

Common Course Rules - Doctor of Philosophy

INTRODUCTION

In Higher Education, all courses offered by the University must comply with national regulatory requirements, for example, the Australian Qualifications Framework (AQF), and many courses are also accredited through professional organisations. The University as a self-accrediting institution has a Council that determines course rules, which provide course structures and rules for HE awards. These course rules apply to HE AQF Levels 5 to 10.

For each category of award, there is a common set of rules applicable to all courses leading to an award in that category. In addition, each course may have associated with it specific rules that apply only to that course in addition to the common rules; specific rules are described in the course curriculum documentation.

STATEMENT OF AUTHORITY

The authority behind this policy is the [Charles Darwin University Act 2003](#) section 47 under the authority of the Council.

COMPLIANCE

This is a compliance requirement under the [Australian Qualifications Framework](#).

RELEVANT DEFINITIONS

In the context of this document

Associate Supervisor means a person listed in the [Register of Supervisors](#) as an Associate Supervisor;

Award means a recognised certification of achievement or competence, which may be granted to a candidate after successful completion of all the requirements of a course;

Candidate means a student enrolled in a course leading to a qualification of Doctor of Philosophy;

Candidature means the period starting on the date of commencement and ending on the date of completion of all requirements of the course, or when the Candidate withdraws or is excluded from the course;

College means a College of the University or Menzies School of Health Research;

Confirmation of Candidature means a staged process by which the candidate and supervisor provide evidence that the enrolment is likely to result in the successful completion of a research qualification;

Course means a formally approved/accredited program of learning, successful completion of which leads to the awarding of a qualification;

Dean means the Dean (or delegate) of a College or the Director (or delegate) of Menzies School of Health Research;

Dissertation means a written thesis based on original research;

Exceptional circumstances means extended and serious illness of the candidate or an immediate family member; extreme financial hardship; long-term cultural obligations; or other circumstances such that failure to recognise them would result in an unfair or unreasonable outcome;

Exegesis means a critical interpretation or explication of text, a project or creative work;

Higher Degree by Research (HDR) means courses leading to the award of Doctor of Philosophy, Masters by Research and Research Professional Doctorates;

Joint PhD program means an approved program of study leading to a qualification delivered and awarded by two or more institutions under a formally approved arrangement;

Principal Supervisor means a person listed in the [Register of Supervisors](#) as a Principal Supervisor;

Qualification means the result of a successfully completed, accredited program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF;

Research comprises systematic experimental and theoretical work, application and/or development that results in an increase in the dimensions of knowledge;

Student means the definition contained in the [Charles Darwin University \(Student of the University\) By-laws](#);

Supervisory Panel means the Principal and Associate Supervisors as approved by the Board of Graduate Studies. The Supervisory Panel's role is to provide academic and administrative support to the candidate in order to facilitate timely submission of a high quality thesis; and

Thesis means the presentation of results of a research project, whether by written or other means. A Doctor of Philosophy thesis may take many forms and can include a production or performance component, a dissertation and/or exegesis.

RULES

Courses Leading to the Qualification of Doctor of Philosophy

These Rules apply to all courses of study leading to the qualification of Doctor of Philosophy including joint PhD programs.

These Rules may be cited as the "PhD Rules".

Preliminary

A course leading to the qualification of Doctor of Philosophy, which is substantially based on work completed during the course of candidature and may incorporate publications authored by the Candidate.

All Candidates must undertake their course wholly under the control of the University.

Admission

Admission to the Doctor of Philosophy will be in accordance with the *Admissions Policy, HDR Policy and the HDR – Admissions and Enrolment Procedures*.

Course Requirements

Courses leading to the qualification of Doctor of Philosophy must meet the requirements for AQF Level 10 Doctoral Degree.

Unless otherwise specified in the course curriculum documentation, a course leading to the qualification of Doctor of Philosophy will comprise a program of advanced study and research which has been approved by the Board of Graduate Studies and which will include:

- Meeting a series of progress milestones as described in the *HDR Policy* and the *HDR – Progression Procedures*;
- An individual program of supervised study in a field of work or learning, that leads to the development of an original contribution to knowledge; and
- The presentation of a thesis and/or other approved work, embodying the results of the candidate's study and research.

Joint PhD Program

In the case of a joint PhD program, a joint PhD program agreement will be drawn up between the participating institutions. The agreement will include at a minimum:

- Details of candidature including terms of candidature, annual reporting requirements (including definitions of satisfactory progress);
- Supervision arrangements;
- Arrangements for submission of the research proposal and confirmation of candidature;
- Research ethics approval procedures;
- Thesis examination procedures;
- Arrangements for intellectual property and Work Health and Safety; and
- Funding arrangements.

