

# Postgraduate research and coursework 2005/06



# Postgraduate research and coursework 2005/06

no limits

### For more information

Website: [www.usyd.edu.au/postgrad](http://www.usyd.edu.au/postgrad)

This brochure was produced by the Publications Office of the University of Sydney from information collected in early 2005 for use in 2005/06.

The University reserves the right to make alterations to any information contained within this publication without notice.

The University of Sydney 2005.  
Printed by Impresscolour



The University of Sydney



---

Postgraduate  
Research and  
Coursework  
Handbook  
2005/06



**The University of Sydney**

# Table of Contents

<b>1</b>	<b>Introduction by Dean of Graduate Studies</b>	<b>5</b>			
1.1	Overview	6	2.4.13	International Office	14
1.2	Purpose of Handbook	6	2.4.14	International Student Services Unit	14
1.3	Regulations	6	2.4.15	Koori Centre	14
1.4	Faculty, college or board of studies handbooks	6	2.4.16	Learning Centre	15
1.5	University of Sydney Diary	6	2.4.17	Library	15
1.6	MyUni – the Student Portal	6	2.4.18	Harassment and Discrimination Resolution	15
1.6.1	UniKey Account	6	2.4.19	Mathematics Learning Centre	15
1.6.2	E-mail	6	2.4.20	Publishing Service	15
1.6.3	Access to the University Network	7	2.4.21	Research Office	15
	1.6.3.1 Dial-In and Broadband Access	7	2.4.22	Student Centre (Camperdown campus)	15
	1.6.3.2 Wireless Access	7	2.4.23	Sydney University Postgraduate Representative Association (SUPRA)	15
	1.6.3.3 Access Centres	7	<b>3</b>	<b>Postgraduate program descriptions</b>	<b>16</b>
1.7	Glossary of frequently used terms	7	3.1	Coursework programs	16
<b>2</b>	<b>University organisation, administration and contact information</b>	<b>10</b>	3.1.1	Graduate certificate	16
2.1	The academic organisation	10	3.1.2	Graduate diploma	16
2.1.1	Faculties and colleges	10	3.1.3	Coursework master's degree	16
2.1.2	Departments and schools	10	3.2	Research programs	16
2.1.3	Graduate Studies Committee	10	3.2.1	Research master's degree	16
2.1.4	Postgraduate Coursework Sub-Committee	11	3.2.2	Doctorates by research and advanced coursework	16
2.1.5	Postgraduate Awards Sub-Committee	11	3.2.3	Doctor of Philosophy (PhD)	17
2.1.6	Academic Board	11	3.2.4	Higher doctorates	17
2.1.7	Senate	11	<b>4</b>	<b>Pre-enrolment</b>	<b>17</b>
2.2	Administration	11	4.1	Admission requirements	17
2.2.1	Departmental/School offices	11	4.1.1	Graduate diplomas and graduate certificates	17
2.2.2	Faculty and college offices	11	4.1.2	Master's degrees	17
2.2.3	Contact information	11	4.1.3	Doctor of Philosophy (PhD)	17
2.3	Principal officers and organisation of the University	12	4.1.4	Graduates of other institutions	18
2.3.1	The Vice-Chancellor and Principal	12	4.2	English language requirements	18
2.3.2	Academic organisation and structure	12	4.2.1	Research students	18
2.3.3	Registrar	12	4.3	Application procedures	18
2.3.4	Student Services	12	4.3.1	International students	18
2.3.5	Student Centre (Camperdown Campus)	12	<b>5</b>	<b>Quotas</b>	<b>19</b>
2.3.6	Cumberland Campus	12	<b>6</b>	<b>Enrolment process</b>	<b>19</b>
2.4	Student facilities	12	6.1	General information	19
2.4.1	Accommodation Service	12	6.2	Re-enrolment	19
2.4.2	Careers Centre	13	6.3	Fee-paying courses	19
2.4.3	Casual Employment Service (CES)	13	6.3.1	Fee-Help Assistance	19
2.4.4	Child Care Information Officer	13	6.4	Refund of tuition fees for fee-paying award courses	20
2.4.5	Copy Centre	13	6.5	Refund of tuition fees for fee-paying units of study	20
2.4.6	Counselling Service	13	6.6	Compulsory subscriptions	20
2.4.7	Disability Services	13	6.7	Commonwealth Supported courses	20
2.4.8	Financial Assistance Office	14	6.8	Changing your enrolment	20
2.4.9	Health Service	14	6.9	Research Training Scheme	20
2.4.10	Information and communication technology resources (ICTR)	14	<b>7</b>	<b>Scholarships and loans</b>	<b>21</b>
2.4.11	Institute for Teaching and Learning	14	7.1	Scholarship application	21
2.4.12	Insurance	14	7.2	Loans	21

<b>8</b>	<b>Candidature</b>	<b>22</b>	11.6.1	The objectives of an oral examination	33
8.1	Types of Candidature	22	11.6.2	The Content of the Oral Examination	33
8.2	Research off-campus	22	11.6.3	The Recommendation to Conduct an Oral Examination	33
8.3	Research students and employment	22	11.6.4	Conduct of the Oral Examination	34
8.4	Converting between full-time and part-time candidature	22	11.6.5	Outcomes of the Oral Examination	34
8.5	International students	22	11.6.6	Role and Responsibilities of the Convener	34
8.6	Part-time candidature for research students	22	<b>12</b>	<b>Outcomes of candidature</b>	<b>35</b>
8.7	Scholarship holders	23	12.1	Grading systems – recommendations of Academic Board	35
8.8	Modes of attendance	23	12.1.1	Grading systems for all master’s degrees, graduate diplomas and graduate certificates	35
<b>9</b>	<b>Research programs: facilities and supervision</b>	<b>23</b>	12.2	Graduation	35
9.1	Research Supervision	23	<b>13</b>	<b>Intellectual property, authorship and ethics</b>	<b>35</b>
9.1.1	The supervisor	23	13.1	Intellectual property	35
9.1.2	The role and duties of the supervisor	23	13.2	Copyright	36
9.1.3	Progress reports and departmental reviews	24	13.3	Confidential research and public availability of theses	36
9.1.4	Associate supervisor	24	13.4	Inventions	36
9.1.5	The responsibilities of the candidate	25	13.5	Authorship and acknowledgment guidelines	36
9.1.6	Ethics and Biosafety	25	13.5.1	Co-authorship	36
<b>10</b>	<b>Satisfactory progress and resolution of problems</b>	<b>26</b>	13.5.2	Other acknowledgments	37
10.1	Satisfactory progress	26	13.6	Ethics and Biosafety	37
10.1.1	Progress report – research students	26	13.7	The University of Sydney Code of Conduct for Responsible Research Practice and Guidelines on Dealing with Allegations of Research Misconduct	37
10.1.2	Departmental review – research students	26	13.8	Academic honesty and plagiarism	37
10.2	Resolution of problems	26	<b>14</b>	<b>Appeals against academic decisions</b>	<b>38</b>
10.3	Time limits and leave	27	<b>APPENDIX 1</b>		
10.4	Suspension of Candidature	27	28	Graduate Studies Committee	38
10.5	Withdrawal	27	<b>APPENDIX 2</b>		
<b>11</b>	<b>Assessment and examination</b>	<b>28</b>	29	Academic Board Resolutions: Management and Evaluation of Coursework Teaching: Code of practice for coursework teaching and learning	40
11.1	Coursework programs: assessment	28	<b>APPENDIX 3</b>		
11.1.1	Common result grades	28	29	Code of Conduct for Responsible Research Practice	43
11.2	Research programs	29	<b>APPENDIX 4</b>		
11.3	Submission of thesis	29	30	Degree of Doctor of Philosophy: Resolutions of the Academic Board	45
11.3.1	Presentation	29	<b>APPENDIX 5</b>		
11.3.2	Binding	29	30	University of Sydney (Doctor of Philosophy (PhD)) Rule 2004	52
11.3.3	Length of thesis	29	<b>APPENDIX 6</b>		
11.3.4	Preface	29	31	Code of practice for supervision of postgraduate research students	55
11.3.5	Inclusion of publications	30	<b>APPENDIX 7</b>		
11.3.6	Number of copies	30	31	University of Sydney (Intellectual Property) Rule 2002	59
11.3.7	Summary	30	<b>APPENDIX 8</b>		
11.3.8	Library copy	30	32	Semester and vacation dates	64
11.3.9	Public availability of thesis	30	32	Index	inside back cover
11.4	Submission	30			
11.4.1	Dissemination of your thesis	31			
11.4.2	Electronic submission of theses	31			
11.5	Examination of thesis	31			
11.5.1	Appointment of examiners	31			
11.5.2	Number of examiners	32			
11.5.3	The examination	32			
11.5.4	Recommendations on Thesis	32			
11.5.5	Examiners’ reports	33			
11.6	Oral Examinations of PhD Theses	33			



---

# 1 Introduction by Professor Masud Behnia, Dean of Graduate Studies

We welcome you to the postgraduate program at the University of Sydney. The University values postgraduate students—you are an important part of our community and your contribution to the knowledge base, success and diversity of the University is acknowledged.

The University offers you three simple but vital advantages:

## **Expertise**

We have the most comprehensive range of courses in Australia, with genuine expertise in all fields and nearly 500 graduate degree programs to choose from. The University has more higher degree research programs than any other university in Australia.

## **Enrichment**

We offer a stimulating, supportive and enriching educational experience at one of the world's leading universities. This is a research-intensive environment: last year the University's income from Research Training Scheme (RTS) grants was higher than any other Australian university. For the fifth year in succession, the University received more funding in new grants from the Australian Research Council (ARC) than any other university in all fields of science, social sciences and the humanities. Students from every continent on the globe are studying at the University of Sydney. You will form lifetime friendships and valuable networks here.

## **Achievement**

Our graduates have achieved and continue to achieve leading roles in their careers. You will find an environment of opportunity; a strengthening experience of self-awareness and self-reliance. Postgraduate students are future leaders of Australia and other countries, as well as the next generation of academics. University of Sydney alumni include Prime Ministers, Governors General, Nobel Prize winners and leaders in every field of endeavour.

We now have more than 15,500 postgraduate students, more than a third of all students at the University. We will continue to make significant investment in facilities for postgraduate students, and targeted academic support for supervisors, course coordinators and lecturers. The Dean of Graduate Studies office works primarily for the benefit and development of all postgraduate students at the University of Sydney. We may be able to assist you during the course of your studies.

My office provides a postgraduate student induction program each semester for all commencing postgraduates. This will give you essential information about how the University works to ensure a smooth transition to postgraduate study, including the rights and responsibilities of students; professional ethics; the Library; academic integrity and intellectual property; and resources for postgraduates, including social and sporting opportunities.

