

2003



Postgraduate

Research Studies Handbook



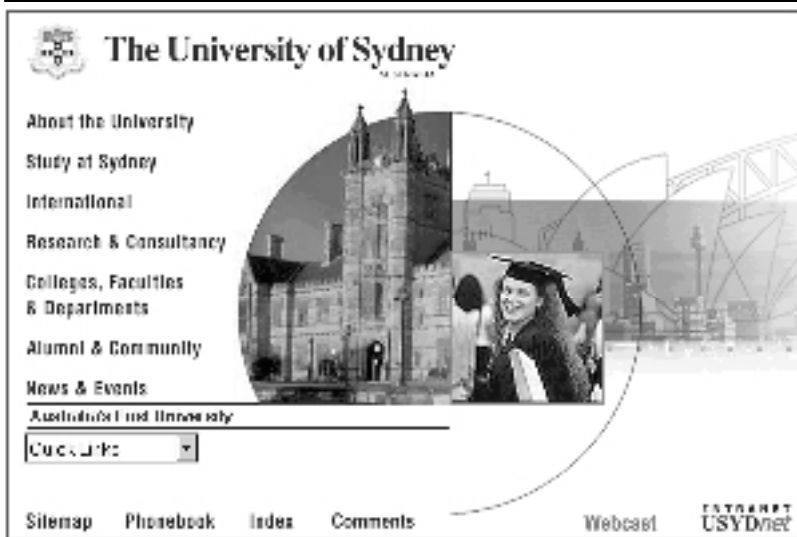
The University of Sydney

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Postgraduate Research Studies Handbook 2003



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Editorial panel

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CHAPTER 1

Introduction

The purpose of this handbook is to provide a convenient source of reference for postgraduate research students about the requirements for postgraduate research degrees 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 the formal documents which you should be familiar with, including the *Code of practice for supervision of postgraduate research students*. Other useful sources of important information are listed below.

Regulations

The 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/su/calendar/.

Faculty and college handbooks

There are often more detailed faculty resolutions relating to degrees, and these are published in faculty or college handbooks and 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 or college 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/

Most *Bulletin Board* information appears on the web at the Positions Vacant site at: www.bull.usyd.edu.au/personnel/ and the Research Office site at:

www.usyd.edu.au/su/reschols/welcome.html.

USYDnet

A wide variety of information is available on the web at: 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/ or by contacting the SUPRA Office on 02 9351 3715 or email: supra@mail.usyd.edu.au.

Degrees, diplomas, certificates and definitions

The University offers the following types of degree, diploma and certificate.

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 research 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

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.

Advisory committee — An advisory committee may be appointed in addition to a formal supervisor in some award courses.

Annual progress report — procedures, detailed in the chapter on progress, require all research based candidates to submit to their supervisor, at least annually, on a form provided, a report on their progress. The supervisor makes his or her comments on the form which must then be shown to the candidate who signs the form to indicate that this has happened. The form then goes forward to the head of department and the faculty or college.

Associate supervisor — A person additional to the supervisor of a research student who can provide the day-to-day contact with the candidate (eg, in a laboratory situation away from the main campus) or might provide particular expertise or additional experience in supervision or input of equal weight to that of the supervisor. An associate supervisor will normally be appointed from among suitably qualified persons. This includes members of the academic staff or persons on whom an academic or clinical title has been conferred. It may also include someone with the appropriate knowledge and/or qualifications who does not hold a position within the University. In such a case the dean of the faculty concerned has the power to grant the person the title of associate supervisor within a faculty. It is Academic Board policy that all candidates for research degrees should have an associate supervisor.

Australian Postgraduate Award (APA) — A Federal Government scholarship available to some postgraduate research students.

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. See also ‘deferral’ and ‘suspension of studies’.

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 — 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 — 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.

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

Departmental review — At the end of the probationary first year, research students meet with a departmental committee to consider different aspects of their candidature. During the

meeting the student should be given an opportunity to talk to the committee without the presence of their supervisor.

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.

FLEXSIS — FlexSIS 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.

HDR — This stands for “Higher Degree by Research”.

HECS — HECS stands for the Higher Education Contribution Scheme. Prior to 2001, all students, except international students, fee-paying students and research students granted a RHEA, were obliged to pay HECS. From 2001, this scheme has been replaced by the Research Training Scheme in respect of HDR students.

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.

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.

Research Training Scheme (RTS) — From 2001 new commencing higher degree by research (HDR) students will be enrolled under the Research Training Scheme administered by DEST. The RTS replaces the Research Higher Education Contribution Scheme (HECS) Exemptions Scheme and provides HECS exemptions for Commonwealth-funded HDR students.

RHEA — A RHEA is a Research HECS Exemption Award; this is a HECS exemption scholarship awarded to postgraduate research students (prior to 2001).

Satisfactory Progress — Students are expected to make satisfactory progress each semester towards the attainment of the requirements of their course. In a research program, satisfactory progress is monitored through the annual progress report procedures.

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. For research

students a semester formally ends on the HECS census date of the following semester eg. 31 March and 31 August.

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 “Satisfactory Progress”.*)

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”.*)

Supervisor — If you are enrolled for a research-based degree your faculty or college board will appoint a supervisor of your candidature. This person will be a member of the full-time academic staff of the University or a person upon whom, in recognition of their association with the clinical teaching or the research work of the University, the Senate has conferred an equivalent academic title (such as clinical professor) or such other member of the staff of the University as may be considered appropriate in a particular case by the Graduate Studies Committee on behalf of the Academic Board.

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, thesis 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.

University of Sydney Postgraduate Award (UPA) — UPAs are funded by the University and are similar to APAs (Australian Postgraduate Awards) in terms of duration and benefits.

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 a dean 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.

PhD Award Sub-Committee

The PhD Award Sub-Committee is a sub-committee of the Graduate Studies Committee. It acts on the Committee's behalf in all matters relating to examination for the degree of Doctor of Philosophy and doctorates by research and advanced coursework (such as the degrees of Doctor of Juridical Studies and Doctor of Education).

The Sub-Committee recommends policy on the examination process to the Graduate Studies Committee. As its name implies, the PhD Award Sub-Committee has the authority to approve the award of the PhD degree after consideration of examiners' reports and the head of department's/school's recommendation. Details of the circumstances in which it will do so are contained in the chapter on examination of the thesis. In general the Sub-Committee only deals with cases where there is disagreement between examiners; the others are dealt with at faculty or college level.

The Sub-Committee meets monthly. It is chaired by a senior academic and includes six other experienced members of the academic staff appointed by the Graduate Studies Committee. In straightforward cases the Chair will act on behalf of the Sub-Committee to expedite the examination process. Since the Sub-Committee is principally concerned with individual students' candidatures it does not include a student member.

Postgraduate Research Training Sub-Committee

This Sub-Committee was established in 2001. Its brief is to provide advice to the Graduate Studies Committee on general policy issues relating to research training candidatures.

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 Carslaw 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/.

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: <http://www.usyd.edu.au/stuserv/>.

Application and admission

Admission requirements

The Senate Resolutions 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.

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 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.

Master's degrees

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

A research master's degree that can be completed in one and a half years usually requires entry requirements of a bachelor's degree with 1st or 2nd class honours or equivalent. Two-year master's degrees and coursework degrees often do not require an honours 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 program in question. In any individual case the faculty concerned can prescribe additional work to be completed before or subsequent to admission.

Graduate diplomas and graduate certificates

Admission requirements for the various graduate diplomas and graduate certificates are also 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 and graduate diplomas and graduate certificates the Senate has acted on the advice of the Academic Board, the Graduate Studies Committee, the faculties, the college boards and boards of studies. 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.

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 or 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 or 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 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 thesis.

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.) The head of department is required in such circumstances in consultation with the candidate's supervisor to consider the candidate's progress during the period of probation and make a recommendation for continuation or otherwise to the faculty.

The Graduate Studies Committee has resolved that confirmation of candidature at the end of the probationary period should include a statement about the written English expression of the candidate, appropriate to the field of study, to ensure identification of problems and instigation of remedial actions for those who are likely to have difficulty with English expression in the writing of a thesis.

Where progress is not considered satisfactory the head of department 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. Admission initially as a probationary candidate is now usual practice for the PhD.

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 a preliminary program does not constitute provisional acceptance to a

particular degree program. A further application to that degree program must be made on completion of the preliminary program. In the Faculty of Science where that preliminary work is effectively the same as the fourth year honours year a candidate may enrol in the Graduate Diploma in Science and so achieve a qualification in respect of this preliminary work.

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/college office (and, in the case of international students, at the International Office) in good time.

An important step in the application procedure is to discuss your proposed course of advanced study and research with the postgraduate co-ordinator (see Appendix 1 for contact details) and also potential supervisors. These discussions will assist you to write the research proposal that is submitted with the application form. The postgraduate co-ordinator needs to be satisfied that you have the training and ability to undertake the course and that appropriate resources and supervision are in place to support your candidature. You should have satisfied yourself about the facilities for research likely to be available, about what supervision arrangements are proposed and whether your proposed course of advanced study and research is likely to be acceptable.

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 (and the Scholarships Office if that section has been involved). It may be that it is then possible to offer a place to another applicant. For reasons of pressure on storage space unsuccessful applications and applications where an offer has been declined are not retained indefinitely and a full, fresh application should normally 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.

Scholarship application

Any scholarship application is a separate process which should be accompanied by a concurrent application for admission to candidature for the degree in question. For information about scholarships see the entry in Chapter 18 under 'Research Office'.

IPRS (International Postgraduate Research Scholarship)

applications are available from the International Office from May to August each year.

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 or college 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.

CHAPTER 5

Enrolment, HECS and fees

Enrolment

Enrolment

You will be provided with detailed information about the particular enrolment dates and times and about the level of fees and HECS for which you may be liable either in your offer of admission letter or subsequently. This chapter seeks to explain some of the procedures involved.

New postgraduate research students must complete enrolment as soon as possible before the deadline imposed by the faculty or the offer will lapse. In exceptional circumstances and on the recommendation of the dean a new postgraduate research student may enrol after the relevant HECS census date.

Re-enrolment

You must re-enrol each year as long as you remain a candidate for the award course. In early October you will receive advice about re-enrolment for the following year. In most faculties re-enrolment is accomplished by pre-enrolling, and you will receive the necessary forms with the re-enrolment advice. In 2001 all pre-enrolment applications were required to be submitted by 16 November. Students in faculties that do not pre-enrol will be advised as to the arrangements in place for them. In mid-November you will receive the *Student Information Bulletin* which will provide you with comprehensive information on a range of topics for the following year.

You cannot pursue your studies as a candidate for the award course unless you are enrolled. If, as a research candidate, you had anticipated submitting your thesis by the March census date (in which case you would not have needed to re-enrol) but fail to finish it in time, with the approval of your dean you may re-enrol on 31 March but only on payment of the \$100 late fee.

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 liability. This has a particular significance for those not exempt from HECS and those paying fees. 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.

Changing your enrolment

Changes to a semester's enrolment may be made, with permission, no later than 5 pm on the relevant HECS census date but, other than to discontinue units of study, no changes will be permitted after this date. Students who vary their enrolment (including withdrawal or deferral) before the census date will be entitled to an appropriate adjustment of HECS 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 booklet 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 liability as a result of agreed unit of study changes since enrolment.

Arrangements will be made to answer questions and to investigate claimed factual errors arising from these notices but it is **your responsibility to check that the information is correct**. 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.

Research Training Scheme

The Commonwealth Government has announced two new performance-based funding schemes to be administered by the Department of Education, Science and Training: the Institutional Grants Scheme (IGS); and the Research Training Scheme (RTS). These schemes are fully operation from 2003 and from 2001 new commencing higher degree by research (HDR) students are enrolled under the RTS. The RTS replaces the RHEA (see Glossary of terms). It provides HECS exemptions for Commonwealth-funded HDR students for the duration of an accredited HDR course, up to a maximum of four years' full-time equivalent study for a doctorate by research and two years' full-time equivalent study for a master's by research.

Commencing from a base-level of RTS places in 2001 institutions will receive more or fewer RTS places and associated funding according to performance on a number of measures including HDR completions, research income and publications.

Doctoral students who are granted an extension beyond the four year maximum are not funded by the Commonwealth and may be required to pay fees by the University. Similarly, master's students granted an extension beyond two years may be required to pay fees by the University. However, once the University has allocated all its RTS places any additional students enrolled will have to be as fee-paying students, although the University has the discretion to set what fees it thinks appropriate or exempt students from the fee set.

Where a student, including pre-2001 students, withdraws from studies, the following entitlements will apply if, at a later date, the student resumes study in the same course or another course at the same level.

If three years have elapsed since the previous enrolment, the student may be granted the maximum period allowed for the course under the RTS.

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

Where an RTS student **changes** his or her course of study, say from one master's degree to another, the period of entitlement will remain unchanged.

Where a student **completes a master's** by research and then progresses to an eligible doctorate by research, he or she will be entitled to the maximum period of two years for the master's study and four years for the doctorate study. This entitlement applies whether or not there is an interval between the two programs. If a student completes a master's by research in less than two years, the maximum entitlement for a doctorate by research will still be limited to four years.

Where a student commences in a master's by research and then has his or her candidature **upgraded** to a doctorate by research, the student will be limited to a maximum of four years RTS funding.

RTS students may **transfer** to another institution provided the new institution has an RTS place available. The receiving institution will be required to obtain details from the student

regarding his or her enrolment and consumption of RTS entitlement at the previous institution and determine the remaining entitlement.

All students continuing in 2001 who were enrolled in 2000 or were on a period of approved suspension at that time will be able to complete their studies under the funding arrangements that applied to them at the time of their most recent enrolment.

Continuing students who were in receipt of a Research HECS Exemption at the time of their most recent enrolment will be entitled to complete their current studies as HECS-exempt students. Continuing students who were HECS-liable students. Students will be entitled to three years for a master's by research and five years for a doctorate.

Fees

Fee-paying courses

For most postgraduate coursework (and some undergraduate courses), fees are charged rather than HECS. These vary from course to course, and separate information is available from faculty offices or the Student Centre. International students should contact the International Office regarding fees.

Refund of tuition fees for local 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 subscription paid.

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

Refund of tuition fees for local 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 an "Intensive Mode" unit, the University retains 100% of the tuition fee.

Compulsory subscriptions

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

Attendance and part-time study

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 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. Appendices include details of a student's responsibilities.

For candidates commencing candidature in or after First Semester 2001, the normal maximum length of full-time PhD candidature is eight semesters; for candidates who commenced prior to First Semester 2001, the maximum length of candidature was ten semesters. The maximum length of full-time candidature for research master's degrees varies from faculty to faculty, but is generally four to six semesters.

