

# **Rules Relating to Awards - Rule 9 - Doctor of Philosophy (PhD) award**

## **Section 1 - Doctor of Philosophy (PhD)**

### **Part A - Admission to Candidature**

- (1) An application for admission to candidature is accepted subject to the availability of facilities and supervision.
- (2) An application may be submitted at any time, will be made on the prescribed form and lodged with the Graduate School for consideration by the Dean, Graduate Studies.
- (3) An applicant will seek admission to a PhD degree as:
  - a. a full-time candidate; or
  - b. a part-time candidate.
- (4) To qualify for admission to a PhD, applicants must:
  - a. possess a degree that is the equivalent to a Bachelor's degree from the University with first class Honours or second class Honours, first division; or
  - b. possess a degree that is equivalent to a Masters degree from the University, with a relevant research component; or
  - c. submit other evidence of relevant professional qualifications and experience, or research experience, to satisfy the Dean, Graduate Studies that the applicant possesses a level of relevant research experience equivalent to an award in either clause (4)a or (4)b; and
  - d. satisfy such additional requirements for admission to a PhD candidature, if any, as may be prescribed by the Dean, Graduate Studies.
- (5) All candidates except those who are enrolled in a course offered in a language other than English, are expected to be proficient in English comprehension and expression. Applicants, whose previous education was not undertaken in English, or whose first language is not English, may be required to take a special test of English language proficiency approved by the Dean, Graduate Studies.

### **Part B - Enrolment**

- (6) The Dean, Graduate Studies will approve or, if necessary, vary any periods of residency during which the candidate will be required to pursue study and research at the University, as recommended by the relevant Director, Higher Degree Research.
- (7) A commencing candidate is enrolled on completion of all of the following:
  - a. acceptance of the offer of admission by the Dean, Graduate Studies;
  - b. completion and submission of relevant forms;

- c. payment of any prescribed fees (unless the Director, Student Administration Services has granted an extension of time for such payment).

(8) A candidate may convert from full-time to part-time candidature, and vice-versa, with the approval of the Manager, Graduate School, upon the recommendation of the relevant Director, Higher Degree Research.

## **Part C - Concurrent Studies**

(9) If a candidate wishes to enrol in another degree at the University, approval must be first obtained from the Dean, Graduate Studies, upon the recommendation of the relevant Director, Higher Degree Research.

(10) A PhD candidate may be required by the Dean, Graduate Studies to undertake concurrently with thesis preparation a formal course of studies appropriate to the thesis.

## **Part D - Requirements for the Award**

(11) To be eligible for the award of a PhD, a candidate will:

- a. complete the prescribed program and make an original and significant contribution to knowledge; and
- b. maintain satisfactory academic progress as determined by the Dean, Graduate Studies in consultation with the Principal Supervisor and relevant Director, Higher Degree Research; and
- c. submit and have accepted a thesis prepared under the supervision of the Principal Supervisor nominated by the Dean, Graduate Studies; and
- d. complete such other work as may be prescribed by the Dean, Graduate Studies.

(12) A candidate will be eligible for the award of a PhD when:

- a. in the case of full-time candidature, at least two years have elapsed from the time of enrolment as a PhD candidate; or
- b. in the case of part-time candidature, at least three years have elapsed from the time of enrolment as a PhD candidate.

(13) A candidate will normally complete a PhD within three but no longer than four years (full-time equivalent).

(14) Academic Board may approve a candidate who is specially qualified in the relevant discipline to complete the course in less than the time set out in clause (12).

## **Part E - Work Environment and Supervision**

(15) The Higher Degree Research Candidate and Supervision Policy specifies the responsibilities and obligations of all parties involved in Higher Degree Research supervision, including:

- a. supervisors;
- b. candidates;
- c. Graduate School;
- d. Dean, Graduate Studies; and
- e. Faculties, Colleges, Research Institutes and Research Centres.

(16) The Dean, Graduate Studies will normally appoint two supervisors — one who will act as Principal Supervisor and one who will act as Co-supervisor. The Principal Supervisor will be a member of the academic staff of the University. The Co-supervisor will be a member of the academic staff of the University or an adjunct appointment of the

university.

