head of department, the postgraduate co-ordinator or any other member of the permanent staff of the department, regarding the resolution of problems. If a candidate and supervisor cannot resolve their difficulties between themselves or with third party help, either may approach the head of department or postgraduate co-ordinator concerned. The head and/or the postgraduate co-ordinator should attempt to settle the dispute.

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

The problem may simply be an irreconcilable personality clash between the supervisor and candidate or it may be that the development of the topic means that the original supervisor's area of expertise is no longer relevant. In such cases either you or your supervisor may request a change of supervisor without discredit to either party.

Advice could also be sought from the Student Advisers located at SUPRA. The Student Advisers provide professional and confidential advice or referral about any matters that may affect your candidature from academic matters, processes, problems and appeals to general welfare issues that impact on your study. If you are experiencing difficulties you should also contact the University Counselling Service.

A candidate who considered that resolution of difficulties within the department was not being achieved could also go to the dean or postgraduate associate dean of the faculty.

Problems that have become in effect disputes which cannot be resolved at the faculty or college level may be referred to the Graduate Studies Committee which will consider the dispute and consult with the parties concerned and other appropriate members of staff. The Graduate Studies Committee may, as a last resort, refer a matter to the Vice-Chancellor or a Deputy Vice-Chancellor for resolution but it takes the view that the resolution of disputes is essentially the business of a department.

# Appeals

*Extracted from the University of Sydney Calendar 2003*

## RESOLUTIONS OF THE SENATE

### STUDENT APPEALS AGAINST ACADEMIC DECISIONS

Any student may appeal to the Senate against an academic decision. Normally such an appeal will not be heard unless the student has exhausted all other avenues. For undergraduates and for postgraduate students undertaking coursework award programs, this means appeal to the department and/or faculty/college board/board of studies concerned, and for postgraduate students undertaking research degrees, also to the Graduate Studies Committee.

Appeals solely against questions of academic judgement that have, in the view of the Chair of the Academic Board, been thoroughly investigated by the faculty/college board/board of studies in accordance with the procedures adopted by the Academic Board, will not be heard unless there are grounds for believing due academic process has not been observed.

Appeals against exclusion from re-enrolment in undergraduate award programs and against termination of candidature for postgraduate awards are heard by the Student Appeals Committee (Exclusions and Readmissions), and appeals against disciplinary action are heard by the Student Disciplinary Appeals Committee.

#### 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 applying, *mutatis mutandis*, to colleges and the graduate school and the college principals and directors.

#### Hearing of appeals

The Senate has resolved as follows with respect to the hearing of appeals against academic decisions:

1. Appeals against academic decisions may be referred by the Senate to the Student Academic Appeals Committee, a standing committee of the Senate.
2. The membership of the Student Academic Appeals Committee shall be—
  - (i) the Chancellor, the Deputy Chancellor, and the Vice-Chancellor and Principal (ex officio);
  - (ii) the Chair of the Academic Board;
  - (iii) a deputy chair of the Academic Board, nominated by the Chair;
  - (iv) two student Fellows of the Senate; and
  - (v) two Fellows of the Senate who are not members of the academic staff.
3. The Student Academic Appeals Committee acts on behalf of the Senate in hearing an appeal and in determining its outcome.
4. On receipt of an appeal the Chancellor or the Chancellor's nominee shall appoint one person from each category of membership listed in section 2 above.
5. Four members of the sub-committee shall form a quorum.
6. A unanimous decision of the sub-committee shall be final and reported to the Senate for noting.
7. An appellant will be advised as soon as practicable of the decision and the reasons for it.

8. In the event that the sub-committee is unable to reach a unanimous decision, majority and/or minority reports together with supporting papers will be referred to the Senate for final decision. The Senate should give a written statement for its decision to the parties concerned.

9. The sub-committee shall observe the following procedures in hearing an appeal:

- (a) The dean of the faculty or chairperson of the board of studies concerned shall be provided with a copy of the student's letter of appeal and be asked to provide, within ten working days, written comment from whatever source is appropriate on this matter, including the recommendations of the staff member, professor and head of department concerned, so far as is practicable.
- (b) The appellant shall be given a copy of the response elicited from the dean or chairperson of the board of studies seven working days in advance of appearing before the sub-committee.
- (c) The sub-committee will interview both the respondent and the appellant together and may call on other witnesses if it determines they are relevant, provided that the appellant has the opportunity to respond to later adverse material, if presented. The respondent shall be the dean or chairperson of the board of studies, except in a case where the dean or chairperson does not support the particular decision, in which case the Senate shall nominate the respondent.
- (d) The appellant shall respond to requests for further information, normally within fifteen working days; otherwise the Vice-Chancellor may determine that the appeal has lapsed.
- (e) The appellant will have the right to be accompanied at the interview(s) by a friend.

## RESOLUTIONS OF THE ACADEMIC BOARD

### PRINCIPLES FOR STUDENT APPEALS AGAINST ACADEMIC DECISIONS

#### Preliminary

1. Any student may complain about an academic decision that affects him or her. This document describes the principles and procedures to be followed by students, academic units and decision-makers when a student complains about an academic decision:

- (1) First, at a local level, to enable a student's concerns to be addressed in an informal way; and
- (2) Secondly, by means of a formal, central procedure.

2. These procedures apply to all academic decisions made in relation to undergraduate and postgraduate course awards. A separate set of procedures applies with respect to postgraduate research awards.

3. In these procedures, an 'academic decision' means a decision of a member of the academic staff that affects the academic assessment or progress of a student.

4. Each stage below represents an opportunity to resolve the complaint. Members of academic staff are expected to attempt to resolve all students' complaints at a local, informal level, wherever possible.

#### Principles that underpin these procedures

5. The following principles apply with respect to any dispute about an academic decision, whether dealt with formally or informally:

(1) **Timeliness.** All disputes should, wherever possible, be resolved as quickly as possible. A procedure that creates a number of opportunities to resolve a problem should not be treated as a series of hurdles which prolong the dispute. Unresolved disputes have a detrimental effect on the performance of both students and staff involved. Deadlines prescribed in these procedures should always be followed, unless there are exceptional circumstances. If the deadline is to be exceeded by staff, the student must always be informed of the length of, and the reason for, the delay.

Time limits allowed to students are generally longer than those allowed to staff. As a general rule, it may be more appropriate to relax time limits for students within reason. Students may find pursuing a complaint or an appeal a difficult and stressful undertaking. They may need further time to marshal the confidence, support and evidence they need to pursue a complaint. Students should also be able to express their complaint in their own terms.

(2) **Confidentiality.** All student appeals must be treated confidentially at all stages of the process. Any information about a complaint must be strictly limited to those staff who need to know about it in order to deal with the complaint. For example, where a complaint is dealt with at departmental or faculty level, any sensitive personal information about the student should only be available to the head of the department, dean (or college principal) or the staff member assigned to the appeal. If information needs to be distributed at a broader level, then the student's written consent must first be obtained.

(3) **Without disadvantage.** The fact that a student has made a complaint under these procedures should not disadvantage the student in any way, especially by way of victimisation. That said, the fact that a student has had to complain often does, of itself, cause disadvantage, for example, delay in finalising the mark for a unit of study. However, students should be able to complain under these procedures and feel confident that they will not be disadvantaged in any other way.

(4) **Procedural fairness.** All staff involved in a complaint or an appeal have a duty to observe the principles of procedural fairness (sometimes called natural justice), which include the following.

- (a) Staff and students involved in a complaint are entitled to raise all issues which are important to them, and to put their points of view in their own terms. In most cases, any formal complaint will be dealt with by means of written submissions. In some cases, however, it may be appropriate to deal with the matter by interviewing the relevant parties. This will be determined by the relevant decision-maker.
- (b) Staff and students are entitled to have matters dealt with in an unbiased manner, and lack of bias should always be apparent. It is impossible to list all types of potential bias. One example is where a staff member involved in conciliating a complaint has a close personal relationship with the student. The question for any decision-maker is whether he or she has a pre-conceived view that is so strong, and so related to the matter being decided by the staff member, that it is reasonable to suspect that he or she is unable to listen to the complaint in a fair manner, and to deal with that complaint on its merits alone. Any person concerned about bias is expected to raise it with the appropriate person promptly.
- (c) Parties are entitled to know the basis on which decisions about them have been made, and accordingly reasons should be given for a decision, in sufficient detail that it is reasonable to expect a student to be able to understand the decision.
- (5) **Support.** Any person involved in this process who is

disadvantaged in any way in their ability to present their case should be allowed the support and advice they need to participate effectively. While a conciliatory approach is preferred and encouraged under these rules, it may be appropriate, in some circumstances that the student or staff member has another person speak on his or her behalf.

(6) **Record-keeping.** In order to facilitate resolution of student complaints, it is important that staff establish and maintain proper records (through the Central Records filing system) once a complaint becomes formal. Staff are also advised to keep brief notes of any informal discussions with students. Copies of documentation given to students in relation to a unit of study should be kept, as well as a record of the date on which that information was supplied to students and the means by which it was disseminated. This may be important to the speedy resolution of a complaint.

(7) **Access.** Students should normally have a right of free access to all documents concerning their appeal. This right does not apply to any documents for which the University claims legal professional privilege.

## PROCEDURES FOR STUDENT APPEALS AGAINST ACADEMIC DECISIONS FOR UNDERGRADUATE AND POSTGRADUATE COURSEWORK AWARDS

### 6. Informal resolution with teacher

(1) If a student is concerned about any academic decision, he or she should first discuss the issue informally with the relevant teacher or unit of study co-ordinator. This should be done within three months of the particular academic decision being made.

(2) The teacher or unit of study co-ordinator should then deal with the issue promptly, giving a full explanation to the student of the reasons for the academic decision. Many complaints should be resolved at this stage.

- (a) If the student's concerns are not resolved by this means, then the teacher should:
  - (i) Explain the next step and the procedure, which is set out in paragraph 7 below; and
  - (ii) Give to the student a copy of these principles and procedures.

(3) If the teacher or unit of study co-ordinator is the head of the department or school, then the student should approach the dean or college principal or director (see 8 below).

### 7. Approach head of department or school

#### *Informal complaints*

(1) If the student's concerns cannot be resolved under paragraph 6, or because of a failure to follow procedures, the student may then approach the head of department or school. The student may, at this point, choose to approach the head of department on an informal basis, or else put his or her complaint in writing. The student should do either of these things within 15 working days of the outcome of discussions under paragraph 6.

(2) If a student chooses to approach the head of department informally under paragraph 7(1), this does not later preclude the student from proceeding formally under this paragraph 7 by putting his or her complaint in writing to the head of department.

(3) The head of department should deal with informal complaints promptly, giving a full explanation to the student of the reasons for the academic decision. Many complaints should be resolved at this stage.

### **Formal complaints**

- (4) The head of department must acknowledge receipt of a formal complaint in writing within 3 working days of receipt.
- (5) The head of department must try to resolve the complaint within 10 working days of receiving the complaint, and then advise the student in writing of his or her decision:
  - (a) setting out the reasons;
  - (b) advising that if the student does not agree with the decision, then the student has a right of appeal under these procedures; and
  - (c) giving to the student a copy of these principles and procedures, if the student does not already have a copy.

### **8. Approach the dean or college principal or director or their nominee**

#### **Informal complaints**

- (1) If the student's concerns cannot be resolved under paragraph 7, or because of a failure to follow procedures, the student may then approach the dean or college principal or director. The student may, at this point, choose to approach the dean or college principal or director on an informal basis, or else put his or her complaint in writing. The student should do either of these things within 15 working days of the outcome of discussions under paragraph 7. In some cases the dean, college principal or director may nominate another faculty officer, for example a pro-dean or associate dean to deal with the matter.
- (2) If the dean or college principal or director is the decision-maker under paragraphs 6 or 7, then the pro-vice-chancellor of the relevant academic college shall act as decision-maker under this paragraph 8.
- (3) If a student chooses to approach the dean or college principal informally under paragraph 8(1), this does not later preclude the student from proceeding formally under this paragraph 8 by putting his or her complaint in writing to the dean or college principal or director.
- (4) The dean or college principal or director should then deal with informal complaints promptly, giving a full explanation to the student of the reasons for the academic decision. Many complaints should be resolved at this stage.

#### **Formal complaints**

- (5) The dean or college principal or director must acknowledge receipt of a formal complaint in writing within 3 working days of receipt.
- (6) The dean or college principal or director must try to resolve the complaint within 10 working days of receiving the complaint, and then advise the student in writing of his or her decision:
  - (i) setting out the reasons;
  - (ii) advising that if the student does not agree with the decision, then the student has a right of appeal under these procedures; and
  - (iii) giving to the student a copy of these principles and procedures, if the student does not already have a copy.

### **9. Written appeal to the Senate**

- (1) If the student is not satisfied that his or her concerns have been addressed satisfactorily under paragraph 8, then the student may make a written appeal to Senate.
- (2) Note that an appeal to Senate is covered by the Senate resolution 'Student Appeals against Academic Decisions' above in this University of Sydney Calendar. This resolution provides that an appeal to Senate will not normally be heard unless the student has exhausted all

other avenues. In other words before the student makes an appeal to Senate he or she should have followed the procedures set out in this document by attempting to find a resolution with his or her teacher, head of department and dean or college principal or director.