Full-time candidates for research degrees do not keep to the normal semesters but work continuously throughout the year except for a period of four weeks' recreation leave. There is no strict definition of what constitutes full-time candidature but, generally speaking, if you have employment or other commitments that would prevent you from devoting at least the equivalent of a 35-hour working week to your candidature (including such attendance at the University for lectures, seminars, practical work and consultation with your supervisor as may be required) you should enrol as a part-time candidate. If in doubt you should consult your faculty or supervisor.

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

The following extract from the *University of Sydney (Amendment Act) Rule 1999* (as amended) indicates what is expected of candidates:

83. Location

- (1) Subject to the annual approval of the supervisor, head of department and faculty or college board, the candidate shall pursue the course of advanced study and research either:
 - (a) within the University including its research stations and teaching hospitals;
 - (b) on fieldwork either in the field or in libraries, museums or other repositories;
 - (c) within industrial laboratories or research institutions or other institutions considered by the faculty or college board concerned to provide adequate facilities for that candidature; or
 - (d) within a professional working environment; and shall attend at the University for such consultation with the supervisor and shall participate in such departmental and faculty or college seminars as shall annually be specified.
- (2) A candidate pursuing candidature outside Australia must also complete a minimum of two semesters of candidature within the University before submission of the thesis. *
- (3) When recommending the detailed annual conditions for

each candidate's particular course of advanced study and research the supervisor and head of department must indicate whether they are satisfied that the proposed supervision arrangements will be satisfactory.

- * (Note: This need not be immediately prior to submission, nor a continuous two-semester period.)

Part-time candidature for research students

Part-time candidature is normally possible for research master's degrees. The faculty or college will be concerned to ensure that the research work will be under the control of the University and may require undertakings from any employer to that effect.

Part-time candidature for the PhD requires that an applicant provide rather more information than a potential full-time candidate. For members of the academic staff of the University, providing normal conditions of candidature are met, this merely means that they have eight years rather than the usual four years of candidature in which to complete the degree.

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

- (a) that the applicant will have sufficient appropriate time to complete the requirements within the maximum period;
- (b) that the research will be planned and carried out by the applicant under the control of the University and that supervision arrangements are satisfactory; and
- (c) that the candidate will be able to attend at the University as required.

An applicant should submit a detailed proposal including how the research will be carried out, its relationship to her/his employment and arrangements for attendance at the University. Requirements will vary between departments and faculties, but the University is not willing to act solely as an examining body. Any research must be under the direction and supervision of the University.

Research off-campus

There is also provision for PhD candidates to complete their candidature away from the University. There may be also circumstances where it would be desirable to work at another institution within Australia or overseas where there would be access to some particular research or library facilities.

If you wish to work off-campus you should apply with the support of your supervisor to the faculty office. The faculty will wish to know what arrangements are being made for your continued supervision.

Short visits of a few weeks to other institutions may be approved by your head of department if supported by your supervisor.

Research students and employment

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

Full-time research candidates are permitted to undertake part-time teaching duties providing these duties do not interfere with their candidatures. Students are not obliged to teach, and have also no right to be given teaching duties. Fractional appointments of up to 3/5 are permitted. There may be occasions when a student is asked to perform duties on a full-time basis in which case suspension of the candidature should be sought.

Converting between full-time and part-time candidature

It is usually possible for a full-time candidate to convert to part-time candidature (and vice-versa) as opposed to completing the full-time candidature on a part-time basis, and any such application should be made through the faculty office. As stated earlier, the maximum length of part-time PhD candidature is eight years, as opposed to four years for full-time candidature. Therefore, when calculating the remaining maximum candidature time for a candidate who is given permission to convert from full-time to part-time candidature a *pro-rata* method is used. For example, if a candidate is permitted to convert to part-time candidature at the end of the third year of full-time candidature (having completed $\frac{3}{4}$ of the maximum candidature), the maximum part-time candidature will be $\frac{1}{4}$ of eight years, which is two years.

Scholarship holders

There are other restrictions which apply to candidates on scholarships. Students on APAs and similar scholarships may engage in paid employment up to a maximum of 20 hours per week, evening, weekend and holiday work included. No student holding an award may hold another position within the University which could cause him or her to exceed this restriction.

Some departments may offer a supplementary scholarship in conjunction with offers of casual teaching/demonstrating. Departments shall indicate a minimum number of hours that will be offered, up to a maximum number of contact hours that is not more than ten times the number of teaching weeks in the year. The scholarship holder is encouraged to take up the offer of part-time teaching within the department but is not obliged to do so. Teaching duties may be carried out throughout the calendar year except that the scholarship holders shall have a block of at least six weeks clear of teaching duties for research in addition to recreation leave.

The heads of the departments in which the scholarship holders are located shall ensure that the students and their supervisors are clear on the rights and obligations attendant on taking up the scholarship. The supervisors should, in particular, be aware of the constraints that any teaching responsibilities may place on the student and monitor progress carefully.

International students

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.

CHAPTER 7

Facilities – what you can expect

The University requires the head of a department to certify before recommending the admission of any applicant that there are sufficient supervisory and other resources and facilities available to enable that candidature to be completed successfully. The codes of practice in the appendices outline these responsibilities. However, the University has not determined a common policy relating to the facilities that should be available for coursework students or for research students across all departments, faculties and colleges.

Each department should be able to provide an applicant or candidate with a statement of the facilities available in that department for both research and coursework students and procedures for accessing them. This should cover office and laboratory space, photocopying, stationery and computing facilities, equipment, conference travel and maintenance. Information should also be available about departmental research seminar programs and postgraduate consultative procedures. Facilities available will vary widely from department to department.

As part of the University's Sesqui research scheme from 2001, funds will be made available each year to enable postgraduate research students to present papers on positions at conferences, visit to use specialist facilities, on purchase of specialist books that are essential to the students' research. The funds will be awarded on a competitive basis and an application will be required. Further information and application forms will be available from the relevant faculty office.

Supervision – roles and responsibilities

Much has been written about the role of the supervisor. In this chapter the emphasis is placed on the administrative obligations and definitions. The codes of practice, which are included in the appendices, also define the responsibilities of candidates and supervisors and also those of the department, faculty and University. Any comments in this chapter should also be cross-referred to these codes of practice. SUPRA's publications the *Survival Manual* and *Practical Aspects of Producing a Thesis at the University of Sydney* contain extensive reference lists on this subject.

Any research master's degree or PhD is supervised research training, unlike the higher doctorates which are assessing the independent work of an established scholar. Many coursework degrees also include a component of supervised research training. An important part of that training is the planning and executing of a research project within a particular time frame.

When you apply to undertake a research master's degree or a PhD the head of department has to be sure that you are appropriately qualified for the course of study and research you propose and must certify that there are resources and facilities within the department to enable your candidature to be completed successfully. An important part of those necessary resources is the availability of a suitably qualified supervisor.

The supervisor

The supervisor is that member of the academic, or, as appropriate, senior research staff, appointed to take primary responsibility for the conduct of the candidature. The supervisor must be available at all stages of the candidature for advice, assistance and direction and is responsible for the progress of the candidature to the head of department and the faculty or college.

A principle followed in the appointment of supervisors is that the candidate should, under normal circumstances, be able to expect continuity of supervision. For this reason, where tenurable or fixed-term lecturers are appointed as supervisors another continuing member of staff should be appointed as an associate supervisor until tenure is granted or the candidature is completed. The member of staff so nominated should have sufficient expertise and experience to assume the supervision if necessary.

A supervisor must disclose to the department and to the student any interest he or she may have in a company that has contracted with the University to do research involving research students.

A staff member nearing retirement will not normally be appointed as supervisor unless prepared to undertake in writing to continue the supervision beyond their retirement.

The role and duties of the supervisor

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

would have demonstrated a grasp of training in research methodology.

The responsibility of a supervisor over the initial phase of candidature extends to ensuring that facilities identified as necessary do eventuate, to encouraging the candidate to extend his or her contacts within the department and elsewhere within the University and to ensuring that commitments made in respect of availability and contact are met by both parties.

A critical early phase of any candidature is when the supervisor assists the candidate with drawing up a research proposal. The supervisor must ensure that the facilities are available within the department or the University to enable the project to succeed and should pay particular attention to the likely time-scale of the project, bearing in mind that a three-year PhD candidature should be an objective.

The supervisor should ensure that the candidate is aware of the standards expected of the degree concerned and identify with the candidate the particular research skills that will need to be acquired and what are the most appropriate data gathering and analysing techniques to be used.

An important part of this training is the completion of a project within a particular time frame. The supervisor and candidate should agree on the contact that will be necessary between them in general terms overall and quite specifically for the first year of a PhD candidature or first semester for master's candidatures. This will include some agreed indicators of progress being made. It will take note of known periods of leave.

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

The supervisor has a responsibility to provide feedback on progress to the candidate and should be aware of the need to make annual progress reports both to faculty and to any scholarship authority. Such reports now require the candidate to sight and sign them. That should not be the first time at which either supervisor or candidate learns of some dissatisfaction with progress.

As the candidature progresses different contact arrangements may be appropriate but both candidate and supervisor must be clear on what each expects of the other. When the time comes for writing the thesis supervisors should be ready to advise on the requirements and on style etcetera and should give prompt feedback on drafts submitted.

The supervisor should be aware of where to find out the various degree and other administrative requirements and advise the candidate as necessary. He or she should ensure that necessary approvals are sought for absences from the University by the candidate and that the candidate receives any due entitlements within the department.

The supervisor is responsible for advising each candidate of applicable government and institutional guidelines for the conduct of research, including those covering ethical requirements for studies on human or animal subjects, and the requirements for the use of potentially hazardous agents. Reference should be made to the University of Sydney Code of Conduct for Responsible Research Practice. As far as possible, research supervisors should ensure that the work submitted by candidates is their own and that, where there are data, they are valid. Supervisors should ensure that candidates are aware of the requirements regarding the retention of data within departments. Supervisors should also ensure that candidates are aware of the requirements of members of staff to complete a statement of authorship in respect of each paper submitted for publication.

Where an associate supervisor has been appointed, the supervisor, while still bearing overall responsibility for the candidature, should ensure that responsibilities are clearly understood by all three parties and should maintain regular contact with the associate supervisor.

The supervisor should ensure that an acting supervisor is appointed during her or his absence from the University for any period of a month or more. He or she should assist such an acting supervisor by informing him or her about the progress of the candidature.

In good time before the thesis is submitted the supervisor shall give thought to the suitability and availability of examiners and advise the head of department of the necessity to take action on this. (See also the section on the appointment of examiners in the chapter on the examination process.)

When the thesis is submitted the supervisor is required to certify that the thesis is acceptable for examination. This is usually done in the form of a letter to the Registrar stating that the particular thesis is in a form of presentation suitable for examination. This is not an expression of opinion about the merit of the work.

It is usual for the supervisor and candidate to come to agreements about aspects of their interaction. Such agreements should be put into writing to avoid subsequent misunderstanding.

Agreement should be reached also between the candidate and the supervisor concerning authorship of publications and acknowledgment of contributions during and after the candidature. There should be open and mutual recognition of the candidate's and supervisor's contribution on all published work arising from the project.

Difficulties of one sort or another will arise during candidatures, and supervisors should be aware of the problem-solving mechanisms and the support services which exist within the University and should ensure that the head of department and the faculty or college are kept informed as necessary.

Progress reports and departmental reviews

Reference is made in the chapter on satisfactory progress to the annual progress report for research students that supervisors are required to complete and the departmental review process. They are both important quality assurance mechanisms. Supervisors should consult with any associate supervisors in making their report.

Development program

Each year there are a number of workshops and events for supervisors arranged jointly by the Graduate Studies Committee and the Institute for Teaching and Learning. These are particularly valuable for new or relatively new supervisors. Many expert supervisors assist with the program and share their experiences. The Academic Board expects new supervisors to attend.

Acting supervisor

An acting supervisor must be appointed during any significant absence of the supervisor, i.e. more than a month at a time, and always during periods of absence due to study leave. The candidate should ensure that this is not overlooked. At the very least it can be inconvenient if there is no appointed supervisor readily available to undertake various administrative actions. (However, if you know your supervisor is going to be away, it may be best to anticipate the need for support for applications etc and deal with them in advance.)

Associate supervisor

Wherever possible, the faculty will also appoint an associate supervisor or, on occasion, associate supervisors. This is encouraged, as the University recognises the value of there being available to the candidate someone other than the supervisor to whom the candidate can freely turn for advice.

The relationship between the supervisor and the associate supervisor may vary widely: what is constant is that the supervisor bears the ultimate responsibility for the supervision of the candidate, and is the University's point of contact with the supervision. In exercising that responsibility the supervisor will often be expected to have consulted the associate supervisor(s).

The associate supervisor might provide the day-to-day contact with the candidate (eg, in a laboratory situation away from the campus) or particular expertise or additional experience in supervision or input of equal weight to that of the supervisor. Thus on a numerical scale the contributions of supervisor and associate supervisor might vary in particular cases from 10:90 through 50:50 to 90:10.

Given the range of reasons for the appointment of an associate supervisor it is most important that the responsibilities and expectations of each of the parties is clearly defined and that a written record be made of the agreement. This agreement should also include an in principle agreement on credit in publications etc that should be given in respect of each participant's contribution and cover the recognition to be given in assessment of academic workload. The supervisor and associate supervisor should seek to avoid any conflicts of opinion or attitude adversely affecting the candidate. The head of department or departmental postgraduate co-ordinator should be involved if there are unreasonable strains in relationships.

Where a staff member who is to be involved in some capacity in the supervision of a candidate holds a fixed-term (contract) appointment, or while holding a tenurable appointment has yet to have had the appointment confirmed, the faculty, on the advice of the head of department, may either

- (a) appoint the staff member as a supervisor but also appoint an additional associate supervisor from amongst the tenured staff or otherwise ensure continuity of supervision; or
- (b) appoint the staff member as an associate supervisor.

Where an associate supervisor has been appointed because the supervisor has a fixed-term appointment the supervisor and head of department should ensure that proper and timely hand-over arrangements are made when the appointment is known to be terminating.

The supervisor should confirm that any external associate supervisor has access to a copy of the *Postgraduate Research Studies Handbook*.

The responsibilities of the candidate

A PhD or master's degree is research training with an output in the form of a thesis which measures the success of that training. Your responsibilities are outlined in the codes of practice in the appendix.

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

A thesis should be planned and carried out within a clear time frame. Part of the training you are receiving is to be able to plan and execute a project within defined time limits.

Your degree is undertaken under supervision. The selection and appointment of your supervisor is a matter of great importance in your studies. You should play an active part in that process. You also have a responsibility to establish with your supervisor agreed methods of working and then to fulfil your side of any agreement. You must turn up for agreed consultation and provide evidence of the progress you are making including submission of your annual report form. You must participate in such departmental activities as are expected of you.

