

**CURTIN UNIVERSITY OF TECHNOLOGY**

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

Degree of Doctor by Coursework

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

CRICOS Provider Codes 00301J

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## **PREAMBLE**

These Rules cover the conditions for the award of the degree of Doctor by Coursework. The structure of the degree of Doctor by coursework incorporates both research and coursework components, of which the research component comprises less than two-thirds of the degree requirement.

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## **DEFINITIONS**

“Absent Without Leave status” – means the candidate is not on approved Leave of Absence.

“Candidate” – means the student enrolled in the Higher Degree by Coursework program.

“Candidature” – means enrolment in the Higher Degree by Coursework program.

“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.

“Coursework component” – means those components of the program other than the research component and may include periods of supervised professional practice.

“Course Coordinator” – means the staff member responsible for overseeing the degree of Doctor by Coursework at the Enrolling Area level.

“Degree of Doctor by Coursework” – means a degree of Doctor with less than two-thirds research as approved by the Academic Board.

“Faculty Graduate Studies Committee” – means the Faculty Committee responsible for the admission, enrolment, and examination of Higher Degree by Coursework candidates and which makes recommendations to the Associate Deputy Vice-Chancellor, Research Training during the period of the candidate’s enrolment.

“Doctoral level” coursework – means studies that are demonstrably in advance of master’s level study undertaken as part of a doctoral program at a recognised institution.

“Head of Enrolling Area” – means the Head of an area that is permitted to enrol Higher Degree by Coursework students.

“Overtime” – is the term used to identify a candidate who is enrolled but has not submitted a thesis and portfolio within the prescribed time limits as determined in the Rules for a Degree of Doctor by Coursework.

“Portfolio” – means a presentation of, at least, all assessed work submitted for doctoral level units within the coursework component together with a thesis presenting the outcomes from the research component.

“Portfolio Examining Panel” – means the panel that is appointed prior to submission of the portfolio and comprises the Chairperson of the Program Committee (ex officio) acting as Chair, and two Examiners who are 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. The supervisor cannot be an examiner.

“Program” – means the specified study and research components undertaken for the award of the degree.

“Program Committee” – means a supervisory committee comprising a Chairperson (who shall normally be the Course Coordinator) and Program Supervisor. At the time the research component begins, a Thesis Supervisor is also appointed. The Faculty Graduate Studies Committee approves the composition of the program committee.

“Research component” – means the research thesis.

“Thesis” – means a scholarly report on an original research project(s) based on or manifested in rigorous experimental, theoretical, creative, empirical and/or design inquiry.

“Under Examination status” – is the status held by the candidate following submission of the portfolio 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 University policy *Statute No. 10 – Student Disciplinary Statute*.
- (b) Unless the contrary intention appears in these Rules or in any policy statement arising there from, 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 Principles for Doctoral Coursework Programs should be read in conjunction with these Rules and provide guidance to candidates and supervisors in relation to good practice in postgraduate research supervision and conduct.

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## 2. THE DEGREES

- (a) The purpose of the Degree of Doctor by Coursework program is to prepare graduates who can demonstrate advanced critical reflection on professional theory and practice. Candidates will be provided with
  - (i) an advanced program of study related to their practitioner settings and responsibilities; and
  - (ii) supervision to carry out a project (or projects) addressing a matter of substance concerning practice in a profession at a high level of originality and quality culminating in a thesis.
- (b) The degree will be awarded from an integrated program of coursework, advanced professional practice and research work that contributes to the generation of new knowledge and/or conceptual advances. The program will include coursework of at least one-third and a research and thesis component of no less than one-third of the degree program. Successful completion of all components will be required for the award of the degree.
- (c) The coursework component shall comprise units at an advanced postgraduate level and be sequenced to ensure an appropriate depth of knowledge, understanding, analysis and skills in the field of intended research. At least one-third of the coursework component of Doctoral Coursework programs should comprise units at the 700 (doctoral) level.
- (d) In programs where candidates are not normally required to have substantial professional experience and/or be currently employed in their profession, it is expected that the program should involve substantial professional practice. This may incorporate professional placements and workplace-focused research activities.
- (e) The title of the degree will be that approved by Academic Board on the joint recommendation of the Associate Deputy Vice-Chancellor, Research Training and Courses Committee.
- (f) 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 Coursework portfolios.