- (3) Note that the Senate resolution provides for a hearing before the Senate Appeals Committee, but a complaint does not go straight to that Committee. It is first referred to the Chair of the Academic Board who attempts to resolve the matter. The procedures are outlined below. In some cases the Chair of the Academic Board may nominate the Alternative Chair or a deputy chair of the Academic Board to deal with the matter.
- (4) A written appeal to Senate should outline the matter clearly, concisely and fully, and include any relevant documentation or evidence. The written appeal should be submitted to the Registrar, Main Quadrangle, A14.
- (5) The Registrar will refer the appeal to the Student Centre. The Student Centre will check that the student has exhausted all avenues. If the student has not exhausted all other avenues the Student Centre will advise the student what steps can be taken. If the student has exhausted all other avenues, the Student Centre will collect together the complaint, the student's file and documentation from the faculty and forward it to the Chair of the Academic Board normally within five working days.
- (6) The Chair of the Academic Board will seek to resolve the matter as informally and quickly as possible in accordance with the principles set out in this document. Normally within ten working days of receiving the file from the Student Centre, the Chair of the Academic Board will communicate his or her decision on the complaint to the student.
- (7) Note that the Senate resolution provides that where the appeal is solely against a question of academic judgement, the Chair of the Academic Board will not refer the appeal to the Student Appeals Committee if:
  - (a) the complaint has been thoroughly investigated by the faculty; and
  - (b) these procedures, especially the principles of procedural fairness, have been followed.
- (8) If the matter has not been resolved by the Chair of the Academic Board, the Chair will refer it to the Senate Appeals Committee.
- (9) The procedure which the Senate Appeals Committee will follow is set out in the resolution of Senate, Student Appeals Against Academic Decisions, referred to in paragraph 9(2) above.

### **PROCEDURES FOR STUDENT APPEALS AGAINST ACADEMIC DECISIONS FOR POSTGRADUATE RESEARCH AWARDS**

#### **Informal resolution**

1. Students are expected to seek to resolve any problems or difficulties through, in order, the supervisor, departmental postgraduate coordinator, the head of department or school, chair of the faculty board of postgraduate studies or equivalent.

#### **Approach the dean or college director or principal or chair of the board of studies**

- (1) A student who has not resolved a problem in respect of an academic decision made by the faculty, college or board of studies (hereafter referred to as "the faculty") in respect of the award of a degree or other matter which affects the student's candidature may approach the relevant dean or college principal or director or chairperson of the board of studies.
- (2) The student may, at this point, choose to approach the dean or college principal or director or chairperson of the board of studies (hereafter referred to as "the dean")

on an informal basis, or else put his or her complaint in writing. A student intending to approach the dean informally or formally must:

- (a) give notice of this intent to the dean within one calendar month of the date of notification of the decision; and
- (b) lodge the formal appeal with the dean within two calendar months from the date of the notification of the decision.

#### **Informal complaints**

(3) In some cases the dean may nominate another faculty officer, for example a pro-dean or associate dean, to deal with the matter, except that the dean may not nominate any faculty officer to deal with the matter under this paragraph 2. who was the decision-maker in respect of the matter concerned.

(4) If the dean was the decision-maker in respect of the matter concerned, then the pro-vice-chancellor of the relevant academic college shall act as decision-maker under this paragraph 2.

(5) If a student chooses to approach the dean informally under paragraph 2(2), this does not later preclude the student from proceeding formally under paragraph 2(2) by putting his or her complaint in writing to the dean.

(6) The dean should then deal with informal complaints promptly, giving a full explanation to the student of the reasons for the academic decision. Many complaints should be resolved at this stage.

#### **Formal complaints**

(7) The dean must acknowledge receipt of a formal complaint in writing within three working days of receipt.

(8) The dean must try to resolve the complaint within ten working days of receiving the complaint, and then advise the student in writing of his or her decision:

- (i) setting out the reasons;
- (ii) advising that, if the student does not agree with the decision, then the student has a right of appeal under these procedures; and
- (iii) giving to the student a copy of these principles and procedures, if the student does not already have a copy.

#### **Approach the Chair of the Graduate Studies Committee**

3. (1) A student who has not resolved a problem relating to an academic decision made by the faculty in respect of the award of a degree or which affects the student's candidature under paragraph 2. may approach the Chair of the Graduate Studies Committee.
- 2) The student may, at this point, choose to approach the Chair of the Graduate Studies Committee on an informal basis, or else put his or her complaint in writing. A student intending to approach the Chair of Graduate Studies informally or formally must:
  - (a) give notice of this intent to the Chair within one calendar month of the date of notification of the decision by the dean under paragraph 2; and
  - (b) lodge the formal appeal with the Chair within two calendar months from the date of the notification of the decision under paragraph 2.

#### **Consideration of appeal by the Chair of the Graduate Studies Committee**

4. (1) The Chair must acknowledge receipt of a formal complaint in writing within three working days of receipt.
- (2) The Chair must seek a report from the dean of the faculty and may consult with other persons as appropriate.
- (3) If, after considering that report, the Chair concludes:

- (a) that the appeal is based solely on a question of academic judgement;
- (a) that the proper academic procedures (including any procedures specifically established by the faculty or department) have been followed; and
- (c) that the appeal raises no issue of general principle requiring consideration by the Graduate Studies Committee;

the Chair should disallow the appeal.

(4) If the Chair does not disallow the appeal he or she must:

- (a) refer the matter back to the dean for action and report; or
  - (b) refer the matter to the Graduate Studies Committee.
- Having received a report after referring the matter to the dean the Chair may refer the matter to the Graduate Studies Committee.

(5) The Chair shall inform the student in writing of his or her decision. If the decision is to disallow the appeal, the student will be informed of any further avenues of appeal. If the decision is to allow the appeal to proceed, the student will be informed that the appeal has been referred to the Appeal committee of the Graduate Studies Committee.

#### **Appeal Committee of the Graduate Studies Committee**

5. There is to be an Appeal Committee of the Graduate Studies Committee consisting of:

- (a) the Chair of the Graduate Studies Committee, or nominee, who shall be chairperson;
- (b) the Dean of Graduate Studies;
- (c) three academic staff members appointed by and from the Graduate Studies Committee (not involved in the candidature); and
- (d) one postgraduate research student member of the Graduate Studies Committee appointed by the Chair of the Graduate Studies Committee.

Any four members constitute a quorum.

6. If the appeal raises an issue of general principle, the Appeal Committee may consider that issue and may direct the Chair of Graduate Studies Committee or the dean of the faculty concerned to deal with the appeal in accordance with its decision on that issue.

7. The Appeal Committee may:

- (a) refer the matter back to a faculty with a recommendation for action,
- (b) dismiss the appeal, or
- (c) if the faculty declines to accept the recommendation for action, amend or alter the decision (including amending the result on behalf of the Board of Postgraduate Studies or Board of Examiners).

#### **Procedure**

9. An Appeal Committee under these resolutions must allow the student to make written observations on the appeal and may, if it thinks the issue raised is sufficiently serious, allow the student to appear in person. The student may be accompanied by a friend.

10. An Appeal Committee must reach a determination under these resolutions within a reasonable period of time. The dean or Chair must keep a record of the process of the appeal.

11. The decision of an Appeal Committee under these resolutions shall be communicated in writing to the parties with a brief statement of the reasons for the decision. If the appeal is dismissed the appellant shall be advised of any further avenues of appeal and of sources of advice.

**Appeal to Senate**

**12.** The student may, at this point, choose to make a formal approach in writing to the Senate. A student intending to approach the Senate must:

- (a) give formal notice in writing of this intent to the Student Centre within one calendar month of the date of notification of the Appeal Committee's decision; and
- (b) lodge the formal written appeal with the Student Centre within two calendar months from the date of the notification of the Appeal Committee's decision.

# Staffing, discrimination and safety

## Staffing

Details of conditions of employment for staff on the regular pay-roll such as Level A academics or research assistants can be obtained from the personnel teams as follows.

College of Sciences and Technology – Tel: 9351 2566

College of Health Sciences – Tel: 9351 3862 or 9351 6964

College of Humanities and Social Sciences – Tel: 9351 3600

Vacancies are advertised in the weekly Bulletin Board, copies of which should be available in your department and which is accessible on the web at: [www.bull.usyd.edu.au/personnel/](http://www.bull.usyd.edu.au/personnel/).

Fellowship and scholarship holders should contact the Research Office for assistance with stipend/conditions inquiries (Tel 9351 3250).

## Discrimination and harassment

The University of Sydney is committed to providing a work and study environment free from harassment and discrimination. Harassment and discrimination have a damaging effect on the quality of University life and impact adversely on individual performance. Every student and employee at the University of Sydney has a right to study or work in an environment that is free from discrimination and harassment, and to be treated with dignity and respect, irrespective of their background, beliefs or culture.

All students and employees have a right to use the University's Harassment and Discrimination Resolution Procedure if they are subjected to harassment or discrimination. The University has appointed a team of Harassment and Discrimination Support Officers to provide you with advice and support in the event that you have a problem, concern or complaint relating to harassment or discrimination. A list of the Harassment and Discrimination Support Officers can be obtained by contacting the Staff and Student Equal Opportunity Unit on 9351 2212.

The University has also appointed an expert to investigate, mediate and/or resolve staff and student concerns, problems and complaints relating to harassment and discrimination on campus. This person is called the Manager, Harassment and Discrimination Resolution. The Manager, Harassment and Discrimination Resolution is a full-time employee responsible for hearing and attempting to resolve your problem, concern or complaint in the shortest possible time. The Manager, Harassment and Discrimination is not connected with your department or faculty and must deal with your problem, concern or complaint in a confidential, fair and impartial manner. The Manager, Harassment and Discrimination Resolution, can be contacted on 9351 8713.

The University's Harassment Prevention Policy, Discrimination Prevention Policy and Harassment and Discrimination Resolution Procedure are available on the EEO Unit's web site at: [www.usyd.edu.au/su/eoo/](http://www.usyd.edu.au/su/eoo/).

## Safety and health

The University is concerned for the health and safety of students, staff and visitors, and makes every effort to prevent exposures to hazardous situations. The University has a range of occupational health and safety policies and guidelines that you can refer to for assistance. These, as well as useful links to other health and safety information sources, can be found at

the following website: [www.usyd.edu.au/su/ohs/index.html](http://www.usyd.edu.au/su/ohs/index.html).

The nature of some University activities may expose students to hazards. This is particularly the case with field trips, practical work, clinical placements and laboratory work. You are responsible by law and through the policies of the University to follow health and safety rules, eg requirements for protective clothing and proper footwear, safe work procedures for handling chemicals, animals, machinery and wastes etc. You also have a legal obligation not to misuse or tamper with any safety or emergency equipment such as fire doors and fire extinguishers.

Your supervisors are required to inform you of any hazards associated with your work and provide advice on the best ways to minimise exposure and risk. If you have any concerns that a practice, substance or piece of equipment may be unsafe, DO NOT USE IT and report your concerns to the staff member in charge. If that staff member is unsure of what to do, he or she can seek assistance from the Departmental Safety Officer or the Risk Management Office.

If you are injured or become ill at the University, report the problem to the staff member in charge, or another relevant member of the University staff. If you receive a needlestick injury or any other cut or wound from an object that could transmit an infection to you the following procedures should be followed.

wash the wound with soap and water (or rinse well with water if the mouth, nose or eyes are affected),

report the injury to a staff member

seek immediate assistance from the University Health Service, Cumberland Health and Research Centre (Sports) Clinic or nearest hospital casualty department.

Syringes and needles discarded by IV drug users have been found at some locations on University grounds, so wearing appropriate footwear is advised. Both the SRC and SUPRA have a representative on the University's Central Occupational Health and Safety Committee. Risk Management Office contact details: phone 9351 4335, fax 9351 5868, e-mail: [risk@finance.usyd.edu.au](mailto:risk@finance.usyd.edu.au).

# Student services

## Accommodation Service

The Accommodation Service assists students to find off-campus accommodation. The service maintains an extensive database of accommodation primarily close to Camperdown and Darlington Campuses or within easy access via public transport.

The Accommodation Service also has databases available for online queries 24 hours a day. This can be reached through the web address below and is available for currently enrolled students via their login name and password issued at the start of their enrolment. Links and information can also be found on the Intranet site.

### *Camperdown and Darlington Campuses*

Level 7, Education Building, A35  
Tel: +61 2 9351 3312; fax: +61 2 9351 8262  
TTY: +61 2 9351 3412  
E-mail: [accomm@stuserv.usyd.edu.au](mailto:accomm@stuserv.usyd.edu.au)  
Web site: [www.usyd.edu.au/accomm/](http://www.usyd.edu.au/accomm/)

## Careers Centre

The Careers Centre assists graduates to find employment and advises students on broad issues such as the career potential of subject choices, how to find course-related work while studying and career outcomes of various degrees. Enquiries from postgraduate students are always welcome.

Please visit our web site for details of the broad range of services available.