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

**Professor Masud Behnia**  
Dean of Graduate Studies  
[www.dogs.usyd.edu.au](http://www.dogs.usyd.edu.au)

## 1.1 Overview

The University of Sydney is one of the foremost providers of quality postgraduate

education in Australia. The University is the only Australian university which offers award programs across all the discipline areas recognized by the Federal Government in its funding of the tertiary education sector. In 2004, over 12,000 students were enrolled in postgraduate coursework courses and over 3400 students were enrolled in postgraduate research courses at the University of Sydney. A majority of postgraduate students are enrolled in master's degrees by coursework, although there is growing interest in graduate diplomas and graduate certificates.

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

## 1.2 Purpose of Handbook

The purpose of this Handbook is to provide a convenient source of reference for research and coursework postgraduate students about the requirements for postgraduate degrees, graduate diplomas and graduate certificates within the University. It does not attempt to be comprehensive in its coverage but rather, where appropriate, to provide direction to better sources of information. At the end of this document there are copies of, and excerpts from, formal documents which you need to be familiar with, including the University's Code of Practice for Coursework Teaching and Learning. Other useful sources of important information are listed below.

Please note that we have not provided an exhaustive list of the policies applying to students at the University. The full set of University policies is available on *Policy Online*: at [www.usyd.edu.au/policy](http://www.usyd.edu.au/policy).

## 1.3 Regulations

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

The *University of Sydney (Coursework) Rule 2000* (as amended) applies to all candidates for coursework degrees, diplomas and certificates who commence candidature after 1 January 2001. Candidates who commenced candidature prior to this date may choose to proceed in accordance with the resolutions of the Senate in force at the time they enrolled, except that the faculty may determine specific conditions for any student who has re-enrolled in an award course after a period of suspension.

During 2005 faculties will continue revising Senate and faculty resolutions relating to their postgraduate courses pursuant to this Rule.

Other regulations made by the Senate and the Academic Board which govern all the degrees, diplomas and certificates within the University are published in the University's *Calendar 2005*, available online at: [www.usyd.edu.au/about/publications/pub/calendar.shtml](http://www.usyd.edu.au/about/publications/pub/calendar.shtml).

## 1.4 Faculty, college or board of studies handbooks

There are often more detailed faculty resolutions for coursework degrees, diplomas or certificates, and these are published in the relevant faculty, college or board of studies handbooks and in the *Calendar 2005*. Extracts relevant to the course you are undertaking will usually be provided with your offer of admission letter or can be obtained from your faculty, college or board of studies office. Reference is made in this Handbook to the more general rather than the course-specific aspects of these regulations.

## 1.5 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.

## 1.6 MyUni – the Student Portal

MyUni provides access to a number of applications, such as e-mail, timetabling, library loans and WebCT. Online self administration functions and UniKey account management can be accessed from your MyUni workspace.

MyUni offers a range of services, including:

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

MyUni <http://myuni.usyd.edu.au/> is linked to the University's homepage ([www.usyd.edu.au](http://www.usyd.edu.au)).

### 1.6.1 UniKey Account

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

### 1.6.2 E-mail

The University provides you with an e-mail account that is your official contact address. Your e-mail address takes the form: <your UniKey login>@mail.usyd.edu.au (eg: [wxyz2345@mail.usyd.edu.au](mailto:wxyz2345@mail.usyd.edu.au)). For access to your University e-mail account, please go to: [www.mail.usyd.edu.au](http://www.mail.usyd.edu.au). To forward your e-mail to another account please go to: [www.helpdesk.usyd.edu.au](http://www.helpdesk.usyd.edu.au).

---

## 1.6.3 Access to the University Network

### 1.6.3.1 Dial-In and Broadband Access

For details of dial-in and broadband access to the University network, go to: [www.helpdesk.usyd.edu.au](http://www.helpdesk.usyd.edu.au).

### 1.6.3.2 Wireless Access

Wireless access points are located across the University's main campus. See [www.usyd.edu.au/is/comms/wireless/internal/main\\_wireless.htm](http://www.usyd.edu.au/is/comms/wireless/internal/main_wireless.htm) for locations.

### 1.6.3.3 Access Centres

Computer Access Centres are located on most campuses, providing PC access to the University network. For more information go to [www.usyd.edu.au/accesslabs](http://www.usyd.edu.au/accesslabs). The main office for access labs is located in Fisher Library.

## 1.7 Glossary of frequently used terms

The complete University glossary can be found at [www.usyd.edu.au/ab/policies/Glossary04.pdf](http://www.usyd.edu.au/ab/policies/Glossary04.pdf)

**The following list is of particular relevance to postgraduate students.**

**Advanced standing** – See “credit”.

**Advisor** – An advisor 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 advisor 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 section on progress, requiring 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 a supervisor. An associate supervisor will normally be appointed from amongst 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.

**Articulation** – See “embedded”.

**Award course/program** – A formal course of study that will see attainment of a recognised award. Award courses

are approved by Senate, on the recommendation of the Academic Board. The University broadly classifies courses as undergraduate, postgraduate coursework or postgraduate research.

**Candidature** – Candidature commences when a student is admitted to a course of study leading to the award of a degree, diploma or certificate. There are maximum periods and in some cases minimum periods of candidature depending on the award course and whether the candidate is a full time or part time student.

**Census Date** – The date at which a student's enrolment, load and HECS liability are finalised before this information is reported to DEST. (see also “HECS”)

**Confirmation of Enrolment Status Form** – This form is issued to each student after enrolment, showing the course and the units of study in which the student is enrolled, 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.

**Convocation** – The body comprising all graduates of the University.

**Course** – See “award course”.

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

**Course leave** – Students are permitted to apply for a period away from their course without losing their place. Course leave is formally approved by the supervising faculty for a minimum of one semester. Students on leave are regarded as having an active candidature, but they are not entitled to a student card. At undergraduate level, leave is not counted towards the total length of the course. Students who are absent from study without approved leave may be discontinued and may be required to formally reapply for admission.

**Coursework** – an award course not designated as a research award course. While the program of study in a coursework award course may include a component of original, supervised research, other forms of instruction and learning normally will be dominant. All undergraduate award courses are coursework award courses.

**Credit** – The recognition of previous studies successfully completed at this University, or another university or tertiary institution recognised by the University of Sydney, as contributing to the requirements of the course to which the applicant requesting such recognition has been admitted. Credit may be granted as specified credit or non-specified credit.

*Specific credit* means the recognition of previously completed studies as directly equivalent to units of study.

*Non-specific credit* means a ‘block credit’ for a specified number of credit points at a particular level. These credit points may be in a particular subject area but are not linked to a specific unit of study.

**Credit points** – The value of the contribution each unit of study provides towards meeting course completion requirements. Each unit of study will have a credit point value assigned to it. The total number of credit points required for completion of award courses will be specified in the Senate Resolutions relevant to the award course.

**Cross-institutional Enrolment** – Enrolment in one or more Units of Study at one university to count towards an award

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

**Deferral, deferment** – An applicant who receives an offer of admission to a course may apply to defer enrolment in that course for one semester or one academic cycle.

**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 opportunity to talk to the committee without the presence of their supervisor.

**Discontinuation** – Students may vary their enrolment at the beginning of each semester. Each faculty determines its deadlines for variations, but HECS liability depends on the HECS census date.

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

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

**Exchange student** – Either a student of the University of Sydney who is participating in a formally agreed program involving study at an overseas university or an overseas student who is studying here on the same basis. The International Office provides administrative support for some exchanges.

**Exclusion** – A faculty may ask a student whose academic progress is considered to be unsatisfactory to **Show Cause** why the student should be allowed to re-enrol. If the faculty deems the student's explanation unsatisfactory, or if the student does not provide an explanation, the student may be excluded either from a unit of study or from a course. An excluded student may apply to the faculty for re-admission, but normally at least two years must have elapsed before such an application would be considered.

**Exemption** – A decision made at a sub-unit of study level to allow a student to complete a unit of study without also completing all the prescribed components of coursework and/or assessment. (See also "Credit" and "Waivers".)

**Fee-Help Assistance** – From 1 January 2005 Fee-Help Assistance was introduced by the Commonwealth Government. This scheme provides full or partial loans for tuition fees for local students enrolling in fee-paying postgraduate award courses. Comprehensive information on the scheme is available from the HECS and Fees Office of the Student Centre.

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

**FlexSIS** – The computer-based Flexible Student Information System at the University of Sydney. FlexSIS holds details of courses and units of study being offered by the University and the complete academic records of all students enrolled at the University.

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

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

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

Some faculties may use other grades in addition to these.

**Graduate/Graduand** – a graduate is a person who holds an award from a recognised tertiary institution. A graduand is a student who has completed all the requirements for an award course but has not yet graduated.

**HDR** – This stands for "Higher Degree by Research".

**HECS** – HECS stands for the Higher Education Contribution Scheme. All students, unless they qualify for an exemption, are obliged to contribute towards the cost of their education under the Higher Education Contribution Scheme. These contributions are determined annually by the Commonwealth Government. Further information on HECS can be found at: [www.goingtouni.gov.au/](http://www.goingtouni.gov.au/).

**Mark** – An integer (rounded if necessary) from 0 to 100 indicating a student's performance in a unit of study. See "Grade".

**Major** – A field of study, chosen by a student, to represent their principal interest. This would consist of specified units of study from later stages of the award course. Students select and transfer between majors by virtue of their selection of units of study. One or more majors may be awarded upon the graduand's assessment of study.

**Minor** – Studies undertaken to support a Major. Requiring a smaller number of credit points than a major students select and transfer between minors (and majors) by virtue of their selection of units of study. One or more minors may be awarded upon the graduand's assessment of study.

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

**Off-campus study** – See "Distance Education".

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

**PhD** – The Doctor of Philosophy (PhD) and other doctorate awards are the highest awards available at the University. A PhD course is normally purely research-based; the candidate submits a thesis that is an original contribution to the field of study.

**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)** – This scheme provides HECS exemptions for Commonwealth-funded higher degree by research (HDR) students for the duration of an accredited HDR course up to a prescribed maximum.

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

**Semester** – A half-yearly teaching session whose dates are determined by the Academic Board. Normally all undergraduate sessions will conform to the semesters approved by the Academic Board. Any offering of an undergraduate unit not conforming to the semester dates (non-standard session) must be given special permission by the Academic Board.

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

**Special Consideration** – Candidates who suffer serious illness or misadventure which may affect performance in any assessment, may request that they be given special consideration in relation to the determination of their results.