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### 3. GENERAL ADMISSION REQUIREMENTS

- (a) For admission as a candidate in a Doctoral Coursework program an applicant shall meet at least one of the following eligibility criteria:
  - (i) graduated with or qualified for the award of the degree of Master within the University;
  - (ii) graduated with or qualified for the award of the degree of Bachelor with First Class Honours or Upper Second Class Honours within the University;
  - (iii) graduated with a degree of Bachelor and completed a Postgraduate Diploma or its equivalent with a course-weighted average of not less than seventy five percent within the University; and
  - (iv) 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 the points above.
- (b) Applicants may be considered, on a case-by-case basis, if they hold a first degree with good results in a relevant field and also have at least six years' professional experience, or three years at a level that enables full membership of a relevant professional body. In the latter case the professional body must have an accreditation/registration process.
- (c) If the previous degree was not conducted in English an IELTS of 6.5 with a minimum of 6.0 in all bands is required, or appropriate equivalent.
- (d) An approved minimum period of professional practice may be required where specified in the program requirements. Other criteria may be required according to the field of study for the program where specified in the program requirements (eg. portfolios, auditions, interviews, eligibility for registration etc.).
- (e) An applicant previously enrolled in a Doctoral Coursework program at this or another University who has failed the examination for an equivalent degree normally will not be admitted as a candidate.
- (f) Recognition of work done prior to admission
  - (i) Credit may be given for either doctoral level courses or prior doctoral research taken at this or another recognised institution for which a degree has not been awarded.
  - (ii) Credit may be granted on the basis of study previously completed. Candidates may receive advanced standing for up to two-thirds of their non-research component of the degree program on the basis of prior successful academic study at master's or doctoral level.
  - (iii) Recognition of prior learning shall not be given for the research component of the degree, except in cases of institutional transfer between doctoral programs.
  - (iv) Candidates who have completed, or transferred from other recognised programs related to the Degree of Doctor by Coursework shall have advanced standing considered on a case-by-case basis. Normally, it would be expected that a minimum of two years full-time equivalent study would be required to complete the degree.

- (v) For advanced standing to be granted, candidates shall demonstrate to the satisfaction of their Faculty Graduate Studies Committee that their prior studies make an essential contribution to their overall Doctoral Coursework program.

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#### **4. ENROLMENT AND DURATION OF STUDY**

- (a) A candidate may enrol in a Doctoral Coursework 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) Doctoral Coursework programs shall normally be of three years duration or the equivalent part-time.

Enrolment in the Doctoral Coursework 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 program shall be deemed to terminate on the date of the submission of the portfolio 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 portfolio 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 portfolio. When a candidate identified as Overtime submits a portfolio 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) No candidate may be enrolled in a Doctoral Coursework degree at the University while simultaneously enrolled in any other higher degree, degree of Bachelor, or diploma course at this or any other institution, without the approval of the Associate Deputy Vice-Chancellor, Research Training.
- (e) A candidate who is unable to pursue his/her studies may be granted Leave of Absence (see Section 9).

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#### **5. APPLICATION FOR ADMISSION AND ENROLMENT**

- (a) An application for admission into a Doctoral Coursework 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; and
  - (ii) adequate supervision, infrastructure, and other resources and facilities are available.
- (c) The Head of Enrolling Area shall, following consultation with the candidate, nominate a Program Committee comprising a Chairperson and a Program Supervisor which shall be submitted to the Faculty Graduate Studies Committee for approval.
- (d) The Chairperson shall be a member of the academic staff of the University, normally the Course Coordinator, and possess a degree of Doctor qualification or be deemed by the Faculty Graduate Studies Committee to be of equivalent status.
- (e) The Program Supervisor shall be a member of the academic staff of the University. A Program 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 Program Supervisor.
- (f) A member of staff who is enrolled in any Doctoral program shall not be appointed as a Program Supervisor of a Doctoral candidate.
- (g) The Faculty Graduate Studies Committee shall advise all applicants for admission of the decision of the Program Committee. Successful applicants shall be provided with an offer of a place and other information necessary for the completion of enrolment into the Doctoral Coursework 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 Coursework program.
- (h) 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.

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## **6. SUBMISSION OF RESEARCH PROPOSAL**

- (a) Doctoral Coursework candidates shall submit a research proposal on the prescribed form to the Faculty Graduate Studies Committee not later than three months after commencement of the research component of the program and the coursework component is completed. Extension of time may be approved by the Faculty Graduate Studies Committee. The application for extension form shall include the Program Supervisor's recommendation, endorsed by the Head of Enrolling Area.
- (b) Failure to submit a research proposal within the prescribed time limits may result in the candidate's enrolment status being changed to Conditional by the Faculty Graduate Studies Committee. Should the research proposal 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.