Tel: 9351 3481; fax: 9351 5134  
E-mail: [info@careers.edu.au](mailto:info@careers.edu.au)  
Web site: [www.careers.usyd.edu.au/](http://www.careers.usyd.edu.au/)

## Casual Employment Service

The Casual Employment Service helps currently enrolled students find casual and part-time work during their studies and in University vacations.

The Casual Employment Service also has databases available for online queries 24 hours a day. This can be reached through the web address below and is available for currently enrolled students via their login name and password issued at the start of their enrolment. Links and information can also be found on the Intranet site.

Level 7, Education Building, A35  
Tel: +61 2 9351 8714; fax: +61 2 9351 8717  
TTY: +61 2 9351 3412  
E-mail: [ces@stuserv.usyd.edu.au](mailto:ces@stuserv.usyd.edu.au)  
Web site: [www.usyd.edu.au/cas\\_emp/](http://www.usyd.edu.au/cas_emp/)

## Child Care Information Office

Contact the Child Care Information Officer for information about Children's Services for students and staff of the University who are parents.

Level 7, Education Building, A35  
Tel: +61 2 9351 5667; fax: +61 2 9351 7055  
TTY: +61 2 9351 3412  
E-mail: [childc@stuserv.usyd.edu.au](mailto:childc@stuserv.usyd.edu.au)  
Web site: [www.usyd.edu.au/childcare/](http://www.usyd.edu.au/childcare/)

There are six long-day care centres for children aged six weeks to five years. Waiting periods depend on factors such as date of application, age of child and days required.

Laurel Tree House, tel: +61 2 9660 8857  
Union Child Care Centre, tel: +61 2 9351 7878  
Carillon Avenue Child Care Centre, tel: +61 2 9557 2344  
Boundary Lane Children's Centre, tel: +61 2 9351 4130  
Melanie Alexander Child Care Centre, tel: +61 2 9557 1521  
Ngallia Child Care Centre, tel: +61 2 9749 7575

## Copy Centre

The University Copy Centre provides over-the-counter copying and binding services, as well as sales of speciality and archive papers, custom-made University binders and frosted acetate covers, cut-price movie tickets, film processing and fax service.

Contact the University Copy Centre: phone 9351 4582; fax 9351 5566. The UCC is located on the ground floor of the Sports and Aquatic Centre, Maze Crescent.

For more detail visit the web site at [www.usyd.edu.au/ucc/](http://www.usyd.edu.au/ucc/) and take advantage of the monthly specials.

## Counselling Service

Counsellors are qualified professionals who aim to help students fulfil their academic, individual and social goals through professional counselling which is free and confidential. Appointments can be made for 50 minute sessions or walk-in (25 minute) sessions are available daily for urgent problems. After hours appointments are available.

We offer individual counselling for a wide range of problems. Workshops are available in each Semester. These are advertised in the Union "Daily Bull" and on posters around the University. Visit our web site for details.

### *Camperdown and Darlington Campuses*

Level 7, Education Building, A35  
Tel: +61 2 9351 2228; fax: +61 2 9351 7055  
TTY: +61 2 9351 3412  
E-mail: [counsell@mail.usyd.edu.au](mailto:counsell@mail.usyd.edu.au)  
Web site: [www.usyd.edu.au/counsel/](http://www.usyd.edu.au/counsel/)

### *Cumberland Campus*

Student Welfare Services  
Tel: +61 2 9351 9473; fax: +61 2 9351 9635  
E-mail: [counsellor@cchs.usyd.edu.au](mailto:counsellor@cchs.usyd.edu.au)  
Web site: [www3.fhs.usyd.edu.au/cmu//sws/index.htm](http://www3.fhs.usyd.edu.au/cmu//sws/index.htm)

## Disability Services

Disability Services is the principal point of contact and advice on assistance available for students with disabilities. We work closely with academic and administrative staff to ensure that students receive reasonable accommodations their study. Assistance available includes assistive technology, notetaking, interpreters, and advocacy with academic staff to negotiate assessment and course requirement modifications where appropriate.

### *Camperdown and Darlington Campuses*

Level 7, Education Building, A35  
Tel: +61 2 9351 4554; fax: +61 2 9351 7055  
TTY: +61 2 9351 3412  
E-mail: [disserv@stuserv.usyd.edu.au](mailto:disserv@stuserv.usyd.edu.au)  
Web site: [www.usyd.edu.au/disability/](http://www.usyd.edu.au/disability/)

### *Cumberland Campus*

Tel: +61 2 9351 9638/9081; fax: +61 2 9351 9635  
E-mail: [S.Hebblewhite@cchs.usyd.edu.au](mailto:S.Hebblewhite@cchs.usyd.edu.au)  
Web site: [www3.fhs.usyd.edu.au/cmu//sws/index.htm](http://www3.fhs.usyd.edu.au/cmu//sws/index.htm)

### Financial Assistance Office

The University has a number of loan funds and bursaries to assist student who experience financial difficulties. Assistance is not intended to provide the principal means of support but to help in emergencies and to supplement other income.

#### *Camperdown and Darlington Campuses*

Level 7, Education Building, A35  
Tel: +61 2 9351 2416; fax: +61 2 9351 7055  
TTY: +61 2 9351 3412  
E-mail: fao@stuserv.usyd.edu.au  
Web site: www.usyd.edu.au/fin\_assist/

#### *Cumberland Campus*

Student Welfare Services  
Tel: +61 2 9351 9638; fax: +61 2 9351 9635  
E-mail: r.mckenzie@cchs.usyd.edu.au

### Health Service

The University Health Service offers a full, experienced general practitioner service and emergency medical care to all members of the University Community: students (undergraduate & postgraduate), staff (academic & general), families, friends, visitors, employees of other organizations on campus, former students & staff, & members of the general public. The UHS bills Medicare directly (Medibank Private OSHC or World Care Assist for international students) for the cost of most consultations. Twelve doctors work in the University Health Service.

Wentworth Building, G01  
Tel: +61 2 9351 3484, Fax: +61 2 9351 4110

Holme Building, A09  
Tel: 61 2 9351 4095, fax: 9351 4338  
E-mail: Director@unihealth.usyd.edu.au

Web site: www.unihealth.usyd.edu.au/

### Information Technology Services

The University of Sydney provides all students with a free email/Intranet account. Account details (login name and password) will be provided on your confirmation of enrolment form. In addition, the ITS Helpdesk provides Internet Accounts (where you can set up your own home page) and modem access at a cost considerably lower than commercial ISPs. Contact the Helpdesk on 9351 6000 or email support@isu.usyd.edu.au for details on how to take advantage of these services or visit the ITS Help Desk home page at helpdesk.usyd.edu.au/.

The Helpdesk can also provide information about the Computer Access Labs which are available for email and Intranet/Internet access. The labs are located in Fisher Library, in the PNR, Carlaw and Education Buildings and on the Cumberland Campus. Visit the access centre home page at www.usyd.edu.au/su/is/labs/ for details on their locations and services.

### Institute for Teaching and Learning

The Institute for Teaching and Learning assists postgraduates to prepare for an academic career by providing a range of courses and workshops on teaching, tutoring and demonstrating skills. Opportunities for more sustained study are provided through the graduate certificate, graduate diploma and master's and PhD degrees in higher education programs which are organised in collaboration with the Faculty of Education and Social Work.

An extensive program on supervision is available for supervisors. This is offered in collaboration with the Graduate Studies Committee. It includes on-line learning via the Internet and face-to-face skills development sessions. Assessment is optional but can lead to accreditation. The

Institute for Teaching and Learning also carries out research on postgraduate supervision.

Carlaw Building, tel: 9351 3725

### Insurance

The Risk Management Office maintains a Personal Accident/Travel insurance policy for all postgraduate students travelling within Australia or overseas on authorised University activities. In addition, SUPRA together with the Risk Management Office maintain a Personal Accident policy providing insurance cover for postgraduate students whilst conducting on-campus activities. If you are involved in an accident on campus or while conducting University activities please complete an Incident Report Form [www.usyd.edu.au/su/ohs/incident.pdf](http://www.usyd.edu.au/su/ohs/incident.pdf) and forward it to the Risk Management Office. Claims and advice on the SUPRA Personal Accident Insurance policy should be referred to the SUPRA office on 9351 3715. For information on any other insurance related matters or Travel Insurance claims please contact the Risk Management Office: phone 9351 4127 or 9351 2782, fax 9351 5868, e-mail [risk@finance.usyd.edu.au](mailto:risk@finance.usyd.edu.au).

### International Office

The International Office in Codrington Street provides assistance with application, admission and enrolment procedures for international students, as well as scholarships, health insurance and visa matters and tuition fees.

Ground Floor, Services Building G12

Tel: 9351 4161; fax: 9351 4013

E-mail: [info@io.usyd.edu.au](mailto:info@io.usyd.edu.au)

Web site: [www.usyd.edu.au/io/](http://www.usyd.edu.au/io/)

### International Student Services Unit

The International Student Services Unit assists international students through the provision of orientation, counselling and welfare services to both students and their families.

#### *Camperdown and Darlington Campuses*

Ground Floor, Services Building G12

Tel: 9351 4749, fax: 9351 6818

E-mail: [info@issu.usyd.edu.au](mailto:info@issu.usyd.edu.au)

Web site: [www.usyd.edu.au/su/issu/](http://www.usyd.edu.au/su/issu/)

#### *Cumberland Campus*

International Student Welfare

Tel: +61 2 9351 9634; fax: +61 2 9351 9635

E-mail: [M.tun@cchs.usyd.edu.au](mailto:M.tun@cchs.usyd.edu.au)

### Koori Centre

The Koori Centre provides Aboriginal and Torres Strait Islander education, research and student support. It is a devolved, autonomous unit which aims to increase the successful participation of Aboriginal and Torres Strait Islander people in undergraduate and postgraduate degrees. The Centre provides policy advice, education initiatives, curriculum development and training for Aboriginal and Torres Strait Islander people and to the wider university community. The Centre supports Indigenous and non-Indigenous students in a variety of ways, including postgraduate supervision and a fully resourced library. For further information, please contact:

The Koori Centre @ Old Teachers College A22

Tel: 02 9351 2046; fax: 02 9351 6923

E-mail: [koori@koori.usyd.edu.au](mailto:koori@koori.usyd.edu.au)

Web site: [www.koori.usyd.edu.au/](http://www.koori.usyd.edu.au/)

### Learning Centre

The Learning Centre (LC) runs a variety of programs throughout the year, free of charge, to help students develop their generic skills for academic purposes. The LC services include skills-based workshops at the Centre and in faculties, an Independent Learning Program for individual students and online and print-based learning resources. Of particular interest to all postgraduate students is the Program of workshops for research students, which support the thesis writing process from proposal to final draft, and a special Program for coursework students. There is also a Program for International Postgraduate Students (PIPS), which has a particular focus on the language and learning needs of these students. For further information contact the Centre or visit the web site.

Level 7, Education Building, A35  
 Tel: +61 2 9351 3853; fax: +61 2 9351 4865  
 TTY: +61 2 9351 3412  
 E-mail: lc@stuserv.usyd.edu.au  
 Web site: www.usyd.edu.au/lc/

#### Cumberland Campus

Language and Learning Unit  
 Tel: +61 2 9351 9638/9319; fax: +61 2 9351 9635  
 E-mail: a.chan@cchs.usyd.edu.au

### Library

For general information on Library services see [www.library.usyd.edu.au/Home.html](http://www.library.usyd.edu.au/Home.html). For more detailed information on services to postgraduate students in your discipline contact the relevant library staff indicated at: [www.library.usyd.edu.au/contacts/](http://www.library.usyd.edu.au/contacts/)

### Manager, Harassment and Discrimination Resolution

The Manager, Harassment and Discrimination Resolution, is responsible for investigating, mediating and/or resolving staff and student concerns, problems and complaints relating to harassment and discrimination on campus. The Manager, Harassment and Discrimination is not connected with your department or faculty and must deal with your problem, concern or complaint as quickly as possible and in a confidential, fair and impartial manner.

Tel: +61 2 9351 8713

### Mathematics Learning Centre

The Mathematics Learning Centre assists students to develop the mathematical knowledge, skills and confidence that are needed for studying an introductory course in mathematics or statistics at university. It runs bridging courses in mathematics at the beginning of the academic year (fee applies), and provides on-going support during the year through individual assistance and small group tutorials (free of charge).

Room 455, Level 4, Carslaw Building, F07  
 Tel: +61 2 9351 4061, fax: +61 2 9351 5797  
 E-mail: mlc@stuserv.usyd.edu.au  
 Web site: www.usyd.edu.au/mlc/

### Publishing Service

The University Printing Service provides printing and binding services including: high volume printing and copying, short run (low volume) four colour process printing, finished artwork and design including web site design, document scanning, file conversion, and CD burning. UPS also offers folding, collating, addressing and filling of envelopes, hole-punching, stapling, comb-binding, saddle-stitching, perfect binding, stationery and print-broking services.

Contact UPS Customer Service by phone on 9351 2004 or fax

93517757. The University Printing Service is located at Room 314, top floor, Services Building, Codrington Street, G12. For more detailed information visit the web site at [www.usyd.edu.au/ups/](http://www.usyd.edu.au/ups/).