(17) A Supervisor-Candidate Agreement containing criteria for satisfactory academic progress will be developed between the candidate and the supervisors prior to commencement of enrolment, and reviewed as required during candidature.

(18) All candidates will be required to participate in such colloquia, research seminars and other work of the University as may be considered appropriate by their Principal Supervisor.

(19) Candidates will, as their Principal Supervisor may from time to time require, submit drafts of the major sections of the written thesis for review and will submit to their Principal Supervisor a final draft of the written thesis for advice and comment before submission for examination.

(20) The Dean, Graduate Studies may approve a local additional Co-supervisor from outside the University to be added to the supervisory team for candidates who have been approved to undertake a major portion of their research at sites external to the University.

(21) If a person appointed as supervisor is unable to perform the duties of the appointment, the Dean, Graduate Studies will take reasonable steps to identify and appoint a replacement supervisor from within the University on the recommendation of the relevant Director, Higher Degree Research. This may include, but is not limited to:

- a. where a supervisor's employment arrangements change subsequent to commencing as a supervisor and where these employment arrangements preclude the individual continuing as a supervisor; or
- b. where the candidate/supervisor relationship is no longer tenable and all reasonable steps have been taken by the candidate, supervisor, and Faculty, College or Research Institute to remedy the situation.

(22) If the Dean, Graduate Studies has taken reasonable steps under clause (21) and exhausted all reasonable avenues to identify a replacement supervisor, they may terminate a student's candidature.

## **Part F - Progress Reports**

(23) Candidates will, through their Principal Supervisor and relevant Director, Higher Degree Research, submit progress reports to the Manager, Graduate School in the prescribed form and at the prescribed times.

(24) The Principal Supervisor and the relevant Director, Higher Degree Research will at the same time provide comments to the Manager, Graduate School, on the progress of the candidate being supervised.

(25) The Manager, Graduate School may then:

- a. take no action;
- b. recommend that the candidate undertake remedial action; or
- c. recommend termination of the candidature to the Dean, Graduate Studies where:
  - i. progress reports have demonstrated unsatisfactory progress; or
  - ii. progress reports have not been submitted by the due dates.

(26) The Dean, Graduate Studies will consider any recommendation made under clause (25) and may terminate candidature at their discretion.

## **Part G - Confirmation of Candidature**

(27) All PhD candidates will serve a confirmation period of at least six and no longer than nine months full-time equivalent. In exceptional circumstances, the Dean, Graduate Studies can approve an extension to the confirmation

period.

(28) The process of assessment of the confirmation period will be developed within a general framework approved by the Higher Degrees Research Committee, to be used in the respective Faculty or College.

(29) Candidates must submit their Confirmation of Candidature proposal:

- a. according to the agreed assessment framework;
- b. for text-matching analysis in accordance with the Text Matching Software Higher Degrees by Research Procedures;
- c. prior to the confirmation of candidature presentation date; and
- d. according to the guidelines from the relevant Faculty or College.

(30) The Dean, Graduate Studies will make one of the following determinations, based on the candidate's Confirmation of Candidature proposal and the agreed assessment framework:

- a. Confirmed, with no further work required;
- b. Confirmed, with minor changes recommended by the Confirmation Committee to the satisfaction of the Principal Supervisor;
- c. Conditionally confirmed subject to major revisions to the literature review and research plan as recommended by the Confirmation Committee and made within three months to the satisfaction of the Confirmation Committee (resubmission and final sign-off to be coordinated by the Chair of the Confirmation Committee);
- d. Not confirmed but the candidate is required to revise and resubmit their paper and make another presentation within six months;
- e. Remedial Action: Remedial action or recommended transfer to Masters; or
- f. Not Confirmed and candidature is terminated.

## Part H - Thesis

(31) On completion of studies during candidature, a candidate will submit a thesis that complies with the following requirements:

- a. the greater proportion of the work described must have been completed subsequent to initial enrolment as a candidate; and
- b. it must show evidence of competence in research and scholarship, and must make an original and significant contribution to knowledge; and
- c. it must be in English or in a language approved by the Dean, Graduate Studies and reach a satisfactory standard of presentation; and
- d. it must have a substantial written component but may also contain a significant amount of non-written material.

