

CURTIN UNIVERSITY OF TECHNOLOGY

RULE NO. 10 MADE PURSUANT TO STATUTE NO. 12 – ENROLMENT:

Degree of Doctor by Research

As approved by the Council on 17 February 2016 (Resolution Number: C 20/16)

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DEFINITIONS

- “Absent Without Leave status” – means the candidate is not on approved Leave of Absence.
- “Candidacy” – means the process in which enrolled candidates undertaking a Higher Degree by Research have their research program, supervisory arrangements and on-going progress approved by the Faculty Graduate Studies Committee in accordance with the Rules for Master's Degrees by Research or Doctoral Degrees by Research.
- “Conditional status” – means the candidate's enrolment is constrained by conditions to be met by a set deadline determined by the Faculty Graduate Studies Committee or the Associate Deputy Vice-Chancellor, Research Training.
- “Confirmed Candidature” – means enrolment in the Higher Degree by Research program following approval of Candidacy.
- “Faculty Graduate Studies Committee” – means the Faculty Committee responsible for the admission, enrolment, candidature and examination of Higher Degree by Research candidates and which makes recommendations to the the Associate Deputy Vice-Chancellor, Research Training during the period of the candidate's enrolment.
- “Doctoral degree” – means the degree of Doctor of Philosophy or any other research Doctoral degree (including a Doctoral Research Degree) as approved by the Academic Board. Higher Doctoral Awards are specifically excluded from these Rules (refer to Curtin University of Technology *Academic Award Structures Policies and Procedures*).
- “Head of Enrolling Area” – means the Head of an area that is permitted to enrol Higher Degree by Research students.
- “Interim Thesis Committee” – means a committee of supervisors appointed by the Faculty Graduate Studies Committee at the time of approval of admission to the program and comprises at least a Chairperson and a Supervisor.
- “Overtime” – is the term used to identify a candidate who is enrolled but has not submitted a thesis within the prescribed time limits as determined in the Rules for Master's Degrees by Research or Doctoral Degrees by Research.
- “Provisional Candidature” – means enrolment in the Higher Degree by Research prior to approval of Candidacy.
- “Thesis Committee” – means a supervisory committee formally appointed by the Faculty Graduate Studies Committee at the time of approval of Candidacy and associated with a specific candidate as defined in these Rules. It comprises at least three persons including a Chairperson, Supervisor, and one or more Associate Supervisors or a Co-supervisor or a combination of both.
- “Thesis Examining Panel” – means the panel that is appointed prior to submission of the thesis and comprises the Chairperson of the Thesis Committee (ex officio) acting as Chair, and two Examiners both of whom shall be external to the University. Persons who are external to the University will not hold or have held an employment contract with the University within three months of nomination as an examiner or at any time during the examination process, nor will they be an Emeritus Professor of the University.

“Under Examination status” – is the status held by the candidate following submission of the thesis and prior to determination of the classification of the thesis by the Associate Deputy Vice-Chancellor, Research Training.

“University Graduate Studies Committee” – means the standing committee of the Academic Board.

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1. UNIVERSITY STATUTES, RULES AND BY-LAWS

- (a) All students must observe Curtin's statutes, rules, policies and procedures. The University's policies are published on the Internet and can be accessed using the following website: <http://policies.curtin.edu.au/>. Breaches of University Rules may be interpreted as misconduct within the terms of *Statute No. 10 – Student Disciplinary Statute*.
- (b) Unless the contrary intention appears in these Rules or in any policy statement arising therefrom, the provisions of the University's Code of Conduct and the Australian Code for the Responsible Conduct of Research, as updated from time to time, shall be deemed to apply for the purpose of these Rules.
- (c) The University's Guidelines for Higher Degree by Research Students, Thesis Committee Members, Heads of Enrolling Areas and Postgraduate Coordinators should be read in conjunction with these Rules and provide guidance to candidates, supervisors and administrative staff in relation to good practice in postgraduate research supervision and conduct.

2. THE DEGREES

- (a) Subject to and in accordance with these Rules, a Doctoral degree shall be awarded for a thesis as defined in Section 11 or a combination of a thesis and coursework in which the coursework component does not exceed one third of the Doctoral degree program. In all cases the thesis must in the opinion of the Examiners be a substantial original contribution to the knowledge or understanding of a field of study and demonstrate the capacity of the candidate to conceive, design and carry to completion independent research. The Doctoral candidate should uncover new knowledge either by the discovery of new facts, the formulation of theories or the innovative re-interpretation of known data and established ideas.
- (b) The Office of Research and Development is responsible for the administration of the Rules and in particular the management of the process of examination of all Higher Degree by Research theses.

3. GENERAL ADMISSION REQUIREMENTS

For admission to a Doctoral degree program an applicant normally shall have satisfied the Faculty Graduate Studies Committee (in respect of paragraphs (a), (b) (c), (e) or (f)) or the Associate Deputy Vice-Chancellor, Research Training (in respect of paragraph (d)) that at least one of the following eligibility criteria has been met:

- (a) graduated with or qualified for the award of the degree of Master within the University which requires the completion of a publicly available thesis or research project to an acceptable standard;
- (b) graduated with or qualified for the award of the degree of Bachelor with First Class Honours or Upper Second Class Honours within the University;
- (c) graduated with or qualified for the award of the degree of Bachelor and completed a Graduate Diploma or its equivalent, or completed a Master's degree by Coursework, with, in both cases, a course-weighted average of not less than seventy percent within the University, and demonstrated the capacity to undertake significant research;

- (d) in exceptional circumstances:
 - (i) graduated with or qualified for the award of the degree of Bachelor;
 - (ii) has substantial:
 - i. relevant peer-reviewed publications or conference papers, or exhibitions; and/or
 - ii. research experience; and
 - (iii) demonstrated the capacity to undertake significant research;
- (e) obtained qualifications from another institution which are recognised by tertiary admission authorities in Australia and which are deemed to be equivalent to, or a satisfactory substitute for, any of the qualifications prescribed in Section 3(a), (b) (c) or (d); or
- (f) enrolled in a research Master's degree for the equivalent of at least six months full-time, and shown exceptional ability in the conduct of the early stages of the research project which is clearly capable of being extended and converted to Doctoral level. Conversion of enrolment from Master's to a Doctoral program requires the approval of the Faculty Graduate Studies Committee.

4. ENROLMENT AND DURATION OF STUDY

- (a) A candidate may enrol in a Doctoral degree either full-time or part-time. Enrolment shall be continuous with the exception of periods of Leave of Absence as approved by the Faculty Graduate Studies Committee.
- (b) Enrolment in the Doctoral degree shall be for a minimum period of two years and a maximum period of four years of equivalent full-time study. The time limits shall be adjusted for approved periods of Leave of Absence. In exceptional circumstances the periods of enrolment noted above may be varied by the Associate Deputy Vice-Chancellor, Research Training upon the recommendation of the Faculty Graduate Studies Committee.
- (c)
 - (i) Enrolment in the thesis unit shall be deemed to terminate on the date of the submission of the thesis for examination. After that time and until examination is completed, the candidate's enrolment status shall be Under Examination.
 - (ii) A candidate failing to submit a thesis for examination within the prescribed time limits shall be identified as Overtime. The candidate shall also be placed on Conditional status and will be allowed the equivalent of a further six months of full-time enrolment in which to submit the thesis. When a candidate identified as Overtime submits a thesis within that further time, the candidate's enrolment status shall be amended to Under Examination.
 - (iii) Once a candidacy is identified as Overtime, further extensions of enrolment require the written support of the Head of Enrolling Area and, upon the recommendation of the Faculty Graduate Studies Committee, the approval of the Associate Deputy Vice-Chancellor, Research Training. If the Associate Deputy Vice-Chancellor, Research Training does not approve such an extension the candidate's enrolment will be terminated.
- (d) Candidates who seek to enrol part-time must satisfy the Head of Enrolling Area that they are able to devote the time necessary for the satisfactory completion of the research program within the prescribed time limits.
- (e) A candidate enrolled for a Doctoral degree normally shall conduct the research, other than field work, at the University. The Head of Enrolling Area may recommend to the Faculty Graduate Studies Committee that a candidate be

permitted to conduct the research at another institution or at other places, particularly where special facilities exist, provided that the Head of Enrolling Area is satisfied that the research can be supervised in a safe and satisfactory manner and that appropriate facilities and infrastructure exist.