**Stream** – A defined award course, which requires the completion of set units of study as specified by the course rules for the particular stream, in addition to the core program specified by the course rules. A stream will appear with the award course name on testamurs, e.g. Bachelor of Engineering in Civil Engineering (Construction Management).

**Suspension of Candidature** – See “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 the particular case by the Graduate Studies Committee on behalf of the Academic Board.

**Sydney Summer School** – A program of accelerated, intensive study running for approximately 6 weeks during January and February each year. Both undergraduate and postgraduate units are offered. Summer School provides an opportunity for students at Sydney and other universities to catch up on needed units of study, to accelerate completion of a course or to undertake a unit that is outside their award course. All units attract full fees and enrolled students are also liable for compulsory subscriptions. Some fee-waiver scholarships are available.

**Testamur** – a certificate of award provided to a graduand, usually at a graduation ceremony. The Award conferred will be displayed along with other appropriate detail.

**Thesis, treatise, dissertation and essay** – The Academic Board has endorsed the following definitions:

#### *Thesis*

The written output from a supervised student project that is the only or major examinable assessment requirement for a research degree. Word limit: should not normally exceed 80,000 words.

#### *Treatise*

The written output from a supervised student project that is undertaken towards a majority coursework degree for which some coursework and some research work are examinable components. Word limit: should not normally exceed 40,000 words.

#### *Dissertation*

The written output from a supervised student project that is undertaken as a unit of study (or multiples of units of study) within a coursework postgraduate program. Word limit: should not normally exceed 20,000 words.

#### *Essay*

The written output from an unsupervised student project that is an assessment requirement for a unit of study within a coursework postgraduate program. Word limit: should not normally exceed 8,000 words.

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

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

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

**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.

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

**Winter School** – An intensive session offered by the University during the mid-year break

**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”.

## 2 University organisation, administration and contact information

### 2.1 The academic organisation

#### 2.1.1 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, their participation in matters relating to individual students is restricted.

Within each faculty or college there is an appointed dean and appointed or elected pro-dean and/or associate deans. The dean is the chief executive officer of the faculty or college. One of the associate deans or another senior academic in a faculty or college is usually charged with responsibility for postgraduate matters and chairs the board of postgraduate studies. Sometimes the postgraduate responsibilities of the faculty or college are spread among an associate dean and one or more sub-deans. In most cases the faculty, or board of postgraduate studies, will formally delegate responsibility for taking decisions on particular aspects of 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.

#### 2.1.2 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.

#### 2.1.3 Graduate Studies Committee

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

It is also responsible for the award of higher doctorates, 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.

The membership of the Graduate Studies Committee is set out in *Appendix 1*.

### 2.1.4 Postgraduate Coursework Sub-Committee

This Sub-Committee of the Graduate Studies Committee was established in 1997 to consider policy matters relating to postgraduate coursework in order to identify appropriate standards, criteria and procedures for consideration by the Graduate Studies Committee (and Academic Board). This is applicable to coursework in all award courses, both coursework courses (graduate certificates, graduate diplomas and coursework master's degrees) and research degrees.

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

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

### 2.1.5 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.

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

### 2.1.7 Senate

The Senate of the University is the governing body of the University. Of its 22 Fellows, two are elected students, one being a postgraduate student. Amongst its many duties the Senate 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 Section 14 on appeals)

## 2.2 Administration

### 2.2.1 Departmental/School offices

In many instances if you have an administrative enquiry you

should not need to go beyond your department/school where experienced staff will be able to assist you. Find out who to contact in your department/school.

### 2.2.2 Faculty and college offices

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

In most faculty and college offices there are supporting administrative assistants and administrative officers, one or more of whom may have a particular postgraduate responsibility. Sometimes this person is called the postgraduate administrator or adviser. The faculty or college secretary has a broad range of responsibilities including acting as secretary to the faculty or college and its committees and ensuring that the University's regulations and procedures concerning postgraduate students are properly administered. The Faculties of Medicine, Dentistry and Pharmacy have a common postgraduate administration office.

### 2.2.3 Contact information

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

Set out below are initial contact details for each faculty and college.

#### FACULTY OF AGRICULTURE, FOOD AND NATURAL RESOURCES

McMillan Building A05  
T 9351 2935  
E [pg@agric.usyd.edu.au](mailto:pg@agric.usyd.edu.au)  
W [www.agric.usyd.edu.au](http://www.agric.usyd.edu.au)

#### FACULTY OF ARCHITECTURE

Wilkinson Building G04  
T 9351 3248  
E [sac@arch.usyd.edu.au](mailto:sac@arch.usyd.edu.au)  
W [www.arch.usyd.edu.au](http://www.arch.usyd.edu.au)

#### FACULTY OF ARTS

Main Quadrangle A14  
T 9351 2045  
E [pg@arts.usyd.edu.au](mailto:pg@arts.usyd.edu.au)  
W [www.arts.usyd.edu.au](http://www.arts.usyd.edu.au)

#### AUSTRALIAN GRADUATE SCHOOL OF MANAGEMENT

University of New South Wales  
Sydney NSW 2052  
T 9931 9230  
W [www.agsm.edu.au](http://www.agsm.edu.au)

#### FACULTY OF DENTISTRY

2 Chalmers Street  
Surry Hills NSW 2010

Postgraduate Administration Unit for the  
Faculties of Dentistry, Medicine and Pharmacy

T 9351 5470  
E [pg@med.usyd.edu.au](mailto:pg@med.usyd.edu.au)  
W [www.dentistry.usyd.edu.au](http://www.dentistry.usyd.edu.au)

## **FACULTY OF ECONOMICS AND BUSINESS**

**Merewether Building H04**

**T 9351 3076**

**E [student@econ.usyd.edu.au](mailto:student@econ.usyd.edu.au)**

**W [www.econ.usyd.edu.au](http://www.econ.usyd.edu.au)**

## **FACULTY OF EDUCATION AND SOCIAL WORK**

**Education Building A35**

**T 9351 4605**

**E [gradinfo@edfac.usyd.edu.au](mailto:gradinfo@edfac.usyd.edu.au)**

**W [www.edfac.usyd.edu.au](http://www.edfac.usyd.edu.au)**

## **FACULTY OF ENGINEERING —**

**GRADUATE SCHOOL OF ENGINEERING**

**Engineering Faculty Building J13**

**T 9351 2534**

**E [engineering@eng.usyd.edu.au](mailto:engineering@eng.usyd.edu.au)**

**W [www.eng.usyd.edu.au/](http://www.eng.usyd.edu.au/)**

## **FACULTY OF HEALTH SCIENCES**

**Cumberland Campus C42**

**T 9351 9623**

**E [pginfo@fhs.usyd.edu.au](mailto:pginfo@fhs.usyd.edu.au)**

**W [www.fhs.usyd.edu.au](http://www.fhs.usyd.edu.au)**

## **FACULTY OF LAW**

**Level 12, 173–175 Phillip Street**

**Sydney NSW 2000**

**C13**

**T 9351 0351**

**E [info@law.usyd.edu.au](mailto:info@law.usyd.edu.au)**

**W [www.law.usyd.edu.au](http://www.law.usyd.edu.au)**

## **FACULTY OF MEDICINE**

**Edward Ford Building, A27**

**Postgraduate Administration Unit for the**

**Faculties of Dentistry, Medicine and Pharmacy**

**T 9351 3132**

**E [pg@med.usyd.edu.au](mailto:pg@med.usyd.edu.au)**

**W [www.medfac.usyd.edu.au](http://www.medfac.usyd.edu.au)**

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

### **2.3.1 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.

### **2.3.2 Academic organisation and structure**

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

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.

**CHS** includes: the Faculties of Dentistry, Health Sciences, Medicine, Nursing & Midwifery, and Pharmacy.

**CHASS** includes: the Faculties of Arts, Education & Social Work, Economics & Business, and Law, together with the Sydney College of the Arts, the Sydney Conservatorium of Music and the Graduate School of Government.

**CST** includes: the Faculties of Agriculture, Food & 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.)

### **2.3.3 Registrar**

The Registrar's Division is most directly concerned with services relevant to students. Those services are outlined at Section 2.4.

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 managing 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.

### **2.3.4 Student Services**

The University provides personal, welfare, administrative and academic support services to facilitate success at University. Many factors can impact on your wellbeing whilst studying at University and the student support services can assist you in managing and handling these more effectively. For further information regarding services available to students refer to the individual services listed in section 2.4.

For details of services and online resources provided by the University of Sydney see the website: [www.usyd.edu.au/stuserv/](http://www.usyd.edu.au/stuserv/).

### **2.3.5 Student Centre (Camperdown Campus)**

The Student Centre (on Level 1 of the Carlaw Building, tel 9351 3023) is the focus for initial student enquiries. This is the area responsible for provision of general information and application forms. It acts as the information point for the Student Records Office, for HECS and fee enquiries (tel 9351 5065/5962/5659) and for the Graduation Section (tel 9351 4009). The Student Centre website is at: [www.usyd.edu.au/su/studentcentre/](http://www.usyd.edu.au/su/studentcentre/).

### **2.3.6 Cumberland Campus**

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

## **2.4 Student facilities**

### **2.4.1 Accommodation Service**

The Accommodation Service assists students to find off-campus accommodation. The service maintains an extensive database of accommodation close to Camperdown and

---

Darlington Campuses or within easy access via public transport. For access to the accommodation database, details of activities and online resources see the Student Portal or the Services for Students website.

Cumberland students are assisted in finding accommodation by the Cumberland Student Guild, for more information see the CSG website: [www.csg.org.au](http://www.csg.org.au).

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

### 2.4.2 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 the web site for details of the broad range of services available.

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

### 2.4.3 Casual Employment Service (CES)

The Casual Employment Service helps currently enrolled students find casual and part-time work during their studies and in University vacations. Registering with the CES online or in person enables currently enrolled students to access the casual employment database. For access to the casual employment database, details of activities and online resources see the Student Portal or the Services for Students website.

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

### 2.4.4 Child Care Information Officer

The Child Care Information Officer is the first point of contact for students and staff of the University who are seeking information regarding child care services. For further information on centres and online resources see the Student Portal or the Services for Students website.

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

Six child care centres operate on two campuses of the University catering for over 260 children aged from six weeks to five years old. Individual centres should be contacted for information on enrolment procedures, the length of waiting lists as well as updated fees and eligibility for fee assistance.

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

### 2.4.5 Copy Centre

The University Copy Centre provides over-the-counter colour and black and white copying. The UCC provides printing from CDs, memory sticks, floppy disks and USB flash cards.. Binding services include Comb binding, Fast binding and Hardbound Thesis Binding. Other services include laminating, fax service and discount movie tickets.