- (c) The research proposal 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 Supervisor;
  - (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 an application to the appropriate ethics Committee.

- (d) After the research proposal has been approved, the Faculty Graduate Studies Committee may approve changes to the thesis title and composition of the Program 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 research proposal must be submitted for approval as prescribed in Section 6(c).

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## **7. SUPERVISION OF RESEARCH COMPONENT**

- (a) At the time of submission of the research proposal, the Head of Enrolling Area shall, following consultation with the candidate, nominate a Thesis Supervisor. The nominated Thesis Supervisor shall be submitted to the Faculty Graduate Studies Committee for approval.
- (b) The Thesis Supervisor shall be a member of the academic staff of the University and 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 Thesis Supervisor.
- (c) The Thesis Supervisor will become a member of the candidate's Program Committee. If the Program Supervisor becomes the Thesis Supervisor, a new Program Supervisor shall be appointed according to Section 5(e).
- (d) A member of staff who is enrolled in a doctoral program shall not be appointed a Thesis Supervisor of a Doctoral Coursework candidate.

- (e) An Associate Supervisor(s) or Co-Supervisor may be appointed by the Head of Enrolling Area from within or outside the University to assist the Thesis Supervisor in the supervision of the Doctoral Coursework candidate. The Associate Supervisor or Co-Supervisor shall possess a doctoral qualification in the field of study or be 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) or Co-Supervisor shall consent in writing to this appointment.
- (f) In the event that an appointed Thesis 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 Thesis Supervisor for the relevant period for approval by the Faculty Graduate Studies Committee.

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## **8. PROGRESS**

- (a) The candidate and Program Committee shall be jointly responsible for ensuring regular and adequate communication throughout the period of candidature.
- (b) In the event that the Chairperson of the Program 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.
- (c) In the event that the Program Supervisor is unable to perform the assigned duties for a period exceeding three months, the Head of Enrolling Area shall nominate a replacement Program Supervisor for the relevant period for approval by the Faculty Graduate Studies Committee.
- (d) 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 Coursework 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 Coursework degree. The Associate Deputy Vice-Chancellor, Research Training or the Chairperson of the Program 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 Coursework degree.
- (e) 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 program as prescribed should be accorded the status of Good Standing.
  - (ii) Candidates whose progress raises concerns as to their ability to complete the program as prescribed should be accorded Conditional status.

- (iii) Candidates whose progress is unsatisfactory and who are unable to complete any part of the 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.
- (f) If a candidate fails to submit an Annual Progress Report and/or International Sponsored Student Report by the due date, the 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.
- (g) Candidates shall remain enrolled provided they have been granted Good Standing or Conditional status in accordance with Section 9(c).
- (h) Candidates whose status is changed to Conditional shall be notified in writing by the Faculty Graduate Studies Committee of the applicable conditions.
- (i) 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.
- (j) The candidate's Program 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 Coursework degree and recommend a continuing or changing academic status for the student as per 8(e). The Program 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.

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## **9. LEAVE OF ABSENCE**

- (a) In accordance with Section 4(a), a candidate shall remain enrolled continuously until the portfolio 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.
  - (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 Program Committee, not to be actively pursuing their Higher Degree by Coursework 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 up to 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 Rules for a Degree of Doctor by Coursework.
- (f) A candidate whose status is Absent Without Leave for a period of six months may have his/her enrolment terminated by the Associate Deputy Vice-Chancellor, Research Training in accordance with Section 15.

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## **10. PORTFOLIO SUBMISSION FOR EXAMINATION**

- (a) Candidates are required to submit a portfolio of work undertaken in their Doctoral Coursework program. The portfolio shall include
  - (i) an overview section which describes and integrates the contents of the portfolio;
  - (ii) all assessed pieces of work, records of professional practice, etc. which collectively represent the coursework and practice components leading to the research component; and
  - (iii) a thesis presenting the outcomes of the research component.
- (b) Prior to their inclusion in the portfolio, the coursework and practice components will have been completed at a pass level. The portfolio shall be examined by two appropriately qualified and experienced people who are external to the University.<sup>2</sup> Thus, the non-thesis parts of the portfolio described in Section 10(a)(ii) shall not be assessed by the examiners but will be reviewed by them to provide background and context for the examination of the thesis.
- (c) 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.
- (d) A thesis 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.
- (e) The thesis shall conform to the following conditions:
  - (i) A thesis submitted in the form of a typescript shall not exceed 50,000 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 20,000 words excluding appendices, tables and illustrative matter and the bibliography.