You are responsible for drawing your supervisor's attention to difficulties you are having. If you have problems with your supervisor you should be aware of the mechanisms that exist and take advantage of them (see the chapter, 'Resolution of Problems'). You are responsible for obtaining faculty or departmental approval to spend time away from the University whether as part of your candidature or under some form of negotiated suspension.

You are responsible for ensuring that all the administrative requirements of the University, such as re-enrolling each year, are met.

You are responsible for ensuring that you have sufficient time allocated to write up your thesis and that you have ascertained what is necessary in terms of content, style and presentation.

You are responsible for giving adequate notice to your supervisor of the expected submission date of your thesis to allow early selection of examiners. (See also the section on the appointment of examiners in the chapter on the examination process.)

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

You are solely responsible for the content, style and presentation of the thesis that is finally presented.

Progress reports and departmental reviews

In Chapter 10, 'Satisfactory Progress', reference is made to the annual progress report for research students that supervisors are required to complete and to the departmental review process.

Time limits and time away

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

For research degree students the minimum period is also expressed as the earliest date at which you can complete the requirements for a degree. Your target should be to complete within the minimum period if at all possible. Should it appear during your last year of candidature that you will not be able to complete the requirements by the latest date you should apply to the faculty or college board through your supervisor for an extension of your period of candidature. Your application should explain why you do not expect to be able to meet the deadline and should refer to any difficulties that might have been experienced during the candidature. These should have been referred to in your annual progress reports. Your application should also contain a realistic estimate of the time you require to finish.

You cannot assume that an extension will be granted. An aspect of the research training being undertaken is to complete a project within a deadline. Requests for extension must be made in advance and not retrospectively. A limited leeway exists in that research theses due in by the end of any particular year can be submitted up to the March census date in the following year.

If you do need an extension or time away from your degree it is important that you let your department and faculty know. 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.

Suspension or course leave

Your candidature is recorded in whole semesters. The occasion may arise where it is appropriate to seek a suspension of your candidature (also known as course leave) if you have been ill or need to undertake full-time employment. Whether you should seek a formal suspension or simply have the facts noted on your file for future reference if necessary depends on whether the period of absence is likely to be or has been of around one or more semesters. For short periods of time you should advise your supervisor in writing and ask that this be forwarded to the faculty or college office for noting and placing on your file. For longer periods you should seek approval for a suspension of candidature and a change in your HECS status. Any such application must be made in conjunction with your supervisor and department.

If you hold a scholarship you should also note any obligations you may have to notify the Research 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 or college 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.

If in any year you fail to re-enrol as instructed your candidature will be regarded as having lapsed, and you will be required to re-apply for admission to candidature if you wish to continue your studies.

Satisfactory progress

The degree requirements for most postgraduate degrees, graduate diplomas and graduate certificates contain the provision that the faculty or college 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, the candidate does not show good cause, terminate the candidature.

Such formal action is not taken very 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.

Progress report

For research students the annual progress report form and the annual review process are mechanisms whereby the faculty can be assured that satisfactory progress is being made. It should not be the first point at which a supervisor and candidate discover there is a problem and identification of difficulties on the form will not in itself make them go away. The University is most unimpressed with a supervisor who after years of reporting satisfactory progress then says that the candidature was a disaster from the start. However, the Annual Progress Report Form is the place to put on record any difficulties which may or may not have been unavoidable including, for example periods of personal illness or misadventure.

The annual progress report form should also be an instrument for advising the faculty of the conditions of candidature to apply in the following year and whether the previous year's attendance requirements had proved satisfactory from a supervision point of view.

The reporting procedure requires that the candidate completes the first section of the form which includes provision for comment about problems faced and then forwards the form to the supervisor. The supervisor will comment on the candidate's progress and then return the form for the candidate to see the comments made and to sign the form before it is then forwarded to the head of department. On the basis of the evidence provided the head of department recommends to the faculty or college the conditions of candidature to apply for the following year and may require the candidate to provide further evidence of progress at the end of one semester or such other period as the head considers appropriate.

Departmental review

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

The review shall include an assessment of the research project including the resources being made available, the candidate's progress and the supervisory arrangement. It shall include participation by a staff member not being either the supervisor or the head of department and should normally be expected to include the postgraduate co-ordinator. There shall normally be a segment where the student has the opportunity to discuss in confidence his or her progress in the absence of the supervisor.

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

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

For research students the Departmental Review Committee may be one source of assistance. If a candidate and supervisor cannot resolve their difficulties between themselves or with third party help, either may approach the head of department concerned.

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

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.

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.

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.

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.

Discrimination, harassment, safety and health

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: www.usyd.edu.au/su/eoo/.

Safety and health

The University of Sydney has made a commitment to ensure the health and safety of its students, staff and visitors, and makes every effort to prevent exposures to hazardous situations. An outline of the University's health and safety policies, guidelines and systems is available at: www.usyd.edu.au/ohs/ohsindex.html. Some curricular activities involve working with particular hazards, eg, chemicals, machinery, electricity, animals, infectious agents, noise, heavy lifting, etc. These are more prominent in laboratories, workshops, field trips, clinical placements and practical work. The risks associated with these hazards can be minimised by complying with established health and safety procedures, using equipment provided to enhance safety and wearing relevant protective apparel such as lab coats, closed-in footwear and safety glasses. You also have an obligation under the Occupational Health and Safety Act not to misuse or tamper with any safety or emergency equipment such as fire doors and fire extinguishers.

You can expect to be informed about the hazards to which you may be exposed and the mechanisms to eliminate or minimise the risk of injury. If you have any concerns that a practice, substance or piece of equipment may be unsafe, do not use it, but report your concern to the staff member in charge of the activity. 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, Tel 9351 4335.

If you are injured or become ill at the University, report the problem to the staff member in charge of the activity, 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, report it to a staff member and go immediately to the University Health Service, Cumberland Health and Research Clinic or nearest hospital casualty department.

Both the SRC and SUPRA have a representative on the University Central Occupational Health and Safety Committee.

The thesis

General comments

At the end of the degree program you will present a thesis-for examination by experts in your field. In most cases, the award of the degree depends entirely on the thesis. The examiners know nothing about the candidate or the way that the research project proceeded other than what is contained in the thesis presented for examination. It is important, therefore, that the thesis is self contained and conveys clearly the description of the project, how it relates to the field as a whole, how the project was pursued, what techniques were used and how successful they were, and the outcomes of the research. All this must be presented in an integrated, coherent form that displays the competence of the candidate and demonstrates that a substantial and original contribution to knowledge has been made.

The University has not laid down detailed requirements as to the layout of the thesis other than is set out below with respect to binding. You should take full advantage of available word processing capabilities to present your work in as favourable a fashion as possible within whatever constraints your supervisor advises are appropriate for your discipline.

An administrative guide such as this handbook is not the place to state other than formal requirements as to format and content. Expectations and conventions as to what should be in a thesis vary from discipline to discipline. Departments will often recommend particular style guides or may even have their own publication. Precedent in the form of copies of successful theses in a departmental library is another useful reference point although these may have been written when current word processing technology was not available. SUPRA also has produced advice on the content and means of production of theses in its publication *Practical Aspects of Producing a Thesis*.

Presentation

The Academic Board has prescribed for the PhD the overall form of the thesis, the part published work can play and the availability of the thesis once established. It requires a supervisor to declare that a thesis is in a suitable form for examination. This relates to the presentation of a thesis including legibility, accuracy, clarity of expression and general freedom from typographical and grammatical errors but is not an indication of the quality of the work. The University will not proceed with the examination of a thesis reasonably considered to be not in a suitable form for examination.

The thesis requirements for the degree of Doctor of Philosophy can be met by a portfolio of musical compositions where the thesis includes prefatory analytical notes for each composition. In such a case the thesis shall be submitted as a bound volume of International A3 or A4 format.

Binding

The form of presentation of the thesis is prescribed for the PhD and many other master's degrees in similar form. Theses, normally, may be submitted in a temporary binding or in a permanent form. It is the policy of the University to expect that, where examiners have drawn attention to errors and typographical mistakes in a thesis, these should be corrected in all copies of the thesis that are to remain in the University (i.e. in the University Library and any faculty or departmental library). In 1999 approximately 86.6% of all PhD candidates

were required to make such amendments or corrections. The temporary binding allows these changes to be made more readily. Amendments, however, do not have to involve re-keying if a black ink/biro amendment is clear. Amendments can also be made by way of an appendix to the thesis.

Theses submitted in a temporary binding should be strong enough to withstand ordinary handling and postage. The preferred form of temporary binding is 'perfect binding'. Ringback or spiral binding is not acceptable. Each copy of the thesis must have fixed to the cover a label clearly identifying the name of the candidate, the title of the thesis and the year of submission.

Theses submitted in a bound form shall normally be on international standard A4 size paper sewn and bound in boards covered with bookcloth or buckram or other binding fabric. Alternatively the Xerox demand binding system may be used. This system has some limitations in the maximum number of pages per volume. The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear in lettering on the front cover or on the title page. The lettering on the spine, reading from top to bottom, should conform as far as possible to the above except that the name of the University of Sydney may be omitted and the thesis title abbreviated. Supporting material should be bound in the back of the thesis as an appendix or in a separate set of covers.

Length of thesis

For PhDs the Academic Board has asked the faculties to resolve, if they considered it appropriate, that there should be an absolute upper limit of 100,000 words of text for PhD theses and a nominal upper limit of 80,000 words which may be exceeded with permission.

The following are upper word limits set by faculties for research degrees:

Faculties of Agriculture, Food and Natural Resources, Dentistry, Economics and Business, Medicine, Nursing, Pharmacy, Rural Management, and Veterinary Science: 80,000 – 100,000 words PhD

Faculty of Arts: 70,000 – 100,000 words PhD, 40,000 – 60,000 words MPhil

Faculty of Education and Social Work: 80,000 – 100,000 words PhD, 30,000 words MPhil

Faculty of Health Sciences: 60,000 words Doctor of Health Science

Faculty of Law: 100,000 words PhD, 75,000 words SJD, 50,000 words master's degrees by research

Faculty of Nursing: 60,000 words MPhil, 20,000 words Master of Nursing (Honours)

The Sydney College of the Arts has prescribed either (i) up to 50,000 PhD supporting a substantial body of exhibition examination work; or (ii) up to 80,000 with the option of supporting it with a small body of creative work. For the Master of Visual Arts either (i) 10,000 – 12,000 words supported by a substantial exhibition, performance or installation of works in a joint show of candidates at the end of candidature; or (ii) 35,000 – 50,000 with the option of supporting it with a small body of creative work.

While there is no University-wide prescription about length there may be limits set on theses for individual degrees and within individual departments and these must be adhered to.

Preface

In presenting your thesis you will be required to state in general terms in the preface, and more specifically in the notes, your sources, the animal and human ethical approvals obtained, the extent to which you have used the work of others and that portion of the thesis you claim to be your own original contribution. Generally speaking, you will be permitted to incorporate in your thesis work which you may have submitted for another degree provided you identify it as such but, of course, you may not submit a thesis that has already been successfully presented for a degree at this University or elsewhere.

Inclusion of publications

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

The Academic Board has approved the policy *Submission of Doctor of Philosophy (PhD) Theses Containing Published Work* to guide this process. You should consult this policy and discuss any additional requirements with your faculty.

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

Public availability of thesis

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

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

- (a) During your candidature it may become clear that it will be necessary for you to use confidential material which you would not be at liberty fully to disclose in the thesis. In this situation the faculty or college may recommend to the Graduate Studies Committee that permission be granted to include, in an appendix, material essential to the thesis but which may not be made available for general inspection. Access to the appendix would then be restricted by the University Library for a period normally not exceeding five years. The examiners of the thesis and, as necessary, members of committees concerned with the examination will have unrestricted access to the appendix. The University Librarian may also grant access under certain conditions to bona fide scholars. See also the comments about collaborative research projects in the chapter on intellectual property. Permission to include material in an appendix must be sought during your candidature and not after your thesis is completed.
- (b) You may also apply for a deferment of public availability of your thesis if you are preparing your thesis for publication and have reason to believe your interests would be at risk if the thesis were immediately available. For example, an application for deferment might be made to allow time for registration or protection of intellectual

property such as the filing of a patent application. Where this can be anticipated, it is important to apply as soon as possible and to provide an adequate explanation to allow the application to be assessed.

Sponsoring bodies/agencies should be made aware of the University policy which endorses the principle of early publication. The dean of your faculty can grant a deferment of up to six months and can recommend to the Graduate Studies Committee that a further deferment, normally no longer than an additional six months, be granted. In such cases you would write to the faculty office with the support of your supervisor and head of department. In exceptional circumstances you may apply to the Graduate Studies Committee for a longer period, through the faculty office.

In all such applications, you should set out clearly the reasons for your request and submit firm evidence supporting it, such as a letter of acceptance from a publisher or an explanation of the necessity to maintain confidentiality to protect patent or other rights.

The statutes relating to public availability of theses are prescribed in the *University of Sydney (Amendment Act) Rule 1999* (as amended), which are set out in the *Calendar 2003*. Applications for deferment of public availability of the thesis must be made on the appropriate form available from your faculty and should be made as soon as the need for deferment is identified.

Number of copies

The number of copies of a thesis required does vary according to the degree and you should check the appropriate resolutions for any degree specific requirements. (The *Calendar 2003* includes all appropriate resolutions.) The PhD, Doctor of Education, Master of Engineering, Master of Surgery and Master of Public Health resolutions require four copies to be submitted, other research master's degrees and the SJD require three copies.

Summary

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

Library copy

During the examination process it is important that one copy remain in the safekeeping of the Registrar while others are being examined. After the award of the degree one copy, corrected as necessary, printed on archival paper and bound in a final form must be lodged with the Registrar for deposit in the University Library. Individual faculties may require an additional copy, also corrected and bound in a final form, to be lodged in a faculty or departmental library. The requirement for the library copy to be printed on archival paper is because of the eventual disintegration of works printed on normal paper. The University Copy Centre and SUPRA carry stocks of such paper. Both SUPRA and the University Publishing Service (UPS) are equipped to copy theses economically, and UPS does temporary bindings for examination and case bindings for permanent lodgement. Other copies of your thesis will be returned to you as they are received back, in due course, from examiners. Usually the faculty office will write or telephone to say that copies are available.

Submission

When you submit the required number of copies to the faculty office you can save time in the examining process by having with you the statement from your supervisor stating that the thesis is in a form of presentation suitable for examination. At this point you will sign the statement about your thesis being available for public use after examination and will receive

a receipt. That can then be used to claim thesis preparation expenses. If you will not be able to submit your thesis in person you should obtain a copy of the declaration form in advance to avoid delay.

Once your thesis is lodged the faculty office will affix a label inside covering copyright in relation to the thesis.