### Research Office

The Research Training Unit of the Research Office administer the major government funded research awards, publishes details of major scholarship schemes and other scholarship opportunities through the *Bulletin Board*, published as an insert to the weekly *University News*. Details of these awards and many others may be obtained from the Research Office web site at: [www.usyd.edu.au/su/reschols/scholarships/](http://www.usyd.edu.au/su/reschols/scholarships/).

The closing date for APAs and UPAs is October every year; Commonwealth Scholarship & Fellowship Plan awards usually close in September. It is wise to confirm in advance the exact closing date (Main Quadrangle, tel 9351 3250, fax 9351 4812).

### Student Services

See under this heading in Chapter 3.

### Sydney University Postgraduate Representative Association (SUPRA)

All postgraduate students are members of SUPRA, the organisation which represents all of the University of Sydney's 11,000 postgraduates. The aims of SUPRA are, at all times, to promote the interests, defend the needs and uphold the aspirations of all the University's postgraduate students.

SUPRA provides a range of services free to members including personal accident insurance, a range of informative publications, entertaining social activities, support for postgraduate groups and representatives and educational workshops. SUPRA also employs two professional Student Advisers to provide confidential academic and welfare advice to students on issues which may affect their candidature.

SUPRA, as the organisation which represents all of Sydney University's postgraduates, is also active in pursuing and assisting with the development of policies that improve postgraduate conditions of study. If you have any concerns which you would like SUPRA to address, please contact the President of SUPRA at the SUPRA office.

The SUPRA office may be contacted by phone on 02 9351 3715, 1800 249 950 toll free number inside Australia, by fax on 02 9351 6400, by email [supra@mail.usyd.edu.au](mailto:supra@mail.usyd.edu.au) or by writing to SUPRA, Raglan Street Building, Darlington Campus, University of Sydney, NSW 2006. For more information on SUPRA's representative role and services visit SUPRAnet at [www.usyd.edu.au/supra/](http://www.usyd.edu.au/supra/) or subscribe to egrad, the fortnightly postgraduate email bulletin by emailing: [supra@mail.usyd.edu.au](mailto:supra@mail.usyd.edu.au).

# Appendix 1

## Faculty/college/board of studies contact information

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

Set out below are initial contact details for each faculty/college/board of studies.

### FACULTY OF AGRICULTURE, FOOD AND NATURAL RESOURCES

Room 103, McMillan Building A05 9351 6926  
E-mail: p.stern@agec.usyd.edu.au

#### Postgraduate Coordinator:

Dr Balwant Singh 9351 2237  
Associate Dean of Postgraduate Studies  
Web site: www.agric.usyd.edu.au/

### FACULTY OF ARCHITECTURE

Room 450, Level 4, Wilkinson Bldg G04 9351 3248  
E-mail: ssc@arch.usyd.edu.au  
Web site: www.arch.usyd.edu.au/

### FACULTY OF ARTS

Third Floor 9351 3240/6675  
Old Teacher's College A22  
Donna Robson/Naomi Ramanathan  
E-mail: pg@faculty.arts.usyd.edu.au  
Web site: www.arts.usyd.edu.au

### AUSTRALIAN GRADUATE SCHOOL OF MANAGEMENT

Sydney, NSW 2052 9931 9230

#### Director, MBA Program

Sue Bennett Williams 9931 9491

#### Associate Director, MBA (Executive) Program

Janet Craig  
Web site: www.agsm.edu.au

### FACULTY OF DENTISTRY

2 Chalmers Street  
Surry Hills NSW 2010

#### Enquiries and postgraduate administration

Postgraduate Student Administration 9351 3231  
Edward Ford Building, A27  
Fax: 9351 8529  
E-mail: pginfo@med.usyd.edu.au  
Web site: www.dentistry.usyd.edu.au

### FACULTY OF ECONOMICS AND BUSINESS

Student Information Office 9351 3076  
Level 2, Merewether Building H04  
Student Adviser  
E-mail: student@econ.usyd.edu.au  
Web site: www.econ.usyd.edu.au

### FACULTY OF EDUCATION AND SOCIAL WORK

Graduate Studies Division 9351 4605  
Level 3, Education Building A35  
Maryke Sutton  
Fax: 9351 4235  
E-mail: gradinfo@edfac.usyd.edu.au  
Web site: www.edfac.usyd.edu

### FACULTY OF ENGINEERING — GRADUATE SCHOOL OF ENGINEERING

Engineering Faculty Building J13 9351 7084  
Ms Josephine Harty  
E-mail: J.Harty@eng.usyd.edu.au  
Web site: www.eng.usyd.edu.au/

### FACULTY OF HEALTH SCIENCES

PO Box 170 Lidcombe NSW 1825  
Postgraduate Officer, Student Administration 9351 9623  
Mrs Nancy Leong  
email: pginfo@fhs.usyd.edu.au  
web site: www.fhs.usyd.edu.au/

### FACULTY OF LAW

Level 12, 173-175 Phillip St, Sydney NSW 2000 (C13)  
Fax: 9351 0200

Web site: www.law.usyd.edu.au

#### Postgraduate & Continuing Legal Education Team

Ms Sue Ng 9351 0265  
Fax: 9351 0347  
E-mail: suen@law.usyd.edu.au

#### Associate Dean (Coursework)

Dr Roger Magnusson 9351 0211  
E-mail: rogerm@law.usyd.edu.au

### FACULTY OF MEDICINE

Edward Ford Building, A27

#### Manager, Postgraduate (Administration)

Ms Helen Triantafyllou 9351 5760  
Fax: 9351 8529  
E-mail: pginfo@med.usyd.edu.au  
Web site: www.medfac.usyd.edu.au/

### FACULTY OF NURSING

88 Mallet Street, Camperdown (M02)

Postgraduate Administration

Ms Susanne Norton 9351 0504

Fax: 9351 0508

E-mail: susannen@nursing.usyd.edu.au

Web site: www.usyd.edu.au/nursing/

### FACULTY OF PHARMACY

Pharmacy Building, A15

Postgraduate Coordinator

Dr Andrew McLachlan 9351 2320

Associate Dean (Postgraduate)

E-mail: andrewm@pharm.usyd.edu.au

Manager, Postgraduate (Administration)

Ms Helen Triantafyllou 9351 5760

Edward Ford Building, A27

Fax: 9351 8529

E-mail: pginfo@med.usyd.edu.au

Web site: www.medfac.usyd.edu.au

### FACULTY OF RURAL MANAGEMENT

Leeds Parade, Orange, NSW 2800

#### Associate Dean (Teaching and Learning)

Mr Chris Morgan (02) 6360 5516

E-mail: Chris.Morgan@orange.usyd.edu.au

Web site: www.orange.usyd.edu.au/

**FACULTY OF SCIENCE**

Room 207, 2nd Floor  
Carslaw Building F07 9351 3021  
Fax: 9351 4846  
Postgraduate Administration  
Ms Michele Zaronias 9351 3587  
E-mail: [facsci@scifac.usyd.edu.au](mailto:facsci@scifac.usyd.edu.au)  
Web site: [www.scifac.usyd.edu.au/future/pg/index.html](http://www.scifac.usyd.edu.au/future/pg/index.html)

**SYDNEY COLLEGE OF THE ARTS**

Balmain Road, cnr Cecily St, Rozelle  
Locked Bag 15 Rozelle, NSW 2039

**Postgraduate Coordinator**

Student Administration Office  
N01 9351 1104  
E-mail: [enquiries@sca.usyd.edu.au](mailto:enquiries@sca.usyd.edu.au)  
Web site: [www.usyd.edu.au/sca/](http://www.usyd.edu.au/sca/)

**SYDNEY CONSERVATORIUM OF MUSIC**

Macquarie Street, Sydney  
Building C41  
The University of Sydney

**Manager, Student Administration**

E-mail: [info@greenway.usyd.edu.au](mailto:info@greenway.usyd.edu.au) 9351 1241/1242  
Web site: [www.usyd.edu.au/su/conmusic/pgrad.html](http://www.usyd.edu.au/su/conmusic/pgrad.html)

**FACULTY OF VETERINARY SCIENCE**

J D Stewart Building B01 9351 6933/9351 3550

**Sub-Dean, Postgraduate Studies**

Professor Frank Nicholas 9351 2184  
Web site: [www.vetsci.usyd.edu.au](http://www.vetsci.usyd.edu.au)

**BOARD OF STUDIES IN MUSIC**

Ground Floor, Western Tower  
Quadrangle A14 9351 6323  
A/Professor Allan Marett, J09 9351 3428

# Appendix 2

## Graduate Studies Committee

The terms of reference for the Graduate Studies Committee are to:

- (a) advise the Academic Board on policies relating to all graduate coursework and research studies in the University, including:
  - (i) attraction and recruitment of students to graduate programs;
  - (ii) admissions;
  - (iii) equity and access initiatives;
  - (iv) assessment and examinations;
  - (v) provision of facilities and services;
  - (vi) approval of new graduate programs; and
  - (vii) approval of changes to graduate degree programs;
- (b) determine matters relating to the award of the degree of Doctor of Philosophy;
- (c) advise on the pattern of graduate programs, student outcomes and any measures necessary for their improvement;
- (d) advise the Academic Board on the criteria for determining selection for postgraduate awards and to determine the successful applicants;
- (e) establish effective supervisory practices for postgraduate research students;
- (f) advise on the provision of appropriate facilities for research students;
- (g) consider and report on any matter referred to it by the Academic Board or the Vice-Chancellor; and
- (h) obtain information or reports from any faculty, department, school or other academic unit relating to graduate studies.

The members of the Graduate Studies Committee are:

- (a) the Chair or a Deputy Chair of Academic Board who shall act as chair of that Committee;
- (b) the Pro-Vice-Chancellor (Research);
- (c) the Pro-Vice-Chancellor (Teaching);
- (d) the chair (or the chair's nominee) of the Board or Committee of Postgraduate Studies in each faculty;
- (e) a member of the Teaching and Learning Committee;
- (f) at least one member of the Postgraduate Awards Sub-Committee, other than the Chair;
- (g) the Chair of the Research Committee; and
- (h) two postgraduate students:
  - (i) one of whom is to be nominated by and from the postgraduate student members of the Academic Forum; and
  - (ii) the other of whom is to be a nominee of the Sydney University Postgraduate Representative Association.

**Members** of the Graduate Studies Committee as at March 2003

- (a) the Chair or a Deputy Chair of Academic Board who shall act as chair of that Committee  
Associate Professor Russell Ross
- (b) the Pro-Vice-Chancellor (Research)(Acting)  
Professor Les Field
- (c) the Pro-Vice-Chancellor (Teaching and Learning)  
Professor Paul Ramsden
- (d) the chair (or the chair's nominee) of the Board or Committee of Postgraduate Studies in each Faculty

Agriculture, Food and  
Natural Resources

Dr Balwant Singh

Architecture

Associate Professor Warren Julian

Arts

Dr Margaret Rogerson

Dentistry

\*\*

Economics and Business	Professor David Hensher
Education and Social Work	Associate Professor Len Unsworth
Engineering	Professor LiangChi Zhang
Health Sciences	Associate Professor Dianna Kenny
Law	Professor Regina Graycar
Medicine	**
Nursing	Dr Sue Forsyth
Pharmacy	**
Rural Management	Associate Professor Geoff Gurr
Science	Associate Professor Tony Masters
Veterinary Science	Professor Frank Nicholas
Australian Graduate School of Management	Professor Chris Adam
Sydney College of the Arts	Dr Ann Elias
Sydney Conservatorium of Music	Associate Professor Peter McCallum
**Joint Board of Postgraduate Studies in Dentistry, Medicine and Pharmacy	Associate Professor John Christodoulou

- (e) a member of the Teaching and Learning Committee  
Associate Professor Mike Prosser
- (f) at least one member of the Postgraduate Awards Sub-Committee, other than the Chair  
*Casual vacancy*
- (g) the Chair of the Research Committee  
Professor John Carter
- (h) two postgraduate students:
  - (i) one of whom is to be nominated by and from the postgraduate student members of the Academic Forum:  
*Casual vacancy*
  - (ii) the other of whom is to be a nominee of the Sydney University Postgraduate Representative Association:  
Mr Matt Hall

The Committee Secretary is Miss Keri Neveldsen.

# Appendix 3

Extracted from the University of Sydney Calendar 2003

## University of Sydney (Coursework) Rule 2000 (as amended)

### PRELIMINARY

#### 1. Commencement and purpose of Rule

- (1) This Rule is made by the Senate pursuant to section 37(1) of the University of Sydney Act 1989 for the purposes of the University of Sydney By-law 1999.
- (2) This Rule comes into force on 1 January 2001.
- (3) This Rule governs all coursework award courses in the University. It is to be read in conjunction with the University of Sydney (Amendment Act) Rule 1999 and the Resolutions of the Senate and the faculty resolutions relating to each award course in that faculty.

### RULES RELATING TO COURSEWORK AWARD COURSES

#### 1. Definitions

In this Rule:

**award course** means a formally approved program of study which can lead to an academic award granted by the University.