- (f) The Faculty Graduate Studies Committee, upon the recommendation of the Head of Enrolling Area, must be satisfied that an appropriate level of contact can be maintained between the candidate and the Thesis Committee. Face-to-face contact (either in person or using appropriate technology) with a member of the Thesis Committee shall occur on not less than an average of 10 days¹ each academic year over the period of candidature. The level of face-to-face contact should be agreed between the candidate and the Thesis Committee prior to Candidacy and should be reviewed annually. The agreed level should be reported in the Annual Progress Report.
- (g) No candidate may be enrolled in a Doctoral degree at the University while simultaneously enrolled in any other higher degree, Bachelor's degree, or diploma course at this or any other institution, without the approval of the Associate Deputy Vice-Chancellor, Research Training.
- (h) The Head of Enrolling Area may, after consultation with the Thesis Committee, allow a full-time candidate to undertake a limited amount of University teaching or other work and, in agreed circumstances, to enrol for study in units other than those prescribed in the Doctoral degree program in accordance with Section 4(j). The Head of Enrolling Area must be satisfied that these activities will not interfere with progress in the Doctoral degree program.
- (i) A candidate who is unable to pursue his/her studies may be granted Leave of Absence (see Section 10).
- (j) A Doctoral degree program may contain both coursework and research (thesis) components. For the purposes of these Rules, the research component of a Doctoral degree must comprise at least two thirds of the degree program. The coursework component may be as prescribed in the course description or at the direction of the Head of Enrolling Area following consultation with the candidate and the Thesis Committee.

5. APPLICATION FOR ADMISSION AND ENROLMENT

- (a) An application for admission into a Doctoral degree shall be made on the prescribed form and shall be lodged with the relevant Head of Enrolling Area. The applicant shall disclose all previous tertiary studies.
- (b) The Faculty Graduate Studies Committee may approve an application for admission provided the Head of Enrolling Area has certified that:
 - (i) the admission requirements have been met;
 - (ii) adequate supervision, infrastructure, and other resources and facilities are available;
 - (iii) the applicant has adequate research experience and ability to pursue the proposed research program at Doctoral degree level;
 - (iv) adequate arrangements have been made to satisfy Section 4(f) regarding contact with the Thesis Committee;

¹ At least one substantial face-to-face meeting (in person or using appropriate technology) should be held on each of the days on which face-to-face contact is deemed to occur in accordance with this Rule.

- (v) an applicant whose first degree is in a language other than English has produced evidence of proficiency in English.²

Upon approval of admission by the Faculty Graduate Studies Committee candidates are deemed to have Provisional Candidature. Provisional Candidature remains until an Application for Candidacy has been approved in accordance with Section 6.

- (c) The Head of Enrolling Area shall, following consultation with the candidate, nominate an Interim Thesis Committee comprising an Interim Chairperson and an Interim Supervisor. One or more Interim Associate Supervisor(s) and/or Co-Supervisor(s) may also be nominated. The nominated Interim Thesis Committee shall be submitted to the Faculty Graduate Studies Committee for approval. Members of an Interim Thesis Committee shall be appointed in accordance with the *Register of Supervisors of Higher Degree by Research Students Policy and Procedures*.
- (d) The Interim Chairperson shall be a member of the academic staff of the University and possess a Doctoral degree qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status.
- (e) The Interim Supervisor shall be a member of the academic staff of the University. The Interim Supervisor shall possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study. Only a full-time or fractional-time staff member shall be appointed as the Interim Supervisor. Where a member of staff has a limited-term appointment, the Head of Enrolling Area shall certify at the time of appointment of the Interim Supervisor that adequate supervision is available for the duration of the proposed research program.
- (f) The Interim Associate Supervisor(s) shall be appointed from within or outside the University to assist the Interim Supervisor in the supervision of the Doctoral candidate. Where two nominated members of an Interim Thesis Committee, excluding the Interim Chairperson, possess a Doctoral qualification in the field of study or are deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study, an Interim Associate Supervisor may be appointed who does not possess a Doctoral qualification in the field of study or has not been deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study. If external to the University, the Interim Associate Supervisor(s) shall consent in writing to this appointment.
- (g) The Interim Co-Supervisor shall be a member of academic staff, an Adjunct Fellow³ or an Emeritus Professor of the University. The Interim Co-Supervisor shall possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study.
- (h) A member of staff who is enrolled in a Doctoral program shall not be appointed as an Interim Supervisor or Interim Co-Supervisor of a Doctoral candidate.
- (i) In the event that an appointed Interim Supervisor or Interim Co-Supervisor is unable to continue supervision of the provisional candidate, the Head of Enrolling Area shall, following consultation with the candidate, nominate a replacement Interim Supervisor or Interim Co-Supervisor for the relevant period for approval by the Faculty Graduate Studies Committee.
- (j) In the event that an appointed Interim Chairperson is unable to perform the assigned duties for the provisional candidate, the Head of Enrolling Area shall

² Details of English language proficiency requirements are available on the Prospective International Students website at <http://international.curtin.edu.au/>.

³ The term Adjunct Fellow is used to cover the following appointments: Adjunct Professor, Adjunct Associate Professor, Adjunct Research Fellow, Adjunct Teaching Fellow, Adjunct Research Associate, Adjunct Teaching Associate.

nominate a replacement Interim Chairperson for the relevant period for approval by the Faculty Graduate Studies Committee.

- (k) The Faculty Graduate Studies Committee shall advise all applicants for admission of the decision of the Committee. Successful applicants shall be provided with an offer of a place and other information necessary for the completion of enrolment into the Doctoral program. A copy of these Rules and any other guidelines which may be approved from time to time shall be provided to the candidate at the time of offer of a place in a Doctoral Program.
- (l) Successful applicants shall confirm acceptance of the offer of a place by completion of an *Enrolment/Change of Enrolment* form and such other forms and instructions as required to comply with the University's enrolment requirements. No enrolment shall be regarded as having been completed until the candidate has been notified by the Provost or nominee.
- (m) A candidate who is deemed to have Provisional Candidature, will be required to submit a *Summary of Proposed Research Program* for the purposes of Candidacy, as prescribed in Section 6. A candidate may not submit a thesis for examination until Candidacy has been approved.
- (n) An applicant for admission who has completed more than six months' enrolment for a Doctoral degree in another university may be permitted by the Faculty Graduate Studies Committee, on the recommendation of the Head of Enrolling Area, to count for credit the whole or any part of the period of this enrolment, as a period completed in a Doctoral degree program at this University, provided that:
 - (i) the period of advanced study and research has been carried out under supervision and is directly related to the candidate's proposed course of advanced study and research at this University;
 - (ii) the candidate shall have formally withdrawn from enrolment for the higher degree of the other university for which the credit is sought;
 - (iii) the amount of credit which may be so granted shall not exceed the full-time equivalent of one year without the approval of the Associate Deputy Vice-Chancellor, Research Training. No candidate who has been granted credit shall present a thesis for examination for the degree earlier than the equivalent of one year of full-time study after Candidacy has been granted at this, other than in exceptional circumstances as approved by the Associate Deputy Vice-Chancellor, Research Training on the recommendation of the Faculty Graduate Studies Committee.

6. APPLICATION FOR CANDIDACY

- (a) Doctor of Philosophy candidates with Provisional Candidature shall apply for Candidacy on the prescribed form to the Faculty Graduate Studies Committee not later than six months of equivalent full-time study after initial enrolment. Extension of time may be approved by the Faculty Graduate Studies Committee. The application for extension form shall include the Supervisor's recommendation, endorsed by the Head of Enrolling Area.
- (b) Candidates enrolled in a research doctoral program (eg, Doctor of Science Education [ScEdD] Doctor of Public Health [DrPH], etc.) with a prescribed coursework component with Provisional Candidature shall apply for Candidacy on the prescribed form to the Faculty Graduate Studies Committee not later than six months of equivalent full-time study following successful completion of the assessed course work component to the satisfaction of the Thesis committee.
- (c) Failure to apply for Candidacy within the prescribed time limits may result in the candidate's enrolment status being changed to Conditional by the Faculty Graduate Studies Committee. Should Candidacy not be approved within a further

period prescribed by the Faculty Graduate Studies Committee, the Faculty Graduate Studies Committee may recommend to the Associate Deputy Vice-Chancellor, Research Training that the candidate's enrolment be Terminated.