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

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

### 2.4.6 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 or brief interventions. After hours appointments are available. The Counselling Service offers individual counselling for a wide range of problems.

The Counselling Service offers workshops throughout the year. These are advertised in the Union "Daily Bull" and on posters around the University. For workshop programs, online bookings and online resources, see the Student Portal or the Services for Students website.

*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@stuserv.usyd.edu.au](mailto:counsell@stuserv.usyd.edu.au)  
Website: [www.usyd.edu.au/counsel](http://www.usyd.edu.au/counsel)

*Cumberland Campus*

Ground Floor, A Block, Cumberland Campus C42  
Tel: +61 2 9351 9638; fax: +61 2 9351 9635  
E-mail: [Cumberland@fhs.usyd.edu.au](mailto:Cumberland@fhs.usyd.edu.au)  
Website: [www.usyd.edu.au/counsel](http://www.usyd.edu.au/counsel)

### 2.4.7 Disability Services

Disability Services is the principal point of contact and advice on assistance available for students with disabilities. The Service works closely with academic and administrative staff to ensure that students receive reasonable accommodations in their study. Assistance available includes assistive technology, notetaking, interpreters, and advocacy with academic staff to negotiate assessment and course requirement modifications where appropriate. For information and online resources for students with disabilities see the Student Portal or the Services for Students website.

*Camperdown and Darlington Campuses*

Level 7, Education Building, A35  
Tel: +61 2 9351 7040; fax: +61 2 9351 7055  
TTY: +61 2 9351 3412  
E-mail: [disserv@stuserv.usyd.edu.au](mailto:disserv@stuserv.usyd.edu.au)  
Website: [www.usyd.edu.au/disability](http://www.usyd.edu.au/disability)

*Cumberland Campus*

Ground Floor, A Block, Cumberland Campus C42  
Tel: +61 2 9351 9081; fax: +61 2 9351 9635  
E-mail: [DS\\_Cumberland@fhs.usyd.edu.au](mailto:DS_Cumberland@fhs.usyd.edu.au)  
Website: [www.usyd.edu.au/disability](http://www.usyd.edu.au/disability)

### 2.4.8 Financial Assistance Office

The University has a number of loan funds and bursaries to assist students 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. For details of financial assistance available and online resources see the Student Portal or the Services for Students website.

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  
 Website: www.usyd.edu.au/fin\_assist

### 2.4.9 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 and postgraduate), staff (academic and general), families, friends, visitors, employees of other organisations on campus, former students and staff, and members of the general public. The UHS bills Medicare directly (World Care Assist or Medibank Private OSHC for international students) for the cost of most consultations. Twelve doctors, male and female, all holding Vocational Registration with the RACGP, work in the University Health Service. The UHS is an AGPAL Accredited General Practice.

*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/

### 2.4.10 Information and communication technology resources (ICTR)

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/. Access to these services is governed by the ICTR Use Policy on <http://policy.rms.usyd.edu.au/00000ah.pdf>.

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/](http://www.usyd.edu.au/su/is/labs/) for details on their locations and services.

### 2.4.11 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.

### 2.4.12 Insurance

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

### 2.4.13 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: [furtherinfo@io.usyd.edu.au](mailto:furtherinfo@io.usyd.edu.au)  
 Web site: [www.usyd.edu.au/international](http://www.usyd.edu.au/international)

### 2.4.14 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. ISSU aims to help international students cope successfully with the challenges of living and studying in a unfamiliar culture, to achieve success in their studies and to make the experience of being an international student rewarding and enjoyable.

For details of orientation activities, counselling and welfare services provided to both students and their families and online resources, see the Student Portal or the Services for Students website.

*Camperdown and Darlington Campuses*  
 Ground Floor, Services Building G12  
 Tel: 9351 4749, fax: 9351 6818  
 E-mail: [info@issu.usyd.edu.au](mailto:info@issu.usyd.edu.au)  
 Website: [www.usyd.edu.au/issu](http://www.usyd.edu.au/issu)

*Cumberland Campus*  
 Ground Floor, A Block, Cumberland Campus C42  
 Tel: +61 2 9351 9634; fax: +61 2 9351 9635  
 Email: [issu\\_Cumberland@fhs.usyd.edu.au](mailto:issu_Cumberland@fhs.usyd.edu.au)  
 Website: [www.usyd.edu.au/issu](http://www.usyd.edu.au/issu)

### 2.4.15 Koori Centre

The Koori Centre provides Aboriginal and Torres Strait Islander education, research and student support. It is a devolved, autonomous unit which aims to increase the successful participation of Aboriginal and Torres Strait Islander people in undergraduate and postgraduate degrees. The Centre provides policy advice, education initiatives, curriculum development and training for Aboriginal and Torres Strait Islander people and to the wider university community. The Centre supports indigenous and non-

indigenous students in a variety of ways, including postgraduate supervision and a fully resourced library. For further information, please contact:

The Koori Centre, Old Teachers College A22  
Tel: 02 9351 2046; fax: 02 9351 6923  
E-mail: [koori@koori.usyd.edu.au](mailto:koori@koori.usyd.edu.au)  
Web site: [www.koori.usyd.edu.au/](http://www.koori.usyd.edu.au/)

### 2.4.16 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 of Workshops in English Language and Learning (WELL) which has a particular focus on the needs of students from non-English speaking backgrounds. For workshop programs, details of activities and online resources see the Student Portal or the Services for Students website.

#### *Camperdown and Darlington Campuses*

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](mailto:lc@stuserv.usyd.edu.au)  
Website: [www.usyd.edu.au/lc](http://www.usyd.edu.au/lc)

#### *Cumberland Campus*

Ground Floor, A Block, Cumberland Campus C42  
Tel: +61 2 9351 9319; fax: +61 2 9351 9635  
Email: [lc\\_cumberland@fhs.usyd.edu.au](mailto:lc_cumberland@fhs.usyd.edu.au)  
Website: [www.usyd.edu.au/lc](http://www.usyd.edu.au/lc)

### 2.4.17 Library

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

### 2.4.18 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  
Website: [www.usyd.edu.au/eeo/index.html](http://www.usyd.edu.au/eeo/index.html).

### 2.4.19 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, Carlaw Building, F07  
Tel: +61 2 9351 4061, fax: +61 2 9351 5797  
E-mail: [mlc@stuserv.usyd.edu.au](mailto:mlc@stuserv.usyd.edu.au)  
Web site: [www.usyd.edu.au/mlc/](http://www.usyd.edu.au/mlc/)

### 2.4.20 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 9351 7757. The University Printing Service is located at Room 314, top floor, Services Building, Codrington Street, G12. For more detailed information visit the web site at [www.usyd.edu.au/ups/](http://www.usyd.edu.au/ups/).

### 2.4.21 Research Office

The Research Training Unit of the Research Office administers the major government funded research awards. Details of these awards and many others may be obtained from the Research Office web site at: [www.usyd.edu.au/su/reschols/scholarships/](http://www.usyd.edu.au/su/reschols/scholarships/). The closing date for APAs and UPAs is October every year; Commonwealth Scholarship and Fellowship Plan awards usually close in September. It is wise to confirm in advance the exact closing date (Quadrangle, tel 9351 3250, fax 9351 4812).

### 2.4.22 Student Centre (Camperdown campus)

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

### 2.4.23 Sydney University Postgraduate Representative Association (SUPRA)

All postgraduate students are members of SUPRA, the organisation which represents all of the University of Sydney's 15,000 postgraduates. The aims of SUPRA are, at all times, to promote the interests, defend the needs and uphold the aspirations of all the University's postgraduate students. SUPRA provides a range of services free to members including personal accident insurance, a range of informative publications, entertaining social activities, support for postgraduate groups and representatives and educational workshops. SUPRA also employs two professional Student Advisers to provide confidential academic and welfare advice to students on issues which may affect their candidature.

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

The SUPRA office may be contacted by phone on 02 9351 3715, 1800 249 950 toll free number inside Australia, by

---

fax on 02 9351 6400, by email [supra@mail.usyd.edu.au](mailto:supra@mail.usyd.edu.au) or by writing to SUPRA, Raglan Street Building, Darlington Campus, University of Sydney, NSW 2006. For more information on SUPRA's representative role and services visit SUPRAnet at [www.usyd.edu.au/supra/](http://www.usyd.edu.au/supra/) or subscribe to egrad, the fortnightly postgraduate email bulletin by emailing: [supra@mail.usyd.edu.au](mailto:supra@mail.usyd.edu.au).

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

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

## 3 Postgraduate program descriptions

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

### 3.1 Coursework programs

#### 3.1.1 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.

#### 3.1.2 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.

#### 3.1.3 Coursework 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. Coursework master's degrees normally require the completion of units of study totalling at least 48 credit points.

### 3.2 Research programs

#### 3.2.1 Research master's degree

Master's degrees typically have a minimum period of full-time candidature of one or two years and longer maximum periods as well as longer periods for part-time candidature. A research master's, such as the Master of Philosophy (MPhil), may require the completion of some coursework, and, similarly, a coursework master's, such as the Master of Economics, may have a research component.

#### 3.2.2 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.

### 3.2.3 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 six semesters for the candidate commencing with an honours bachelor's degree or equivalent. In some circumstances candidates will be permitted to submit after four semesters. See Appendix 5, Part 5, 13 for the PhD Rule.

### 3.2.4 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 2005 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. Firstly a preliminary assessment of the published work is conducted by a faculty committee to ensure that it is prima facie worthy of examination, followed by an examination of the work by at least three examiners of whom two are external to the University.

## 4 Pre-enrolment

### 4.1 Admission requirements

The Resolutions of the Senate setting out the requirements for each of the various postgraduate degrees, graduate diplomas and graduate certificates can be found in the Calendar 2005. General requirements are outlined in this section.

#### 4.1.1 Graduate diplomas and graduate certificates

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

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

#### 4.1.2 Master's degrees

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

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

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

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

#### 4.1.3 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 upper 2nd class honours. Alternatively an applicant may be admitted having passed

a qualifying examination at a standard equivalent to the bachelor's degree with 1st or upper 2nd class honours. This qualifying examination could be completion of a period of relevant full-time or part-time advanced study and research towards a master's degree at the University of Sydney at such a standard as would demonstrate to the satisfaction of the faculty that the candidate is suitably prepared in the particular field of study to undertake candidature for the PhD.

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

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

#### 4.1.4 Graduates of other institutions

The admission requirements for postgraduate degrees, graduate diplomas and graduate certificates in the Senate regulations are usually expressed in terms of an applicant holding a qualification from the University of Sydney. The dean of a faculty may also admit to candidature applicants with qualifications deemed equivalent to those expected of University of Sydney graduates.