Dissemination of your thesis

As the Library is one of the contributing members to the Australian Digital Theses Program, you may also wish to have your thesis included in this database. Information regarding this project, the relevant deposit form and instructions on uploading your thesis may be obtained from the Library web site: setis.library.usyd.edu.au/adt

You may wish to have your thesis listed in *Dissertation Abstracts International* and to be available for purchase from its publisher, University Microfilms International. Details, including the fee charged for this service, can be obtained by consulting the UMI web site at: tls.il.proquest.com/hp/Support/DServices/prepare/

Electronic submission of theses

The Academic Board has made provision for electronic submission of theses for the purpose of examination where the candidate wishes to submit in this form and examiners are prepared to examine in this way. While the present print form of submission is likely to remain the most acceptable form of submission for the foreseeable future, this new method will probably become increasingly popular with the passage of time and improvements in technology. It will also provide a saving in thesis printing and binding costs and examining time. The introduction of the electronic option does not detract from the present system in any way and only increases the degree of choice available to both candidates and examiners.

The rules relating to electronic submission are set out in Appendix 4.

Students who wish to submit electronically will need to specify clearly the medium(s)/format(s) in which they wish to submit. It is the responsibility of the Supervisor/Department to advise examiners about the electronic format(s) available and to ascertain whether or not the examiner has the appropriate software available for electronic examination. It is not intended that examiners negotiate the format or that it be discussed between candidate and examiner.

The examination process

The style and content of the thesis has been described in Chapter 14. The examination rules for the PhD are included in an Appendix to this handbook. While these rules refer specifically to the PhD, faculties are required to follow them (with appropriate modifications) for other research degrees.

Appointment of examiners

The examination process starts before the thesis has been completed. The University attempts to avoid any unnecessary delays in the examining process. One way of reducing delays is to ensure that when the thesis is submitted the examiners have been arranged and are willing and ready to act. You, as the candidate, should know when your thesis is likely to be ready for examination and alert your supervisor to identify suitable available examiners. Particularly at some times of the year it can take time to make contact with potential examiners. You are required to let your supervisor and/or head of department know a good three months before you expect to submit your thesis. There is a form for that purpose. It would help them for you to have your thesis summary available if you are a PhD candidate.

If you wish to submit your thesis in electronic form, you are required to advise your supervisor and the department, by way of the appropriate form (available at the faculty office), at least 3 months prior to submission.

Late in 2000 the University adopted provisions for the conduct of oral examinations of PhD theses. The policy relating to oral examinations is set out below. You, as the candidate, may request that an oral examination be conducted. The possibility of an oral examination should be discussed with the head of department prior to submission, and the thesis must be submitted by the notified date in order for the oral examination to proceed.

While the appointment of examiners remains the responsibility of the University, you, as a candidate, may make an input. In appointing examiners the University seeks to ensure that they are appropriately qualified in and conversant with current research in the field concerned, are familiar with the requirements for the degree in question and are free from bias for or against the candidate or supervisor. You, as the candidate, may indicate in writing to the head of your department or to the dean or chair of the postgraduate committee of your faculty or college the name of any person whom you believe should not be appointed as an examiner giving your reasons in writing. You may also initiate with your supervisor and/or head of department a discussion as to the range of possible examiners. The head or your supervisor may also initiate this discussion.

This process will not result in your being given at that stage the names of your examiners. Care will be taken not to jeopardise the integrity and independence of the examination process.

At this stage your head of department should informally sound out examiners as to their ability and willingness to act at the time the thesis is expected to be submitted.

When the required number of copies of the thesis have been lodged with the faculty or college office, that office asks the head of department for a recommendation regarding the appointment of examiners. In the case of the PhD this is on a form which reiterates all the requirements expected of

examiners and asks for supporting documentation if, say, the examiner is not obviously qualified by virtue of an academic appointment to so act. The procedure is not so elaborate for master's degrees.

An appropriate faculty or college officer approves the examiners recommended and a letter of invitation is sent out on behalf of the Registrar by the faculty or college office. In the case of the PhD this includes a report form which details what is being sought from the examiner and the options available. (You can get a copy of this form and the examiners appointment form from your faculty or college office.) If the head of department has said that the examiners have been approached and are willing to act this letter is amended to reflect that and a copy of the thesis is dispatched by registered mail and by airmail or SAL if the examiner is overseas.

In the meantime, for PhDs, the appointment of examiners form is sent to the PhD Award Sub-Committee which has the power to appoint an additional examiner(s) if it is not satisfied with those already appointed by the faculty or college. While such action would be rare the Sub-Committee's monitoring of PhD examinations has led to the prescriptions on who should be examiners.

Number of examiners

Three examiners are required for the PhD and EdD and generally two for master's degrees and for the SJD and doctorates by research and advanced coursework.

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

The examination

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

On occasions there are problems with getting examiners' reports returned promptly. However, delays can be lessened by having examiners ready to act on receipt of the thesis at the time they expected to receive it.

In 2002, 77.9% of results were completed within six months of the date of submission of the thesis and 94.2% in less than 9 months. The faculty or college office will keep the head of department informed of any delays.

Examiners are required to produce independent reports on a thesis but they are permitted to consult one another and are told who the other examiners are. If they do consult they are asked to indicate in their reports the extent of that consultation.

Recommendations

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

In the case of master's degrees the recommendation is made to the dean of the faculty or to a designated associate

dean or college officer who will either act or refer the recommendation to the faculty or college's postgraduate committee. In the case of the EdD, SJD and other doctorates by research and advanced coursework, the recommendation is made to the PhD Award Sub-Committee which can either award the degree without further conditions or subject to typographical corrections or subject to emendations, or it can refer the recommendation to the faculty's postgraduate committee.

In the case of the PhD there has been a series of delegations allowing the relevant faculty, in certain circumstances depending on the recommendations of the examiners, to award the degree without further conditions or subject to typographical corrections or subject to emendations. In other circumstances a recommendation is made to the PhD Award Sub-Committee which can either award the degree without further conditions or subject to typographical corrections or subject to emendations or it can refer the recommendation to the faculty's postgraduate committee.

The outcomes that are possible are as follows:

- (a) that the degree be awarded without further conditions;
- (b) that the degree be awarded subject to correcting typographical errors before the degree is conferred (typographical errors include spelling, grammar, punctuation, capitalisation and reference dates);
- (c) that the degree be awarded subject to emendations being made in all the copies of the thesis to be retained in the University;
- (d) except in the case of the report of an oral examination, that the candidate be required to pass an additional (usually oral) examination or answer specific questions put by an examiner;
- (e) except in the case of the report of an oral examination, that further examination processes be gone through such as the appointment of an additional examiner or the appointment of an additional examiner to act as an assessor or the referral of the reports to the other examiners together with the comments of the supervisor;
- (f) that the candidate not be awarded the degree but allowed to revise and resubmit the thesis within a prescribed maximum period of time;
- (g) that the degree not be awarded.

In the past oral examinations have not been a common feature of the examination process and were prescribed only to resolve specific issues raised by the examiners. In 2000 the University adopted a policy to make oral examinations an optional part of the normal examination process. The policy and procedures relating to oral examinations are set out below.

Of the 419 PhD examinations completed in 2002, 34 (8.1%) were awarded directly, 72 (17.2%) subject to typographical corrections, and 285 (68%) subject to emendations. For 25 (6%) the candidate was required to revise and resubmit the thesis. The degree was not awarded to three candidates.

Where the recommendations of the examiners are all for award or for award subject only to typographical corrections, the requirement for a recommendation from the head of department is dispensed with and the degree is awarded at faculty level.

The candidate will be advised what typographical corrections are necessary by his or her head of department or supervisor. These corrections must be made in the Library copy of the thesis which must be lodged before graduation can occur.

Where the decision is that the degree will be awarded subject to emendations the candidate will be advised what emendations are necessary by his or her head of department or supervisor. See also the comments about emendations in the chapter on the Thesis. When these have been completed to the head of department's satisfaction the head so advises

the faculty office who writes a further letter advising that the degree is to be awarded.

The emendations should normally be made within three months. If this has not happened within that time the head of department is required to report the circumstances to the faculty or college's postgraduate committee which could then determine that the degree not be awarded.

The Academic Board considers that the copies of theses retained within the University should be as free of error as possible and that where examiners have pointed out errors these should be corrected.

Where an additional examiner is appointed as an assessor that examiner would be asked to review the reports of the other examiners in addition to reading the thesis. His or her recommendation should be based on argument about the reports as well as about the thesis.

If you are required to revise and resubmit you will need to re-enrol for this period and must resubmit copies of the thesis as was done for the first examination. Unless they are unwilling to do so or the faculty considers that there are good academic reasons for not doing so the same examiners will be reappointed.

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

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

If a faculty or college board forms the intention not to award the degree or not to award but allow revision and re-submission then there is a period of deferral to allow a process of consultation with the candidate. You will be advised in writing of the faculty or college board's intent and may be given unidentified copies of such of the examiners' reports as the examiners have said may be released. You then have four weeks to give notice that you wish to provide comment on the proposed resolution of the faculty and a total of eight weeks to actually do so. This is a time when you should consult with your supervisor and/or your head of department or the associate dean or dean. This process is intended to allow you to bring forward any additional information that you believe should be taken into account. Your comments, if any, are then considered by the faculty or college board and a decision made.

Examiners' reports

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

Examiners are asked to return their copies of the thesis by surface mail. You will be advised if and when these are received back in the faculty office so that you can give instructions for their disposal. Occasionally an examiner will ask to keep a copy of a thesis and such a request will be passed on to you after the examination process is complete. It could be an advantage for you in your professional career to comply with such a request. While examiners are requested to

return theses sometimes they fail to do so and do not respond to a further reminder. That is as far as the University will then take the matter.

Oral Examinations of PhD Theses

The Objectives of an oral examination

- An oral examination or re-examination of a thesis is seen as a desirable means of assessment, since it provides a means:
- to test the comprehension of the candidate of the field of study described by the thesis and any appended material;
- to clarify points either of principle or of detail in the thesis;
- to assess the contribution made by the candidate to the content and presentation of the thesis;
- to provide an educationally rewarding and personally satisfying finale to the PhD candidacy; and
- to give the candidate the benefit of advice from the examiners.

In addition, the oral examination has the potential to reduce the length of a thesis examination by, for example, directly familiarizing the examiners with the University's standards and expectations, or by clarifying points which might otherwise be dealt with by re-examination.

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

The Content of the Oral Examination

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

The Recommendation to Conduct an Oral Examination

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

- An oral examination of the thesis can be recommended by the head of department or requested by the student. (To be consistent with other resolutions, however, a student cannot request an oral examination of a resubmitted thesis). Note that the head of department should already have discussed the examination process, including the possibility of an oral examination, with the student.
- An oral examination of the thesis is approved by the dean or nominee.
- An oral examination of the thesis will be approved only if the head of department confirms that the department will arrange the oral examination and bear the associated costs.
- The examiners are notified.
- The dean appoints a convener, from the faculty in which the candidate has been studying.
- The examiners' written reports are required within 8 weeks of the submission of the thesis.
- The oral examination is set, prior to the submission of the thesis, for a date within approximately 10 weeks after the date of submission.
- If the student fails to submit the thesis by the nominated date, the examination reverts to a thesis-only examination.
- Each examiner provides an interim recommendation.
- The convener examines the examiners' reports and recommends to the dean whether an oral should be held (eg, no oral may be needed if all recommend award, award with typos, all revise and resubmit, all non-award)

- If the dean agrees that no oral is required, the examiners are so advised and advised that their interim recommendations become confirmed recommendations.
- If no oral is required, the examiners' reports and recommendations are processed as for a thesis-only examination.

Conduct of the Oral Examination

- The candidate, head of department and supervisor are given copies of the examiners' reports and interim recommendation.
- The oral examination is chaired by the convener. The candidate may be accompanied by another member of the University, nominated by the candidate.
- The oral examination will normally last between 1 and 2 hours.
- Absent examiners may participate by video-, web- or tele-conferencing, as may the candidate.
- Absent examiners may send questions to the convener.
- Detailed responses to questions provided by absent examiners need not be returned to them.
- At least two examiners must participate in person or by video, web or telephone link.
- At the conclusion of the discussion with the candidate, the convener and the participating examiners prepare the examining committee's recommendation in camera.
- The supervisor and the head of department will not be present at the closed session, but the head will be consulted and the supervisor advised about the result to be recommended after the completion of the oral examination.
- The convener advises the candidate of the examiners' recommendation.
- Should the examiners resolve to recommend that the degree be awarded subject to conditions listed in the examiners' report being addressed to the satisfaction of the head of department or school, the convener, in consultation with the head of department or school, will determine the emendations required.
- The convener prepares a report, endorsed by the members of the examining committee present, describing procedures followed, conclusions reached and advice given to the candidate.
- The candidate and head of department endorse the report as appropriate.
- The convener forwards the report to the dean.
- Should the examiners participating in the oral examination fail to agree, the Convener asks them to supply any revision of their interim reports within two weeks. The examiners' final reports and the convener's report are then considered by the University as for the examiners' reports in a thesis-only examination.

Outcomes of the Oral Examination

If the examiners recommend award of the degree, or award subject to the completion of emendations and the head of department agrees, the dean can approve award of the degree.

The conduct of an oral examination and the result of the examination are reported to the faculty postgraduate studies committee and the PhD Award Sub-Committee for noting.

If the head of department disagrees with the examiners' report and/or the examiners recommend revise and resubmit or non-award, the examining committees' report, the head of department's comments and, if appropriate, the candidate's comments are forwarded to the faculty's postgraduate studies committee and the PhD Award Sub-Committee for consideration under sections 3(4) of the Resolutions of the Academic Board relating to the Examination Process (as set out in Appendix 4). Note that this is not intended to represent a form of veto by the head of department. It simply reflects

the existing practice in which the Head of Department is required to comment on the examiners' reports.

Role and Responsibilities of the Convener

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

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

Outcomes – awards and graduations

When the award of the qualification has been approved, the Registrar will write advising you of this and will send you details of the next conferring ceremony at which you may graduate. Alternatively, you may apply to have your degree conferred *in absentia*, that is to say without attending a graduation ceremony. For a research student the corrected Library copy of the thesis must be lodged before the degree can be conferred *in absentia* or in person. Until the qualification has been conferred on you, you are not entitled to call yourself a graduate in that course or to use the title of the course. (The Graduation section's telephone number is 9351 4009.)

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, graduate diplomas and graduate certificates

- All faculties which award grades for coursework in postgraduate award courses, whether research or coursework award programs, are asked to use the same grading system that is used University-wide for undergraduate programs (that is, the Fail, Pass, Credit, Distinction and High Distinction system) and that marks also be supplied in accordance with the undergraduate mark scale.
- 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 postgraduate courses

- In respect of research courses, a qualification 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 courses 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.

- In respect of coursework courses, 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.