The establishment and management of a Joint PhD Program will be in accordance with the [Collaborative PhD Program Procedures](#).

Except in exceptional circumstances and with the approval of the Board of Graduate Studies, a candidate is not permitted to transfer into a joint PhD program if they have been enrolled in their current course for more than half of the maximum period of candidature.

A candidate undertaking a joint PhD program is normally required to be actively enrolled at this University for at least one-third of the total maximum time limit for the PhD program as set out in the [Collaborative PhD Program Procedures](#).

Provision of Resources

The University will allocate a home College to provide support for and exercise control over the Candidature. The home College may be changed according to the *HDR Policy*.

The Dean (or delegate) will specify to the Board of Graduate Studies what resources in addition to those specified in the *HDR - Minimum Resources for Candidates Guidelines*, will be available for the research program.

Provision of Supervision

Selection of a Supervisory Panel will be in accordance with the *HDR – Admission and Enrolment Procedures* and the [HDR - Supervision and Mentoring Procedures](#).

Conditions of Candidature

Candidates are required to adhere to the conditions specified in the *HDR Policy* and associated procedures

Periods of Candidature

Periods of candidature will apply as follows:

- The minimum period of candidature for a full-time candidate is two (2) years from the date of commencement, and four (4) years for a part-time candidate;
- The maximum period of candidature for a full-time candidate is four (4) years from the date of commencement and eight (8) years from the date of commencement for a part-time candidate.

Where the candidate has received approval to transfer from the course of Masters by Research to Doctor of Philosophy as per the [HDR Policy](#), the Board of Graduate Studies will take the date of commencement of the course leading to the qualification of Masters by Research as the date of commencement for the course leading to the qualification of Doctor of Philosophy. Similarly, periods of consumed candidature will be taken into account when a candidate transfers their Doctor of Philosophy enrolment from another higher education provider.

In exceptional circumstances, the period of candidature may be extended in accordance with the *HDR Policy*.

Examination

The thesis will be submitted as a requirement for the qualification of Doctor of Philosophy in the manner prescribed in the *HDR – Submission and Examination Procedures*.

The thesis will be examined in accordance with the *HDR – Submission and Examination Procedures*.

Examiners for a Doctor of Philosophy will have international standing in the field of research, be independent of the conduct of the research and the University, be competent to undertake the assessment and not have a conflict of interest.

Award of the Qualification

The qualification of Doctor of Philosophy will be awarded once the candidate completes the requirements of the course leading to that qualification.

Termination of the Course

When a course is approved for termination or is superseded:

- Transition/completion arrangements for existing students must be clearly documented and disseminated to all existing students;
- As far as possible, students will not be disadvantaged by the transition/completion;
- The course will be offered for re-enrolment only until all existing students have completed/transitioned or, for a period not to exceed twice the period required for a student undertaking a standard load to complete the course, whichever is less; and
- On conclusion of the period for which the course is offered for re-enrolment only, the course will be closed.

ESSENTIAL SUPPORTING INFORMATION

Internal

Admissions Policy

[Authorship of Research Output Procedures](#)

[Charles Darwin University \(Student of the University\) By-laws](#)

[Collaborative PhD Program Procedures](#)

HDR - Admission and Enrolment Procedures

[HDR – Minimum Resources for Candidates Guidelines](#)

HDR Policy

HDR – Progression Procedures

HDR – Submission and Examination Procedures

[HDR - Supervision and Mentoring Procedures](#)

External

[Australian Qualifications Framework](#)

Document History and Version Control

Last amendment:	26 Apr 2018	Next Review:	Apr 2021
Sponsor:	Vice-Chancellor		
Contact Officer:	Director of Research		

Version	Date Approved	Approved by	Brief Description
1.00	25 Oct 2005	Council	Creation of original document and upload to CDU website.
			<p>Editorial Changes:</p> <p>Committee to Panel Director Postgraduate Research Studies to Deputy Vice Chancellor Research Faculty to Faculty Dean to Dean/Director Higher Education and Research Branch to Research Office Remove invalid nteta link 4.4 (2) A person may appeal against the... 4.15 ..such other forms as the Panel</p> <p>Add the word 'Grievance' to the Student Academic Grievance, Appeals and Review Process title in 4.4 (2)(b); 4.9 (3)(b); 4.10 (2)(b); 4.17 (3)(b)</p>
1.01	22 Mar 2006	Chancellor	4.14 add para "the candidate will also submit a thesis précis graduation booklet"
2.00	15 Jun 2007	Council	<p>Updated in line with AUQA requirements for panel supervision for example,</p> <p>Changed "4.4 Provision of Supervision and Resources (1) At the time of admitting, in accordance with the Policy on Postgraduate Research Supervision, the Dean/ Director will nominate:</p> <p>(a) a supervisor with relevant expertise, who is a full-time academic staff member at the University and who holds a degree and/or experience deemed by the Panel to be equivalent to a degree of Doctor of Philosophy;</p> <p>(b) any associate supervisors as deemed fit.</p> <p>To" (1) At the time of admitting, in accordance with the Policy on Postgraduate Research Supervision, the Dean/ Director will nominate a supervisory panel consisting of:</p> <p>(a) a primary supervisor with relevant expertise, who is a full-time academic staff member at the University and who holds a degree and/or experience deemed by the Panel to be equivalent to a degree of Doctor of Philosophy; and</p> <p>(b) at least two associate supervisors as deemed fit."</p>
3.00	20 Jun 2008	Council	A new process for confirmation of candidature has been inserted at 4.6
4.00	12 Mar 2010	Council	Section 6. Additional Provisions for the Degree for Doctor of Philosophy (Joint/Dual Award) added.