(32) The thesis will consist of the candidate's own account of the work, except that, in special cases, work done conjointly with other persons may be accepted provided the Dean, Graduate Studies is satisfied in respect of the candidate's part in the joint work. Candidates must adhere to the principles for authorship and research best practise as outlined in the [Responsible Research Conduct Policy](#).

(33) On submitting a thesis a candidate will present sufficient evidence of its authenticity and originality, and to this end will submit a written statement at the front of the thesis:

- a. indicating which portions are original and which are not; and
- b. giving the sources of information if these are not adequately indicated in the thesis; and

- c. indicating whether, and if so to what extent, any of the material submitted, or work on which it is based, has been used in seeking another degree in the University or elsewhere.

(34) A candidate will submit with, but separately from, the thesis a short abstract of the thesis comprising not more than 400 words and written in a form suitable for publication.

(35) A candidate may not submit as the main content of the thesis any work or material which has previously been accepted for a degree or other similar award but will not be precluded from incorporating such work or material in the thesis, provided that the candidate indicates, generally in the preface and specifically in the notes, the work or material which has been so incorporated.

(36) The candidate may submit as supporting documents any work published by the candidate, but only if it bears on the subject of the thesis.

## **Part I - Thesis Submission**

(37) Candidates must submit the final draft of their Thesis for text-matching analysis in accordance with the Text Matching Software Higher Degrees by Research Procedures.

(38) A candidate will present a thesis for examination a minimum of two months prior to their maximum duration of candidature. The Manager, Graduate School may approve an extension of time in special circumstances.

(39) A candidate will, through the Principal Supervisor and relevant Director, Higher Degree Research, give the Graduate School two months' written notice of intention to submit a thesis and such notice will be accompanied by the appropriate fee, if any.

(40) The Candidate will prepare their thesis in the format prescribed by the Graduate School and submit it to the relevant Director, Higher Degree Research. This may include:

- a. up to four copies of the thesis in the form of hard copy, temporary binding; and/or
- b. an electronic copy of the thesis.

(41) The thesis will be submitted to the Graduate School by the relevant Director, Higher Degree Research with a certificate signed by the Principal Supervisor certifying that the candidate's work, including the thesis, is in a form suitable for examination.

(42) If the Principal Supervisor does not recommend the thesis as being suitable for examination, the Candidate may seek a review of this decision (see clauses (70) to (71)).

## **Part J - Thesis Examination**

(43) The Dean, Graduate Studies will appoint two examiners both of whom will be external to the University. A supervisor of a candidate will not also be an examiner. Each examiner will make a separate report and recommendation on the merit of the thesis and any other work submitted for examination.

(44) The examiners' reports on a thesis will be forwarded to the relevant Director, Higher Degree Research for comment, who in turn will forward them to the Principal Supervisor and the candidate for comment. The examiners' reports, together with any written comments received from the Principal Supervisor and the candidate, will then be considered by the relevant Director, Higher Degree Research, who will make a recommendation to the Dean, Graduate Studies.

(45) The recommendation of the relevant Director, Higher Degree Research, together with the reports of the examiners and any written comments received from the Principal Supervisor and candidate, will be considered by the

Dean, Graduate Studies, who will have broad discretion to seek additional input as appropriate, and who will:

- a. recommend to Academic Board that the candidate be conferred to a PhD degree; or
- b. recommend to Academic Board that candidature be terminated.

(46) Before making a recommendation to the Academic Board, the Dean, Graduate Studies may require:

- a. a candidate to address any matters raised in the examiners' reports;
- b. a candidate to address additional issues in the thesis;
- c. additional input to the examination process, for example, the candidate may be required to undertake a written or oral examination of the thesis under such reasonable conditions as determined by the Dean, Graduate Studies; and/or
- d. re-examination of the thesis within six months if full-time, or within one year if part-time.

(47) Candidates required to undertake changes to their thesis in response to examiners' reports prior to award will be required to undertake these changes within three months for full-time students (and six months for part-time students) after the date of notification of these. The Director, Higher Degree Research and Principal Supervisor are required to review these and submit a report on changes made for final ratification by the Dean, Graduate Studies no later than six months after the original notification of these to the student (unless a longer period is approved by the Dean, Graduate Studies).