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<sup>2</sup> 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.

- (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 shall show the candidate's full name, the name of the Enrolling Area, the title of the thesis and the year of submission. The page immediately following the title page shall contain the following statement: "This thesis contains no material which has been accepted for the award of any other degree or diploma in any university. 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."
  - (iv) The thesis 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 Thesis 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.
  - (vii) Any creative work(s) submitted as part of the thesis described in Section 10(d)(ii) should be represented in the exegesis in an enduring digital or other format.
- (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) A candidate shall submit three copies of the portfolio for examination. A candidate submitting a thesis in a form as specified in Section 10(e)(i) shall submit three temporary bound copies (normally using thermal binding) of the thesis to the Office of Research and Development. A candidate submitting a thesis in a form as specified in Section 10(e)(vii) shall submit to the Office of Research and Development three copies of the thesis in a format specified by the Faculty Graduate Studies Committee.
  - (h) The thesis may be presented for examination in electronic portable document format (.pdf), providing there is written agreement of the examiner(s) to review an electronic version.
  - (i) The portfolio shall not be accepted for examination without a statement from the Thesis Supervisor, on behalf of the Program Committee, recommending that the portfolio be sent for examination. Notwithstanding the above, if the Thesis Supervisor, on behalf of the Program Committee, declines to provide such a statement, the candidate may request the portfolio be sent for examination in accordance with Section 14 (Grievance Procedures).
  - (j) 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.

- (k) A candidate shall, subject to the University's *Intellectual Property – Ownership and Commercialisation Policy and Procedures*, own the Copyright in the thesis.
- (l) 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*.
- (m) The candidate may submit a digital copy of the final version of the thesis in a format approved by the University Graduate Studies Committee in accordance with the *Guidelines for the Submission of Digital Theses*.

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## 11. PORTFOLIO EXAMINING PANEL

- (a) The Faculty Graduate Studies Committee shall, on the recommendation of the Head of Enrolling Area, appoint a Portfolio Examining Panel, comprising:
  - (i) the Chairperson of the Program Committee (ex officio) acting as Chairperson; and
  - (ii) two Examiners who shall be external to the University<sup>3</sup>.
- (b) No person who is or has at any time been a member of a candidate's Program Committee shall be eligible for appointment as an Examiner.
- (c) In recommending a Portfolio 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 portfolio 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.

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<sup>3</sup> 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.

- (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 Program Committee may communicate with the Examiners regarding the examination process while the thesis is under examination. Breaches of this Section 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 University policy (refer to the employment agreements and *Statute No. 10 - Student Disciplinary Statute*).

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## 12. PORTFOLIO EXAMINATION

- (a) The Examiners shall examine the portfolio recognising that the non-thesis parts provide the context for the thesis. Only the thesis shall be assessed in terms of the candidate's demonstrated:
- (i) level of practical knowledge and skills;
  - (ii) critical understanding of relevant literature, theories, methodologies and/or major debates in the field of study;
  - (iii) presentation and communication skills; and
  - (iv) research skills, ethics and practices, in terms of
    - i. the significance of the thesis as a contribution to knowledge or understanding of knowledge in the field of study; and
    - ii. the candidate's demonstrated capacity to conceive, plan and conduct a program of research.

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 10, 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 Degree of Doctor by Coursework. 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 Program 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 Program 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 Program 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 12(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.

- (c) The reports of the Examiners shall be conveyed to the Chairperson of the Program 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 12(d), (h) or (i) below.
- (d) Where the recommendations contained in the Examiners' reports are in substantial agreement, the Chairperson of the Program Committee, having discussed the reports with the Program Committee, shall:
  - (i) recommend to the Associate Deputy Vice-Chancellor, Research Training that the thesis be classified as passed or failed; or
  - (ii) request the candidate to 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 Program Committee; or
  - (iii) inform the candidate 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 Program 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 Program Committee, but in any case shall not exceed six 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 12(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 Program 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 Program 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 Degree of Doctor by Coursework, the Chairperson of the Program Committee shall consider the results of the coursework and professional practice components of the Doctoral Coursework program in relation to the course description.
- (i) Where the recommendations of the Examiners do not allow determination of a result based on a clear weight of opinion<sup>4</sup> the Chairperson of the Program Committee, having discussed the reports with the Program 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 either internal or external to the University. The Adjudicator shall be appointed in a manner consistent with Sections 11(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:

- (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 Program Committee<sup>5</sup>; 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 limited amount of additional work or modification 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 Program Committee.