**coursework** means 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, supervised research, other forms of instruction and learning normally will be dominant. All undergraduate award courses are coursework award courses;

**credit** means advanced standing based on previous attainment in another award course at the University or at another institution. The advanced standing is expressed as credit points granted towards the award course. Credit may be granted as specific credit or non-specific 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** mean a measure of value indicating the contribution each unit of study provides towards meeting award course completion requirements stated as a total credit point value;

**dean** means the dean of a faculty or the director or principal of an academic college or the chairperson of a board of studies;

**degree** means a degree at the level of bachelor or master for the purpose of this Rule;

**embedded courses/programs** means award courses in the graduate certificate / graduate diploma / master's degree by coursework sequence which allow unit of study credit points to count in more than one of the awards;

**faculty** means a faculty, college board, a board of studies or the Australian Graduate School of Management Limited as established in each case by its constitution and in these Rules refers to the faculty or faculties responsible for the award course concerned;

**major** means a defined program of study, generally comprising specified units of study from later stages of the award course;

**minor** means a defined program of study, generally comprising units of study from later stages of the award course and requiring a smaller number of credit points than a major;

**postgraduate award course** means an award course leading to the award of a graduate certificate, graduate diploma, degree of master or a doctorate. Normally, a postgraduate award course requires the prior completion of a relevant undergraduate degree or diploma.

**research award course** means an award course in which students undertake and report systematic, creative work in order to increase the stock of knowledge. The research award courses offered by the University are: higher doctorate, Doctor of Philosophy, doctorates by research and advanced coursework, and certain degrees of master designated as research degrees. The systematic, creative component of a research award course must comprise at least 66% of the overall award course requirements;

**stream** means a defined program of study within an award course, which requires the completion of a program of study specified by the award course rules for the particular stream, in addition to the core program specified by award course rules for the award course.

**student** means a person enrolled as a candidate for a course;

**testamur** means a certificate of award provided to a graduate, usually at a graduation ceremony;

**transcript** or **academic transcript** means a printed statement setting out a student's academic record at the University;

**unit of study** means the smallest stand-alone component of a student's award course that is recordable on a student's transcript. Units of study have an integer credit point value, normally in the range 3-24;

**undergraduate award course** means an award course leading to the award of an associate diploma, diploma, advanced diploma or degree of bachelor.

#### 2. Authorities and responsibilities

- (1) Authorities and responsibilities for the functions set out in this Rule are also defined in the document *Academic Delegations of Authority*. The latter document sets out the mechanisms by which a person who has delegated authority may appoint an agent to perform a particular function.
- (2) The procedures for consideration of, and deadlines for submission of, proposals for new and amended award courses will be determined by the Academic Board.

#### Division 1: Award course requirements, credit points and assessment

##### 3. Award course requirements

- (1) To qualify for the award of a degree, diploma or certificate, a student must:
  - (a) complete the award course requirements specified by the Senate for the award of the degree, diploma or certificate concerned;
  - (b) complete any other award course requirements specified by the Academic Board on the recommendation of the faculty and published in the faculty resolutions relating to the award course;
  - (c) complete any other award course requirements specified by the faculty in accordance with its delegated authority and published in the faculty resolutions relating to the award course; and
  - (d) satisfy the requirements of all other relevant by-laws, rules and resolutions of the University.

#### 4. Units of study and credit points

- (1) (a) A unit of study comprises the forms of teaching and learning approved by a faculty. Where the unit of study is being provided specifically for an award course which is the responsibility of another faculty, that faculty must also provide approval.
- (b) Any faculty considering the inclusion of a unit of study in the tables of units available for an award course for which it is responsible may review the forms of teaching and learning of that unit, may consult with the approving faculty about aspects of that unit and may specify additional conditions with respect to inclusion of that unit of study.
- (2) A student completes a unit of study if the student:
  - (a) participates in the learning experiences provided for the unit of study;
  - (b) meets the standards required by the University for academic honesty;
  - (c) meets all examination, assessment and attendance requirements for the unit of study; and
  - (d) passes the required assessments for the unit of study.
- (3) Each unit of study is assigned a specified number of credit points by the faculty responsible for the unit of study.
- (4) The total number of credit points required for completion of an award course will be as specified in the Senate resolutions relating to the award course.
- (5) The total number of credit points required for completion of award courses in an approved combined award course will be specified in the Senate or faculty resolutions relating to the award course.
- (6) A student may, under special circumstances, and in accordance with faculty resolutions, be permitted by the relevant dean to undertake a unit or units of study other than those specified in the faculty resolutions relating to the award course and have that unit or those units of study counted towards fulfilling the requirements of the award course in which the student is enrolled.

#### 5. Unit of study assessment

- (1) A student who completes a unit of study will normally be awarded grades of high distinction, distinction, credit or pass, in accordance with policies established by the Academic Board. The grades high distinction, distinction and credit indicate work of a standard higher than that required for a pass.
- (2) A student who completes a unit of study for which only a pass/fail result is available will be recorded as having satisfied requirements.
- (3) In determining the results of a student in any unit of study, the whole of the student's work in the unit of study may be taken into account.
- (4) Examination and assessment in the University are conducted in accordance with the policies and directions of the Academic Board.

#### 6. Attendance

- (1) A faculty has authority to specify the attendance requirements for courses or units of study in that faculty. A faculty must take into account any University policies concerning modes of attendance, equity and disabled access.
- (2) A faculty has authority to specify the circumstances under which a student who does not satisfy attendance requirements may be deemed not to have completed a unit of study or an award course.

#### Division 2: Enrolment

##### 7. Enrolment restrictions

- (1) A student who has completed a unit of study towards the requirements of an award course may not re-enrol in that unit of study, except as permitted by faculty resolution or with the written permission of the dean. A student permitted to re-enrol may receive a higher or lower grade, but not additional credit points.
- (2) Except as provided in sub-section (1), a student may not enrol in any unit of study which overlaps substantially in content with a unit that has already been completed or for which credit or exemption has been granted towards the award course requirements.
- (3) A student may not enrol in units of study additional to award course requirements without first obtaining permission from the relevant dean.
- (4) Except as prescribed in faculty resolutions or with the permission of the relevant dean:
  - (a) a student enrolled in an undergraduate course may not enrol in units of study with a total value of more than 32 credit points in any one semester, or 16 credit points in the summer session; and
  - (b) a student enrolled in a postgraduate award course may not enrol in units of study with a total value of more than 24 credit points in any one semester, or 12 credit points in the summer session.

#### Division 3: Credit, cross-institutional study and their upper limits

##### 8. Credit for previous studies

- (1) Students may be granted credit on the basis of previous studies.
- (2) Notwithstanding any credit granted on the basis of work completed or prior learning in another award course at the University of Sydney or in another institution, in order to qualify for an award a student must:
  - (a) for undergraduate award courses, complete a minimum of the equivalent of two full-time semesters of the award course at the University; and
  - (b) for postgraduate award courses, complete at least fifty percent of the requirements prescribed for the award course at the University.

These requirements may be varied where the work was completed as part of an embedded program at the University or as part of an award course approved by the University in an approved conjoint venture with another institution.

- (3) The credit granted on the basis of work completed at an institution other than a university normally should not exceed one third of the overall award course requirements.
- (4) A faculty has authority to establish embedded academic sequences in closely related graduate certificate, graduate diploma and master's degree award courses. In such embedded sequences, a student may be granted credit for all or some of the units of study completed in one award of the sequence towards any other award in the sequence, irrespective of whether or not the award has been conferred.
- (5) In an award course offered as part of an approved conjoint venture the provisions for the granting of credit are prescribed in the Resolutions of the Senate and the faculty resolutions relating to that award course.

##### 9. Cross-institutional study

- (1) The relevant dean may permit a student to complete a unit or units of study at another university or institution and have that unit or those units of study credited to the student's award course.

- (2) The relevant dean has authority to determine any conditions applying to cross-institutional study.

#### Division 4: Progression

##### 10. Repeating a unit of study

- (1) A student who repeats a unit of study shall, unless granted exemption by the relevant dean:
- participate in the learning experiences provided for the unit of study; and
  - meet all examination, assessment and attendance requirements for the unit of study.
- (2) A student who presents for re-assessment in any unit of study is not eligible for any prize or scholarship awarded in connection with that unit of study without the permission of the relevant dean.

##### 11. Time limits

A student must complete all the requirements for an award course within ten calendar years or any lesser period if specified by Resolution of the Senate or the faculty.

#### Division 5: Discontinuation of enrolment and suspension of candidature

##### 12. Discontinuation of enrolment

- (1) A student who wishes to discontinue enrolment in an award course or a unit of study must apply to the relevant dean and will be presumed to have discontinued enrolment from the date of that application, unless evidence is produced showing:
- that the discontinuation occurred at an earlier date; and
  - that there was good reason why the application could not be made at the earlier time.
- (2) A student who discontinues enrolment during the first year of enrolment in an award course may not re-enrol in that award course unless:
- the relevant dean has granted prior permission to re-enrol; or
  - the student is reselected for admission to candidature for that course.
- (3) No student may discontinue enrolment in an award course or unit of study after the end of classes in that award course or unit of study, unless he or she produces evidence that:
- the discontinuation occurred at an earlier date; and
  - there was good reason why the application could not be made at the earlier time.
- (4) A discontinuation of enrolment may be recorded as *Withdrawn (W)* or *Discontinued Not To Count As Failure (DNF)* where that discontinuation occurs within the time-frames specified by the University and published by the faculty, or where the student meets other conditions as specified by the relevant faculty.

##### 13. Suspension of candidature

- (1) A student must be enrolled in each semester in which he or she is actively completing the requirements for the award course. A student who wishes to suspend candidature must first obtain approval from the relevant dean.
- (2) The candidature of a student who has not re-enrolled and who has not obtained approval from the dean for suspension will be deemed to have lapsed.
- (3) A student whose candidature has lapsed must apply for re-admission in accordance with procedures determined by the relevant faculty.
- (4) A student who enrolls after suspending candidature shall complete the requirements for the award course under such conditions as determined by the dean.

#### Division 6: Unsatisfactory progress and exclusion

##### 14. Satisfactory progress

A faculty has authority to determine what constitutes satisfactory progress for all students enrolled in award courses in that faculty, in accordance with the policies and directions of the Academic Board.

##### 15. Requirement to show good cause

- (1) For the purposes of this Rule, *good cause* means circumstances beyond the reasonable control of a student, which may include serious ill health or misadventure, but does not include demands of employers, pressure of employment or time devoted to non-University activities, unless these are relevant to serious ill health or misadventure. In all cases the onus is on the student to provide the University with satisfactory evidence to establish good cause. The University may take into account relevant aspects of a student's record in other courses or units of study within the University and relevant aspects of academic studies at other institutions provided that the student presents this information to the University.
- (2) The relevant dean may require a student who has not made satisfactory progress to show good cause why he or she should be allowed to re-enrol.
- (3) The dean will permit a student who has shown good cause to re-enrol.

##### 16. Exclusion for failure to show good cause

The dean may, where good cause has not been established:

- exclude the student from the relevant course; or
- permit the student to re-enrol in the relevant award course subject to restrictions on units of study, which may include, but are not restricted to:
  - completion of a unit or units of study within a specified time;
  - exclusion from a unit or units of study, provided that the dean must first consult the head of the department responsible for the unit or units of study; and
  - specification of the earliest date upon which a student may re-enrol in a unit or units of study.

##### 17. Applying for re-admission after exclusion

- (1) A student who has been excluded from an award course or from a unit or units of study may apply to the relevant dean for readmission to the award course or re-enrolment in the unit or units of study concerned after at least 4 semesters, and that dean may readmit the student to the award course or permit the student to re-enrol in the unit or units of study concerned.
- (2) With the written approval of the relevant dean, a student who has been excluded may be given credit for any work completed elsewhere in the University or in another university during a period of exclusion.

##### 18. Appeals against exclusion

- (1) In this Rule a reference to the Appeals Committee is a reference to the Senate Student Appeals Committee (Exclusions and Readmissions).
- (2) (a) (i) A student who has been excluded in accordance with this Rule may appeal to the Appeals Committee.
- (ii) A student who has applied for readmission to an award course or re-enrolment in a unit of study after a period of exclusion, and who is refused readmission or re-enrolment may also apply to the Appeals Committee.

- (b) The Appeals Committee shall comprise:
- (i) 3 *ex officio* members (the Chancellor, the Deputy Chancellor and the Vice-Chancellor and Principal);
  - (ii) the Chair and Deputy Chairs of the Academic Board;
  - (iii) 2 student Fellows; and
  - (iv) up to 4 other Fellows.
- (c) The Appeals Committee may meet as one or more sub-committees providing that each sub-committee shall include at least 1 member of each of the categories of:
- (i) *ex officio* member;
  - (ii) Chair or Deputy Chair of the Academic Board;
  - (iii) student Fellow; and
  - (iv) other Fellows.
- (d) Three members shall constitute a quorum for a meeting of the Appeals Committee or a sub-committee.
- (e) The Appeals Committee and its sub-committees have authority to hear and determine all such appeals and must report its decision to the Senate annually.
- (f) The Appeals Committee or a sub-committee may uphold or disallow any appeal and, at its discretion, may determine the earliest date within a maximum of four semesters at which a student who has been excluded shall be permitted to apply to re-enrol.
- (g) No appeal shall be determined without granting the student the opportunity to appear in person before the Appeals Committee or sub-committee considering the appeal. A student so appearing may be accompanied by a friend or adviser.
- (h) The Appeals Committee or sub-committee may hear the relevant dean but that dean may only be present at those stages at which the student is permitted to be present. Similarly, the dean is entitled to be present when the Committee or sub-committee hears the student.
- (i) If, due notice having been given, a student fails to attend a meeting of the Appeals Committee or sub-committee scheduled to consider that student's appeal, the Appeals Committee or sub-committee, at its discretion, may defer consideration of the appeal or may proceed to determine the appeal.
- (j) A student who has been excluded in accordance with these resolutions and has lodged a timely appeal against that exclusion may re-enrol pending determination of that appeal if it has not been determined by the commencement of classes in the next appropriate semester.