(48) A candidate whose thesis fails re-examination, as conducted under conditions prescribed by the Dean, Graduate Studies, will have their candidature terminated and will not be eligible for re-enrolment in a PhD degree in the same topic area.

(49) A candidate will be required to submit copies of their final thesis to the Graduate School in the format prescribed by the Graduate School. This may include:

- a. one unbound copy for distribution to the University Library; and
- b. one digital copy.

(50) The digital copy of the thesis will be deposited with the Graduate School using the prescribed form. This digital copy will be:

- a. included in the institutional repository for archival purposes; and
- b. made available on open online access unless application to restrict access is made and decided in accordance with clauses (51) - (53). Some third party copyright material contained in the thesis may need to be removed to provide online access. This will be done on the advice of the University's Library Systems and Copyright Librarian.

(51) The copies of the thesis deposited with the University Library will be available for consultation, loan, or copying at the discretion of the University Librarian, unless the University on the application of the candidate determines that it will not be available until after the expiry of a period, which period will not normally exceed two years. The University Librarian will require each user and recipient of a copy of a thesis to undertake in writing to respect the author's rights under the law relating to copyright.

(52) A candidate may, when lodging a thesis, make application on the prescribed form to the Dean, Graduate Studies, to restrict access to a thesis, either in whole or in part, and in all formats. The Dean, Graduate Studies will decide such application in accordance with the terms detailed on the prescribed form. Normally, access may be restricted for a period up to two years. In special cases, application may be made to restrict access for a longer period. Where the thesis contains material which the candidate considers should have restricted distribution, the Principal Supervisor,

the Director, Higher Degree Research, and the examiners will be informed which parts are classified.

(53) Where a candidate states that a thesis contains confidential information which the candidate does not desire to be disclosed freely, or which the candidate is not at liberty to disclose freely, the candidate may, to the extent that it is possible, place that information in an appendix to the thesis. The copy of the thesis deposited in the University Library will have a notation, authorised by the Manager, Graduate School, indicating which parts of the thesis are not included because they contain confidential information, and informing the reader to contact the candidate for further information.

## **Part K - Termination of Candidature**

(54) The Dean, Graduate Studies may terminate candidature at his discretion at any time where they determine that a candidate has failed to maintain satisfactory academic progress under clause (11)b.

(55) The Dean, Graduate Studies may terminate a student's candidature on any other reasonable grounds.

## **Part L - Duration of Candidature, Recreation Leave, Leave of Absence/Interruption, Cancellation**

### **Duration of Candidature**

(56) The maximum period of candidature for a PhD candidate is four years full-time, or eight years part-time. This does not include approved extensions or periods of approved leave of absence/interruption.

(57) The Manager, Graduate School, on the recommendation of the Principal Supervisor and relevant Director, Higher Degree Research, may approve an extension or leave of absence/interruption of candidature for a period or periods totaling no more than one year.

### **Recreation Leave**

(58) Candidates are entitled to 20 days of Recreation Leave per equivalent full-time year. Recreation Leave will be available in the first year of candidature on a pro rata basis.

(59) A maximum of 20 days of Recreation Leave may be accrued. That is, unused leave in one year does not ordinarily carryover and must be taken during the year it is accrued.

(60) Proposed dates for Recreation Leave should be discussed with the Principal Supervisor in the first instance. Recreation Leave requires the approval of the Principal Supervisor and the relevant Director, Higher Degrees Research who must advise the Graduate School.

### **Leave of Absence/Interruption**

(61) The Dean, Graduate Studies may permit interruption beyond one year, at their discretion and on the recommendation of the Manager, Graduate School.

(62) Unless the Manager, Graduate School, or the Dean, Graduate Studies, otherwise determines, a candidate will maintain continuous enrolment until all requirements for award of the degree have been met.

(63) A candidate may cancel enrolment at any time by giving written notice to the Graduate School.