- (d) Candidacy will be approved by the Faculty Graduate Studies Committee on fulfilment of the following conditions:
- (i) definition of an acceptable research program, including its objectives, methodology, facilities and resources required and a time schedule for its completion;
 - (ii) attainment of the necessary level of knowledge and skill to proceed with the proposed research program;
 - (iii) acceptance of the nominated Thesis Committee;
 - (iv) certification by the Head of Enrolling Area that adequate facilities and resources are available for the proposed research program;
 - (v) acceptance of appropriate arrangements regarding the ownership of intellectual property in accordance with University policy as it may from time to time be amended;
 - (vi) certification by the Head of Enrolling Area that University Health and Safety requirements, as appropriate to the proposed research program, are satisfied.

The Faculty Graduate Studies Committee **must** be satisfied that the candidate understands the ethical issues involved with research and/or experimentation involving animals; humans; ionising radiation, microwaves, lasers or ultraviolet light; or recombining of DNA. Where necessary, the Faculty Graduate Studies Committee may recommend that the candidate submit of an application to the appropriate ethics Committee.

Following approval of Candidacy a candidate shall be deemed to have Confirmed Candidature.

- (e) After Candidacy has been approved, the Faculty Graduate Studies Committee may approve changes to the thesis title and composition of the Thesis Committee on the recommendation of the Head of Enrolling Area. The Head of Enrolling Area should consult with the candidate prior to making such recommendations to the Faculty Graduate Studies Committee. Where there is a significant change of focus in the research program, a new Candidacy application must be submitted, as prescribed in Section 6(d).

7. TRANSFER AND CONVERSION BETWEEN HIGHER DEGREE BY RESEARCH PROGRAMS

- (a) Candidates wishing to transfer between Higher Degree by Research programs shall follow the appropriate procedures based on whether or not they have attained Candidacy for the course in which they are enrolled at the time of application as follows:
- (i) **Provisional Candidature:** A candidate enrolled in a Higher Degree by Research who has not yet attained Candidacy but who wishes to transfer to another Higher Degree by Research, shall apply for admission into the new program using the *Application for Admission to a Higher Degree by Research* form. If the application is accepted by the Faculty Graduate Studies Committee, the candidate will be withdrawn from the first program and enrolled into the new program. The recorded commencement date shall be that of the original degree.

- (ii) Confirmed Candidature: A candidate enrolled in a Higher Degree by Research who has attained Candidacy but who wishes to convert her/his enrolment and Candidacy to another Higher Degree by Research, shall submit a revised *Application for Candidacy/Conversion of Candidacy* form to the Faculty Graduate Studies Committee. The recorded commencement date for the new program shall be that of the original degree.
- (b) In the case of a candidate converting from a Master's degree to a research Doctoral degree, the Chairperson of the Thesis Committee and the Supervisor shall certify that the outcome of the proposed research program will be a thesis of the standard required in Section 2(a).
- (c) The Faculty Graduate Studies Committee shall advise the candidate whether or not the application is successful and arrange for the enrolment to be amended as necessary.

8. THESIS COMMITTEE AND SUPERVISORS FOR CONFIRMED CANDIDATURE

- (a) At the time of application for Candidacy, the Head of Enrolling Area shall, following consultation with the candidate, nominate a Thesis Committee of at least three persons, comprising a Chairperson, Supervisor and either one or more Associate Supervisors or a Co-Supervisor or a combination of both. The nominated Thesis Committee shall be submitted to the Faculty Graduate Studies Committee for approval. Members of a Thesis Committee shall be appointed in accordance with the *Register of Supervisors of Higher Degree by Research Students Policy and Procedures*.
- (b) The Chairperson shall be a member of the academic staff of the University and possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status.
- (c) The Supervisor shall be a member of the academic staff of the University. A Supervisor shall possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study. Only a full-time or fractional-time staff member shall be the Supervisor. Where a member of staff has a limited-term appointment, the Head of Enrolling Area shall certify at the time of appointment of the Supervisor that adequate supervision is available for the duration of the proposed research program.
- (d) The Associate Supervisor(s) shall be appointed from within or outside the University to assist the Supervisor in the supervision of the Doctoral candidate. Where two nominated members of a Thesis Committee, excluding the Chairperson, possess a Doctoral qualification in the field of study or are deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study, an Associate Supervisor may be appointed who does not possess a Doctoral qualification in the field of study or has not been deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study. If external to the University, the Associate Supervisor(s) shall consent in writing to this appointment.
- (e) A Co-Supervisor shall be a member of academic staff, an Adjunct Fellow⁴ or an Emeritus Professor of the University. The Co-Supervisor shall possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study.
- (f) A member of staff who is enrolled in a Doctoral program shall not be appointed a Supervisor or Co-supervisor of a Doctoral candidate.

⁴ The term Adjunct Fellow is used to cover the following appointments: Adjunct Professor, Adjunct Associate Professor, Adjunct Research Fellow, Adjunct Teaching Fellow, Adjunct Research Associate, Adjunct Teaching Associate.

- (g) After Candidacy has been approved the Faculty Graduate Studies Committee may approve changes to the composition of the Thesis Committee on the recommendation of the Head of Enrolling Area. The Head of Enrolling Area should consult with the candidate prior to making such recommendations to the Faculty Graduate Studies Committee.
- (h) In the event that an appointed Supervisor, or Co-Supervisor is unable to supervise the candidate for a period exceeding three months, the Head of Enrolling Area shall, following consultation with the candidate, nominate a replacement Supervisor or Co-Supervisor for the relevant period for approval by the Faculty Graduate Studies Committee.
- (i) In the event that the Chairperson of the Thesis Committee is unable to perform the assigned duties for a period exceeding three months, the Head of Enrolling Area shall nominate a replacement Chairperson for the relevant period for approval by the Faculty Graduate Studies Committee.

9. PROGRESS

- (a) The candidate and Thesis Committee shall be jointly responsible for ensuring regular and adequate communication throughout the period of candidature.
- (b) The candidate shall submit an Annual Progress Report by the due date specified by the Associate Deputy Vice-Chancellor, Research Training to demonstrate progress towards the stated objectives of the Doctoral degree. If the candidate is an international student and sponsored by an external agency, or is the holder of a Curtin-sponsored international scholarship, then the candidate shall also submit an International Sponsored Student Report, similar to the Annual Progress Report, by the due date specified by the Associate Deputy Vice-Chancellor, Research Training to demonstrate progress towards the stated objectives of the Doctoral degree. The Associate Deputy Vice-Chancellor, Research Training or the Thesis Committee may, following consultation with the candidate, require the candidate to submit reports, additional to the Annual Progress Report and/or International Sponsored Student Report, to monitor progress in the Doctoral degree.
- (c) Annual Progress Reports and/or International Sponsored Student Reports shall assist in determining the candidate's academic status. The candidate's Supervisor shall make recommendations regarding continuing or changing the candidate's academic status to the Higher Degree by Research Review Board or Head of Enrolling Area, or appropriate alternate, which in turn will endorse the recommendation or make its own recommendation to the Faculty Graduate Studies Committee. The Faculty Graduate Studies Committee will then approve the recommendation or make its own recommendation.
 - (i) Candidates making satisfactory progress and likely to complete the research program as prescribed should be accorded the status of Good Standing.
 - (ii) Candidates whose progress raises concerns as to their ability to complete the research program as prescribed should be accorded Conditional status.
 - (iii) Candidates whose progress is unsatisfactory and who are unable to complete the research program should have their enrolment terminated and/or counselled regarding alternatives. A candidate will normally be accorded Conditional status prior to having their enrolment terminated.
- (d) If a candidate fails to submit an Annual Progress Report and/or International Sponsored Student Report by the due date, the Higher Degree by Research Review Board or Head of Enrolling Area, or appropriate alternate, may recommend

to the Faculty Graduate Studies Committee that the candidate be withdrawn from enrolment and their status be changed to Absent Without Leave.