Eligibility for admission to a particular degree, graduate diploma or graduate certificate is not simply determined by the applicant's qualification, however. The dean of the faculty must also be satisfied that the applicant is suitably prepared in the particular field of study in which the applicant proposes to be a candidate and has a standing equivalent to that required of a graduate of the University of Sydney qualified for admission to candidature for the degree, graduate diploma or graduate certificate concerned. This means that where, for example, a 1st or 2nd class honours degree is required of a University of Sydney graduate, a similar level of achievement is expected of graduates from other institutions. This may be measured by other means where appropriate such as a Grade Point Average (GPA) or other form of grading. For international students, the International Office can advise about such equivalences.

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

## 4.2 English language requirements

Applicants applying for admission to a postgraduate degree, graduate diploma or certificate must either have a record of satisfactory achievement in tertiary studies in which the language of the institution was English and the language of

instruction was English or must meet one of the accepted minimum English language requirements as a condition of entry.

Applicants who have not completed an Australian educational qualification may have to provide proof of proficiency in English through internationally recognized tests such as CULT, IELTS or TOEFL or through satisfactory completion of an appropriate course at the University's Centre for English Teaching unless the applicant has a record of satisfactory achievement in tertiary studies where the language of instruction was in English.

For the current University policy, check Policy Online at [www.usyd.edu.au/policy](http://www.usyd.edu.au/policy) and search for the Postgraduate English Language Requirements.

### 4.2.1 Research students

A statement from the supervisor about the written language expression of a candidate is 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.

## 4.3 Application procedures

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

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

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

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

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

### 4.3.1 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.

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

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

### 6.1 General information

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

New postgraduate coursework students who receive an offer in time for on-time enrolment must complete enrolment during the relevant scheduled enrolment period in January/February or June/July or the offer will lapse. In exceptional circumstances and on the recommendation of the appropriate dean a new coursework student may enrol on a scheduled late day before 31 March or 31 August on payment of a late fee of \$100.

After the March census date in First Semester and the August census date in Second Semester, you cannot discontinue, vary or withdraw your candidature without incurring a substantial financial liability. This has particular significance for those paying HECS or paying fees. For further information, see below under "Changing your enrolment".

### 6.2 Re-enrolment

You must be enrolled in each semester in order to remain a candidate for the degree/diploma/certificate. In October you will receive advice about re-enrolment for the following academic year. Re-enrolment is activated by pre-enrolling, a web-based activity, and the advice you receive in October will guide you through this process. In late January, you will receive confirmation of your pre-enrolment and advice about the procedure for completing enrolment for First Semester. There is a second enrolment period at the beginning of Second Semester at which enrolment details for Second Semester are finalised.

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.

### 6.3 Fee-paying courses

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

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

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

#### 6.3.1 Fee-Help Assistance

From 1 January 2005 Fee-Help Assistance was introduced by the Commonwealth Government. This scheme provides

full or partial loans for tuition fees for local students enrolling in fee-paying postgraduate award courses. Comprehensive information on the scheme is available from the HECS and Fees Office of the Student Centre.

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

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

Beyond the census date for each semester or individual unit, no refund will be made.

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

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

Students who withdraw from "Intensive Mode" postgraduate units of study prior to the individual census dates of those units will be refunded 100 per cent of the tuition fee for those units.

Beyond the census date for each semester, or beyond the individual census dates of any "Intensive Mode" unit, the University retains 100 per cent of the tuition fee paid.

## 6.6 Compulsory subscriptions

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

## 6.7 Commonwealth Supported courses

A small number of postgraduate coursework degrees are Commonwealth Supported rather than requiring the payment of tuition fees. Details of how this Scheme works are printed in the booklet entitled "Information for Commonwealth Support Students – 2005", produced by the Department of Education, and distributed to all students at enrolment. Copies are also available from the Student Centre, Level 1, Carslaw Building.

## 6.8 Changing your enrolment

Changes to your First Semester's enrolment may be made, with permission, up to 5 pm on the census date that applies to any unit of study for which change is required. In most cases this will be 5 pm on the last working day in March. However, the University is offering increasing numbers of units in "intensive mode" and it is important that you be aware of the census dates of any such units. Students who vary their enrolment (including withdrawal or deferral) up to the relevant census date will be entitled to an appropriate adjustment to HECS or fees. No adjustments or refunds will be made after census dates except in the special circumstances explained in the official Department of Education, Science and Technology (DEST) booklets which you should ensure you obtain at enrolment. Shortly after the census dates notices will be sent to all students stating

clearly their course load including any re-calculation of their HECS or fee liability as a result of the agreed unit of study changes since enrolment.

Arrangements will be made to answer questions and to investigate claimed factual errors arising from these notices, but **it is your responsibility to check that the information is correct**. You should check particularly your Second Semester notice to see that this still accurately reflects the units of study you are taking.

## 6.9 Research Training Scheme

The Commonwealth Government in August 2004 announced changes to research training funding arrangements administered by the Department of Education, Science and Technology (DEST).

The Research Training Scheme (RTS) provides HECS exemptions for Commonwealth-funded higher degree by research (HDR) students for the duration of an accredited HDR course, up to a maximum of four years full-time equivalent study for a doctorate by research (including a professional doctorate which meets the research program criteria), and two years' full-time equivalent study for a masters by research. RTS students may be enrolled full time or part time.

All students who were enrolled prior to September 2000 (or were on a period of approved suspension at that time) are able to complete their studies under the funding arrangements that applied to them at the time. The RTS therefore supports:

- HDR students who commenced after September 2000
- Continuing Research HECS-exempt HDR students who enrolled prior to September 2000
- Any continuing HECS-liable HDR students enrolled prior to September 2000.

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

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

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

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

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

---

Where a student commences a research masters and then is successfully **upgraded** to a research doctorate, the RTS funding entitlement is limited to a maximum of four years. Similarly, if a student is required (for any reason, academic or personal) to **downgrade** from doctorate to masters, and has already held an RTS place for more than two years at that point in time, no further Commonwealth funding is available.

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

## 7 Scholarships and loans

### 7.1 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 questions.

International students who have applied for admission for a postgraduate research degree will be automatically considered for an EIPRS: Endeavour International Postgraduate Research Scholarship.

### 7.2 Loans

See Section 6.3.1 – Fee-Help Assistance.

## 8 Candidature

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

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 full-time 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.

### 8.1 Types of Candidature

Whether a postgraduate coursework student is part-time or full-time is determined solely by credit-point load for all coursework degrees, graduate diplomas and graduate certificates. A student is part-time (full-time) in a semester if he/she is enrolled in units of study which total less than (at least) 18 credit points. Therefore, a student's status can vary between part-time and full-time from one semester to the next depending on their study load.

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

### 8.2 Research off-campus

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

The *University of Sydney (Doctor of Philosophy (PhD)) Rule 2004* set out at Appendix 5 indicates what is expected of candidates.

### 8.3 Research students and employment

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

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

### 8.4 Converting between full-time and part-time candidature

It is usually possible for a full-time candidate to convert to part-time candidature (and vice versa). Any such application should be made through the faculty office. The maximum length of part-time PhD candidature is eight years, as opposed to four years for full-time candidature. 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 period of part-time candidature will be  $\frac{1}{4}$  of eight years, which is two years.

### 8.5 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.

### 8.6 Part-time candidature for research students

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

- that the applicant will have sufficient appropriate time to complete the requirements within the maximum period;
- 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
- 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 (if any) and arrangements for attendance at the University. Requirements will vary between departments and faculties. The University is not willing to act solely as an examining body and any research must be under the direction and supervision of the University.

## 8.7 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.

## 8.8 Modes of attendance

In many courses, it is not necessary for students to be present on-campus during regular teaching times. Depending on the course you are in, it may be possible to undertake part or all of your studies by distance education, or by flexible delivery, and some units may be offered outside the two semesters, during the Summer session, Winter session or in concentrated blocks of teaching.

# 9 Research programs: facilities and supervision

Each department should be able to provide an applicant or candidate with a statement of the facilities available in that department and the procedures for accessing them. Facilities include 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.

Under the Postgraduate Research Support Scheme, funds will be made available each year to enable postgraduate research students to present papers at conferences, use specialist facilities and purchase 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.

## 9.1 Research Supervision

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.

### 9.1.1 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.

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.

### 9.1.2 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 are provided; encouraging the candidate to extend his or her contacts within the department and elsewhere within the University; and 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, particularly in 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 regular feedback to the candidate and should be aware of the need to make annual progress reports both to faculty and to any scholarship authority. Such reports 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 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 set out at Appendix 3. 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.

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 the acting supervisor by informing him or her about the progress of the candidature.

Well before the thesis is submitted, the supervisor will 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 section 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 may 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.

### 9.1.3 Progress reports and departmental reviews

Reference is made in Section 10 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.

### 9.1.4 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.

### **9.1.5 The responsibilities of the candidate**

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

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

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 attend 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 section 10.2, '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 section 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.

### **9.1.6 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 when it will be held.

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

# 10 Satisfactory progress and resolution of problems

## 10.1 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.

### 10.1.1 Progress report – research students

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

The annual progress report form should also be an instrument for advising the faculty of the conditions of candidature to apply in the following year and whether the previous year's 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.

### 10.1.2 Departmental review – research students

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

The review shall include an assessment of the research

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

An outcome will be considered by the head of department, 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.

## 10.2 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 may 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 a student's candidature, from academic matters, processes, problems and appeals to general welfare issues or the student may contact the University Counselling Service.

Problems that cannot be resolved at the faculty or college level may be referred to the Chair of the Graduate Studies Committee who will consider the dispute and consult with the parties concerned and other appropriate members of staff.

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 the candidate or the 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.

## 10.3 Time limits and leave

The most common time limits are:

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

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

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.

## 10.4 Suspension of Candidature

The occasion may arise where it is appropriate to seek course leave (suspension of candidature). You should seek approval for course leave by contacting your faculty office. If you hold a scholarship you should also note any obligations you may have to notify the Scholarships Office of periods of absence. Most variations to candidature require a corresponding variation to scholarship status.

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 approximately 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.

## 10.5 Withdrawal

If your circumstances are such that you are unable to anticipate when you will be able to resume your candidature you should seek to withdraw from your candidature by writing to the faculty office. Should you be able to resume at a later date you would have to re-apply for admission. Some credit might then be given for work that you had done up to your withdrawal but you would be commencing a new candidature.

Your eligibility for refund of fees/HECS depends on when you withdraw from candidature. Refer to the section on fees in Section 6.