#### Division 7: Exceptional circumstances

##### 19. Variation of award course requirements in exceptional circumstances

The relevant dean may vary any requirement for a particular student enrolled in an award course in that faculty where, in the opinion of the dean, exceptional circumstances exist.

#### Division 8: Award of degrees, diplomas and certificates

##### 20. Classes of award

- (1) Undergraduate diplomas may be awarded in five grades – pass, pass with merit, pass with distinction, pass with high distinction or honours.
- (2) Degrees of bachelor may be awarded in two grades – pass or honours.
- (3) Graduate diplomas and graduate certificates may be awarded in one grade only – pass.
- (4) Degrees of master by coursework may be awarded three grades – pass, pass with merit or honours.

##### 21. Award of the degree of bachelor with honours

- (1) The award of honours is reserved to indicate special proficiency. The basis on which a student may qualify for the award of honours in a particular award course is specified in the faculty resolutions relating to the course.
- (2) Each faculty shall publish the grading systems and criteria for the award of honours in that faculty.
- (3) Classes which may be used for the award of honours are:
  - First Class
  - Second Class/Division 1
  - Second Class/Division 2
  - Third Class.
- (4) With respect to award courses which include an additional honours year:
  - (a) a student may not graduate with the pass degree while enrolled in the honours year;
  - (b) on the recommendation of the head of the department concerned, a dean may permit a student who has been awarded the pass degree at a recognised tertiary institution to enrol in the honours year in that faculty;
  - (c) faculties may prescribe the conditions under which a student may enrol part-time in the honours year;
  - (d) a student who fails or discontinues the honours year may not re-enrol in it, except with the approval of the dean.

##### 22. University Medal

An honours bachelor's degree student with an outstanding academic record throughout the award course may be eligible for the award of a University medal, in accordance with Academic Board policy and the requirements of the faculty resolutions relating to the award course concerned.

##### 23. Award of the degree of master with honours or merit

The award of honours or pass with merit is reserved to indicate special proficiency or particular pathways to completion. The basis on which a student may qualify for the award of honours or the award with merit in a particular degree is specified in the faculty resolutions relating to that degree.

##### 24. Transcripts and testamurs

- (1) A student who has completed an award course or a unit of study at the University will receive an academic transcript upon application and payment of any charges required.
- (2) Testamurs may indicate streams or majors or both as specified in the relevant faculty resolutions.

#### Division 9: Transitional provisions

##### 25. Application of this Rule during transition

This Rule applies to all candidates for 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.

# Appendix 4

## Academic Board Resolutions: Management and Evaluation of Coursework Teaching: Code of Practice for Coursework Teaching and Learning

### 1. Introduction

- (1) This Code of Practice sets out the general responsibilities of the University, faculties, departments, and individual teachers to create a stimulating and challenging intellectual environment for all students.
- (2) The Code of Practice should be read in conjunction with the AVCC Guidelines for Effective University Teaching and for Good Practice in Fourth Year Honours Programs.
- (3) The following guidelines must be read in conjunction with University regulations for particular courses, the defined role of faculties/deans and departments/heads of departments, and Academic Board policies on teaching and learning.

### 2. Responsibilities at the University level

The University has the responsibility:

- (1) to ensure that appropriate University policies in respect of teaching, learning and assessment are developed, kept under review and are effectively promulgated;
- (2) to abide by the University's policies on occupational health and safety so that students study and work in a safe and healthy environment;
- (3) to ensure that adequate development opportunities in teaching, learning and assessment practices are available to teachers through the Institute for Teaching and Learning, and through programs developed by departments, faculties and clinical schools;
- (4) to ensure that clear policies exist with respect to the intellectual property rights of students and that students are aware of those rights;
- (5) to ensure that all students are free in all matters relevant to enrolment, assessment and membership of the University community from discrimination or harassment on the basis of race, gender, age, political or sexual preference, marital status, religion, disability or personal beliefs;
- (6) to uphold the AVCC Guidelines for Effective University Teaching;
- (7) to have students on appropriate University committees, who will be provided with the same information as all other committee members to allow effective participation;
- (8) to uphold information privacy principles relevant to personal student information in accordance with the University's policy on privacy and current legislation, including Freedom of Information;
- (9) to provide a timetabled study vacation period of at least one week before each end of semester examination period except in those faculties where this practice is inappropriate;
- (10) to ensure a quality learning environment, including appropriate and properly maintained facilities.
- (11) to ensure the provision of access to physical space and other facilities such as library facilities, learning assistance and information technology, and advice to prospective candidates of what facilities will be made available;
- (12) to ensure that mechanisms exist to ensure that candidates are accurately advised in a timely fashion of their HECS and any other fee liabilities;

- (13) to ensure that effective mechanisms exist for the approval of new award courses and the review of existing award courses;
- (14) to provide resources for handling the administrative implications of this Code of Practice.

### 3. Responsibilities at the faculty level

The faculty has the responsibility:

- (1) to ensure that literature is available for applicants concerning each of the award courses offered by the faculty which accurately describes the entry requirements, the courses outcomes, the content, the teaching methodology, what is expected of students and the assessment practices and criteria to be used;
- (2) to ensure that applicants admitted to candidature are properly qualified with respect to the minimum requirements for entry to the course concerned and with respect to the particular program of study proposed;
- (3) to ensure the appropriate timing of compulsory units and the availability of sufficient optional units so that a student passing all units at the first attempt may complete the course of study within the specified minimum time;
- (4) to contribute to course, curriculum and academic staff development through conducting regular evaluation processes, including student evaluations. Reports on the results of student evaluations will be made available to students participating in curriculum development activities;
- (5) where appropriate, to have students on faculty committees, and to provide student members with the same information as other committee members to enable effective participation;
- (6) to adhere to the policies and procedures established by the Academic Board for creating, varying or deleting courses and units of study;
- (7) regularly review assessment practices, including compliance with the Academic Board's Resolutions on Assessment and Examination.
- (8) to ensure that any academic adviser or supervisor appointed is properly qualified;
- (9) to ensure that support is provided for co-ordinators of award courses, where appointed.

### 4. Responsibilities at the departmental level

These responsibilities are those of the head of department. They may however in many instances be delegated or given as agencies to a co-ordinator or be exercised through a departmental committee. Such delegations and agencies must be established in accordance with the rules expressed in the University's Delegations of Authorities documents.

Some faculties have no internal departmental structure. In such faculties, the responsibilities of departments and heads of departments are undertaken by faculties and deans, respectively.

The Department has the responsibility:

- (1) to encourage staff to participate in workshops, seminars and fora relating to teaching (including those that relate to teaching cross culturally and acquiring skills in non-discriminatory teaching practice), learning and assessment organized by departments, faculties, clinical schools and the Institute for Teaching and Learning;
- (2) to provide no later than the first class for a unit accurate written information concerning all relevant aspects of chosen units and to further provide written advice of the aims and objectives of each unit, attendance and class requirements, the methods of assessment to be used and the weighting of that assessment;
- (3) to ensure that all relevant requirements of the Academic Board's resolutions regarding Assessment and Examination are satisfied;

- (4) to grant special consideration or make special arrangements where performance is adversely affected by documented illness, disability or other serious cause, consistently with Academic Board and faculty policy;
- (5) to provide access by appointment to academic staff outside timetabled class time;
- (6) where appropriate, to have students on departmental committees, and to provide student members with the same information as other committee members to enable effective participation;
- (7) to ensure that units of study are taught using relevant teaching and learning strategies, including, where appropriate, contemporary information and learning technology tools;
- (8) to determine the facilities likely to be required for any particular candidature or group of candidates and to ascertain whether they will be available and whether any projects proposed are appropriate to the course;
- (9) to ensure that applicants are correctly advised as to the availability of facilities, including access to physical space and other resources, and the availability of options within courses in a particular year, and are correctly advised as to the financial support that is likely to be available to them;
- (10) to ensure that adequate, appropriate supervision or advice is made available for any particular candidate or group of candidates, 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;
- (11) to ensure that the candidate receives proper supervision or advice throughout the candidature and to ensure that there are mechanisms to allow candidates to receive academic feedback and advice at hours appropriate to the offering of formal classes;
- (12) to ensure that the respective roles of academic advisors, supervisors and course co-ordinators are properly defined and understood and that they have access to information defining their responsibilities;
- (13) to ensure that where a course co-ordinator 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;
- (14) to ensure that necessary approvals are obtained from the faculty in respect of conditions of candidature, that coursework scholarship reporting requirements are met and that candidates receive all due entitlements;
- (15) to ensure that teachers within coursework award courses are encouraged to participate fully in any teaching development programs and activities and that any special needs of teachers are addressed;
- (16) to ensure that proposals for new award courses are prepared in timely fashion in accordance with the University's policies and that the department co-operates with the Faculty in the review of existing courses.

## **5. Responsibilities of the members of academic staff**

In this section of the Code of Practice there are some responsibilities that apply to all academic staff concerned with teaching in a coursework award program. Some or all of these responsibilities may be carried out by an academic co-ordinator. In addition, there are some responsibilities that are specific to the role of an academic supervisor of a major research project undertaken as a part of a coursework award program. It is important that all parties are clear as to where these responsibilities lie.

### ***Responsibilities of individual academics***

- (1) Staff teaching in a coursework program have a responsibility to demonstrate a commitment to effective university teaching, including attention to the special needs of graduate coursework students and undergraduate students as appropriate.
- (2) Staff teaching in a coursework program have a responsibility to make appropriate time available for giving advice to individual students.
- (3) Staff teaching in a coursework program have 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.

### ***Responsibilities of supervisors***

Academic staff concerned with teaching in a graduate coursework or an undergraduate honours program may have a number of roles including that of supervisor of a dissertation. In this context the Supervisor is the member of the academic staff appointed to supervise a dissertation, treatise or long essay component of a coursework award program. For many programs there is no such component. The term dissertation is used throughout but should be taken to refer to dissertations, essay, or treatise as appropriate.

- (4) The supervisor has a responsibility before undertaking the supervision of the dissertation element of any coursework award candidature 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 and resources available.
- (5) The supervisor has a responsibility:
  - (a) to ensure that the candidate is aware of the standards expected for the award course 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; and
  - (b) for reaching agreement with the candidate on the contact that will be necessary between them. 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 as expeditiously as possible
- (6) The supervisor has a responsibility to ensure that facilities identified as necessary do eventuate, to encourage the candidate to extend his or her contacts within the department and elsewhere.
- (7) The supervisor has a responsibility to provide feedback on progress to the candidate and to ensure that the candidate is made aware of inadequate progress or of standards of work below that generally expected and in such instances to identify the problems and to suggest ways of addressing them.
- (8) The supervisor has a responsibility to ensure that he or she gives appropriate and timely advice on requirements regarding content, style, presentation and production of the dissertation.
- (9) The supervisor has a responsibility, with the candidate, to monitor progress made within the context of the overall research plan and to ensure that sufficient time is left for writing up the dissertation and that, if necessary, the scope of the project is reduced to meet the time available.

- (10) The supervisor has a responsibility:
- (a) to identify the various course and other administrative requirements and to advise the candidate as necessary; and
  - (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 University's Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct. As far as possible, supervisors should ensure that the work submitted by candidates is their own and that data are valid).
- (11) The supervisor has a responsibility to give thought to the suitability and availability of examiners in good time before the dissertation is submitted and to advise the head of department of the necessity to take action.

- (10) The candidate is solely responsible for the content, style and presentation, and for the production, of any dissertation that is finally presented and has a responsibility to make any emendations required after examination in a timely fashion.

### ***Responsibilities of course co-ordinators and unit of study co-ordinators***

Academic Staff concerned with teaching in a coursework program may have a number of roles including a co-ordination role for a unit of study, a larger component of an award program, including overall co-ordination of an entire award program. In this context the Co-ordinator is the member of the academic staff delegated to have responsibility for the co-ordination of a specified component of a coursework award program. These responsibilities are those of the head of department which have been delegated or given as agencies to a co-ordinator. Such delegations and agencies must have been established in accordance with the rules expressed in the University's Delegations of Authorities documents. The co-ordinators' responsibilities are those listed above in section 4. **Responsibilities at the departmental level**, as are relevant to the level of co-ordination.