Nomenclature of postgraduate courses

- Faculties should use nomenclature for courses that distinguishes between research courses and coursework courses, and the same award should not be available by the two methods of candidature.
- Faculties are asked to give consideration to amending their master's course offerings to provide that they offer only one research degree if possible, the degree of 'Master of Philosophy in (*name of Faculty*)'. 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.
- Faculties are asked to consider the use of 'Master of (*name of Faculty*) Studies' for their coursework degree, a practice already in use in several faculties.

A number of faculties have incorporated these recommendations into their postgraduate courses and others are in the process of doing so.

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

2. (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.

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

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

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

Web site: 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

Web site: 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

Web site: 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/ 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

Web site: 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

Web site: www3.fhs.usyd.edu.au/cmull/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

Web site: 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

Web site: www3.fhs.usyd.edu.au/cmull/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, Carslaw 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.

Carslaw 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 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.

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
 Web site: 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
 Web site: 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

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
 Web site: 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. 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/

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/.

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/.

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 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/ or subscribe to egrad, the fortnightly postgraduate email bulletin by emailing: supra@mail.usyd.edu.au.

Appendix 1

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

Faculty/college/board of studies offices

Following is the location of the various faculty offices and their equivalents in the academic colleges, graduate school and boards of studies respectively. The first telephone number given is for the postgraduate section if one exists.

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

Postgraduate Research Coordinator

Associate Professor Warren Julian 9351 2328
Associate Dean (Graduate Studies)
E-mail: warren@arch.usyd.edu.au

FACULTY OF ARTS

First Floor, Old Teacher's College, A22 Manning Road
Ms S Barker/Ms N Ramanathan 9351 4807/6675
E-mail: pg@faculty.arts.usyd.edu.au
Web site: www.arts.usyd.edu.au

Postgraduate Research Coordinators (departments):

Anthropology
Dr Neil Maclean, A26 9351 3228

Arabic & Islamic Studies
Professor Ahmad Shboul, A14 9351 3574

Archaeology:

Classical
Dr Ted Robinson, H03 9351 3072
Near Eastern
Dr Alison Betts, H03 9341 2090
Prehistoric & Historical
Dr Peter White, H03 9351 2158

Ancient History
Dr Peter Brennan, H03 9351 2473

Art History and Theory
Dr Michael Carter, A26 (Semester 1, 2003) 9351 4208
Dr Laleen Jayamanne, A26 (Semester 2, 2003) 9351 4084

Australian Studies
Professor Elizabeth Webby, A20 9351 6835

Chinese and Southeast Asian Studies
Dr Derek Herforth, F04 9351 3555

Classics
Ms Frances Muecke, A14 9351 2672

English
Dr Margaret Rogerson, A20 9351 2308

French Studies
Dr Françoise Grauby, H03 9351 6776

Gender Studies

Dr Alison Bashford, A14 (Semester 1, 2003)
Dr Linnell Secomb, A14 (Semester 2, 2003) 9351 4343

Germanic Studies

Dr Ken Moulden, H03 9351 6763

Hebrew, Biblical & Jewish Studies

Dr Suzanne Rutland, A14 9351 6662

Modern Greek

Dr Vrasidas Karalis, H03 9351 7252

History

Dr Penny Russell, A17 9351 2362

Italian Studies

Prof Nerida Newbigin, H03 9351 3584

Japanese and Korean Studies

Dr Kazumi Ishii, F04 9351 4715

Linguistics

Dr Michael Walsh, F12 9351 4228

Media and Communications

Assoc Prof Catharine Lumby, A26 9351 3896

Music

Assoc Prof Nicholas Routley, J09 9351 2066

Performance Studies

Dr Ian Maxwell, A20 9351 6874

Philosophy

Assoc Prof Paul Redding, A14 9351 3983

Social Policy & Sociology

Professor Betina Cass, A26 9351 6889

Studies in Religion

Dr Edward Crangle, A20 9351 7653

Centres:

Celtic Studies

Assoc Prof Helen Fulton, A20 9351 2557

Indian Sub-Continent Studies

Dr Peter Oldmeadow, F04 9351 6768

Italian Renaissance Studies

Prof Nerida Newbigin, H03 9351 3584

Medieval Studies

Associate Professor John Pryor, A20 9351 2840

Museum Studies

Dr Jennifer Barrett, A17 9351 6665

Semiotics

Assoc Prof Rosemary Huisman, A20 9351 2821

AUSTRALIAN GRADUATE SCHOOL OF MANAGEMENT

Sydney, NSW 2052 9931 9230

Director, PhD Program

Dr Robert Kohn 9931 9265

Associate Director, PhD Program

Sue Bennett-Williams 9931 9491

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

Disciplines:

Biomaterials Science

Professor M Swain 9351 1814

Community Oral Health & Epidemiology		Dr J Lingard (for enquiries)	9351 9527
A/Professor W Evans	9845 7537	E-mail: j.lingard@fhs.usyd.edu.au	
Fixed Prosthodontics		School of Communication Sciences & Disorders	
c/- Associate Professor G Murray	9845 6380	Professor V Reed	9351 9694
Occlusion		E-mail: v.reed@fhs.usyd.edu.au	
Professor I J Klineberg	98457192	School of Exercise and Sport Science	
Oral and Maxillofacial Surgery		Dr J Raymond	9351 9528
Clinical A/Professor G McKellar	9845 7406	E-mail: j.raymond@fhs.usyd.edu.au	
Oral Pathology & Oral Medicine		School of Health Information Management	
Professor D M Walker	9845 7892	Ms J Callen	9351 9494
Orthodontics		E-mail: j.callen@fhs.usyd.edu.au	
Professor A Darendeliler	9351 8329	School of Indigenous Health Studies (Yooroang Garang)	
Paediatric Dentistry		Dr F Khavarpour	9351 9127
Dr P Sawyer	9351 8354, 9845 6539	E-mail: f.khavarpour@fhs.usyd.edu.au	
Periodontics		School of Medical Radiation Sciences	
Dr J E Highfield	9351 8320	Dr S Cowell	9351 9512
Removable Prosthodontics		E-mail: s.cowell@fhs.usyd.edu.au	
c/ Associate Professor G Murray	9845 6380	School of Occupation & Leisure Sciences	
Tooth Conservation		Dr C Chapparo	9351 9206
Professor R W Bryant	9845 7157	E-mail: c.chapparo@fhs.usyd.edu.au	
FACULTY OF ECONOMICS AND BUSINESS		School of Physiotherapy	
Student Information Office		Assoc Prof Nicholas O'Dwyer	9351 9385
Level 2, Merewether Building H04		E-mail: n.odwyer@fhs.usyd.edu.au	
Student Adviser	9351 6628	Australian Stuttering Research Centre	
E-mail: student@econ.usyd.edu.au		Professor M Onslow	9351 9767
		E-mail: m.onslow@fhs.usyd.edu.au	
FACULTY OF EDUCATION AND SOCIAL WORK		Rehabilitation Research Centre	
Graduate Studies Division		Assoc Prof G Davis	9351 9466
Level 3, Education Building A35	9351 4605	E-mail: g.davis@fhs.usyd.edu.au	
Coursework Co-ordinator		FACULTY OF LAW	
Dr Lesley Harbon	9351 2022	Postgraduate and Continuing	
School of Policy & Practice		Legal Education Team Leader	9351 0265
Dr Louise Rowling (Research)	9351 6389	Level 12, 173-175 Phillip St, Sydney NSW 2000 (C13)	
School of Development & Learning		E-mail: sven@law.usyd.edu.au	
Dr Richard Walker (Research)	9351 6274	Web site: www.law.usyd.edu.au	
FACULTY OF ENGINEERING — Graduate School of Engineering		Associate Dean, Graduate Studies	
Engineering Faculty Building J13		Dr Isabel Karpin	93510250
Ms Josephine Harty	9351 7084	E-mail: isabelk@law.usyd.edu.au	
FACULTY OF HEALTH SCIENCES		FACULTY OF MEDICINE	
PO Box 170 Lidcombe NSW 1825		Manager, Postgraduate (Administration)	
Postgraduate Officer		Edward Ford Building, A27	
Student Administration		Ms Helen Triantafyllou	9351 5760
Mrs Nancy Leong	9351 9623	E-mail: pginfo@med.usyd.edu.au	
E-mail: pginfo@fhs.usyd.edu.au		Fax: 9351 8529	
Doctor of Health Sciences		Chair, Board of Postgraduate Studies	
Dr R Rothwell, Academic Coordinator	9351 9122	A/Professor J Christodoulou	9845 3452
Fax: 9351 9540		Postgraduate Coordinators	
E-mail: r.rothwell@fhs.usyd.edu.au		Anaesthesia	
Ms Wendy Manuel, Admin Assistant	9351 9220	Ms I Taylor	9926 6779
Fax: 9351 9540		Anatomy & Histology	
E-mail: w.mannuel@fhs.usyd.edu.au		Dr J Mitrofanis	9351 2838
School of Applied Vision Sciences		Biochemistry	
Dr K Rose	9351 9464	Professor R Christopherson	9351 6031
E-mail: k.rose@fhs.usyd.edu.au		Clinical Ophthalmology & Eye Health	
School of Behavioural & Community Health Sciences		A/Professor R P Mitchell (Western)	9845 7960
Dr G Sitharthan	9351 9584	Dr M Madigan (Central)	9382 7315
E-mail: g.sitharthan@fhs.usyd.edu.au		Department of Medical Education	
School of Biomedical Sciences		A/Professor J Gordon	9351 2814
Dr F Huq	9351 9522	Experimental Medicine	
E-mail: f.huq@fhs.usyd.edu.au		A/Professor B Fazekas St de Groth	9565 6137
		General Practice	
		Professor T Usherwood	9845 8174

Medicine (Canberra Clinical School)		FACULTY OF PHARMACY	
Dr M Cook	(02) 6244 4194	Pharmacy Building, A15	
Medicine (Concord Hospital)		Postgraduate Coordinator	
A/Professor J Kril	9767 7109	Dr Andrew McLachlan	9351 2320
Medicine (Northern Clinical School)		Associate Dean (Postgraduate)	
Professor H Rasmussen	9926 8680	E-mail: andrewm@pharm.usyd.edu.au	
Medicine (RPAH/Blackburn)		Manager, Postgraduate Administration	
Professor C E Sullivan	9351 2904	Ms Helen Triantafyllou	9351 5760
Medicine (Western Clinical School)		Edward Ford Building, A27	
A/Professor J George	9845 7705	Fax: 9351 8529	
Obstetrics & Gynaecology		E-mail: pginfo@med.usyd.edu.au	
Dr J Morris	9926 7013	Web site: www.pharm.usyd.edu.au	
Paediatrics & Child Health		FACULTY OF RURAL MANAGEMENT	
A/Professor L Baur	9845 3393	Leeds Parade, Orange, NSW 2800	
Pathology		Associate Dean (Research)	
Dr B Bao	9351 6156	Professor David Kemp	(02) 6360 5526
Pharmacology		E-mail: david.kemp@orange.usyd.edu.au	
Dr R Vandenberg	9351 6734	Web site: www.orange.usyd.edu.au/	
Physiology		FACULTY OF SCIENCE	
Professor M Bennett	9351 2034	Room 207, 2nd Floor	
Psychological Medicine		Carslaw Building F07	9351 3021
Dr G Walter	9736 2288	Fax: 9351 4846	
Public Health		E-mail: facsci@scifac.usyd.edu.au	
A/Professor S Quine	9351 4371	Postgraduate Administration	
Surgery		Ms Michele Zaronias	9351 3587
A/Professor R Smith	9926 7692	Agricultural Chemistry and Soil Science	
Children's Medical Research Institute		Dr Edith Lees	9351 3236
Dr P L Jeffrey	9687 2800	Anatomy and Histology	
Dept of Endocrinology at RPAH		Dr John Mitrofanis	9351 2838
Professor D K S Yue	9351 2170	Biological Sciences	
Heart Research Institute		Associate Professor Robin Overall	9351 3285
Dr M Davies	9687 2800	Chemistry	
Kanematsu Laboratories at RPAH		A/Professor Margaret Harding	9351 2745
Dr J G Lyons	9515 7656	Computer Science	
Kolling Institute of Medical Research		Professor Peter Eades	9351 8634
Dr C Scott	9926 8486	Environmental Science	
NH&MRC Clinical Trials Centre		Dr Gavin Birch	9351 2921
Dr A Keech	9562 5000	Geosciences	
Pain Management & Research Centre at RNSH		<i>Geography</i>	
Ms I Taylor	9926 6779	A/Professor Deirdre Dragovich	9351 2357
FACULTY OF NURSING		<i>Geology and Geophysics</i>	
88 Mallet Street, Camperdown (M02)		Dr Geoffrey Clarke	9351 2919
Ms Susanne Norton	9351 0504	History and Philosophy	
Fax: 9351 0508		Dr Katherine Neal	9351 3856
E-mail: susannen@nursing.usyd.edu.au		Marine Studies Centre	
Postgraduate Co-ordinators (departments):		A/Professor Andrew Short	9351 3625
Family & Community Nursing		Mathematics and Statistics	
Dr Sue Forsyth	9351 0607	A/Professor Neville Weber	9351 4249
Associate Dean, Postgraduate		Medical Science	
Clinical Nursing		Dr Ian Spence	9351 6954
Professor Sue Armitage	9351 0599	Microscopy and Microanalysis	
Pro Dean		Associate Professor Simon Ringer	9351 2351
Web site: www.usyd.edu.au/nursing/		Molecular and Microbial Biosciences	
		<i>Biochemistry</i>	
		A/Professor Alan Jones	9351 2230
		<i>Human Nutrition Unit</i>	
		Professor Ian Caterson	9351 5010
		<i>Microbiology</i>	
		Dr Tom Ferenci	9351 4277
		Pathology	
		Dr John Gibbins	9351 3319

Pharmacology	
Dr R Vandenberg	9351 6734
Physics	
Dr Mike Wheatland	9351 8731
Physiology	
Professor Max Bennett	9351 2034
Psychology	
Associate Professor David Grayson	9351 5175

FACULTY OF VETERINARY SCIENCE

J D Stewart Building B01 9351 6933/9351 3550

Sub Dean, Postgraduate Education and Research Training

A/Professor Frank Nicholas 9351 2184

Postgraduate Coordinators

A/Professor Chris Moran (Camperdown campus) 9351 3553
E-mail: chrism@vetsci.usyd.edu.au

Dr Susan Hemsley (Camperdown campus), 9351 3284
E-mail: shemsley@mail.usyd.edu.au

Dr V Reeve (Camperdown campus) 9351 2084
E-mail: v.reeve@vetp.usyd.edu.au

Dr I Tammen (Camperdown campus) 9351 1604
E-mail: itammen@camden.usyd.edu.au
Web site: www.vetsci.usyd.edu.au