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

# 11 Assessment and examination

## 11.1 Coursework programs: assessment

Coursework master's degrees, graduate diplomas and graduate certificates require attendance at, and completion of, assessable tasks (e.g. examinations, essays, and projects) for prescribed units of study each semester. The University's Code of Practice stipulates that a hard copy of the information about the assessment tasks must be provided to every enrolled student at the first class meeting of a unit of study. Students who do not attend this class are advised to seek the information as soon as is practicable. This

information will cover all details of assessment, including the relative weight of each task, deadlines, word lengths on essays or other written work, and nature of examinations.

A grade is finalised for each unit of study at the end of the semester and these grades are recorded on Flexsis (the student information system). Each Faculty is required to monitor results in units of study taken by its students and to ensure that results are finalised in a timely manner. The dean of the faculty concerned will approve the award of the degree, graduate diploma or graduate certificate on behalf of the faculty, and any grade of honours or merit award, once all course requirements have been successfully completed.

If you have concerns with the assessment process or the results, consult Section 10.2 on resolution of problems and Section 14 on formal appeal mechanisms.

### 11.1.1 Common result grades

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

#### Permanent results

Grade	Description	Mark range if applicable	Comments
HD	High Distinction	85–100	
D	Distinction	75–84	
CR	Credit	65–74	
P	Pass	50–64	
R	Satisfied requirements		This is used in Pass/Fail only outcomes.
UCN	Unit of Study continuing		Used at the end of a semester for UoSs which have been approved to extend into a following semester. This will automatically flag that no final result is required until the end of the last semester of the UoS.
PCON	Pass (Concessional)	46–49	Use of this grade is restricted to those courses which allow for a Concessional Pass of some kind to be awarded. A student may re-enrol in a Unit of Study for which the result was PCON. Each faculty will determine and state in its course regulations what proportion, if any, may count – eg, “no more than one sixth of the total credit points for a course can be made up from PCON results”.
F	Fail	0–49	This grade may be used for students with marks from 46–49 in those faculties which do not use PCON.
AF	Absent Fail		Includes non-submission of compulsory work (or non-attendance at compulsory labs etc) as well as failure to attend an examination.
W	Withdrawn		Not recorded on external transcript. This is the result that obtains where a student applies to discontinue a Unit of Study by the HECS Census Date (ie, within the first four weeks of enrolment).
DNF	Discontinued – Not to count as failure		Recorded on external transcript. This result applies automatically where a student discontinues after the HECS Census Date but before the end of the seventh week of the Semester (or before half of the Unit of Study has run in the case of Units of Study which are not semester-length). A faculty may determine that the result of DNF is warranted after this date if the student has made out a special case based on illness or misadventure.
DF	Discontinued – Fail		Recorded on transcript. This applies from the time DNF ceases to be automatically available up to the cessation of classes for the Unit of Study.

---

## 11.2 Research programs

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

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

Expectations and conventions as to what should be in a thesis vary from discipline to discipline. Departments will often recommend particular style guides or may even have their own publication. Precedent in the form of copies of successful theses in a departmental 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*.

## 11.3 Submission of thesis

### 11.3.1 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.

### 11.3.2 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.

### 11.3.3 Length of thesis

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.

### 11.3.4 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.

### 11.3.5 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.

### 11.3.6 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 2005* 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.

### 11.3.7 Summary

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

### 11.3.8 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.

### 11.3.9 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 to disclose in the thesis. In this situation the faculty or college may recommend to the Graduate Studies Committee that permission be granted to include, in an appendix, material essential to the thesis but which may not be made available for general inspection. Access to the appendix would then be restricted by the University Library for a period normally not exceeding five years. The examiners of the thesis and, as necessary, members of committees concerned with the examination will have unrestricted access to the appendix. The University Librarian may also grant access under certain conditions to bona fide scholars. See also the comments about collaborative research projects in Section 13 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 2005*. 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.

## 11.4 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.

### 11.4.1 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](http://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/](http://tls.il.proquest.com/hp/Support/Dservices/prepare/).

### 11.4.2 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 5.

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.

## 11.5 Examination of thesis

The style and content of the thesis has been described in Sections 11.2 and 11.3. The examination rules for the PhD are included in an Appendix 4 in this Handbook. While these rules refer specifically to the PhD, faculties are required to follow them (with appropriate modifications) for other research degrees.

### 11.5.1 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.

At this stage the names of your examiners, you will not be given the names of your examiners. Care will be taken not to jeopardise the integrity and independence of the examination process.

When the required numbers 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.

### 11.5.2 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.

### 11.5.3 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.

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.

### 11.5.4 Recommendations on Thesis

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 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 410 PhD examinations completed in 2004, 36 (8.8 per cent) were awarded directly, 60 (14.6 per cent) subject to typographical corrections, and 297 (72.4 per cent) subject to emendations. For 17 (4.2 per cent) the candidate was required to revise and resubmit the thesis.

Where the recommendations of the examiners are all for award or for award subject 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 Sections 11.2 and 11.3 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.

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 so act 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.

### 11.5.5 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.

## 11.6 Oral Examinations of PhD Theses

### 11.6.1 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.

### 11.6.2 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).

### 11.6.3 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 (e.g, no oral may be needed if all recommend: award, award with typos, revise and resubmit, non-award)
- If the dean agrees that no oral is required, the examiners are so also 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.

### 11.6.4 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.

### 11.6.5 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.

### 11.6.6 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.

---

## 12 Outcomes of candidature

When the award of the qualification has been approved, the Registrar will write advising you of this and will send you details of the next conferring ceremony at which you may graduate. Alternatively, you may apply to have your degree conferred *in absentia*, 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 2005*.

### 12.1 Grading systems – recommendations of Academic Board

#### 12.1.1 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)
- 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.

### 12.2 Graduation

All relevant information about graduations can be found at [www.usyd.edu.au/su/studentcentre/grad/](http://www.usyd.edu.au/su/studentcentre/grad/).

## 13 Intellectual property, authorship and ethics

### 13.1 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 the appendices 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.

## 13.2 Copyright

Generally the author of a work is the owner of copyright in it and this is the case for a thesis produced by a postgraduate student. In the event that there are multiple authors to a work, each is entitled to exercise all rights in relation to the whole work. Copyright in a written work is automatically established as soon as it is created, and in Australia the author does not have to take any steps to bring this about. It is the practice of the University not to enter into collaborative or contract research agreements which involve students and which would prevent either the submission and examination of the thesis during the period set by Senate or the inclusion of any necessary material. This said, there are provisions within the *University of Sydney (Amendment Act) Rule 1999* (as amended) for requesting that part of a thesis or the thesis in its entirety be withheld from public availability in the University library for a period. (See 11.3.9)

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.

## 13.3 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 2005*. 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.

## 13.4 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.

## 13.5 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.

### 13.5.1 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.

---

### 13.5.2 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:

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

### 13.6 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.

### 13.7 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 Appendix 3 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.

### 13.8 Academic honesty and plagiarism

The University has strict policies and guidelines on plagiarism, copying, recycling and other forms of academic dishonesty. The policies can be found on Policy Online at <http://usyd.edu.au/policy> at the addresses given below:

Plagiarism – [www.usyd.edu.au/senate/policies/Plagiarism.pdf](http://www.usyd.edu.au/senate/policies/Plagiarism.pdf)

Academic honesty – [www.usyd.edu.au/ab/policies/Academic\\_Honesty\\_Cwk.pdf](http://www.usyd.edu.au/ab/policies/Academic_Honesty_Cwk.pdf).

## 14 Appeals against academic decisions

## APPENDIX 1

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 Chair of 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 to colleges and the graduate school and the college principals and directors.

For Resolutions of the Senate and the Academic Board on Student Appeals against Academic Decisions, see *The University of Sydney Calendar 2005*.

### **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 Chair of the Academic Board or nominee
- (c) the Dean of Graduate Studies
- (d) the Pro-Vice-Chancellor (Research and Innovation)
- (e) the chair (or the chair's nominee) of the Board or Committee of Postgraduate Studies in each Faculty
- (f) the Chair of the Research Committee
- (g) the Chairs of Sub-Committees of the Graduate Studies Committee, if not already members
- (h) the President of the Sydney University Postgraduate Representative Association, or nominee

Appointed members

- (i) one postgraduate coursework student member of the Academic Board appointed annually by and from the postgraduate coursework student members of the Academic Board

- (j) one postgraduate research student member of the Academic Board appointed annually by and from the postgraduate research student members of the Academic Board

Co-opted members

- (k) the Committee may co-opt up to four members. Co-opted members may be selected from the members of the Academic Board or the wider University community or may express interest directly to the Chair of the Committee, but must have an interest and/or experience in issues considered by the Committee. The term of office of members co-opted by the Committee shall be specified at the time of co-option and such members shall have all the rights and privileges of other members.

**Members** of the Graduate Studies Committee as at March 2005

- (a) the Chair: Associate Professor Anthony Masters  
 (b) the Chair of the Academic Board: Professor John Carter  
 (c) the Dean of Graduate Studies: Professor Masud Behnia  
 (d) the Pro-Vice-Chancellor (Research and Innovation): Professor Timothy Hirst  
 (e) 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:* Associate Professor Deirdre Coleman

*Dentistry:* \*\*

*Economics and Business:* Professor David Hensher

*Education and Social Work:*  
 Associate Professor Brian Paltridge

*Engineering:* Professor Liang Chi Zhang

*Health Sciences:*  
 Associate Professor Martin Thompson

*Law:* Associate Professor Roger Magnusson

*Medicine:* \*\*

*Nursing:* Dr Maureen Boughton

*Pharmacy:* \*\*

*Science:* Associate Professor Neville Weber

*Veterinary Scienc :* Professor Frank Nicholas

*Australian Graduate School of Management:*  
 Professor Chris Adam

*Sydney College of the Arts:*  
 Associate Professor Brad Buckley

*Sydney Conservatorium of Music:*  
 Dr Peter Dunbar-Hall

\*\* Joint Board of Postgraduate Studies in Dentistry, Medicine and Pharmacy:  
 Associate Professor John Christodoulou

- (f) the Chair of the Research Committee: Professor John Carter  
 (g) the Chairs of Sub-Committees of the Graduate Studies Committee, if not already members: N/A

- (h) the President of the Sydney University Postgraduate Representative Association, or nominee: Ms Gigi Wong

Appointed members

- (i) one postgraduate coursework student member of the Academic Board appointed annually by and from the postgraduate coursework student members of the Academic Board

*Casual Vacancy*

- (j) one postgraduate research student member of the Academic Board appointed annually by and from the postgraduate research student members of the Academic Board

*Casual Vacancy*

Co-opted members

- (k) the Committee may co-opt up to four members. Co-opted members may be selected from the members of the Academic Board or the wider University community or may express interest directly to the Chair of the Committee, but must have an interest and/or experience in issues considered by the Committee. The term of office of members co-opted by the Committee shall be specified at the time of co-option and such members shall have all the rights and privileges of other members.