## **6. Responsibilities of students**

Each student has a responsibility:

- (1) to be familiar with all legislative and other requirements for the course as set out in the faculty handbook, unit of study outline, or any other published departmental, faculty and University guidelines;
- (2) to ensure that all administrative requirements of the faculty and University, such as re-enrolling each year, are met;
- (3) to satisfy attendance and assessment requirements that are prescribed by the University, faculty and department;
- (4) to adhere to the relevant by-laws and rules relating to ethical behaviour and good conduct that are prescribed by the University and relevant professional bodies;
- (5) to devote sufficient appropriate time to the candidature;
- (6) where a supervisor has been appointed in respect of a dissertation or similar component of the award course, to establish with his or her supervisor agreed methods of working and then to fulfil his or her side of any agreement including attending as agreed for consultation and providing evidence of the progress being made;
- (7) to plan and execute any dissertation project within the time limits defined for the award course in question;
- (8) to adopt at all times safe working practices relevant to the field of study and to take note of the University's Occupational Health and Safety Policy;
- (9) to draw to the attention of the instructor, supervisor or course co-ordinator any difficulties being experienced, to be aware of the mechanisms that exist for helping with such difficulties and to take advantage of the mechanisms if necessary;

# Appendix 5

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

### 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) giving appropriate recognition to those who have made an intellectual contribution to the contents of a publication;
- (2) obtaining the permission of the author before using new information, concepts or data originally obtained through access to confidential data;
- (3) conforming to University requirements for working with humans, animals, and bio hazards;
- (4) using research funds in accordance with the terms and conditions under which those funds were received;
- (5) disclosing to the University any conflict of interest (financial, personal or other) that might influence their research.

#### 2. General ethical considerations

- (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) 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).
- (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.
- (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.

- (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.
- (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

- (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.
- (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) 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 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

- (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.
- (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 in

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

- (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) 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 (ii). 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.
- (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**

- (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.
- (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.
- (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.
- (4) Research supervisors should be the primary source of guidance to research students/trainees in all matters of sound research practice.
- (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.
- (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.
- (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.
- (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**

- (1) Disclosure of any conflict or potential conflict of interest is essential for the responsible conduct of research.
- (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.
- (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

- (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) "Research Misconduct" means fabrication, falsification, plagiarism, or other 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 student/trainee or associate. It does not include honest errors or honest differences in interpretation or judgements of data.
- (3) Examples of Research Misconduct include, but are not limited to, the following:
  - (a) *Misappropriation*: A researcher or reviewer shall not intentionally or recklessly:
    - (i) 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;
    - (ii) make use of any information in breach of any duty of confidentiality associated with the review of any manuscript or grant application;
    - (iii) intentionally omit reference to the relevant published work of others for the purpose of inferring personal discovery of new information.
  - (b) *Interference*: A researcher or reviewer shall not intentionally and without authorisation take or sequester 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.
  - (c) *Misrepresentation*: A researcher or reviewer shall not with intent to deceive, or in reckless disregard for the truth:
    - (i) state or present a material or significant falsehood; or
    - (ii) 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

- (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:
  - (a) the person bringing the allegation;
  - (b) the person against whom an allegation is made;
  - (c) research students/trainees and staff working with the person concerned;
  - (d) journals in which allegedly fraudulent papers have been or are about to be published;
  - (e) funding bodies that have contributed to the research; and
  - (f) in some cases the public – for example, if a drug is involved.
- (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

- (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.
  - (2) (a) Where the allegation originates from within the University, the matter is to be referred to the Pro-Vice-Chancellor (Research) (PVCr) 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.*
    - (b) A reference to the PVCr in this document includes any nominee appointed by the Vice-Chancellor to deal with allegations of Research Misconduct from outside the University.
- (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) Designated Person to Receive Internal Complaints  
Persons intending to make an allegation should consider having a confidential meeting with the PVCr to determine if lodging a formal allegation is appropriate. It may be that there are other ways of dealing with the perceived difficulty.
- (5) Lodging a Complaint  
Allegations are to be made, preferably in writing, to the PVCr in the first instance. The PVCr 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

- (1) The purpose of the initial investigation is to determine how to proceed with the allegation.
- (2) To the maximum extent possible, all affected persons will be treated with confidentiality. If necessary the PVCRC will take appropriate interim administrative action to protect funds provided by external funding bodies.
- (3) If the allegation is against a member of the Academic Staff, the PVCRC must follow the procedures set out in the policy "Misconduct Procedures: Academic Staff".
- (4) If the allegations is against a member of the General Staff, the PVCRC must follow the procedures set out in the policy "Misconduct Procedures: General Staff".
- (5) If after consideration (and where necessary, informal investigation) of an allegation against a student the PVCRC 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 PVCRC 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 PVCRC deems appropriate. Consideration or initial investigation of the complaint may include interviewing the student.
- (6) The initial inquiry must be conducted expeditiously and where the PVCRC 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 completion of the Initial Investigation

- (1) Action on completion of the initial investigation into allegations against a staff member shall proceed in accordance with the relevant policy.
- (2) Where the PVCRC has determined that the allegation against a student warrants further investigation then the matter must be referred to the Registrar.
- (3) The Vice-Chancellor (on advice from the PVCRC) 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

- (1) An investigator, appointed to conduct further investigations into an allegation, 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.
- (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.
- (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

- (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.
  - (a) 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:
    - (i) if there is an immediate health hazard involved;
    - (ii) if there is a need to protect current or potential US Federal funds or equipment or to protect individuals affected by the inquiry;
    - (iii) 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;
    - (iv) if there is the likelihood that the matter will be reported publicly;
    - (v) if there is a reasonable indication that a criminal violation has occurred, in which case notification will occur within 24 hours;
    - (vi) 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.

- (b) 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.
- (c) 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.
- (d) 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

- (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.
- (2) Relevant publishers and sponsoring agencies shall be notified.
- (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**

- (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.
- (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 6

Extracted from the University of Sydney Calendar 2003

## University of Sydney (Intellectual Property) Rule 2002

### Division 1: Dictionary

#### 1. Definitions

In this Part:

**Business Liaison Office** means the administrative unit of the University of Sydney that has that name, or any replacement of it;

**commercial benefit** means any benefit that the University receives (whether income, in-kind or otherwise) from the development of intellectual property;

**computer program** has the meaning ascribed to it by s10 of the *Copyright Act* (1968 (Cth));

**costs** mean any amount (including, without limitation, any Australian or foreign taxes, charges or other imposts, or any legal costs) the University incurs to protect or develop intellectual property;

**course** means any program of study, in whole or part, conducted by or on behalf of the University to any student;

**create** means to produce, invent, design, enhance, generate, discover, make, originate or otherwise bring into existence (whether alone or with another person) and **creation** has a corresponding meaning;

**develop** (and, by extension, **development**) means, in relation to intellectual property, to make the most of it by any means (whether alone or with another person) for commercial or non-commercial purposes including, without limitation, to apply, publish, exhibit, transmit, enhance, use, assign, license, sub-license, franchise, adapt or modify intellectual property;

**Department** means an academic or an administrative unit of the University and includes, without limitation, a centre or an institute of the University;

**Head of Department** means a person who is designated as head of a Department;

**intellectual property** includes rights (including, without limitation, rights of registration or application for registration) relating to:

- (a) literary (including computer programs), artistic, musical and scientific works;
- (b) multimedia subject matter;
- (c) performances of performing artists, phonograms and broadcasts;
- (d) inventions in all fields of human endeavour;
- (e) scientific discoveries;
- (f) industrial designs;
- (g) trade secrets and confidential information;
- (h) trademarks, service marks and commercial names and designations;
- (i) plant varieties; and
- (j) circuit layouts;

but does not include any moral right.

**moral right** has the meaning ascribed to that term in the *Copyright Act* 1968 [as amended by the *Copyright Amendment (Moral Rights) Act* 2000] and recognises three types of moral rights:

- (a) an author's right to be identified as the author of a work – known as the right of attribution of authorship;

- (b) 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
- (c) an author's right to object to derogatory treatment of his or her work that prejudicially affects his honour or reputation – known as the right of integrity of authorship of a work;

**originator** means a staff member, student or visitor, who creates intellectual property that is subject to this Rule regardless of whether he or she creates the relevant intellectual property alone or jointly with another person;

**protect** means any thing done or that is necessary to do to protect a claim in connection with intellectual property and includes, without limitation, registration anywhere in the world or enforcement or assertion of that intellectual property in any legal proceedings;

**reported intellectual property** means any intellectual property reported by a staff member under Rule 12 or by a student under Rule 16;

**staff member** means a person who is a member of the University's academic or non-academic staff (whether full-time, part-time or casual) at the time he or she creates any intellectual property;

**student** means a person who is enrolled as a student of the University at the time he or she creates any intellectual property;

**teaching material** means any thing created in any medium by a staff member in pursuance of the terms of his or her employment with the University (but regardless of whether this occurs under a specific direction to do so) as an aid or a tool for instruction in a course;

**third party agreement** means an agreement between the University and another person (other than a staff member or a student) that regulates intellectual property and includes, without limitation, agreements with research funding bodies;

**third party activity** means any activity in which the University engages or otherwise participates and which is the subject of a third party agreement;

**visitor** means a person who is not a staff member or student of the University (but who may be a staff member or student of another university), who:

- (a) takes part in any research, teaching or other activity that would normally be conducted by a staff member or student; or
- (b) visits a part of the University in which research or scholarship, or any related activity, is conducted,

at the time he or she creates any intellectual property;

**work** means a literary work, a dramatic work, a musical work an artistic work, cinematograph film, multimedia work or computer program.

#### 2. Interpretation

- (1) In this Rule, a reference to any law includes any amendment or replacement of it.
- (2) This Rule is to be read and interpreted in conjunction with the University's *Code of Conduct for Responsible Research*, as amended from time to time.

### Division 2: Ownership of intellectual property created by staff members

#### 3. University asserts ownership

- (1) Subject to Rule 4(1), the 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 that is (i) teaching material, (ii) computer programs; or (iii) created at the express request or direction of the University.

(2) In the absence of a third party agreement to the contrary, the ownership and the associated rights of all intellectual property generated from a research project funded by any publicly funded research agency will vest in the University.

#### 4. Exceptions to Rule 3

(1) The University does not assert copyright ownership over any work created by a staff member that is a work of a scholarly nature, including, without limitation, a journal article, conference paper, creative works or proceeding or text (“*exempt intellectual property*”) but subject to the conditions that:

- (a) the University retains a non-exclusive, royalty-free, perpetual licence to develop that exempt intellectual property anywhere in the world and in any manner the University thinks fit, subject to any obligation that the University may have relating to any moral right subsisting in that work; and
  - (b) if the University exercises its rights under Rule 4(1)(i), then the originator is entitled to a share of any commercial benefit in accordance with Rule 14.
- (2) The University grants to the author of any teaching material that is subject to Rule 3(1) a non-transferable, perpetual, royalty-free licence to use the teaching material created for the sole purpose of teaching any course. This licence does not:
- (a) include any right of sub-licence; or
  - (b) where the teaching material is a work of joint authorship as defined in section 10 of the *Copyright Act 1968* (Cth), does not confer on the author any additional rights to deal with the teaching materials except as a joint author.

#### 5. Sharing commercial benefits

- (1) Subject to Rule 5(2), staff members who create intellectual property over which the University asserts ownership under Rule 3 are entitled to a share of any commercial benefits that the University receives from developing it in accordance with Rule 14.
- (2) The sharing of commercial benefits with staff members in accordance with Rule 5(1) does not apply to any use of teaching materials as an aid or tool for instruction in a course.

### Division 3: Intellectual property created by students

#### 6. Ownership

The University does not assert any claim in respect of intellectual property created by a student, unless:

- (a) prescribed otherwise by law; or
- (b) that the student agrees otherwise (including in any form prescribed by law).

#### 7. Assignment

- (1) A student cannot be required by the University to assign his or her intellectual property:
  - (a) in order to qualify for enrolment, or to remain enrolled in a course, or to complete the requirements of a course in which he or she has enrolled, under any circumstances; or
  - (b) otherwise, including where that student is engaged in or otherwise participates in any third party activity, unless that student does so freely and with consent.

Subject to the provisions of any prior agreement between the student and the University, where a student creates intellectual property jointly with a staff member or a visitor, the University will negotiate with that student in connection with the development of that intellectual property.

(2) If a student wishes to participate in any third party activity or in any activity that has, or may in future create intellectual property that may be the subject of development (“*activity*”) then, before that student is permitted to begin that activity:

- (a) the University may, as a condition of the student participating in that activity, require the student to:
  - (i) assign his or her intellectual property; and
  - (ii) give consent with respect to any moral right subsisting in a work, to the extent that either of these relate to or affect the activity concerned;
- (b) it is the responsibility of (as the case may be):
  - (i) the person who is in charge of that activity (for example, the chief researcher); and
  - (ii) the student’s supervisor, to notify the student about all requirements for participating in that activity including, without limitation:
    - (a) any requirement to assign that student’s intellectual property or give consent in relation to any moral right he or she may have in the relevant work; and
    - (b) especially where a student is required to assign his or her intellectual property or give consent in relation to any moral right he or she may have in a work, a recommendation that the student should seek advice (which may include legal advice).