4.01	28 Apr 2010	Governance	<ul style="list-style-type: none"> • Dean changed to Executive Dean to reflect title change. • Deputy Vice-Chancellor Research changed to Deputy Vice-Chancellor Research and International to reflect title change. • Research Office changed to Office of Research and Innovation to reflect title change. • Minor changes to spelling and grammar.
4.02	10 Jun 2010	Governance	<ul style="list-style-type: none"> • Addition of information as to who may apply for a joint/dual award degree. • Addition of essential supporting documents • Addition of hyperlinks • Change into new format template.
5.00	25 Nov 2011	Academic Board	<ul style="list-style-type: none"> • Insertion of additional Definitions. • Amend Executive Dean changed to Pro Vice-Chancellor to reflect title change. • Changes to 2.11 Thesis • Changes to 2.12 Appointment of Examiners. • Changes to 2.13 Thesis Examination. • Changes to 2.14 Award of the Degree. • Changes to 3.3 Additional Provisions for Joint or Dual Award Degrees • Minor changes to spelling and grammar. • Amend Deputy Vice-Chancellor Research and International to Deputy Vice-Chancellor in line with current position title. • Convert to new template. • Hyperlinks updated. • Amend Research Committee to Research and Research Training Committee in line with new title change
6.00	7 Dec 2012	Council	Major review of document to remove procedural details and ensure compliance with AQF.
6.01	6 Mar 2013	Governance	<ul style="list-style-type: none"> • Assigned document number • Updated and added hyperlinks • Minor changes to formatting, wording and grammar
6.02	15 Dec 2017	Governance	<ul style="list-style-type: none"> • Conversion to new Governance template due to new University branding • Sponsor added, Vice-Chancellor • Updated hyperlinks • Collaborative PhD Program Procedures added to Essential Supporting Information
7.00	26 Apr 2018	Council	<p>Major review</p> <ul style="list-style-type: none"> • Amended 'committee' to Board of Graduate Studies (to replace Research and Research Training Committee) throughout

- Amended definitions for Associate Supervisor, Higher Degree by Research, Principal Supervisor, and Supervisory Panel
- Added definitions for Candidature, College, Dean and Student
- Removed definitions for Faculty, PVC
- Amended Preliminary to remove reference to 2 types of courses and added that courses must be under the control of the University
- Removed admission criteria as moved to new Admissions Policy (hyperlinked) and referenced HDR Policy and HDR-Admissions and Enrolment Procedures (under development)
- Amended Joint PhD Program to include paragraphs after the dot points that include reference to Collaborative PhD Program Procedures
- Add Provision of Resources paragraph
- Removed Confirmation of Candidature and Lodgement of Thesis paragraphs
- Amended Course Requirements to remove reference to *Participation in at least five (5) approved, generic research skills training workshops/seminars....* and replace with Meet progress milestones as described in the HDR Policy and the HDR - Progression Procedures (under development)
- Amended Provision of Supervision and Resources – removing resources and replacing HDR - Candidate Recruitment, Admission and Enrolment Procedures with HDR - Admission and Enrolment Procedures (under development)
- Amended Conditions of Candidature removing reference to HDR - Conditions of Candidature and replacing with HDR Policy (under development) and associated procedures
- Amended Periods of Candidature from a minimum of 6 months to 2 years full-time and 1 year to 4 years part-time and added reference to HDR Policy (under development). Removed reference to Joint PhD and added similar periods will apply to students who transfer from another institution and the HDR Policy applies (under development)
- Amended Examination to include reference to HDR - Submission and Examination Procedures (under development) and removed reference to HDR - Presentation of Thesis Procedures and added *Examiners for a Doctor of Philosophy will have international standing in the field of research....*
- Amended Award of the Qualification by removing the first paragraph about meeting the minimum requirement as duplicated in Periods of Candidature