## Academic Board Resolutions: Management and Evaluation of Coursework Teaching: Code of practice for coursework teaching and learning

### 1. Introduction

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

### 2. Responsibilities at the University level

The University has the responsibility:

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

- (10) to ensure a quality learning environment, including appropriate and properly maintained facilities.
- (11) to ensure the provision of access to physical space and other facilities such as library facilities, learning assistance and information technology, and advice to prospective candidates of what facilities will be made available;
- (12) to ensure that mechanisms exist to ensure that candidates are accurately advised in a timely fashion of their HECS and any other fee liabilities;
- (13) to ensure that effective mechanisms exist for the approval of new award courses and the review of existing award courses;
- (14) to provide resources for handling the administrative implications of this Code of Practice.

### 3. Responsibilities at the faculty level

The faculty has the responsibility:

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

### 4. Responsibilities at the departmental level

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

---

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

*The Department has the responsibility:*

- (1) to encourage staff to participate in workshops, seminars and fora relating to teaching (including those that relate to teaching cross culturally and acquiring skills in non-discriminatory teaching practice), learning and assessment organized by departments, faculties, clinical schools and the Institute for Teaching and Learning;
- (2) to provide no later than the first class for a unit accurate written information concerning all relevant aspects of chosen units and to further provide written advice of the aims and objectives of each unit, attendance and class requirements, the methods of assessment to be used and the weighting of that assessment;
- (3) to ensure that all relevant requirements of the Academic Board's resolutions regarding Assessment and Examination are satisfied;
- (4) to grant special consideration or make special arrangements where performance is adversely affected by documented illness, disability or other serious cause, consistently with Academic Board and faculty policy;
- (5) to provide access by appointment to academic staff outside timetabled class time;
- (6) where appropriate, to have students on departmental committees, and to provide student members with the same information as other committee members to enable effective participation;
- (7) to ensure that units of study are taught using relevant teaching and learning strategies, including, where appropriate, contemporary information and learning technology tools;
- (8) to determine the facilities likely to be required for any particular candidature or group of candidates and to ascertain whether they will be available and whether any projects proposed are appropriate to the course;
- (9) to ensure that applicants are correctly advised as to the availability of facilities, including access to physical space and other resources, and the availability of options within courses in a particular year, and are correctly advised as to the financial support that is likely to be available to them;
- (10) to ensure that adequate, appropriate supervision or advice is made available for any particular candidate or group of candidates, for monitoring the supervision load of members of staff within the department, for ensuring that proper recognition of that load is given in the overall allocation of duties within the department;
- (11) to ensure that the candidate receives proper supervision or advice throughout the candidature and to ensure that there are mechanisms to allow candidates to receive academic feedback and advice at hours appropriate to the offering of formal classes;
- (12) to ensure that the respective roles of academic advisors, supervisors and course co-ordinators are properly defined and understood and that they have access to information defining their responsibilities;
- (13) to ensure that where a course co-ordinator or equivalent has been appointed the duties and responsibilities of the position are properly defined, adequate resources are

provided to assist in the performance of those duties and proper recognition is given to the workload these duties entail;

- (14) to ensure that necessary approvals are obtained from the faculty in respect of conditions of candidature, that coursework scholarship reporting requirements are met and that candidates receive all due entitlements;
- (15) to ensure that teachers within coursework award courses are encouraged to participate fully in any teaching development programs and activities and that any special needs of teachers are addressed;
- (16) to ensure that proposals for new award courses are prepared in timely fashion in accordance with the University's policies and that the department co-operates with the Faculty in the review of existing courses.

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

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

### *Responsibilities of individual academics*

- (1) Staff teaching in a coursework program have a responsibility to demonstrate a commitment to effective university teaching, including attention to the special needs of graduate coursework students and undergraduate students as appropriate.
- (2) Staff teaching in a coursework program have a responsibility to make appropriate time available for giving advice to individual students.
- (3) Staff teaching in a coursework program have a responsibility to be aware of the problem-solving mechanisms and the support services for students which exist within the University and should ensure that the head of department and the faculty or college are kept informed as necessary if problems occur during the candidature.

### *Responsibilities of supervisors*

Academic staff concerned with teaching in a graduate coursework or an undergraduate honours program may have a number of roles including that of supervisor of a dissertation<sup>1</sup>. In this context the Supervisor is the member of the academic staff appointed to supervise a dissertation, treatise or long essay component of a coursework award program. For many programs there is no such component. The term dissertation is used throughout but should be taken to refer to dissertations, essay, or treatise as appropriate.

- (4) The supervisor has a responsibility before undertaking the supervision of the dissertation element of any coursework award candidature to ensure to the best of his or her ability that the candidate is *prima facie* capable of undertaking the project proposed and that the proposed supervisor is both suitably qualified to carry out the supervision and has sufficient time and resources available.

- (5) The supervisor has a responsibility:
- (a) to ensure that the candidate is aware of the standards expected for the award course concerned and for identifying with the candidate the particular research skills that will need to be acquired and the most appropriate data-gathering and analysing techniques; and
  - (b) for reaching agreement with the candidate on the contact that will be necessary between them. This will include agreement upon indicators of progress being made and submission of appropriate written work, interim reports or research results. Written work is to be returned by the supervisor with constructive criticism as expeditiously as possible
- (6) The supervisor has a responsibility to ensure that facilities identified as necessary do eventuate, to encourage the candidate to extend his or her contacts within the department and elsewhere.
- (7) The supervisor has a responsibility to provide feedback on progress to the candidate and to ensure that the candidate is made aware of inadequate progress or of standards of work below that generally expected and in such instances to identify the problems and to suggest ways of addressing them.
- (8) The supervisor has a responsibility to ensure that he or she gives appropriate and timely advice on requirements regarding content, style, presentation and production of the dissertation.
- (9) The supervisor has a responsibility, with the candidate, to monitor progress made within the context of the overall research plan and to ensure that sufficient time is left for writing up the dissertation and that, if necessary, the scope of the project is reduced to meet the time available.
- (10) The supervisor has a responsibility:
- (a) to identify the various course and other administrative requirements and to advise the candidate as necessary; and
  - (b) to advise each candidate of applicable government and institutional guidelines for the conduct of research, including requirements relating to ethical approvals for studies on human or animal subjects, and the use of potentially hazardous agents (reference should be made to the University's Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct. As far as possible, supervisors should ensure that the work submitted by candidates is their own and that data are valid).
- (11) The supervisor has a responsibility to give thought to the suitability and availability of examiners in good time before the dissertation is submitted and to advise the head of department of the necessity to take action.
- (3) to satisfy attendance and assessment requirements that are prescribed by the University, faculty and department;
  - (4) to adhere to the relevant by-laws and rules relating to ethical behaviour and good conduct that are prescribed by the University and relevant professional bodies;
  - (5) to devote sufficient appropriate time to the candidature;
  - (6) where a supervisor has been appointed in respect of a dissertation or similar component of the award course, to establish with his or her supervisor agreed methods of working and then to fulfil his or her side of any agreement including attending as agreed for consultation and providing evidence of the progress being made;
  - (7) to plan and execute any dissertation project within the time limits defined for the award course in question;
  - (8) to adopt at all times safe working practices relevant to the field of study and to take note of the University's Occupational Health and Safety Policy;
  - (9) to draw to the attention of the instructor, supervisor or course co-ordinator any difficulties being experienced, to be aware of the mechanisms that exist for helping with such difficulties and to take advantage of the mechanisms if necessary;
  - (10) The candidate is solely responsible for the content, style and presentation, and for the production, of any dissertation that is finally presented and has a responsibility to make any emendations required after examination in a timely fashion.

## 6. Responsibilities of students

### *Each student has a responsibility:*

- (1) to be familiar with all legislative and other requirements for the course as set out in the faculty handbook, unit of study outline, or any other published departmental, faculty and University guidelines;
- (2) to ensure that all administrative requirements of the faculty and University, such as re-enrolling each year, are met;

## 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.

## 8. 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.

## 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:
- (a) the candidate be awarded the degree without further examination; or
  - (b) the candidate be awarded the degree subject to correcting typographical errors before the degree is conferred (typographical errors include spelling, grammar, punctuation, capitalisation and reference dates); or
  - (c) the candidate be awarded the degree subject to conditions listed in the examiner's report being addressed to the satisfaction of the University (which may include a recommendation that if reasonably possible the candidate should be required to take an additional oral or other examination); or
  - (d) the candidate be not awarded the degree, but be permitted to resubmit the thesis in a revised form for re-examination following a further period of study, the examiner having formed the opinion that the errors or deficiencies substantially affect the argument or the thesis; or
  - (e) the candidate be not awarded the degree.
  - (f) In the case of a thesis which is also to be examined by an oral examination, the report of the examiners shall be an interim report, to be completed following the conclusion of the oral examination.
- (4) The report shall also record whether in the opinion of the examiner –
- (a) the thesis is a substantially original contribution to the knowledge of the subject concerned;
  - (b) the thesis affords evidence of originality by the discovery of new facts;
  - (c) the thesis affords evidence of originality by the exercising of independent critical ability;

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

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

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

### Release of examiners' names

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

### Receipt of reports to be monitored

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

### Replacement examiner if report not received

- (9) The Registrar shall contact any examiner who has not submitted the report by the end of the fourteenth week after despatch of the thesis, advising that it will be necessary to proceed to the appointment of a replacement examiner if the report is not received within a further two weeks and shall proceed to do so if the report is not received within that time.
- (10) Notwithstanding the fact that replacement examiners may previously have been appointed, the Registrar shall seek advice from the head of department as to who should act as a replacement examiner in the event of an examiner being replaced under the circumstances referred to in section 2(9) and, if necessary, the faculty or college board shall appoint a further qualified examiner on the recommendation of the head of department who shall, if necessary, have carried out the same consultative procedures as applied to the initial appointment of examiners.
- (11) Should the process of appointing a replacement examiner under the circumstances referred to in section 2(9) have proceeded to the point where a copy of the thesis has been dispatched to the replacement examiner, any report subsequently received from the examiner who has been replaced shall not be considered in determining the result of the candidature.
- (12) Notwithstanding the provisions of sections 2(9) to 2(11), the PhD Award Sub-Committee or its Chair may, in such circumstances as it shall determine are exceptional, and on the recommendation of the faculty or college board concerned, allow 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
  - 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.
  - 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:
- that the degree be awarded without further conditions; or
  - 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
  - that the degree be awarded subject to emendations being made in all copies of the thesis to be retained in the University; or
  - 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
  - except in the case of the report of an oral

examination, that an additional examiner be appointed; or

- 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.
- 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
- 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
- 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

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

#### 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 nor 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

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

#### Part 2 – Admission to candidature

##### 3. Heads of department

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

##### 4. Admission to candidature

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

evidence of the candidate's training and ability to pursue the proposed course, to pass a special examination.