- (e) Candidates shall remain enrolled provided they have been granted Good Standing or Conditional status in accordance with Section 9(c).
- (f) Candidates whose status is changed to Conditional shall be notified in writing by the Faculty Graduate Studies Committee of the applicable conditions.
- (g) Candidates who have been identified as Overtime shall be placed on Conditional status and notified in writing by the Faculty Graduate Studies Committee of the applicable conditions.
- (h) The candidate's Supervisor (or appropriate alternate) shall submit an Annual Progress Report and, if applicable, an International Sponsored Student Report by the due date specified by the Associate Deputy Vice-Chancellor, Research Training to demonstrate progress towards the stated objectives of the Doctoral degree and recommend a continuing or changing academic status for the student as per 9(c). The Supervisor's (or appropriate alternate's) failure to submit an Annual Progress Report or an International Sponsored Student Report by the due date shall delay confirmation of the candidate's enrolment status for the following period.

10. LEAVE OF ABSENCE

- (a) In accordance with Section 4(a), a candidate shall remain enrolled continuously until the thesis has been submitted for examination to the Office of Research and Development, except during periods of approved Leave of Absence.
- (b)
 - (i) A candidate who is unable to pursue his/her studies may be granted Leave of Absence and have enrolment suspended for a period of one to twelve months by the Faculty Graduate Studies Committee on the recommendation of the Head of Enrolling Area. Candidates are required to lodge the application for Leave of Absence on the prescribed form prior to the start date of the proposed period of leave. Leave of Absence shall not normally be approved by the Faculty Graduate Studies Committee until after Candidacy is approved by the Faculty Graduate Studies Committee.
 - (ii) In exceptional circumstances, the Faculty Graduate Studies Committee may approve further periods of Leave of Absence. Applications for retrospective periods of Leave of Absence may be considered by the Faculty Graduate Studies Committee in exceptional circumstances.
- (c) For International Students who have a student visa, approval of Leave of Absence is subject to the requirements of the Department of Immigration and Citizenship (DIAC).
- (d) A candidate who is not on approved Leave of Absence and is deemed by the Head of Enrolling Area, following consultation with the Supervisor, not to be actively pursuing their research program may, upon recommendation to the Faculty Graduate Studies Committee by the Head of Enrolling Area, be withdrawn from enrolment and have their status changed to Absent Without Leave for a period of six months.
- (e) In exceptional circumstances a candidate whose status is Absent Without Leave may be re-enrolled on the recommendation of the Head of Enrolling Area to the Faculty Graduate Studies Committee after a period of time on whatsoever terms and conditions the Faculty Graduate Studies Committee may prescribe consistent with the Higher Degree by Research Rules for Doctoral Degrees.

- (f) A candidate whose status is Absent Without Leave for a period exceeding six months may have his/her enrolment terminated by the Associate Deputy Vice-Chancellor, Research Training in accordance with Section 16.

11. THESIS SUBMISSION FOR EXAMINATION

- (a) A thesis shall normally be presented in Standard English. Any exceptions to this requirement must, upon the recommendation of the Faculty Graduate Studies Committee, be approved by the Associate Deputy Vice-Chancellor, Research Training, in which case it may be required that the thesis be accompanied by a translation into Standard English.
- (b) The thesis shall be based on research conducted during the period of enrolment and shall be presented in one of the following forms:
 - (i) a typescript, or
 - (ii) a creative or literary work or series of works in any approved medium accompanied by an exegesis, or
 - (iii) a published book or series of published papers presented in accordance with Section 11(e).
- (c) A candidate submitting a thesis in a form as specified in Section 11(b)(i) or 11(b)(iii) shall submit the thesis in electronic portable document format (pdf) to the Office of Research and Development. A candidate submitting a thesis in a form as specified in Section 11(b)(ii) shall submit to the Office of Research and Development the exegesis in electronic portable document format (pdf) and the creative or literary work or series of works in a format specified by the Faculty Graduate Studies Committee. Where requested by the examiner, the candidate will provide one (1) temporary bound copy of the thesis per examiner plus an additional copy for the Office of Research and Development.
- (d) The thesis shall conform to the following conditions:
 - (i) A thesis submitted in the form of a typescript shall not exceed 100,000 words, excluding appendices, tables and illustrative matter and the bibliography. An exegesis forming part of a thesis and accompanying a creative or literary work or series of works shall not exceed 40,000 words excluding appendices, tables and illustrative matter and the bibliography.
 - (ii) A thesis submitted in the form of a typescript or a written exegesis forming part of a thesis shall be presented as typed on good quality bond paper of international A4 size, with margins of not less than 4 centimetres on the spine side of the page, and 2.50 centimetres on the opposite side, top and bottom of the page. One-and-a-half line spacing should be used between lines of text. Text pages shall be numbered sequentially. The candidate is responsible for the correct numbering and collating of the pages.
 - (iii) The title page of the thesis or exegesis shall show the candidate's full name, the name of the Enrolling Area, the title of the thesis and the year of submission or re-submission for re-examined theses, as appropriate. The page immediately following the title page shall contain the following signed and dated Declaration: "To the best of my knowledge and belief this thesis contains no material previously published by any other person except where due acknowledgment has been made. This thesis contains no material which has been accepted for the award of any other degree or diploma in any university". If the thesis is resubmitted, this Declaration shall be reprinted and signed and dated with the date of resubmission.
 - (iv) The thesis or exegesis shall include a summary or abstract of at least 200 words.

- (v) Selection of a format and referencing system should be made in consultation with the candidate's Supervisor.
 - (vi) Illustrations, diagrams, tables, maps, etc., to be incorporated in the text shall either be printed within the text or reproduced in a permanent high quality format (eg, ink drawings, photographs, audiovisual recordings, digital images, etc.). Such illustrations, etc., shall be clearly numbered and identified, and referred to by these numbers throughout the text.
- (e) A thesis submitted in the form of a series of published papers shall conform to the following:
- (i) a full explanatory overview shall be included to link the separate papers and to place them in the context of an established body of knowledge;
 - (ii) a literature review shall be included;
 - (iii) if detailed data and descriptions of methods are not otherwise given, they shall be included as appendices;
 - (iv) only papers published in refereed scholarly media and based on research conducted during the period of enrolment may be included in a thesis submitted in the form of a series of published papers. However, papers which have been accepted for publication but have not yet appeared in refereed scholarly media may also be included as part of the thesis;
 - (v) the number of papers submitted should be sufficient for the body of work to constitute a substantial and original contribution to knowledge;
 - (vi) any published paper of which the candidate is a joint author may only be included in the thesis provided the work done by the candidate is clearly identified. The candidate must provide to the Office of Research and Development at the time of submission of the thesis a written statement from each co-author attesting to the candidate's contribution to a joint publication included as part of the thesis.
- (f) The sources from which the candidate's information is derived, the extent to which the work of others has been used and/or for which the assistance of individuals, associations or institutions has been obtained, shall be acknowledged generally in a preface or introduction, and specifically in notes, references and appendices.
- (g) The thesis shall not be accepted for examination, or re-examination without a statement from the Supervisor, on behalf of the Thesis Committee, recommending that the thesis be sent for examination, or re-examination. Notwithstanding the above, if the Supervisor, on behalf of the Thesis Committee, declines to provide such a statement, the candidate may request the thesis be sent for examination, or re-examination in accordance with Section 15 (Grievance Procedures).
- (h) Where a thesis contains material that may reasonably affect the security of persons, nations, industry or commerce the Associate Deputy Vice-Chancellor, Research Training may, upon recommendation from the Head of Enrolling Area prior to submission, declare the thesis to be confidential for a specified period of time, normally not exceeding two years.
- (i) A candidate shall, subject to the University's *Intellectual Property – Ownership and Commercialisation Policy and Procedures*, own the Copyright in the thesis.
- (j) The copies of the thesis submitted by the candidate shall become the property of the University. The copies are subject to any confidentiality agreements entered into by the University, the candidate, and any sponsoring body of the research in

accordance with the University's *Intellectual Property – Ownership and Commercialisation Policy and Procedures*.