SYDNEY COLLEGE OF THE ARTS

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

Sub-Dean Postgraduate Research

Dr A Elias 9351 1031
E-mail: A.Elias@sca.usyd.edu.au

Postgraduate Coordinator

Student Administration Office 9351 1104
E-mail: enquiries@sca.usyd.edu.au

SYDNEY CONSERVATORIUM OF MUSIC

Student Administration, C41
Macquarie Street, Sydney 9351 1241/1242
E-mail: info@greenway.usyd.edu.au
Web site: www.usyd.edu.au/su/conmusic/pgrad.html

Chair, Graduate Studies

A/Professor Peter McCallum 9351 1268
E-mail: petermc@greenway.usyd.edu.au

Postgraduate Coordinator (Composition)

Dr Bozidar Kos, C41 9351 1324
E-mail: bkos@conmusic.usyd.edu.au

Postgraduate Coordinator (Musicology)

Mr Richard Toop, C41 9351 1270
E-mail: rtoop@mail.usyd.edu.au

Postgraduate Coordinator (Music Education)

Dr Peter Dunbar-Hall, C41 9351 1334
E-mail: peterd@mail.usyd.edu.au

Postgraduate Coordinator (Performance)

Dr Michael Halliwell, C41 9351 1262
E-mail: mhallive@mail.usyd.edu.au

BOARD OF STUDIES IN INDIGENOUS STUDIES

Koori Centre
Old Teachers College Building A22 9351 4078
Ms Michelle Blanchard
E-mail: michelle@koori.usyd.edu.au

BOARD OF STUDIES IN MUSIC

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

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

Extract from the University of Sydney Calendar 2003

University of Sydney (Amendment Act) Rule 1999 (as amended)

PART 10 – AWARDING DEGREES, DIPLOMAS AND CERTIFICATES

Division 4: Doctor of Philosophy (PhD)

74. Admission to candidature

- (1) An applicant for admission as a candidate for the degree shall, except as provided in Rules 74(2) and (3), hold or have fulfilled all the requirements for:
 - (a) the degree of master, or
 - (b) the degree of bachelor with first or second class honours.
- (2) A faculty may admit as a candidate for the degree an applicant holding the degree of bachelor without first or second class honours after the applicant has passed a qualifying examination at a standard equivalent to the bachelor's degree with first or second class honours, provided that a faculty may exempt an applicant from the qualifying examination if the applicant has obtained a high distinction or distinction in the highest course available in the subject or subjects relevant to the proposed course of advanced study and research.
- (3) The Academic Board has endorsed an interpretation of the qualifying examination as including completion of a period of relevant full-time or part-time advanced study and research towards a master's degree in the University of Sydney, at such a standard as would demonstrate to the satisfaction of the faculty that the candidate is suitably prepared in the particular field of study to undertake candidature for the degree of Doctor of Philosophy.
- (4) The Academic Board may, in accordance with this Rule, admit as a candidate for the degree an applicant holding qualifications which, in the opinion of the faculty concerned and of the Academic Board, are equivalent to those prescribed in Rule 74(1) or (2) and such candidate shall proceed to the degree under such conditions as the Academic Board may prescribe.
- (5) An applicant for admission to candidature shall submit to the faculty concerned:
 - (a) a proposed course of advanced study and research, approved by the head of the department in which the work is to be carried out, to be undertaken by the applicant in a department of the University, and
 - (b) satisfactory evidence of adequate training and ability to pursue the proposed course.
- (6) The faculty may require a candidate, as part of the evidence of the candidate's training and ability to pursue the proposed course, to pass a special examination.
- (7) A reference in this Rule 74 to a department includes a reference to one or more departments, one or more schools, an interdepartmental committee and an interschool committee.

75. Probationary acceptance

- (1) A candidate may be accepted by a faculty on a probationary basis for a period not exceeding one year and upon completion of this probationary period, the faculty shall review the candidate's work and shall either confirm the candidate's status or terminate the candidature.

- (2) In the case of a candidate accepted on a probationary period under Rule 75(1), the candidature shall be deemed to have commenced from the date of such acceptance.

76. Control of candidature

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

77. Other studies during the candidature

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

78. Earliest date for submission

- (1) Except as provided in Rule 78(2), a candidate may not submit a thesis for examination earlier than the end of the sixth semester of candidature.
- (2) A faculty or college board may permit a candidate holding any of the following qualifications of the University of Sydney or from such other institution as the faculty or college board may approve, to submit a thesis for examination not earlier than the end of the fourth semester of candidature:
 - (a) a degree of master completed primarily by research;
 - (b) both the degrees of Bachelor of Dental Surgery with honours and Bachelor of Science (Dental) with honours;
 - (c) both the degrees of Bachelor of Medicine with honours and Bachelor of Science (Medical) with honours; or
 - (d) both the degrees of Bachelor of Veterinary Science with honours and Bachelor of Science (Veterinary) with honours.
- (3) Notwithstanding Rules 78(1) and (2) a faculty may, on the recommendation of the head of department and supervisor concerned, permit a candidate to submit a thesis for examination up to one semester earlier than prescribed if, in the opinion of the faculty, evidence has been produced that the candidate has made exceptional progress in his or her candidature.

79. Latest date for submission

- (1) Except as provided in Rules 79(2) to (3), a candidate shall submit the thesis for examination not later than the end of the eighth semester of candidature.
- (2) A candidate whose candidature has been part-time throughout shall submit the thesis for examination not later than the end of the 16th semester of candidature.
- (3) The time limits set out in Rules 79(1) to (2) apply to candidates who commence candidature after 31 December 2000. Candidates who commenced candidature prior to this date may choose to proceed in accordance with the Rules in force at the time when they commenced candidature.
- (4) The relevant dean may permit a candidate to submit the thesis for examination after a period of time greater than the maximum periods specified.

80. Credit for previous studies

- (1) A candidate who, at the date of admission to candidature, has completed not less than 6 months as a candidate for

the degree of master in any faculty or board of studies of the University of Sydney, may be permitted by the faculty concerned to be credited for the whole or any part of the period of candidature completed for the degree of master as a period of candidature completed for the degree of Doctor of Philosophy, provided that the period of candidature for the degree of master for which credit is sought shall have been a course of full-time or part-time advanced study and research under a supervisor appointed by the faculty or board of studies concerned and directly related to the candidate's proposed course of advanced study and research for the degree of Doctor of Philosophy.

- (2) A candidate who, at the date of admission has completed not less than six months as a candidate for a higher degree in another university or institution may be permitted by the Academic Board, on the recommendation of the faculty concerned, to be credited for the whole or any part of the period of candidature completed as a period completed for the degree of Doctor of Philosophy of the University of Sydney, provided that:
 - (a) at the date of admission to candidature for the higher degree of the other university or institution concerned the candidate shall have fulfilled the requirements of Rule 74;
 - (b) the period of candidature for the higher degree of the other university or institution concerned for which credit is sought shall have been a course of full-time or part-time advanced study and research under a supervisor appointed by the other university or institution concerned and directly related to the candidate's proposed course of advanced study and research in the University of Sydney;
 - (c) the candidate shall have abandoned candidature for the higher degree of the other university or institution concerned for which credit is sought;
 - (d) the amount of credit which may be so granted shall not exceed one year; and
 - (e) no candidate who has been granted credit shall present a thesis for examination for the degree earlier than the end of the second year after acceptance.
- (3) The Faculty of Medicine may grant credit not exceeding one year to a candidate for the degree of Doctor of Philosophy in that Faculty who has submitted documented evidence of having previously completed supervised study towards the degree of Doctor of Medicine of The University of Sydney.

81. Appointment of supervisors

- (1) The faculty or college board, on the recommendation of the head of department concerned, shall appoint a suitably qualified supervisor for each candidate to take primary responsibility for the conduct of the candidature and to be responsible for the progress of the candidature to the head of department and the faculty or college board concerned.
- (2) The faculty or college board, on the recommendation of the head of department concerned, shall normally also appoint one or more associate supervisors for each candidate to assist in the supervision of that candidate.
- (3) The faculty or college board, on the recommendation of the head of department concerned, shall appoint an acting supervisor during any absence of the supervisor from the University for a period of more than one month.

82. Qualifications of supervisor

- (1) A person appointed as a supervisor must be either:
 - (a) a member of the academic staff;

- (b) a member of the senior research staff;
- (c) a person upon whom the Senate has conferred an academic title or a clinical academic title; or
- (d) such other member of the staff of the University as may be considered appropriate in a particular case by the Graduate Studies Committee.

- (2) A person appointed as an associate supervisor must:
 - (a) hold the qualifications referred to in Rule 82(1);
 - (b) have been appointed as an honorary associate of the University; or
 - (c) have been appointed as an associate supervisor within the faculty by the dean of the faculty concerned.

83. Location

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

84. Progress

- (1) At the end of each year each candidate shall provide evidence of progress to the satisfaction of the supervisor and head of department concerned and any Departmental or Faculty Postgraduate Review Committee.
- (2) On the basis of evidence provided, the head of department shall recommend the conditions of candidature to apply for the following year and may require the candidate to provide further evidence of progress at the end of one semester or such other period as the head of department considers appropriate.
- (3) If a candidate fails to submit evidence of progress or if the head of department concerned considers that the evidence submitted does not indicate satisfactory progress, the faculty or college board may, on the head's recommendation, call upon that candidate to show cause why that candidature should not be terminated by reason of unsatisfactory progress towards completion of the degree and where, in the opinion of the faculty or college board, the candidate does not show good cause the faculty or college board may terminate that candidature or may impose conditions on the continuation of that candidature.

85. The thesis

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

86. Examination

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

87. Heads of department

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

88. Definitions

In this Division 4:

- (a) a reference to a department includes a reference to a school; and
- (b) 'Faculty' includes the Australian Graduate School of Management.

Division 5: Higher degree theses

89. Lodgment

- (1) In all cases where a higher degree has been awarded, after examination of a thesis the Registrar shall lodge with the University Librarian one bound copy of the thesis, printed on permanent or archival paper.
- (2) It is the policy of the Senate that a candidate for a higher degree should not normally be permitted to undertake a program of advanced study and research which is likely to result in the lodgment of a thesis which cannot be available for use immediately, to be read, photocopied or microfilmed, except as provided in Rule 92 below.
- (3) An applicant for admission to candidature for a higher degree shall be required to acknowledge awareness of this policy when applying for such admission.
- (4) Subject to Rules 90 and 91, a higher degree thesis lodged in the University Library or in a departmental library shall be available immediately for use. The University Librarian (or, in the case of a departmental library, the head of department) may supply a copy of the thesis to an individual for research or study, or to a library.
- (5) Except as provided in Rule 90, a candidate for a higher degree lodging a thesis for examination shall sign the following undertaking:
 'I understand that if I am awarded a higher degree for my thesis entitled '.....' being lodged herewith for examination, the thesis will be lodged in the University Library and be available immediately for use. I agree that the University Librarian (or, in the case of a departmental library, the head of department) may supply a copy of the thesis to an individual for research or study or to a library.
 Signed.....Date.....'

90. Use of confidential material

- (1) If, at any time between application for admission to candidature and the lodgment of the thesis, it shall appear to the supervisor and to the head of the department that successful prosecution of the candidature will require the use of confidential material which the candidate would not be at liberty fully to disclose in the thesis, the matter shall be reported as soon as practicable to the faculty or board of studies concerned.
- (2) The faculty or board of studies may, if it thinks fit, recommend to the Graduate Studies Committee of the Academic Board that the candidate be granted:
 - (a) permission to include in an appendix to the thesis such material as is essential to the thesis but which, for a limited period, may not be available for general inspection; and
 - (b) exemption, in respect of such an appendix, from the requirement to give the undertaking specified in Rule 89(5).
- (3) Subject to the provisions of Rule 91, if the Graduate Studies Committee of the Academic Board resolves to grant such permission and exemption, the University Librarian shall restrict access, for a period to be specified by the Graduate Studies Committee of the Academic Board, to any appendix referred to in Rule 90(2)(b). This period of restriction shall not exceed five years unless there are exceptional reasons for an extension of the period.

91. Access to restricted thesis

- (1) The University Librarian may grant access to an appendix to a thesis to which access has been restricted in accordance with Rule 90(3), to a scholar who—
 - (a) demonstrates bona fide concern with the material in that appendix; and
 - (b) has the written consent of either:
 - (i) the author of the thesis, or
 - (ii) the head of the department concerned in a case where the author cannot be contacted, notwithstanding that all reasonable steps have been taken to contact him or her.
- (2) Notwithstanding any other provision of these resolutions, the examiners of a thesis, including any committee or board of postgraduate studies of a faculty or board of studies or any committee of the Academic Board which is directly concerned with the examination of such thesis, shall have access to the thesis and any appendix of it for the purposes of any examination or re-examination.
- (3) Immediately a candidate for a higher degree lodges the prescribed number of copies of the thesis with the Registrar for examination, the Registrar shall arrange for a label stating the rights of the author under the laws relating to copyright to be affixed to the inside of the front cover of each copy or to any disk or other electronic medium on which the thesis is submitted.

92. Public availability of theses

- (1) For the purposes of this Part 10, references to ‘theses’ shall be taken to include also reference to treatises, dissertations and other similar productions where there is a requirement that a copy of the production be lodged by the Registrar with the University Librarian.
- (2) The Senate recognises that there are certain circumstances where deferment of the public availability of the thesis is appropriate.
- (3) In a case where a candidate or potential candidate is to be associated with a project in collaboration with industry that has potential for concern over exploitation of intellectual property, the Dean, if satisfied that the circumstances warrant it, may recommend to the Graduate Studies Committee of the Academic Board that:
 - (a) the candidate or prospective candidate be granted exemption from the requirement to give the undertaking specified in Rules 89(3) and 89(5); and
 - (b) authorisation be given to the Registrar to delay lodgment of the thesis in the Library for a period that, except in exceptional circumstances, shall not exceed 18 months from the date of the award of the degree.
- (4) The Senate authorises the Chair of the Graduate Studies Committee to approve such applications where the Chair is satisfied that they are appropriate.
- (5) If, at any time between application for admission to candidate and the lodgment of the thesis, it shall appear to the candidate, supervisor and to the head of the department that there are reasons to believe that the candidate’s interests would be at risk if the thesis were immediately made available, the candidate may apply in writing for deferment of the availability of that thesis in the University Library for a specific period of time. Any such application should set out clearly the reasons for the request and include supporting evidence, as appropriate.
- (6) The dean, if satisfied that such a deferment is necessary

- to protect the interests of the candidate, may:
- (a) authorise the Registrar not to lodge the thesis in the Library for a period not exceeding 6 months from the date of award of the degree; and may also
 - (b) recommend to the Graduate Studies Committee of the Academic Board that a longer period of deferment, or an extension of the original deferment, be approved provided that, except in exceptional circumstances, the total period shall not exceed 18 months.