- (7) A reference in this section to a department includes a reference to one or more departments, one or more schools, an interdepartmental committee and an interschool committee.

#### 5. Probationary acceptance

- (1) A candidate may be accepted by a faculty on a probationary basis for a period not exceeding one year and upon completion of this probationary period, the faculty shall review the candidate's work and shall either confirm the candidate's status or terminate the candidature.
- (2) In the case of a candidate accepted on a probationary period under (1) above, the candidature shall be deemed to have commenced from the date of such acceptance.

#### 6. Control of candidature

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

#### 7. Other studies during the candidature

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

#### 8. Credit for previous studies

- (1) A candidate who, at the date of admission to candidature, has completed not less than 6 months as a candidate for the degree of master in any faculty or board of studies of the University of Sydney, may be permitted by the faculty concerned to be credited for the whole or any part of the period of candidature completed for the degree of master as a period of candidature completed for the degree of Doctor of Philosophy, provided that the period of candidature for the degree of master for which credit is sought shall have been a course of full-time or part-time advanced study and research under a supervisor appointed by the faculty or board of studies concerned and directly related to the candidate's proposed course of advanced study and research for the degree of Doctor of Philosophy.
- (2) A candidate who, at the date of admission has completed not less than six months as a candidate for a higher degree in another university or institution may be permitted by the Academic Board, on the recommendation of the faculty concerned, to be credited for the whole or any part of the period of candidature completed as a period completed for the degree of Doctor of Philosophy of the University of Sydney, provided that:
- (a) at the date of admission to candidature for the higher degree of the other university or institution concerned the candidate shall have fulfilled the requirements of admission to candidature set out in section 3. above;
- (b) the period of candidature for the higher degree of the other university or institution concerned for which credit is sought shall have been a course of

full-time or part-time advanced study and research under a supervisor appointed by the other university or institution concerned and directly related to the candidate's proposed course of advanced study and research in the University of Sydney;

- (c) the candidate shall have abandoned candidature for the higher degree of the other university or institution concerned for which credit is sought;
- (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.

### Part 3 – Supervision

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

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

### Part 4 – Candidature

#### 10. Location

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

indicate whether they are satisfied that the proposed supervision arrangements will be satisfactory.

### 11. Progress

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

## Part 5 – Submission of thesis

### 12. The thesis

- (1) On completing the course of advanced study and research, a candidate shall present a thesis embodying the results of the work undertaken, which shall be a substantially original contribution to the subject concerned. The candidate shall state, generally in the preface and specifically in notes, the sources from which the information is derived, the animal and human ethical approvals obtained, the extent to which the work of others has been made use of, and the portion of the work the candidate claims as original.
- (2) A candidate may also submit in support of the candidature any publication of which the candidate is the sole or joint author. In such a case the candidate must produce evidence to identify satisfactorily the sections of the work for which the candidate is responsible.
- (3) Except where the candidature has been governed by an approved cotutelle agreement, a candidate may not present as the thesis any work which has been presented for a degree or diploma at this or another university, but the candidate will not be precluded from incorporating such in the thesis, provided that, in presenting the thesis, the candidate indicates the part of the work which has been so incorporated.
- (4) Theses shall be written in English, except that:
  - (a) in the case of a candidature governed by an approved cotutelle agreement, the thesis may be written in English or in another language; and
  - (b) in the Faculty of Arts, in the case of language departments, theses may be written either in English or in their target language as determined by the department, unless a department has specified by means of a Faculty resolution that it will consider applications to submit the thesis in a language other than:

- (i) English; or
- (ii) a target language of the department.

Such applications should be:

- (iii) made in writing; and
- (iv) approved by the head of department concerned and the Dean of the Faculty,

before the commencement of candidature. In considering applications a head of department shall take into account arrangements for supervision and examination.

- (5) A candidate shall submit to the Registrar four copies of the thesis in a form prescribed by resolution of the Academic Board and four copies of a summary of about 300 words in length.
- (6) The thesis shall be accompanied by a certificate from the supervisor stating whether, in the supervisor's opinion, the form of presentation of the thesis is satisfactory.

### 13. Earliest date for submission

- (1) Except as provided below, a candidate may not submit a thesis for examination earlier than the end of the sixth semester of candidature.
- (2) A faculty or college board may permit a candidate holding any of the following qualifications of the University of Sydney or from such other institution as the faculty or college board may approve, to submit a thesis for examination not earlier than the end of the fourth semester of candidature:
  - (a) a degree of master completed primarily by research;
  - (b) both the degrees of Bachelor of Dental Surgery with honours and Bachelor of Science (Dental) with honours;
  - (c) both the degrees of Bachelor of Medicine with honours and Bachelor of Science (Medical) with honours; or
  - (d) both the degrees of Bachelor of Veterinary Science with honours and Bachelor of Science (Veterinary) with honours.
- (3) Notwithstanding (1) and (2) above, a faculty may, on the recommendation of the head of department and supervisor concerned, permit a candidate to submit a thesis for examination up to one semester earlier than prescribed if, in the opinion of the faculty, evidence has been produced that the candidate has made exceptional progress in his or her candidature.
- (4) Notwithstanding (1), (2) and (3) above, the Chair of the Academic Board may, on the recommendation of the dean of the faculty in which the candidate is enrolled, permit a candidate to submit a thesis for examination earlier than prescribed if, in the opinion of the Chair of the Academic Board, evidence has been produced that the candidate has made exceptional progress in his or her candidature. The Chair of the Academic Board may take advice from the Chair of the Graduate Studies Committee and shall report any applications under this provision and the action taken to the next meeting of the Academic Board.

### 14. Latest date for submission

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

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

#### 15. Examination

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

## APPENDIX 6

### 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.

## 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.

- (2) 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.

- (3) 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 8

## Semester and vacation dates

	2005	2006	2007	2008
<b>SUMMER SESSION</b>				
Summer School lectures begin	Tuesday 4 January	Tuesday 3 January	Tuesday 2 January	Monday 7 January
Summer School ends	Friday 4 March	Friday 3 March	Friday 2 March	Friday 7 March
<b>FIRST SEMESTER</b>				
Lectures begin	Monday 7 March	Monday 6 March	Monday 5 March	Monday 10 March
AVCC Common Week/ non-teaching Easter period	Friday 25 March to Friday 1 April incl	Fri 14 April to Fri 21 April incl	Monday 9 April to Friday 13 March	Monday 24 March to Friday 28 March
Study Vacation	Monday 13 June to Friday 17 June incl	Monday 12 June to Friday 16 June incl	Monday 11 June to Friday 15 June	Monday 16 June to Friday 20 June
Examination period	Monday 20 June to Saturday 2 July incl	Monday 19 June to Saturday 1 July incl	Monday 18 June to Friday 29 June	Monday 23 June to Friday 4 July
Semester ends	Saturday 2 July	Saturday 1 July	Saturday 30 June	Saturday 5 July
AVCC Common Week	Monday 4 July to Friday 8 July incl	Monday 3 July to Friday 7 July incl	Monday 2 July to Friday 6 June	Monday 7 July to Friday 11 June
<b>SECOND SEMESTER</b>				
Lectures begin	Monday 25 July	Monday 24 July	Monday 23 July	Monday 28 July
AVCC Common Week/ non-teaching period	Monday 26 September to Friday 30 September incl	Monday 25 September to Friday 29 September incl	Monday 24 September to Friday 28 September	Monday 29 September to Friday 3 October
Study Vacation	Monday 31 October to Friday 4 November incl	Monday 30 October to Friday 3 November incl	Monday 5 November to Friday 9 November	Monday 3 November to Friday 7 November
Examination period	Monday 7 November to Saturday 19 November incl	Monday 6 November to Saturday 18 November	Monday 12 November to Friday 23 November	Monday 10 November to Friday 21 November
Semester ends	Saturday 19 November	Saturday 18 November	Saturday 1 December	Saturday 29 November

# Index

Aboriginal and Torres Strait Islanders see Koori Centre		Intellectual property	35
Accommodation	12	International students	14,22
Acknowledgements	37	Application procedures	18
Annual reports	23	Inventions	36
APAs	15	Koori Centre	14
Appeals against academic decisions	38	Learning Centre	15
Application procedures	18	Leave	27
Assessment	28–34	Length of thesis	29
Australian Postgraduate Awards see APAs		Library	15
Authorship and co-authorship	36	Loans	21
Binding of thesis	29	Masters by coursework	16–17
Careers Centre	13	Masters by research	16–17
Child care	13	Modes of attendance	23
Committees	10–11	MyUni	6
Commonwealth supported courses	20	Network access	7
Compulsory subscriptions see subscriptions		Oral examination of PhD theses	33
Confidential research	36	Part-time candidature for research students	22
Converting between full-time and part-time	22	PhD (Doctor of Philosophy)	17
Copyright	36	Oral examination of thesis	33–34
Counselling services	13	Plagiarism	37
Disability services	13	Postgraduate Research Support Scheme	23
Doctorates	16	Pre-enrolment	17
Doctorates, higher	17	Progress reports see annual reports	
Electronic submission of thesis	31	Progression	26
E-mail	6	Publishing	15
Employment	13,22	Refunds of tuition fees	20
English language requirements	18	Research off-campus	22
Enrolment	19	Research Office	15
Enrolment, changing	20	Research students and employment	22
Ethics and biosafety	25,37	Research Training Scheme	20
Examinations see assessment		Responsibilities of candidates	25
Fee-help assistance	19	Scholarship holders	23
Financial assistance	14	Scholarships	21
Flexible delivery	23	Student Centre	15
Grades	28	Student portal see MyUni	
Grading systems	35	Subscriptions	20
Graduate certificates	16–17	Supervision	23–25
Graduate diplomas	16–17	SUPRA	15
Graduate Studies Committee	38	Suspension of candidature	27
Graduates of other institutions	18	Sydney University Postgraduate Representative Association see SUPRA	
Graduations	35	Thesis	29–34
Harassment and discrimination	15	Time limits	27
ICTR see Information and communication technology resources		UniKey	6
Indigenous students see Koori Centre		University Postgraduate Awards see UPAs	
Information and communication technology resources	14	UPAs	15
Insurance	14	Withdrawal from study	27