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

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<sup>4</sup> 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 12(b)(iii), 12(d)(iii) and 12(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.

<sup>5</sup> In certain circumstances the Adjudicator can recommend this classification (12(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 Program Committee but does not warrant resubmission or failure.

- (j) The Chairperson of the Portfolio 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 12(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 12(d).

- (k) 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 17 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 shall consider the additional information and determine the classification of the thesis as appropriate.
- (l) The decision of Council to confer the award shall be conveyed to the candidate by the Provost.
- (m) 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 10(i) for the agreed period of time.
- (n) 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 candidate 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.

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### **13. ORAL EXAMINATION**

- (a) An Examiner or the Chairperson of the Program 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 Program 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 Program 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 Program 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 Program 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 Program 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 Portfolio 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 Portfolio 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 12(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.

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## 14. 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 Program 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 Program 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.

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## 15. 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 portfolio 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 a research proposal within prescribed time limits, including extensions of time as approved by the Faculty Graduate Studies Committee (see Section 6(b));
  - (iii) where the progress of the candidate is deemed to be unsatisfactory by the Head of Enrolling Area or appropriate alternate (see Section 8(e));
  - (iv) where the candidate is Absent Without Leave for a period exceeding 12 months (see Section 9(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 Sections 16(b) to (e) 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 a Degree of Doctor by Coursework.

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## 16. APPEALS PROCEDURES

### Appeals Against Assessment of Coursework

- (a) The candidate may appeal against assessment of any part of the coursework component according to the *Assessment Appeals* policy.

### Appeals Against Termination of Enrolment

- (b) The candidate may, within 21 days of receipt 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 14) should be used at the appropriate time.
- (c) 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 Program 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 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 doctoral qualification; and
  - (iii) a doctoral candidate nominated by the Curtin University Postgraduate Student Association on behalf of the Curtin University 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 Program Committee may be a member of the Appeals Committee.

- (d) 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.
- (e) The decision of the Appeals Committee shall be final.

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## 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.

- (f) A candidate whose thesis has been classified as failed may, within 21 days of receipt 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.
- (g) 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 doctoral qualification; and
  - (iii) a doctoral candidate nominated by the Curtin University Postgraduate Student Association on behalf of the Curtin University Student Guild, that nominee not being the appellant.
- (h) 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 11(b) to (g) inclusive; or
  - (ii) the thesis and Examiners' reports be sent to an Adjudicator in accordance with Section 12(i); or
  - (iii) the thesis be confirmed as failed.
- (i) The new Examiner(s), appointed under 16(g)(i), shall examine the thesis and submit a written recommendation under the same provisions as the original Examiners as prescribed in Section 12(a) and (b);
- (j) An Adjudicator, appointed under 16(g)(ii), shall adjudicate on the reports of the Examiners under the same provisions as prescribed in Section 12(i).
- (k) The decision of the Appeals Committee shall be final.

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**17. BINDING AND DISTRIBUTION OF THESIS COPIES**

- (a) In order for a portfolio 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 to the University Librarian to be retained in the Reference Library;
  - (ii) one copy to the Thesis Supervisor;
  - (iii) one copy to the Candidate.

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**18. 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.

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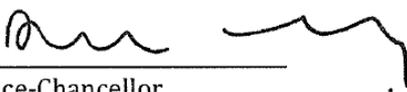
**19. REPEAL OF PREVIOUS RULES**

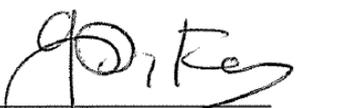
The previous Rules governing coursework Doctoral degrees at this University shall be repealed on the date on which the Rules herein are promulgated.

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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:**

<b>Revision Ref. No.</b>	<b>Approved/ Rescinded</b>	<b>Date</b>	<b>Committee/ Board</b>	<b>Resolution Number</b>	<b>Document Reference</b>
Rules	New	07/12/2005	Council	C 157/05	01402/05
	Amended	05/12/2006	Council	C 172/06	01364/06
	Amended	12/12/2007	Council	C 162/07	Attachment A 01337/07
	Amended	10/08/2011	Council	C 115/11	Attachment 3 to Document No 00937/11
	Promulgated	14/09/2011			Posted on Administration Building Notice Board
	Amended	14/05/2014	Council	C 70/14	Document No 00383/14
	Promulgated	08/07/2014			Posted on Administration Building Notice Board
	Amended	17/02/2016	Council	C 20/16	Appendix 1 to Item 9.21
	Promulgated	14/06/2016			Posted on Administration Building Notice Board