(64) A candidate who exceeds the maximum tenure without an approved extension, will be deemed to be, and recorded as having 'lapsed candidature'. A lapsed candidate may apply to the Graduate School for re-admission to candidature for the purpose of submitting a thesis which, if the readmission is approved, must be submitted within

one calendar month and sent for examination.

(65) An application for re-admission must be made within the following time periods:

- a. candidates who were enrolled full time when their candidature lapsed - up to six months from notification of lapse of candidature;
- b. candidates who were enrolled part time when their candidature lapsed - up to twelve months from notification of lapse of candidature

(66) Any lapsed candidate who does not apply for readmission to submit a thesis for examination by the end of their maximum period of lapsed candidature, or whose readmission application is rejected, or who does not submit within the one calendar month following readmission, will be considered to have failed and will have their candidature terminated.

(67) Within eight weeks of a student becoming a lapsed candidate, the Principal Supervisor will provide the Manager, Graduate School with a written report on the reasons for the candidate's failure to submit a thesis within the maximum period of candidature. The Manager, Graduate School may seek further information from the Principal Supervisor, student and/or other members of the supervisory team concerning the unsuccessful candidature.

## **Part M - Re-admission**

(68) A candidate whose candidature is terminated will not be eligible to be re-admitted until one year after the date of termination, unless approved by the Manager, Graduate School.

(69) The Dean, Graduate Studies will determine the maximum duration of candidature in which a re-admitted candidate will be permitted to complete the degree.

## **Section 2 - Query and Appeal**

### **Query of Review of Progress Reports or Assessment of Completion of Confirmation Period**

(70) A candidate who is not satisfied with the review of progress reports under clause (25) or Assessment of Completion of Confirmation Period under clause (30) may query the outcome with the relevant Director, Higher Degree Research.

(71) A candidate who is not satisfied with the result of discussions arising from clause (70) may query the outcome in writing with the Deputy Vice Chancellor (Research) within ten working days of the date that the original outcome notification was sent to the candidate. The Deputy Vice Chancellor (Research) may uphold the original decision, or where deemed appropriate, vary the decision.

### **Query of Decision Not to Submit Thesis**

(72) A candidate who is not satisfied with a decision not to submit a thesis for examination will follow the process below:

- a. contact the Principal Supervisor to discuss the matter;
- b. if dissatisfied with the result of the discussion in (a) above, contact the relevant Director, Higher Degree Research;
- c. if dissatisfied with the result of the discussion in (b) above, query of the decision shall be made in writing to Dean, Graduate Studies including the candidate's reasons for wishing to submit without the Principal Supervisor's approval.



(73) The Dean, Graduate Studies is not obliged to accede to the request, but if the Dean does agree, the examiners will be advised that the thesis did not have the support of the Principal Supervisor after they have provided their reports.

### **Appeal Against Review of Progress Reports or Assessment of Completion of Confirmation Period**

(74) A candidate who is not satisfied with the determination of the Deputy Vice Chancellor (Research) in relation to the Review of Progress Reports or the Assessment of Completion of Confirmation Period under clause (71) may appeal on the prescribed form to the Academic Board Appeals Committee on one or more of the following grounds:

- a. improper action in the conduct of the review or assessment process;
- b. irregularity in the conduct of the review or assessment;
- c. negligence on the part of any person involved in the conduct of the review or assessment;
- d. discrimination against the candidate which is unlawful under State or Federal legislation;
- e. prejudice or bias on the part of any person involved in determining the outcome of the review or assessment;
- f. the process as detailed in the Supervisor-Candidate Agreement or similar document or any subsequent amendment not being followed;
- g. where additional evidence for special consideration can be provided, or where procedures for consideration of an application for special consideration were not properly followed.

(75) An appeal made under clause (74) must be lodged with the Secretary, Academic Board Appeals Committee, within 10 working days of the date of sending of formal notification of the determination of the Deputy Vice Chancellor (Research).