Appendix 4

Extract from the University of Sydney Calendar 2003

Degree of Doctor of Philosophy: Resolutions of the Academic Board

Form of the thesis

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

1. The four copies may be bound in either a permanent or temporary form as set out in subsections (a) and (b).
 - (a) A thesis submitted in permanent binding shall be on international standard A4 size paper sewn and bound in boards covered with bookcloth or buckram or other binding fabric. The title of the thesis, the candidate's initials and surname, the title of the degree, the year of submission and the name of the University of Sydney should appear in lettering on the front cover or on the title page. The lettering on the spine, reading from top to bottom, should conform as far as possible to the above except that the name of the University of Sydney may be omitted and the thesis title abbreviated. Supporting material should be bound in the back of the thesis as an appendix or in a separate set of covers.
 - (b) A thesis submitted in a temporary binding should be strong enough to withstand ordinary handling and postage. The preferred form of temporary binding is the 'perfect binding' system — ring-back or spiral binding is not acceptable. A thesis submitted in temporary form shall have fixed to the cover a label clearly identifying the name of the candidate, the title of the thesis and the year of submission. The Xerox Demand Binding system is acceptable both for temporary and permanent purposes.
2. A thesis may also be submitted in electronic form in accordance with the provisions of section 3.
 - (a) When a thesis is submitted in electronic form, four copies must be submitted as set out in subsection (b).
 - (b) A thesis submitted in electronic form must normally be submitted on disk and must be in a format which the faculty determines as acceptable to both the candidate and the examiner(s), with the same structure as the ultimate printed version referred to in sections 1(a) and 4, and each chapter must be in a separate document.

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

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

Provision for electronic submission of theses for the purpose of examination may occur where both the candidate wishes to submit in this form and examiners are prepared to examine in this way.

Candidates wishing to submit electronically are required to advise of their intent to submit so that arrangements may be made with prospective examiners.

The usual examination process will be followed when a thesis is submitted electronically, except as set out below.

- (a) A student who wishes to submit electronically must so advise the supervisor and the department at least three months prior to submission.

This advice should be by the completion of a (centrally-designed) form, on which the student must indicate the likely length of the thesis and any special features relating to its format.
 - (b) Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically.
 - (c) When confirming the appointment of examiners, the faculty office should confirm their willingness or otherwise to examine an electronic version of the thesis.
 - (d) Prospective examiners must be advised of the format in which the thesis is available and they must be asked whether they prefer to accept it in that form (on disk, but possibly as an e-mail attachment) or in the traditional hard copy form.
 - (e) Under certain circumstances particular specialised electronic applications may form part of the thesis. In such circumstances, it should be ascertained that the examiner has the capability to accept this format, and this must be done three months prior to submission.
 - (f) If an examiner advises that he or she does not wish to examine electronically, then the examiner will be sent a hard copy of the thesis.
4. The degree shall not be awarded until the candidate has submitted a permanently bound copy of the thesis (containing any corrections or amendments that may be required) and printed on acid-free or permanent paper, for lodgement in the University Library.

THE EXAMINATION PROCESS

1. Appointment of examiners

Faculty or college board to seek recommendation for examiners

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

Examiners not appointed

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

Delays in appointment to be avoided

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

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

Head to consult and recommend

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

(5) The head of department shall recommend the appointment of three examiners of the thesis of whom at least two shall be external to the University, i.e. not being a member of the staff of the University or holding a clinical academic title. The supervisor shall not be an examiner.

(6) The head of department may also recommend the appointment of one or more qualified additional persons who may be called on to act in place of one or more of the three first appointed examiners.

Qualifications of examiners

- (7) (a) Examiners recommended should be known to be familiar with the supervision and examination of research theses and should normally still be active in research and/or scholarship.
- (b) An examiner appointed to act as an assessor under section 4(3)(e) should possess very high standing in the subject in question.

Examiners free from bias

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

Involvement of candidate

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

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

Faculty to appoint examiners

- (11)(a) The head of department shall make a recommendation to the faculty for the appointment of examiners. In making this recommendation, the head of department should indicate: whether or not he or she has ascertained the prospective examiners' willingness to examine
- (i) electronically; or
 - (ii) conduct an oral examination whether or not they wish to examine in this way, and, if so, the format(s) in which they are able to receive the thesis. Examiners must be selected in the normal way and no regard paid to whether or not they would wish to examine electronically or participate in an oral examination of the thesis

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

Report to PhD Award Sub-Committee

(12) The faculty or college board shall, using the prescribed form, report the names and qualifications of the examiners appointed to the PhD Award Sub-Committee which may itself appoint, or may request the faculty or college board to recommend for appointment, one or more additional examiners. When an unusual choice of internal examiner is made, a short justification of why that examiner was chosen should be provided by the faculty concerned. The faculty or college board shall indicate on the form which, if any, of the examiners will be examining the thesis electronically or if the student will be submitting to an oral examination of the thesis.

Names not to be disclosed

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

Invitation to examiners

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

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

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

Delay between appointment of examiners and receipt of thesis

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

Delegations of authority

(18) A head of department may delegate to a specified member of the academic staff his or her responsibilities under this section by countersigning a specific recommendation in respect of a particular candidature

or by making, and forwarding to the Registrar, a written statement of delegation of those powers.

2. Consideration by examiners

Examiners to report within two months

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

Examiners to submit independent reports

(2) The examiner shall be advised by the Registrar of the names of the other examiners who have agreed to act and may consult these co-examiners directly at any stage of the examining process, but shall submit an independent report and shall not have any right of access to other examiners' reports.

Content of report

- (3) The report shall include the recommendation that:
- the candidate be awarded the degree without further examination; or
 - the candidate be awarded the degree subject to correcting typographical errors before the degree is conferred (typographical errors include spelling, grammar, punctuation, capitalisation and reference dates); or
 - the candidate be awarded the degree subject to conditions listed in the examiner's report being addressed to the satisfaction of the University (which may include a recommendation that if reasonably possible the candidate should be required to take an additional oral or other examination); or
 - the candidate be not awarded the degree, but be permitted to resubmit the thesis in a revised form for re-examination following a further period of study, the examiner having formed the opinion that the errors or deficiencies substantially affect the argument or the thesis; or
 - the candidate be not awarded the degree.
 - In the case of a thesis which is also to be examined by an oral examination, the report of the examiners shall be an interim report, to be completed following the conclusion of the oral examination.
- (4) The report shall also record whether in the opinion of the examiner—
- the thesis is a substantially original contribution to the knowledge of the subject concerned;
 - the thesis affords evidence of originality by the discovery of new facts;
 - the thesis affords evidence of originality by the exercising of independent critical ability;
 - the thesis is satisfactory as regards literary presentation; and
 - a substantial amount of material in the thesis is suitable for publication.
- (5) The examiner shall state the grounds on which his or her recommendation is based, indicating the strengths and weaknesses of the thesis and the particular contributions made by the candidate and may list emendations that it is considered should be made and shall indicate the extent of any consultation with other examiners or associate or co-examiners.

Release of examiners' names

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

Receipt of reports to be monitored

- (7) The Registrar shall acknowledge receipt of reports as received and arrange for payment of the examiner's fee to external examiners.
- (8) The Registrar shall contact any examiner who has not submitted his or her report within six weeks of despatch of the thesis, reminding the examiner of the due date for the report, and the Registrar shall contact any examiner who has not submitted his or her report within ten weeks of despatch of the thesis, requesting advice as to when it will be submitted and reminding the examiner of the conditions of the examination.

Replacement examiner if report not received

- (9) The Registrar shall contact any examiner who has not submitted the report by the end of the fourteenth week after despatch of the thesis, advising that it will be necessary to proceed to the appointment of a replacement examiner if the report is not received within a further two weeks and shall proceed to do so if the report is not received within that time.
- (10) Notwithstanding the fact that replacement examiners may previously have been appointed, the Registrar shall seek advice from the head of department as to who should act as a replacement examiner in the event of an examiner being replaced under the circumstances referred to in section 2(9) and, if necessary, the faculty or college board shall appoint a further qualified examiner on the recommendation of the head of department who shall, if necessary, have carried out the same consultative procedures as applied to the initial appointment of examiners.
- (11) Should the process of appointing a replacement examiner under the circumstances referred to in section 2(9) have proceeded to the point where a copy of the thesis has been dispatched to the replacement examiner, any report subsequently received from the examiner who has been replaced shall not be considered in determining the result of the candidature.
- (12) Notwithstanding the provisions of sections 2(9) to 2(11), the PhD Award Sub-Committee or its Chair may, in such circumstances as it shall determine are exceptional, and on the recommendation of the faculty or college board concerned, allow some specific variation to those requirements.
- (13) In the case of a thesis also being examined by an oral examination, the procedures for the conduct of the oral examination and the consideration of the examiners' reports shall be those adopted by the Academic Board.

3. Consideration of examiners' reports

By the faculty

- (1) When all three examiners' reports have been received,
- if all examiners have recommended either that the degree be awarded without qualification or the degree be awarded subject to correction of typographical errors, the faculty may award the degree either without further examination or subject to the correction of typographical errors (as specified by the examiners) being made in all copies of the thesis to be retained

- in the University before the degree is conferred and shall forward the reports to the head of department and supervisor for information; or
- (b) if any other recommendations have been made, the faculty shall forward the reports to the head of department for a recommendation and to the supervisor.
- (c) In the case of a thesis also being examined by an oral examination, the procedures for the consideration of the examiners' reports shall be those adopted by the Academic Board.

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

Head of department to consult

- (3) The head of department, if there is disagreement among the examiners, or, if asked to comment of the report of an oral examination, shall, before making a recommendation, if reasonably possible, consult the candidate's supervisor and shall consult the candidate's annual progress reports.
- (4) The head of department shall indicate when making his or her recommendation the nature and extent of consultation that has been carried out and shall forward a copy of any written report he or she has received from the supervisor.

Head of department's recommendation

- (5) The head of department, having considered the reports of the examiners and carried out any required consultation, may make one of the following recommendations:
- (a) that the degree be awarded without further conditions; or
- (b) that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or
- (c) that the degree be awarded subject to emendations being made in all copies of the thesis to be retained in the University; or
- (d) except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner; or
- (e) except in the case of the report of an oral examination, that an additional examiner be appointed; or
- (f) except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an assessor of the reports of the other examiners, and the comments of the supervisor, whether or not already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor.

- (g) except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or
- (h) that the candidate not be awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or
- (i) that the degree be not awarded.

Head of department to specify emendations

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

Release of examiners' reports

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

Delegation of authority

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

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

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

- (1) (a) The head of department shall forward his or her recommendation to the dean of the faculty or chair of the college board.
- (b) If the head of department has recommended that the degree be awarded, under section 3(5)(c), subject to emendations as specified by one or more of the examiners, and one or more of the examiners have recommended that the degree be awarded subject to emendations and the remaining examiners have recommended award without further examination or subject to the correction of typographical error, the faculty may award the degree subject to all the corrections and/or emendations required by the examiners being carried out in all the copies of the thesis to be retained in the University before the degree is conferred.
- (c) If the head of department has recommended, under section 3(5)(c), that the degree be awarded but that not all the emendations required by all the examiners should be carried out, the faculty may not award the degree, and the reports of the examiners, together with the recommendation of the head of department and of the faculty or college board, shall be forwarded to the PhD Award Sub-Committee. The recommendation of the Faculty

shall specify the nature of such corrections, emendations or other conditions as may be intended.

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

PhD Award Sub-Committee action

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

- (a) may award the degree without further examination; or
- (b) may award the degree subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or
- (c) may award the degree subject to emendations specified by the head of department or the Sub-Committee being made in all copies of the thesis to remain available in the University; or
- (d) may refer the candidature to the faculty or college board concerned;

and shall refer the candidature to the faculty or college board concerned if a member of the Sub-Committee so requires and the examiners' reports and the recommendation of the head of department have not already been considered by the faculty or college board.

Faculty or college board action

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

- (a) to recommend to the PhD Award Sub-Committee that the degree be awarded without further examination; or
- (b) to recommend to the PhD Award Sub-Committee that the degree be awarded subject to the correction of typographical errors being made in all the copies of the thesis to be retained in the University before the degree is conferred; or
- (c) to recommend to the PhD Award Sub-Committee that the degree be awarded subject to emendations specified by the head of department or the faculty or college board being made in all copies of the thesis to remain available in the University; or
- (d) except in the case of the report of an oral examination, that the candidate be required to take an additional oral or other examination or answer specific questions put by an examiner, this not being a substitute for requiring the candidate to make emendations to the thesis or to revise and resubmit the thesis; or
- (e) except in the case of the report of an oral examination, that an additional examiner be appointed; or
- (f) except in the case of the report of an oral examination, that an additional examiner be appointed to examine the thesis and act as an

assessor of the reports of the other examiners, and the comments of the supervisor, whether or nor already an examiner, subject to endorsement by the PhD Award Sub-Committee which will consider the reports of the examiners and the justification forwarded by the Board of Postgraduate Studies. In cases where the faculty had previously formed the intention to resolve that the degree be not awarded, or the candidate be allowed to revise and resubmit, and the candidate's comments have been received, the faculty's Postgraduate Committee should determine whether the candidate's comments should be forwarded to the assessor.

- (g) except in the case of the report of an oral examination, that the reports of the examiners, together with comments from the supervisor, whether or not already an examiner, shall be referred to all the examiners for their comment; or
- (h) that the candidate not be awarded the degree, but be allowed to revise and resubmit the thesis within a prescribed maximum period of time; or
- (i) that the degree be not awarded.

Award without further conditions

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

Award subject to correction of typographical errors

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

Award subject to emendations

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

Additional oral or other examination

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

put by an examiner have been answered, the faculty or college board shall obtain a further recommendation from the head of department and shall then resolve in accordance with section 4(3)(a) – (c), (h) or (i).

Conduct of oral examination

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

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

Additional examiner

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

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

Additional examiner as assessor

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

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

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

Referral of reports to examiners

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

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

Candidate to be consulted before degree not awarded

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

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

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

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

Revise and resubmit

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

Degree not awarded

(22) Where a faculty or college board, following the consultation process referred to in sections 4(17)–4(20),

resolves under section 4(3)(j) that the degree not be awarded, this decision shall be reported to the PhD Award Sub-Committee which may note the decision or refer it back to the faculty or college board for further consideration, and the Registrar shall advise the candidate of the decision, of any provisions relating to appeals, shall provide such detail in relation to the examiners' reports as the head of department recommends and shall also advise the examiners, head of department and supervisor of the decision.