12. THESIS EXAMINING PANEL

- (a) The Faculty Graduate Studies Committee shall, on the recommendation of the Head of Enrolling Area, appoint a Thesis Examining Panel, comprising:
 - (i) the Chairperson of the Thesis Committee (ex officio) acting as Chairperson; and
 - (ii) two Examiners both of whom shall be external to the University.
- (b) No person who is or has at any time been a member of a candidate's Interim Thesis Committee or Thesis Committee shall be eligible for appointment as an Examiner.
- (c) In recommending a Thesis Examining Panel, the Head of Enrolling Area shall take all reasonable steps to ensure that Examiners are free from bias with respect to the candidate, the Supervisor or the University, and shall preserve the integrity and independence of the examination process.
- (d) Examiners shall possess a Doctoral qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status with recognised standing in the field of study.
- (e) Examiners are requested to examine a thesis within six weeks of receipt. If any Examiner is unable to complete the examination within three months, the Head of Enrolling Area may recommend a replacement Examiner to the Faculty Graduate Studies Committee for approval.
- (f) The Associate Deputy Vice-Chancellor, Research Training may, upon recommendation by the Faculty Graduate Studies Committee, appoint a replacement Examiner, or Adjudicator as appropriate, in the following circumstances:
 - (i) where an Examiner, or Adjudicator, is unable to continue an examination for any reason;
 - (ii) where an Examiner, or Adjudicator, is unable to re-examine for any reason;
 - (iii) where an Examiner, or Adjudicator, demonstrates bias with respect to the candidate, the Supervisor or the University in their examination report.
- (g) Names of Examiners shall not be released unless the Examiner(s) specifically approves the release of his/her identity, subject to the provisions of the Freedom of Information Act. Only the Associate Deputy Vice-Chancellor, Research Training (or nominee), the Chairperson of the Faculty Graduate Studies Committee and the Chairperson of the Thesis Committee may communicate with the Examiners regarding the examination process while the thesis is under examination. Breaches of this Rule in relation to communication with Examiners will be referred to the Associate Deputy Vice-Chancellor, Research Training and may be interpreted as misconduct within the terms of the employment agreements and *Statute No. 10 – Student Disciplinary Statute*.

13. THESIS EXAMINATION

- (a) The Examiners shall examine the thesis principally in terms of:
 - (i) the candidate's understanding of the field of study;
 - (ii) the candidate's demonstrated capacity to conceive, plan and conduct a program of research;

- (iii) the significance of the thesis as a contribution to knowledge or understanding of knowledge in the field of study; and
- (iv) the originality of the work embodied in the thesis.

Where a thesis is submitted in the form of a creative work or series of works in any approved medium accompanied by an exegesis in accordance with Section 11, the Examiners shall assess the creative works in a format and location as determined by the Faculty Graduate Studies Committee following consultation with the candidate and Head of Enrolling Area. The University will promote the use of appropriate technology to allow satisfactory reproductions of creative works to be made available to Examiners to facilitate the examination process.

- (b) The Associate Deputy Vice-Chancellor, Research Training shall require each Examiner to submit an independent, written report on the merits of the thesis which shall contain an assessment of the thesis in relation to the stated thesis objectives and as a requirement for a Doctoral degree. The report shall include one of the following recommendations:
 - (i) the thesis be classified as passed with no requirement for correction or amendments other than minor typographical and editorial matters. The Chairperson of the Thesis Committee will require that the candidate correct such errors as pointed out by the Examiner; or
 - (ii) the thesis be classified as passed, subject to minor textual and/or structural amendments being made to the satisfaction of the Chairperson of the Thesis Committee as outlined in the Examiner's Report; or
 - (iii) the thesis be passed, provided the candidate has revised specific sections of the thesis to the satisfaction of the Chairperson of the Thesis Committee as outlined in the Examiner's Report; or
 - (iv) the thesis be submitted in a revised form for re-examination by the original Examiner after further research, rewriting, reorganisation, and/or reconceptualisation. The Examiner may specify this category for a thesis which requires major, substantive amendment and submission for re-examination by the original Examiner. In the report the Examiner shall provide detailed guidance to the candidate to assist revision; or
 - (v) the thesis be classified as failed, without right to resubmit the thesis, on the basis that a significant amount of additional research work and/or major, substantive revision will not raise the thesis to an acceptable standard.

Notwithstanding the above, the Associate Deputy Vice-Chancellor, Research Training may approve, on recommendation from the Faculty Graduate Studies Committee, a variation to the wording used in the classifications 13(b)(i)-(iv) above in order to address more appropriately the nature of the thesis presented, for example exhibited creative works with an accompanying exegesis.

Furthermore, an Examiner or the Chairperson of the Thesis Committee may recommend to the Associate Deputy Vice-Chancellor, Research Training an oral examination of the candidate in accordance with the provisions of Section 14.

- (c) The reports of the Examiners shall be conveyed to the Chairperson of the Thesis Committee who shall then make a recommendation to the Associate Deputy Vice-Chancellor, Research Training through the Faculty Graduate Studies Committee as provided in Section 13(d), (h) or (j) below.
- (d) Where the recommendations contained in the Examiners' reports are in substantial agreement, the Chairperson of the Thesis Committee, having discussed the reports with the Thesis Committee, shall:

- (i) recommend to the Associate Deputy Vice-Chancellor, Research Training that the thesis be classified as passed or failed; or
 - (ii) request, in writing that the candidate make the amendments required by the Examiner(s) and return the amended thesis, together with a statement outlining the revisions that have been made, to the Chairperson of the Thesis Committee; or
 - (iii) inform the candidate, in writing, of the specific requirements which the thesis must meet and the completion time, in order to be reconsidered as passed or failed and request the candidate to submit the thesis in a revised form for re-examination by the original Examiner(s), together with a statement, which must be approved by the Thesis Committee, outlining the revisions that have been made.
- (e) The length of period for an amendment or submission for re-examination of a thesis shall be determined by the Chairperson of the Thesis Committee, but in any case shall not exceed twelve months from the date of notification to the candidate. In exceptional cases, upon the recommendation of the Faculty Graduate Studies Committee, the Associate Deputy Vice-Chancellor, Research Training may approve an extension of a period up to a maximum of six months. Failure by the candidate to resubmit a revised thesis within this time frame may result in the candidate's enrolment being terminated.
- (f) On receipt of a re-submitted thesis, the Examiner (see Section 13(b)(iii)) shall classify the thesis as passed or failed. In the case of a recommendation of pass, the Examiner may recommend further minor amendments only, to be completed to the satisfaction of the Chairperson of the Thesis Committee.
- (g) A thesis may be re-submitted for examination in a revised form only once during the examination process.
- (h) Where the thesis is recommended as passed on the basis of amendment or re-submission, the Chairperson of the Thesis Committee shall attach to the Chairperson's Report a statement documenting the candidate's response to the Examiners' reports. In determining the recommendation to the Faculty Graduate Studies Committee regarding whether the candidate should be awarded the Doctoral degree, the Chairperson of the Thesis Committee shall consider the results of any coursework component of the Doctoral degree program in relation to the course description and any prescribed coursework during the period of candidature.
- (i) Where the recommendations of the Examiners do not allow determination of a result based on a clear weight of opinion⁵ the Chairperson of the Thesis Committee, having discussed the reports with the Thesis Committee, shall recommend to the Faculty Graduate Studies Committee the appointment of an Adjudicator who shall adjudicate between the Examiners' reports on the basis of the thesis presented (in original form or as resubmitted, whichever is appropriate). The Adjudicator shall be appointed by the Faculty Graduate Studies Committee and shall be external to the University. The Adjudicator shall be appointed in a manner consistent with Sections 12(b), (c), (d), (e) and (g) pertaining to the appointment of Examiners.

In consideration of a thesis which has not been previously resubmitted for examination and with due reference to the Examiners' Reports, the report of the Adjudicator shall recommend:

⁵ The determination of whether or not a clear weight of opinion exists must occur at the time of considering the original Examiners' reports and on receipt of any Examiners' reports following re-submission of a thesis as provided in Sections 13(b)(iii), 13(d)(iii) and 13(f). This determination must take into account the content and context of the reports (i.e., a qualitative assessment of the reports) and the overall classifications (i.e., a quantitative assessment of the reports). It is not sufficient to consider only the classifications of the Examiners. The role of the Adjudicator is to resolve any situation in which it is not possible to determine a clear weight of opinion.

- (i) that the thesis be passed with no further amendment other than correction of errors of presentation; or
- (ii) that the thesis be passed subject to amendments being made to the satisfaction of the Chairperson of the Thesis Committee⁶; or
- (iii) that the thesis be submitted in a revised form for re-examination by those Examiners who so recommended; or
- (iv) that the thesis be classified as failed, without right to resubmit the thesis, on the basis that a significant amount of additional research work and/or major, substantive revision will not raise the thesis to an acceptable standard.