### **Appeal Against Decision not to Submit Thesis**

(76) A candidate who is not satisfied with the determination of the Dean, Graduate Studies under clause (72) may appeal on the prescribed form to the Academic Board Appeals Committee on one or more of the following grounds:

- a. improper action in the conduct of the examination submission process;
- b. irregularity in the conduct of the examination submission process;
- c. negligence on the part of any person involved in the conduct of the examination submission process;
- d. discrimination against the candidate which is unlawful under State or Federal legislation;
- e. prejudice or bias on the part of any person involved in determining the outcome of the examination submission process;
- f. the examination submission requirements as detailed in the Supervisor-Candidate Agreement or similar document or any subsequent amendment not being followed; or
- g. where additional evidence for special consideration can be provided, or where procedures for consideration of an application for special consideration were not properly followed.

(77) An appeal made under clause (76) will be lodged with the Secretary, Academic Board Appeals Committee, within 10 working days of the date of sending of formal notification of the decision of the Dean, Graduate Studies.

(78) If the appeal is upheld and the thesis forwarded for examination, then the certificate will be signed by the Chair, Academic Board Appeals Committee, and neither the Principal Supervisor nor the Director, Higher Degree Research nor the Dean, Graduate Studies will be required to sign it.

### **Appeal Against Additional Examination Requirements and Failure of Admission to the**

## **Degree**

(79) A candidate who is not satisfied with the determination of the Dean, Graduate Studies under clauses (45), (46), or (48) may appeal on the prescribed form to the Academic Board Appeals Committee on one or more of the following grounds:

- a. improper action in the conduct of the examination process;
- b. irregularity in the conduct of the examination process;
- c. negligence on the part of any person involved in the conduct of the examination process;
- d. discrimination against the candidate which is unlawful under State or Federal legislation;
- e. prejudice or bias on the part of any person involved in determining the outcome of the examination process;
- f. the examination requirements as detailed in the Supervisor-Candidate Agreement or similar document or any subsequent amendment not being followed; or
- g. where additional evidence for special consideration can be provided, or where procedures for consideration of an application for special consideration were not properly followed.

(80) An appeal made under clause (79) will be lodged with the Secretary, Academic Board Appeals Committee, within 10 working days of the date of sending of formal notification of the decision of the Dean, Graduate Studies.

## **Appeal Against Termination of Enrolment**

### **Termination due to Unsatisfactory Progress**

(81) A candidate whose enrolment is terminated under clause (54) may appeal that decision to the Academic Board Appeals Committee on the following grounds:

- a. clause (54) was unreasonably applied; or
- b. there were exceptional circumstances not likely to continue which contributed to unsatisfactory progress.

### **Termination due to exceeding maximum tenure or Refusal of re-admission**

(82) A candidate whose enrolment is terminated under clause (64) may appeal that decision to the Academic Board Appeals Committee on the following grounds:

- a. clause (64) was unreasonably applied; or
- b. there were exceptional circumstances not likely to continue which contributed to poor academic performance.

(83) An applicant refused re-admission after termination of enrolment under clause (68) may appeal against that decision to the Academic Board Appeals Committee.

### **Termination due to inability to identify replacement supervisor or other reasonable grounds**

(84) A candidate whose enrolment is terminated under clause (22) may appeal on the ground that the Dean, Graduate Studies did not take reasonable steps to identify a replacement supervisor under clauses (21).

### **Termination on any other reasonable grounds**

(85) A candidate whose enrolment is terminated under clause (55) may appeal on the ground that the grounds upon which the candidature was terminated were not reasonable.

(86) An appeal under clauses (81), (82), (84) or (85) must be lodged with the Academic Board Appeals Committee on the prescribed form within 10 working days of the date of the notice of termination.

(87) A candidate whose appeal against termination is unsuccessful will have their termination of enrolment confirmed in writing.

### **Late Appeals**

(88) A late appeal under these Rules may be received at the discretion of the Chair, Academic Board Appeals Committee where the candidate is able to satisfy the Chair that the appeal was lodged late through no fault of the candidate.

## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	15th February 2021
<b>Review Date</b>	15th February 2024
<b>Approval Authority</b>	Academic Board
<b>Approval Date</b>	15th February 2021
<b>Expiry Date</b>	2nd March 2021
<b>Head of Work Unit</b>	Leslie Christidis Dean, Graduate Studies +61 2 66483901
<b>Enquiries Contact</b>	Graduate School