Emendations and lodging of corrected thesis

- (23) A candidate, on receipt of advice from the Registrar that the degree has been awarded subject to emendations being made, shall make these emendations in consultation with his or her supervisor or head of department on all the copies of the thesis which are to be available within the University, including the copy printed on permanent or acid-free paper which is to be lodged with the University Librarian; shall comply with the requirements with respect to permanently binding a copy of the thesis; shall request the head of department to certify that the corrections have been made and shall submit the thesis copies to the Registrar by no later than the latest date advised for completing such action.
- (24) The Registrar, on receipt of at least one corrected, permanently bound copy of the thesis and a statement from the head of department that the corrections have been made to his or her satisfaction, shall cause all corrected hard copies submitted to be stamped, and electronic copies to be annotated and stored as 'read-only file' to indicate that the thesis is in the form which has been accepted for the degree; shall advise either the PhD Award Sub-Committee or the faculty, as appropriate, that the corrections have been made and that the faculty or Sub-Committee can therefore approve the award of the degree; shall write to the candidate advising that all the requirements for the award of the degree have been met; shall lodge the permanently printed copy with the University Librarian, and shall so advise the examiners, head of department and supervisor.
- (25) If a candidate does not carry out the required emendations within the time limit set, or the head of department after consultation with the supervisor does not consider that the emendations made are satisfactory, the head of the department shall refer the matter to the faculty or college board which may grant additional time or set different conditions or may initiate proceedings under the provisions for the termination of candidature.

Transfer to master's candidature

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

Participation of supervisor and head of department

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

Delegation of authority

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

statement of delegation of those powers.

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

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

5. Revision and re-examination

Faculty or college board to prescribe conditions

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

Candidate to re-enrol

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

Appointment of examiners

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

Process of examination

- (4) Subject to section 5(5), all the provisions of sections 1, 2, 3 and 4 relating to the examination process apply to the examination of a revised and resubmitted thesis.
- (5) Except where the Graduate Studies Committee on the recommendation of the faculty or college board permits otherwise, the recommendation that a candidate be not awarded the degree but be permitted to resubmit the thesis in a revised form for re-examination shall not be available to examiners of a thesis that has itself been submitted for re-examination.

6. Faculty and college board delegations

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

7. Annual quarterly reports to the PhD Award Sub Committee

Where the degree is awarded by faculty delegation, the faculty shall report to the PhD Award Sub-Committee at the end of March, June, September and December of each year the details of such awards for the previous three months showing for each the name of the candidate, the department, the title of the thesis, the category of

award recommended by each examiner, the final result, the date of submission of the thesis and the date on which the candidate was informed of the result.

8. Cotutelle agreements

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

(2) Where a candidature has been conducted under an approved cotutelle agreement with other than a French university the examination arrangements must be approved by the Graduate Studies Committee.

Appendix 5

Code of practice for supervision of postgraduate research students

Introduction

The University of Sydney is an institution of higher education at which research and research training of the highest national and international quality are pre-eminent responsibilities. The University has a responsibility to ensure that candidates for higher degrees work in an appropriate intellectual and academic environment. A postgraduate research candidature involves a commitment from the student, the supervisor and the University which will extend over years. In this context the University has defined the minimum responsibilities of all parties concerned with the supervision of postgraduate research candidates in the following guidelines. These have to be read in conjunction with the University's regulations for particular degrees and the defined roles of heads of departments and schools, deans and faculties and colleges.

A. Responsibilities at University level

The University has the responsibility:

- (a) to ensure that adequate University policies in respect of postgraduate supervision are developed and kept under review and are effectively promulgated;
- (b) to ensure that candidates have an acceptable level of access to physical space and other facilities, including library facilities, and that departments advise prospective candidates of what facilities will be made available;
- (c) to ensure that adequate support services in areas such as learning assistance are available;
- (d) to ensure that adequate training and other support is provided for supervisors of postgraduate students;
- (e) to ensure that clear policies exist with respect to the intellectual property rights of students and staff;
- (f) to ensure throughout the candidature that there are effective reporting and review mechanisms in place and that there are procedures to allow candidates to seek assistance in the resolution of difficulties;
- (g) to ensure that the examining process for postgraduate candidates is both expeditious and maintains the standards required for the degrees concerned;
- (h) to ensure that adequate appeal mechanisms exist;
- (i) to provide adequate resources for handling the administrative implications of this Code of Practice.

B. Responsibilities at the faculty or college level

The faculty or college has the responsibility:

- (a) to ensure that applicants for admission to candidature are properly qualified both with respect to the minimum requirements for admission to the degree concerned and with respect to the particular course of study proposed;
- (b) to ensure that facilities required for any particular candidature are available or will be available before approving the admission of particular candidates;
- (c) to ensure that the supervisor and associate supervisor recommended are properly qualified and that where it is proposed that a supervisor supervise more than five candidates an adequate justification is provided;

- (d) to ensure that appropriate review mechanisms exist within departments and that departments are properly advising candidates of their rights and obligations;
- (e) to monitor the progress of postgraduate candidates during the whole candidature through reports from departments and to intervene if necessary;
- (f) to ensure that candidates within the faculty or college are aware of persons within the faculty or college to whom they can turn for advice;
- (g) to ensure that the annual attendance requirements established for each candidate comply with any faculty policy and are generally seen to be satisfactory;
- (h) to ensure that examiners recommended are appropriately qualified and that the examination process is both expeditious and maintains the standards required for the degree concerned.

C. Responsibilities at the departmental level

These responsibilities are those of the head of department. They may, however, in many instances be delegated to a postgraduate coordinator or may be exercised through a departmental committee. Such delegations must be clearly defined.

The department has the responsibility:

- (a) to ensure that applicants for admission to candidature are properly qualified both with respect to the minimum requirements for admission to the degree concerned and with respect to the particular course of study proposed and that they have had appropriate discussions/correspondence concerning their proposed course of study;
- (b) to determine the facilities likely to be required for any particular candidature and to ascertain whether they will be available and whether the project proposed is appropriate to the degree;
- (c) to ensure that applicants are correctly advised as to the availability of facilities including access to physical space and other resources and are correctly advised as to the financial support that is likely to be available to them;
- (d) to ensure that adequate appropriate supervision can be made available for any particular candidature, for monitoring the supervision load of members of staff within the department, for ensuring that proper recognition of that load is given in the overall allocation of duties within the department and to ensure that the candidate receives proper supervision throughout the candidature;
- (e) to ensure that the respective role of supervisors and associate supervisors is properly defined and understood and that they have access to information defining their responsibilities;
- (f) to encourage supervisors and associate supervisors to participate in supervision training activities provided within the University;
- (g) to ensure that candidates are provided with written information concerning departmental facilities and requirements including reference to arrangements for alternative channels of problem resolution and the various review mechanisms that operate within the department;
- (h) to ensure that opportunities exist within the department or the faculty for interaction and development of profitable intellectual relationships amongst students and staff and that all students are encouraged to participate in appropriate departmental or faculty activities;

- (i) to ensure that students are encouraged to participate in appropriate training activities offered within the University;
- (j) to ensure that review procedures as required by the University are carried out properly; the load that participation in such activities places on members of staff must be recognised within the department;
- (k) to ensure that appropriate alternative supervision is provided during absences from the University of the supervisor; an acting supervisor should be appointed when the supervisor will be absent for periods of absence of a month or more, including during the thesis examination period;
- (l) to ensure that where a postgraduate coordinator or equivalent has been appointed the duties and responsibilities of the position are properly defined, adequate resources are provided to assist in the performance of those duties and proper recognition is given to the workload these duties entail;
- (m) to ensure that necessary approvals are obtained from the faculty in respect of conditions of candidatures, that scholarship reporting requirements are met and that candidates receive all due entitlements;
- (n) to ensure that the examination process is conducted promptly in an expeditious and correct manner; this includes early selection of appropriate examiners;
- (o) to ensure that students and supervisors are aware of the University's policies and procedures with respect to intellectual property, including questions of authorship and exploitation of inventions and other intellectual property.

D. Responsibilities of the supervisor

1. The supervisor has a responsibility before undertaking the supervision of any candidature:

- (a) to ensure to the best of his or her ability that the candidate is prima facie capable of undertaking the project proposed and that the proposed supervisor is both suitably qualified to carry out the supervision and has sufficient time available;
- (b) to ensure that the facilities are available to enable the project to succeed; the supervisor should pay particular attention to the likely time scale of the project bearing in mind that a three-year (full-time equivalent) PhD candidature should be an objective. If the supervisor is not confident at this stage that the research proposal is likely to succeed or that the facilities are available or has any doubts about his or her ability for any reason to supervise the candidate he or she must raise this with the head of department, postgraduate coordinator and/or faculty. A decision should then be made as to whether the candidature may proceed or whether the candidate might be better supervised by another person or require the assistance of an associate supervisor. Particularly careful attention must be paid to proposals for part-time candidature.

2. Where the supervisor of a research student has any interest in a company that has contracted with the University to do research involving research students, the supervisor must declare this interest to the department and the student before embarking on a research program.

3. The supervisor has a responsibility:

- (a) to ensure that the candidate is aware of the standards expected for the degree concerned and for identifying with the candidate the particular research skills that will need to be acquired and the most appropriate data-gathering and analysing techniques;
- (b) for reaching agreement with the candidate on the contact that will be necessary between them both in

general terms and quite specifically for the first year of a PhD candidature or first semester of a master's candidature; this will include agreement upon indicators of progress being made and submission of appropriate written work, interim reports or research results. Written work is to be returned by the supervisor with constructive criticism within one month or a shorter agreed time;

- (c) to ensure that the candidate participates in the work of the department including presentations at departmental seminars.

4. The supervisor has a responsibility especially over the initial phase of candidature to ensure that facilities identified as necessary do eventuate, to encourage the candidate to extend his or her contacts within the department and elsewhere, to encourage the candidate to make productive use of his or her time and to ensure that commitments made in respect of availability and contact are met by both parties.

5. The supervisor has a responsibility:

- (a) to provide feedback on progress to the candidate and to make annual progress reports to faculty, to any scholarship authority and, after the first twelve months, to the departmental review committee;
- (b) to ensure that the candidate is made aware of inadequate progress or of standards of work below that generally expected, to identify the problems and to suggest ways of addressing them.

6. The supervisor has a responsibility, as the candidature progresses, to negotiate different contact arrangements as may be appropriate. The supervisor should ensure that both candidate and supervisor have clarified what each expects of the other.

7. 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 theses. She or he should also give prompt feedback on drafts submitted.

8. 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 thesis and that, if necessary, the scope of the project is reduced to meet the time available.

9. The supervisor has a responsibility:

- (a) to identify the various degree and other administrative requirements and to advise the candidate as necessary; he or she should ensure that necessary approvals are sought for absences from the University by the candidate and that the candidate receives any due entitlements from the department;
- (b) to advise each candidate of applicable government and institutional guidelines for the conduct of research, including requirements relating to ethical approvals for studies on human or animal subjects, and the use of potentially hazardous agents; reference should be made to the AV-CC Guidelines for Responsible Practice in Research and Dealing with Problems of Research Misconduct; as far as possible, research supervisors should ensure that the work submitted by candidates is their own and that data are valid;
- (c) to ensure that the candidate is aware of the requirements regarding the retention of data within departments and the requirements of members of staff to complete a statement of authorship in respect of each paper submitted for publication;
- (d) to ensure that safe working practices are developed and maintained and that the candidate is aware of the University's Occupational Health and Safety Policies.

10. The supervisor has a responsibility, where an associate supervisor has been appointed:

- (a) to ensure that responsibilities are clearly understood by all three parties and should maintain regular contact with the associate supervisor;
- (b) to ensure that the direction of the work is entirely under the control of the University and the candidate.

11. The supervisor has a responsibility to ensure that an acting supervisor is appointed during her or his absence from the University for any period of a month or more, including during the thesis examination period. He or she should inform such an acting supervisor about the progress of the candidature.

12. The supervisor has a responsibility to give thought to the suitability and availability of examiners in good time before the thesis is submitted and to advise the head of department of the necessity to take action.

13. The supervisor has a responsibility, when the thesis is submitted, to certify whether the thesis is acceptable for examination. This is usually done in the form of a letter to the Registrar stating that the particular thesis is in a form of presentation suitable for examination. This is not an expression of opinion about the merit of the work.

14. The supervisor has a responsibility to reach agreement with the candidate concerning authorship of publications and acknowledgement of contributions during and after the candidature. There should be open and mutual recognition of the candidate's and supervisor's contribution on all published work arising from the project.

15. The supervisor has a responsibility to be aware of the problem-solving mechanisms and the support services for students which exist within the University and should ensure that the head of department and the faculty or college are kept informed as necessary if problems occur during the candidature.

16. The supervisor has a responsibility to ensure that the candidate is aware of his or her rights with respect to intellectual property and to encourage, where appropriate, the exploitation of such intellectual property through the University.

E. Responsibilities of the candidate

1. The candidate has a responsibility:

- (a) to play an informed part in the process of the selection and appointment of the supervisor;
- (b) to plan and execute the project within the time limits defined for the degree in question;
- (c) to devote sufficient appropriate time to the candidature;
- (d) to establish with his or her supervisor agreed methods of working and then to fulfil his or her side of any agreement;
- (e) to attend as agreed for consultation and provide evidence of the progress being made including submission of any required report forms;
- (f) to undertake any coursework or other activities required by the supervisor or head of department;
- (g) to participate in the opportunities offered by the department to be part of that intellectual community; the candidate must participate in such departmental activities as are required;
- (h) to draw the supervisor's attention to difficulties being experienced, to be aware of the mechanisms that exist for helping with supervisor-candidate difficulties and to take advantage of them if necessary;

- (i) to ensure that there is sufficient time allocated to write up the thesis and to ascertain what is necessary in terms of content, style and presentation.

2. The candidate has a responsibility:

- (a) to be familiar with both the legislative requirements for the degree in which he or she is enrolled and any departmental, faculty or other University written guidelines relating to that degree or to postgraduate work in general;
- (b) to be familiar with government and institutional guidelines for the conduct of research and to ensure that through the supervisor the necessary approvals for studies on animal or human subjects (including the use of questionnaires) are obtained;
- (c) to adopt at all times safe working practices relevant to the field of the research and to take note of the University's Occupational Health and Safety Policies;
- (d) to apply for any faculty or departmental approvals needed to spend time away from the University, whether as part of the candidature or under some form of suspension;
- (e) to ensure that all the administrative requirements of the faculty and the University, such as re-enrolling each year, are met;
- (f) to give three months' notice to the supervisor of the expected submission date of the thesis in order to allow early selection of examiners.

3. The candidate is solely responsible for the content, style and presentation, and for the production, of the thesis that is finally presented.

4. The candidate has a responsibility to make any emendations required after examination in a timely fashion.

5. The candidate has a responsibility to explore with the supervisor and the University the possible exploitation of any invention or other intellectual property arising from the research.

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

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 PVCR 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 PVCR 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 PVCR 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 PVCR 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 PVCR 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 PVCR 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 PVCR 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 PVCR 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 PVCR) 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 8

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
First Semester				
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
Second Semester				
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 Jan 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

Research Studies
Handbook



The University of Sydney