Note: Legal advice may be arranged through, as the case may be, the Students’ Representative Council or the Sydney University Postgraduate Representative Association.

- (3) If a student is required to do any thing under Rule 7(2), then that student should be given a reasonable period (“*response deadline*”) to review all documentation and seek appropriate advice (including legal advice), which in most cases should not be less than 14 days. However, the response deadline may be reduced by the University, depending on what is reasonable under the circumstances including taking into account any obligations to third parties that the University may have in respect of that activity.
- (4) If a student does not agree to do any thing required under Rule 7(2), or else does not respond to a request to do so, on or before the response deadline, then the University may decline to permit the student to participate in that activity.

#### 8. Sharing commercial benefits

- (1) Students who assign their intellectual property rights and, if required to do so, give consent in respect of any moral right under Rule 7(2) are, subject to any agreement, entitled to a share of any commercial benefits that the University receives from developing that intellectual property according to Rule 14.
- (2) If a student assigns his or her intellectual property under Rule 7(2), the University will pay any stamp duty assessable on any instrument that the University deems necessary to give effect to that assignment.

### Division 4: Ownership of intellectual property created by visitors

#### 9. Requirement of confidentiality and assignment

As a condition of any visitor:

- (a) having access to and use of any University facilities, equipment or accommodation;
- (b) having access to and use of any intellectual property of the University; or
- (c) participating in any teaching or research activities of the University (including any third party activity), (“*visitor privileges*”), the University may require that visitor to do one or more of the following things:

- (i) sign a confidentiality agreement on terms acceptable to the University;
- (ii) disclose to the Business Liaison Office, within 14 days of its creation, full details of any intellectual property created by that visitor and arising from the visitor being granted those visitor privileges;
- (iii) do all things and sign all instruments necessary to assign to the University, or another person designated by the University, any intellectual property created by that visitor arising from that visitor being granted any visitor privileges; and
- (iv) give consent in relation to any moral right he or she may have in the relevant work.

#### 10. Assumption

Unless and until the University gives a visitor notice under Rule 9:

- (a) a visitor is entitled to assume that the University:
    - (i) makes no claim in respect of any intellectual property;
    - (ii) does not require the consent of the visitor in relation to any moral right he or she may have in any work,
 that the visitor creates in respect of any research conducted by the visitor using any University facilities or intellectual property of the University.
- but**
- (b) must still observe the visitor's obligations under Rule 9(ii).

#### Division 5: Reporting and developing intellectual property

##### 11. Staff responsibilities

The *Code of Conduct for Responsible Research*, as amended from time to time, makes it clear that staff have responsibilities in relation to intellectual property protection including, where appropriate, the maintenance of research laboratory records and the prevention of premature public disclosure of research results prior to obtaining intellectual property protection.

##### 12. Reporting by staff members

- (1) Staff members who believe they have created any intellectual property for which the University asserts ownership pursuant to Rule 3 must, as soon as possible after its creation:
  - (a) report that fact to their Head of Department and to the Business Liaison Office; and
  - (b) provide full details of the intellectual property created and the names of the originators in a form prescribed by the Business Liaison Office from time to time.
- (2) Staff members who create exempt intellectual property within the meaning of Rule 4(1) must provide a copy of the thing to which that intellectual property relates to their Head of Department within 90 days of its creation or modification.
- (3) In the event that the Head of Department considers that the intellectual property reported in accordance with Rule 12(2) is intellectual property over which the University asserts ownership and is subject to Rules 3 and 12(1) then that Head of Department shall:
  - (a) notify both the staff member and the Business Liaison Office within 7 days;
  - (b) together with the staff member take such actions as required to protect the value of the intellectual property; and
  - (c) provide sufficient disclosure to the Business Liaison

Office to enable assessment of the value of the intellectual property.

- (4) If notice is given under Rule 12(1), the University has 8 weeks from the time the Business Liaison Office receives full details of intellectual property reported under Rule 12(1)(b) ("*notice period*") in which to decide whether it wishes to protect or develop that intellectual property ("*reported intellectual property*"). The notice period may be extended beyond 8 weeks with the consent of the staff member who gave notice under Rule 12(1).
- (5) Until the University makes a decision under Rule 12(4), the staff member who gives notice under Rule 12(1) must take all reasonable steps to protect the reported intellectual property. The University encourages staff members to seek advice from the Business Liaison Office on how best to do so.

##### 13. Dealing with reported intellectual property

- (1) If the University:
  - (a) makes no decision by the end of a notice period (or any extension of it); or
  - (b) decides it does not wish to protect or develop the reported intellectual property,
 then the originator is free, at his or her own cost, to protect or develop the reported intellectual property in any manner he or she chooses.
- (2) Nothing in Rule 13(1) prejudices any right of the University to:
  - (a) claim a share in any commercial benefit received; or
  - (b) recover any establishment costs or continuing costs already incurred by the University,
 because of any subsequent development of reported intellectual property, unless that right is expressly waived by the Vice-Chancellor in writing.
- (3) If the University decides that it wishes to protect or develop reported intellectual property, then the Business Liaison Office must notify:
  - (a) the staff member concerned; and
  - (b) that staff member's Head of Department.
- (4) If the University decides to protect or develop reported intellectual property in collaboration with a third party, then the originator should be given the opportunity to participate in any negotiations concerning ownership, protection or development of that reported intellectual property, but:
  - (a) negotiations will be undertaken on a case-by-case basis, according to the relevant circumstances; and
  - (b) the University shall make any decisions arising from those negotiations which shall be binding on the originator.

##### 14. Distribution of commercial benefits

- (1) All commercial benefits received by the University shall be distributed as follows, after the University first deducts any costs:
  - (a) one-third to the originator;
  - (b) one-third to the originator's Department; and
  - (c) one-third to the Vice-Chancellor's Innovative Development Fund.
- (2) If it is not practicable to distribute commercial benefits of a non-monetary kind in accordance with Rule 14(1)(b), then the University, after first consulting with the originator, may determine a mechanism for distributing commercial benefits by some other means, which may include, without limitation, the University holding commercial benefits in trust for the originator.

##### 15. Where more than one originator

If there is more than one originator of any reported intellectual property, then any commercial benefits must be distributed according to the individual contribution of each

originator to the reported intellectual property, unless those originators agree otherwise, and subject to Rule 14(2).

#### **16. Protecting and developing intellectual property created by students**

If students create any intellectual property that they wish the University to protect or develop, then the procedures specified in Rules 10, 12, 13 [except Rule 13(2)], 14 and 15 apply, except that, for the purposes of Rule 12(1), they must notify their supervisor and the Business Liaison Office.

#### **17. Application of Rules 14 and 15**

The application of Rules 14 and 15 may not be varied in individual circumstances except with the prior written approval of the Vice-Chancellor, or the Vice-Chancellor's nominee.

#### **Division 6: Dispute resolution**

##### **18. Inapplicability of Rule**

Rule 19 does not apply to disputes:

- (a) normally dealt with pursuant to the University's *Code of Conduct for Responsible Research*, as amended from time to time; or
- (b) involving third party agreements, unless all parties to those third party agreements first agree to be bound by the procedure set out in it.

##### **19. Procedure**

- (1) If an originator has any concerns about the manner in which this Rule is interpreted or applied ("**dispute**"), then that person may notify:
  - (a) any other originators; and
  - (b) the Director of the Business Liaison Office, about that dispute. Any notice given under this Rule 19 must be in writing and must specify full details of the dispute.
- (2) The Director of the Business Liaison Office must, within 14 days of receiving a notice under Rule 19(1) convene a meeting between all persons notified of a dispute in order to try and resolve that dispute.
- (3) If:
  - (a) a meeting is not convened under Rule 19(2) within the deadline specified; or
  - (b) a meeting is convened under Rule 19(2), but the dispute is not resolved within 14 days of convening it,
 then the party who gave notice under Rule 19(1) or the Director of the Business Liaison Office must notify the Pro-Vice-Chancellor (Research) to that effect, giving full details of the dispute (including any attempts to resolve it).
- (4) If the Pro-Vice-Chancellor (Research) cannot resolve a dispute referred to him or her under Rule 19(3) within 14 days of that dispute being so referred, then the Pro-Vice-Chancellor must refer that dispute to the Vice-Chancellor, giving full details of the dispute and any attempts to resolve it.
- (5) The Vice-Chancellor must consider any dispute referred to him or her under Rule 19(4) and determine

that dispute within 31 days of it being so referred. The Vice-Chancellor's determination is final and binding on all parties to the dispute.

#### **Division 7: Miscellaneous**

##### **20. Review Committee**

- (1) There shall be an Intellectual Property committee of the University comprising:
  - (a) the Vice-Chancellor or his or her nominee (who shall act as Chair);
  - (b) the Pro-Vice-Chancellor (Research);
  - (c) the Chair of the Research Committee of the Academic Board;
  - (d) one academic staff member from, and nominated by the Pro-Vice-Chancellors of, the academic colleges of the University;
  - (e) one non-academic staff member of the University nominated by the Registrar; and
  - (f) one postgraduate student nominated by the President of the Sydney University Postgraduate Representative Association.
- (2) The role of the Committee is to monitor the operation of this Rule and, where the Committee considers it necessary, to recommend changes for approval by the Senate.
- (3) The Committee should meet at least once annually, but may meet more frequently if required by the Pro-Vice-Chancellor (Research) to do so.
- (4) At each meeting of the Committee, the Pro-Vice-Chancellor (Research) shall give a report to the Committee about the operation of this Rule during the preceding year.

##### **21. Savings and transitional**

- (1) This Rule applies to any intellectual property created after the date on which this Rule takes effect.
- (2) If, before the commencement of this Rule a dispute has been notified under Rule 19 but has not been resolved when this Rule commences, that dispute shall continue to be dealt with in the manner prescribed by Part 8 of the *University of Sydney (Amendment Act) Rule 1999* before its amendment.

# Appendix 7

## Semester and vacation dates, 2003-2006

Summer Session	2003	2004	2005	2006
Summer School lectures begin	Monday 6 January	Monday 5 January	Tuesday 4 January	Tuesday 3 January
Summer School ends	Friday 7 March	Friday 5 March	Friday 4 March	Friday 3 March
<b>First Semester</b>				
Lectures begin	Monday 10 March	Monday 8 March	Monday 7 March	Monday 6 March
AVCC Common Week/ non-teaching Easter period	Friday 18 April to Friday 25 April incl	Friday 9 April to Friday 16 April incl	Friday 25 March to Friday 1 April incl	Fri 14 April to Fri 14 April to
Study Vacation	Monday 16 June to Friday 20 June incl	Monday 14 June to Friday 18 June incl	Monday 13 June to Friday 17 June incl	Monday 12 June to Friday 16 June incl
Examination period (2 weeks)	Monday 23 June to Saturday 5 July incl	Monday 21 June to Saturday 3 July inc	1 Monday 20 June to Saturday 2 July incl	Monday 19 June to Saturday 1 July incl
Semester ends	Saturday 5 July	Saturday 3 July	Saturday 2 July	Saturday 1 July
AVCC Common Week/ non-teaching period	Monday 7 July to Friday 11 July incl	5 July to Friday 9 July incl	Monday 4 July to Friday 8 July incl	Monday 3 July to Friday 7 July incl
<b>Second Semester</b>				
Lectures begin	Monday 28 July	Monday 26 July	Monday 25 July	Monday 24 July
AVCC Common Week/ non-teaching period	Monday 29 Sept to Friday 3 Oct incl	Monday 27 Sept to Friday 1 Oct incl	Monday 26 Sept to Friday 30 Sept incl	Monday 25 Sept to Friday 29 Sept incl
Study Vacation	Monday 3 Nov to Friday 7 Nov incl	Monday 1 Nov to Friday 5 Nov incl	Monday 31 Oct to Friday 4 Nov incl	Monday 30 Oct to Friday 3 Nov incl
Examination period (3 weeks)*	Monday 10 Nov to Saturday 22 Nov incl	Monday 8 Nov to Saturday 20 Nov	Monday 7 Nov to Saturday 19 Nov incl	Monday 6 Nov to Saturday 18 Nov
Semester ends	Saturday 22 Nov	Saturday 20 Nov	Saturday 19 Nov	Saturday 18 Nov
Public Holidays	Australia Day: 26 Jan Good Friday: 18 April Easter Monday: 21 April Anzac Day: 25 April Queen's Birthday: 9 June ? Labour Day: 6 October ?	Australia Day: 26 Jan Good Friday: 9 April Easter Monday: 12 April Anzac Day: 25 April Queen's Birthday: 14 June? Labour Day: 4 October ?	Australia Day: 26 Jan Good Friday: 25 March Easter Monday: 28 March Anzac Day: 25 April Queen's Birthday: 13 June? Labour Day: 3 October ?	Australia Day: 26 Janu Good Friday: 14 April Easter Monday: 17 April Anzac Day: 25 April Queen's Birthday: 12 June? Labour Day: 2 October ?

While Easter and AVCC Common Week dates have been confirmed for 2003-6, some public holiday dates beyond 2003 have not yet been determined/proclaimed and estimates have been used (indicated by a "?").

# Postgraduate

## *Coursework Studies*

### *Handbook*



The University of Sydney