In consideration of a thesis which has been previously resubmitted for examination and with due reference to the Examiners' Reports, the report of the Adjudicator shall classify the thesis as passed or failed. In the case of a recommendation of pass, the Adjudicator may recommend further minor amendments only, to be completed to the satisfaction of the Chairperson of the Thesis Committee.

The report of the Adjudicator shall be conveyed to the Chair of the Thesis Committee who will make a recommendation to the Faculty Graduate Studies Committee regarding the classification of the thesis.

- (j) The Chairperson of the Thesis Examining Panel may communicate with an Examiner in the following circumstances:
 - (i) to clarify any aspect of a report which may conflict with other reports;
 - (ii) to clarify any aspect of a report which may affect the overall classification of the thesis;
 - (iii) to ascertain the status of a report during the examination process;
 - (iv) when requested to do so by the Associate Deputy Vice-Chancellor, Research Training.

The Chairperson must not reveal the identity of an Examiner to another Examiner without the express permission of the Examiner. Furthermore, where a Chairperson is likely to determine a clear weight of opinion which conflicts with a recommendation by one or more examiners under Section 13(b)(iii) [Revise and Resubmit] the Chairperson shall, as far as is practicable, discuss the reasons for such a determination with the relevant Examiner(s) and such information should be conveyed to the Faculty Graduate Studies Committee at the time of recommending the classification of the thesis in accordance with Section 13(d).

- (k) Where the examination process, including any assessment by an adjudicator, leads to a recommendation that the thesis be classified as failed, on the basis that a significant amount of additional research work and/or major, substantive revision will not raise the thesis to an acceptable standard, the Faculty Graduate Studies Committee may recommend to the Associate Deputy Vice-Chancellor, Research Training that an appropriate degree of Master be awarded. In such cases, the Associate Deputy Vice-Chancellor, Research Training shall consider the examiners' reports, and any adjudicator's report, and shall consult with the Chairperson of the Thesis Committee and the Deputy Vice-Chancellor, Research and Development. In considering the recommendation the Associate Deputy Vice-Chancellor, Research Training may require some minor revisions and/or textual

⁶ In certain circumstances the Adjudicator can recommend this classification (13(i)(ii)) even though such a classification has not been recommended by any of the original Examiners. This classification would be given where the Adjudicator believes the thesis requires amendment to the satisfaction of the Chairperson of the Thesis Committee but does not warrant resubmission or failure.

changes in the thesis to be made to the satisfaction of the Chairperson of the Thesis Committee prior to the awarding of the degree.

- (l) The Associate Deputy Vice-Chancellor, Research Training shall consider the recommendation of the Faculty Graduate Studies Committee regarding the classification of the thesis.
 - (i) Where the Associate Deputy Vice-Chancellor, Research Training accepts a recommendation that the candidate has satisfied all the requirements it shall make a recommendation to Council that the degree be awarded. The Associate Deputy Vice-Chancellor, Research Training shall be satisfied that all the requirements of the Rules have been met (including the provisions of Section 18 regarding final binding of the thesis) before recommending to Council that the degree be awarded.
 - (ii) Where the Associate Deputy Vice-Chancellor, Research Training does not accept the recommendation from the Faculty Graduate Studies Committee regarding the classification of the thesis the Faculty Graduate Studies Committee shall be requested to further consider its recommendation and provide additional information regarding the classification. The Associate Deputy Vice-Chancellor, Research Training shall consider the additional information and determine the classification of the thesis as appropriate.
- (m) The decision of Council to confer the award shall be conveyed to the candidate by the Provost.
- (n) Where a thesis has been declared Confidential, the Associate Deputy Vice-Chancellor, Research Training shall inform the University Library that circulation of the thesis, including any digital copies, should be restricted in accordance with Section 11(i) for the agreed period of time.
- (o) Where the Associate Deputy Vice-Chancellor, Research Training accepts a recommendation from the Faculty Graduate Studies Committee that a thesis be classified as failed, the student will be notified accordingly. The Provost will also be notified of the classification. The Office of Research and Development shall retain one of the temporarily bound copies of the thesis for record purposes and the remaining copies shall be returned to the candidate.

14. ORAL EXAMINATION

- (a) An Examiner or the Chairperson of the Thesis Committee may recommend to the Associate Deputy Vice-Chancellor, Research Training an oral examination of the candidate to clarify aspects of the thesis submitted for examination.
- (b) An oral examination may only be recommended by an Examiner or Chairperson of the Thesis Committee following the initial examination of a thesis and is not permitted following consideration by an Examiner(s) of a re-submitted thesis. The detailed reasons for the recommendation should be provided in writing to the Associate Deputy Vice-Chancellor, Research Training.
- (c) Where the Associate Deputy Vice-Chancellor, Research Training accepts a recommendation for an oral examination it shall appoint a Convenor to co-ordinate and facilitate the oral examination process. The Convenor shall be a senior member of academic staff of the University in an Enrolling Area other than that in which the candidate undertook his/her research.
- (d) The oral examination shall be conducted at a suitable location determined by the Convenor in consultation with the candidate, the Chairperson of the Thesis Committee and the examiners. The format of the oral examination shall be determined by the Convenor in consultation with the candidate, the Chairperson of the Thesis Committee and the Examiners and should involve a brief presentation by the candidate followed by a series of questions without notice from the

Examiners and Chairperson of the Thesis Committee. The total time permitted for the oral examination should not exceed two hours.

- (e) An oral examination must include at least two Examiners either in attendance or via video or teleconference links where appropriate. All Examiners must be given the opportunity to attend or participate using appropriate technology. Members of the Thesis Committee shall also be permitted to attend the oral examination but are not permitted, other than the Chairperson, to comment during the examination process.
- (f) All costs involved in the conduct of an oral examination and the associated administrative organisation shall be the responsibility of the Enrolling Area in which the candidate is enrolled.
- (g) An Examiner not in attendance or participating in the oral examination using appropriate technology (a non-participating Examiner) shall be invited to provide written questions to the Convenor prior to the oral examination. The Convenor shall ensure that the questions from a non-participating Examiner are put to the candidate and the responses noted.
- (h) The Convenor and members of the Thesis Examining Panel in attendance at the oral examination shall convene in camera immediately following the oral examination to consider the candidate's responses. The outcome of the meeting of the Thesis Examining Panel shall be conveyed in writing to the Faculty Graduate Studies Committee for consideration. The recommendation of the Faculty Graduate Studies Committee shall be conveyed to the Associate Deputy Vice-Chancellor, Research Training for consideration in accordance with Section 13(k).
- (i) An oral examination should normally be held within four weeks of the decision of the Associate Deputy Vice-Chancellor, Research Training that such an examination be held.

15. GRIEVANCE PROCEDURES

- (a) A candidate who has a complaint or grievance regarding supervision or other matters affecting candidature (other than in relation to classification of theses or termination of enrolment) shall report, in the first instance, to the Chairperson of the Thesis Committee. If the matter cannot be resolved at this level, the candidate shall report the matter to the Head of Enrolling Area, or to the relevant Pro Vice-Chancellor where the Head of Enrolling Area is a member of the candidate's Interim Thesis Committee or Thesis Committee. In the event of disagreement, the candidate shall have the right to have the matter considered by the Faculty Graduate Studies Committee. If a candidate has exhausted all avenues for resolution of the complaint or grievance at a Faculty level and he/she believes that the matter has not been satisfactorily considered, he/she may write to the Associate Deputy Vice-Chancellor, Research Training outlining the complaint or grievance.
- (b) Notwithstanding the above, all complaints and grievances will be considered in accordance with the University *Grievance Resolution Policy*.

16. TERMINATION OF ENROLMENT

- (a) The enrolment of a candidate may be terminated by the Associate Deputy Vice-Chancellor, Research Training, upon the recommendation of the Faculty Graduate Studies Committee, in any of the following circumstances:
 - (i) where the candidate has failed to submit a thesis within prescribed time limits, including extensions of enrolment as approved by the Associate Deputy Vice-Chancellor, Research Training (see Section 4(c)(ii));

- (ii) where the candidate has failed to submit an application for Candidacy within prescribed time limits, including extensions of time as approved by the Faculty Graduate Studies Committee (see Section 6(c));
- (iii) where the progress of the candidate is deemed to be unsatisfactory by the Head of Enrolling Area or appropriate alternate (see Section 9(c));
- (iv) where the candidate is Absent Without Leave for a period exceeding six months (see Section 10(b));
- (v) where the candidate has failed to otherwise comply with these Rules.

Prior to termination of enrolment, a candidate shall normally be accorded Conditional status.

- (b) Where a recommendation that a candidate's enrolment be terminated is accepted by the Associate Deputy Vice-Chancellor, Research Training, the candidate shall be notified of the grounds for the recommendation in writing.
- (c) A candidate may appeal against a termination of enrolment decision made by the Associate Deputy Vice-Chancellor, Research Training in accordance with Rules 17(a) to (d) inclusive.
- (d) In exceptional circumstances a former candidate whose enrolment was previously terminated may be re-admitted on the recommendation of the relevant Head of Enrolling Area and Faculty Graduate Studies Committee after a period of time as determined by the Associate Deputy Vice-Chancellor, Research Training and on whatsoever terms and conditions it may prescribe consistent with the Rules for Doctoral Degrees by Research.

17. APPEALS PROCEDURES

Appeals Against Assessment of Coursework

- (aa) The candidate may appeal against assessment of the compulsory coursework component (if any) according to the *Assessment Manual*.

Appeals Against Termination of Enrolment

- (a) The candidate may, within 28 days of date of the letter of notification of termination of enrolment, appeal in writing to the Associate Deputy Vice-Chancellor, Research Training against the decision that the candidate's enrolment be terminated. Appeals will be permitted on procedural grounds only. Appeals by candidates simply rejecting an assessment of the merit of their work will not be permitted nor will an appeal on the grounds of complaint about the inadequacy of supervision or other arrangements during the period of study. In these latter cases the grievance procedures (see Section 15) should be used at the appropriate time.
- (b) Upon receipt of an appeal, the Associate Deputy Vice-Chancellor, Research Training shall convey the submissions of the candidate, the Supervisor, the Chairperson of the Thesis Committee, and the General Counsel to the Provost who shall determine if a *prima facie* case exists for reconsideration of the candidate's termination of enrolment. If the candidate is completing any compulsory coursework component of the degree and/or has not begun the thesis component, submissions shall be obtained from the Head of Enrolling Area and/or Course Coordinator (or appropriate alternate/s), as appropriate. If it is determined that a *prima facie* case does exist, the Provost will convene an Appeals Committee comprising:
 - (i) Chairperson of the Academic Board, or nominee, as Chairperson of the Appeals Committee;

- (ii) another member of the Academic Board who holds a research Doctoral qualification; and
- (iii) a Doctoral research candidate nominated by the Curtin University Postgraduate Student Association on behalf of the Curtin Student Guild, that nominee not being the appellant.

Neither the Head of Enrolling Area nor a person who is or at any time was a member of the candidate's Interim Thesis Committee or Thesis Committee may be a member of the Appeals Committee.

- (c) The Appeals Committee shall resolve either to uphold the decision to terminate or permit the candidate to re-enrol and resume candidature under whatsoever conditions the Committee determines.
- (d) The decision of the Appeals Committee shall be final.

Appeals Against Classification of Theses

For the purposes of this section the thesis under consideration shall be the version that has been classified as failed.

- (e) A candidate whose thesis has been classified as failed may, within 28 days of date of letter of notification of the failed classification, appeal in writing against this classification to the Associate Deputy Vice-Chancellor, Research Training. Appeals will be permitted on the following grounds only:
 - (i) procedural irregularities in the examination of the thesis or in the conduct of any examination which forms part of the determination of the result. In this case it is necessary for the candidate to demonstrate that an aspect(s) of the examination process, as determined in the Rules, was not appropriately followed and that this caused, or was likely to have substantially contributed to, the award of a fail grade; or
 - (ii) documentable evidence of prejudice or bias on the part of one or more of the Examiners.
- (f) Upon receipt of an appeal, the Associate Deputy Vice-Chancellor, Research Training shall convey all relevant information to the Provost who shall, following consultation with the General Counsel, determine if a *prima facie* case exists for reconsideration of the fail classification of the candidate's thesis. If it is determined that a *prima facie* case does exist the Provost will convene an Appeals Committee comprising:
 - (i) Chairperson of the Academic Board, or nominee, as Chairperson of the Appeals Committee;
 - (ii) another member of the Academic Board who holds a research Doctoral qualification; and
 - (iii) a Doctoral research candidate nominated by the Curtin University Postgraduate Student Association on behalf of the Curtin Student Guild, that nominee not being the appellant.
- (g) On hearing the appeal, the Appeals Committee may resolve that:
 - (i) the candidate be permitted to resubmit the thesis for examination by a new Examiner or Examiners in accordance with Sections 12(b) to (g) inclusive; or
 - (ii) the thesis and Examiners' reports be sent to an Adjudicator in accordance with Section 13(i); or

- (iii) the thesis be confirmed as failed.
- (h) The new Examiner(s), appointed under 17(g)(i), shall examine the thesis and submit a written recommendation under the same provisions as the original Examiners as prescribed in Section 13(a) and (b);
- (i) An Adjudicator, appointed under 17(g)(ii), shall adjudicate on the reports of the Examiners under the same provisions as prescribed in Section 13(e).
- (j) The decision of the Appeals Committee shall be final.

18. BINDING AND DISTRIBUTION OF THESIS COPIES

- (a) In order for a thesis submitted for examination to be classified as passed by the Associate Deputy Vice-Chancellor, Research Training, three copies of the final version of the thesis in appropriate binding or in a format specified by the Faculty Graduate Studies Committee shall be presented to the Office of Research and Development for distribution as follows:
 - (i) one copy in digital format to the University Library to be retained in the Reference Library and submitted in accordance with the *Guidelines for the Submission of Digital Theses of Higher Degree by Research Students*;
 - (ii) one copy to the Supervisor;
 - (iii) one copy to the Candidate.
- (b) Where a thesis is submitted in the form of a creative work or series of works in any approved medium accompanied by an exegesis in accordance with Section 11, an enduring record of the creative work or works using appropriate technology must be included in the final version of the thesis.

19. DOCTOR OF PHILOSOPHY DEGREE BY SUBMISSION OF PUBLISHED WORK BY STAFF OF THE UNIVERSITY

A member of staff who, during the course of their employment, has published a work or series of works may apply to submit the published works for examination for the award of the degree of Doctor of Philosophy⁷. The application must satisfy all of the following criteria:

- (a) A person who has, for not less than three years during the preceding five years, been employed as a full-time or at least 0.5 time fraction member of the staff of the University (whether or not the person is currently so employed) may apply for admission to the degree on the grounds that the person has, by published work⁸ of which the person is the author or a joint author, made a substantial contribution to learning and demonstrated a capacity to relate the work done by the person to the broader framework of the discipline within which it falls at the standard internationally recognised for a Doctor of Philosophy degree in the relevant discipline or disciplines.
- (b) The published work, or collection of published works, on which the applicant relies shall be comparable in quantity and academic quality to that which is required for a Doctor of Philosophy degree in the same general field of study.

⁷ Curtin also confers Higher Doctoral awards (Doctor of Science and Doctor of Letters) on the recommendation of the University Higher Doctoral Degrees Committee to Council on receipt of a report from Examiners. The work undertaken in higher doctoral studies must be a substantial and distinguished contribution to the appropriate branch of learning, which gives the candidate an authoritative standing in the field of knowledge in which the work falls and is entitled to general recognition as such by scholars in the field. It should be noted that the Rules contained herein do not apply to such Higher Doctoral Awards.

⁸ Here "published work" should be interpreted broadly as the publication of a scholarly work in a peer-reviewed medium, including accepted publication, exhibition or performance of a literary or creative work.

- (c) This Section does not apply in relation to a published work or collection of published works unless:
- (i) in the case in which the person is the sole author of the work or collection, a substantial proportion of the work or collection is the outcome of research undertaken by the person at the University; or
 - (ii) in the case in which the person is a joint author of the work or collection, a substantial proportion of the person's contribution to the work of the collection is the outcome of research undertaken by the person at the University.
- (d) An application for the Doctor of Philosophy Degree under this Section shall be made as follows:
- (i) the applicant shall submit to the Associate Deputy Vice-Chancellor, Research Training a descriptive summary of the proposed body of published work for initial review. This shall include an overview of the anticipated structure of the thesis and a full list of the body of published work, or series of literary or creative works.
 - (ii) the Associate Deputy Vice-Chancellor, Research Training on the recommendation of the University Graduate Studies Committee shall form a PhD by Supplication Review Committee, chaired by the Associate Deputy Vice-Chancellor, Research Training (or nominee) and including two or more experts in the relevant discipline, which shall:
 - i. review the proposed body of published work and approve that it be put in the form of a thesis, providing that the requirements of Sections 19(a), (b) and (c) have been met;
 - ii. provide advice to the applicant regarding the preparation of the thesis; and
 - iii. if deemed appropriate, appoint a mentor to assist the candidate to prepare the thesis. The mentor shall meet the same criteria as supervisor (see Section 5(e)).

If, in the opinion of the Associate Deputy Vice-Chancellor, Research Training on the advice of the PhD by Supplication Review Committee and the University Graduate Studies Committee, Sections 19(a), (b) or (c) have not been met, advice shall be given to the applicant on the nature of the additional work required in order to proceed with the application.
- (e) The application shall be in the form of a thesis in one of the following forms:
- (i) a typescript comprising copies of each published work incorporating a full explanatory introduction detailing the contribution of the author; an overview to link the separate works and to place them in the context of an established body of knowledge; a literature review; and detailed data and descriptions of methods, if not otherwise given, shall be included as appendices. Any published work of which the applicant is a joint author may only be included in the thesis provided the work done by the applicant is clearly identified. The applicant must provide to the Associate Deputy Vice-Chancellor, Research Training at the time of submission of the thesis a written statement from each co-author attesting to the candidate's contribution to a jointly published work included as part of the thesis. The thesis shall be in a form of binding as prescribed in Section 11(c). Or
 - (ii) a series of literary or creative works accompanied by an exegesis incorporating a full explanatory introduction detailing the contribution of the author; an overview to link the separate works and to place them in the context of an established body of knowledge; a literature review; and a description of methods where appropriate. Any literary or creative work of

which the applicant is a joint author/creator may only be included in the thesis provided the work done by the applicant is clearly identified. The applicant must provide to the Associate Deputy Vice-Chancellor, Research Training at the time of submission of the thesis a written statement from each co-author/creator attesting to the candidate's contribution to a jointly authored/created work included as part of the thesis. The thesis shall be in a format as prescribed in Section 11(c).

- (f) Subject to Sections 19(g) and (h), the Associate Deputy Vice-Chancellor, Research Training shall direct the examination of the thesis as provided in Sections 19(i), (j), (k) and (l).
- (g) The applicant shall clearly mark in the thesis material which has been previously submitted for the purpose of obtaining a degree of any university.
- (h) The Associate Deputy Vice-Chancellor, Research Training shall not direct an examination of the publications unless in its opinion they consist preponderantly of material which was not previously submitted for the purpose of obtaining a degree of any university.
- (i) The Associate Deputy Vice-Chancellor, Research Training may refuse to direct an examination of the thesis if the applicant has previously pursued a Doctoral degree course under these Rules for Doctoral Degrees by Research or the Higher Degree by Research Regulations for Doctoral Degrees.
- (j) The Associate Deputy Vice-Chancellor, Research Training through the University Graduate Studies Committee shall, if an examination is directed, appoint three Examiners in accordance with Section 12, all of whom are external to the University.
- (k) An applicant under this section may be orally examined in a manner determined by the Associate Deputy Vice-Chancellor, Research Training and in accordance with Section 14.
- (l) Examiners of the thesis must submit to the Associate Deputy Vice-Chancellor, Research Training a report in a form as prescribed in Section 13 in which they shall recommend that the applicant be awarded or be not awarded the degree of Doctor of Philosophy.
- (m) The Associate Deputy Vice-Chancellor, Research Training (or nominee) shall, as Chair of the PhD by Supplication Review Committee, receive the Examiners' reports and, after consideration by the PhD by Supplication Review Committee, report to the University Graduate Studies Committee. Subsequently the Associate Deputy Vice-Chancellor, Research Training on the recommendation of the University Graduate Studies Committee may:
 - (i) recommend to Council that the applicant be awarded the degree of Doctor of Philosophy; or
 - (ii) resolve that the applicant be not recommended for the award of the degree of Doctor of Philosophy.
- (n) An applicant may appeal against a recommendation by the Associate Deputy Vice-Chancellor, Research Training that the degree of Doctor of Philosophy not be awarded in accordance with Section 17(e) to 17(j) inclusive.

19A. DELEGATIONS BY FACULTY GRADUATE STUDIES COMMITTEES

- (1) A Faculty Graduate Studies Committee may delegate any of its powers under rule 3(e), 4(b), 4(c)(ii), 5(b), 5(c), 5(d), 5(e), 5(f), 5(g), 5(i), 5(j), 5(k), 5(n), 6(a), 6(c), 6(d), 6(e), 7, 8(a), 8(b), 8(c), 8(d), 8(e), 8(g), 8(h), 8(i), 9(c), 9(d), 9(e), 9(f),

9(g), 10(b), 10(d), 10(e), 11(a), 12(a), 12(d), 12(f), 13(a), 13(b), 13(c), 13(e), 13(i), 16(a), 16(d) and 18(a) to:

- (a) a person or persons who is a member of the Faculty Graduate Studies Committee; or
- (b) a Faculty Graduate Studies Officer; or
- (c) otherwise authorise such person or persons in respect of such powers.

20. EFFECTS OF CHANGES IN THE RULES

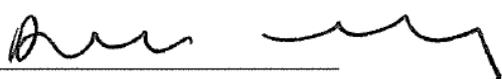
A candidate shall comply with these Rules as from time to time amended or remade except that, where the Associate Deputy Vice-Chancellor, Research Training is of the opinion that any candidate has been or may be adversely affected by a change in the Rules since initial enrolment, the candidate may be permitted to continue under such Rules or Regulations in force at any time during the period of candidature and on conditions the Associate Deputy Vice-Chancellor, Research Training may prescribe.

21. REPEAL OF PREVIOUS RULES

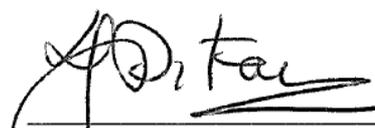
The previous Rules governing research Doctoral degrees, including the degree of Doctor of Philosophy, at this University shall be repealed on the date on which the Rules herein are promulgated.

The Common Seal of **CURTIN UNIVERSITY OF TECHNOLOGY** was hereto affixed on the 4 day of April 2016 by the authority of the Vice-Chancellor)
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Vice-Chancellor



Administrative Secretary

REVISION HISTORY

Revision / Ref. No.	Approved/ Amended/ Rescinded	Date	Committee / Board	Resolution	Document Reference
Rules	New	26/10/2005	Council	C 124/05 (ii)	01155/05
	Rescinded	07/12/2005	Council	C 156/05 (i)	01398/05
	Approved	07/12/2005	Council	C156/05 (ii)	01399/05
	Amended	17/05/2006	Council	C 68/06	GSC 119/05
	Amended	21/02/2007	Council	C 17/07	00096/07
	Amended	12/12/2007	Council	C 162/07	Attachment A to Document No 01337/07
	Amended	17/06/2009	Council	C 74/09	Attachment 1 to Document No 00680/09
	Amended	10/08/2011	Council	C 115/11	Attachment 1 to Document No 00937/11
	Promulgated	30/08/2011			Posted on Administration Building Notice Board
	Amended	08/05/2013	Council	C 76/13	Document No 00394/13
	Promulgated	02/07/2013			Posted on Administration Building Notice Board
	Amended	14/05/2014	Council	C 70/14	Document No 00383/14
	Promulgated	30/06/2014			Posted on Administration Building Notice Board
	Amended	17/02/2016	Council	C20/16	Appendix 1 to Item 9.2.1
	Promulgated	31/05/2016			Posted on Administration Building Notice Board

Rule 10 Made Pursuant to Statute No 12: Enrolment –Degree of Doctor by Research replaces “Higher Degree by Research Regulations for Doctoral Degrees” (Council 26 October 2005 - Resolution C 124/05 (i) Document 01180/05)