

PROGRESS PLANNING AND REVIEW FOR HIGHER DEGREE BY RESEARCH STUDENTS POLICY 2015

The Academic Board, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 2 December 2015

Last amended: 1 October 2019 (administrative amendment only)

Signature:

Position: Chair, Academic Board

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PART 1 PRELIMINARY

1 Name of policy

This is the *Progress Planning and Review for Higher Degree by Research Students Policy 2015*.

2 Commencement

This policy commences on 1 January 2016.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

- (1) The University aspires for all higher degree by research students to have a quality research training experience and to produce research of the highest calibre. This includes the development of skills and knowledge necessary to be a successful researcher in the chosen discipline and the timely completion and successful examination of their research projects and theses.
- (2) The University will partner with students to plan their progression throughout their candidature and set clear expectations of satisfactory progress. The University will provide appropriate institutional support and resources, regular reviewing, including a written submission and meeting, and support students to maintain research integrity and quality.
- (3) This policy details the elements of the higher degree by research progress planning and review process. It should be read in conjunction with the [University of Sydney \(Higher Degree by Research\) Rule 2011](#) ('the Rule'), the [University of Sydney \(Delegations of Authority – Academic Functions\) Rule 2016](#) and the [Progress Planning and Review for Higher Degree by Research Students Procedures 2015](#) ('the Procedures').
- (4) This policy supports the conduct of research training in a safe manner which is conducive to student wellbeing.

5 Application

- (1) Except to the extent that a contrary intention is expressed, this policy applies to higher degree by research students, staff and affiliates.

Note: See clause 20 for transitional provisions.

- (2) It is a condition of each student's admission to candidature that the student complies with his or her obligations under this policy.

6 Definitions

- (1) In this policy:

activity	means a specific requirement in a student's candidature that contributes to the completion of a milestone.
Associate Dean	means the Associate Dean responsible for overseeing higher degrees by research in the relevant faculty.
Dean	means the Dean of the relevant faculty, or Head of School and Dean of the relevant University school.
coordinating supervisor	means the supervisor in a supervisory team who has designated academic delegations and responsibility for administrative requirements.
degree	means the relevant higher degree by research.
disability support academic plan	means the statement of support and adjustments for educational needs provided for students registered with the Disability Support service of the University
faculty	means a faculty or University school and refers to the student's faculty or University school of enrolment.
higher degree by research	means a doctorate by research or masters by research, as defined in the Rule.
milestone	means a significant event in a student's candidature that is useful in monitoring and guiding the student's progress to successful completion. Milestones may comprise a number of activities.
postgraduate coordinator	means the academic staff member with overall responsibility for the planning and coordination of postgraduate research studies within a faculty, school or University school.
progress	means the student's progress against the requirements specified in subclause 13(1).
progress plan	means a progress plan developed in accordance with Part 2.
progress review	means a progress review conducted in accordance with Part 3.

research period	means a research period set by the University and published on its website. Note: Research periods are published at: http://sydney.edu.au/study/study-dates.html
Review Panel	means a panel established to conduct a progress review in accordance with clause 11.
Rule	means the <i>University of Sydney (Higher Degree by Research) Rule 2011</i> .
school	means the academic unit responsible for a student's higher degree by research candidature. It may be called a discipline within the University
student	means a person who is currently admitted to candidature in a higher degree by research award course of the University.
supervisor	means a person appointed to discharge the responsibilities set out in the <i>Supervision of Higher Degree by Research Students Policy 2013</i> , including research supervisors, coordinating supervisors and auxiliary supervisors.
supplementary progress review	means a progress review conducted in accordance with clause 17.

PART 2 PROGRESS PLANNING

7 Progress plans

- (1) Students and supervisors must begin progress planning at an early stage in each student's higher degree by research candidature.
- (2) All students must have a progress plan within three months from the date of commencement of candidature, or within six months for part-time students.
- (3) The purpose of a progress plan is to align and manage student, University and faculty expectations about what is required to achieve the award of the degree.
- (4) A student's progress plan must include all activities and milestones required to achieve the award of the degree, including:
 - (a) formulation and approval of research proposal;
 - (b) formulation and approval of research projects;
 - (c) thesis development and examination;
 - (d) research training activities;
 - (e) coursework requirements;
 - (f) compliance and risk management activities.

Note: See Part 4 for information on activities and milestones.

8 Creating progress plans

- (1) Students are responsible for creating their progress plan, based on current University templates, with the participation and support of their coordinating supervisor.
- (2) Progress plans must be:
 - (a) endorsed by the student's coordinating supervisor; and
 - (b) approved by the postgraduate coordinator; and
 - (c) for students with disabilities, compliant with the needs identified on the Disability Services Academic Plan.

Note: Progress plan templates are available on the University's website at: myuni.sydney.edu.au.

9 Maintaining and varying progress plans

- (1) Students are responsible for maintaining their progress plan, and for identifying any variations required, with the participation and support of their coordinating supervisor.
- (2) Students must review their progress plan, in consultation with their coordinating supervisor, at least twice per year, with at least one review being conducted as part of the student's preparation for a progress review.
- (3) A variation to a progress plan may be required for many reasons, including:
 - (a) where a student:
 - (i) changes attendance mode;
 - (ii) requests a leave of absence or suspends candidature;
 - (iii) transfers to another course or program;
 - (iv) achieves a milestone;
 - (v) fails to achieve or is delayed in achieving a milestone;
 - (vi) submits a request for an extension of candidature;
 - (vii) has encountered unanticipated barriers to progress; or
 - (b) where it becomes clear that the student's research project needs improvement or is not viable, or
- (4) Changes in a student's health or disability state require different project approaches and support.
- (5) Variations to progress plans may be material or non-material.
- (6) Material variations are variations that:
 - (a) extend the date for achievement of a University, faculty or school milestone by more than three months from the original date;
 - (b) require a change to the thesis submission date to:
 - (i) a new research period; or
 - (ii) a date that is beyond the latest date for submission, as defined in sections 2.20, 3.20 and 4.19 of the Rule;

- (c) substantially change the nature of the research.

Note: Sections 2.20, 3.20 and 4.19 of the Rule authorise an Associate Dean to permit a student to submit his or her thesis after a period of time greater than the maximum periods specified in that clause.

- (7) Material variations to progress plans must be:
 - (a) endorsed by the student's coordinating supervisor; and
 - (b) approved by the postgraduate coordinator.
- (8) Students should discuss non-material variations to progress plans with their coordinating supervisor.

PART 2A COURSEWORK IN HIGHER DEGREES BY RESEARCH

10 Application of this part

This part applies to students commencing candidature in 2021 for:

- (a) the Doctor of Philosophy;
- (b) Doctorates other than the Doctor of Philosophy; and
- (c) the Masters by Research.

11 Coursework requirements

- (1) All candidates admitted to a higher degree by research governed by Parts 2, 3 or 4 of the [University of Sydney \(Higher Degrees by Research\) Rule 2011](#) must complete the coursework requirements specified in this part.

- (a) Awards subject to this requirement are the Masters by Research, Doctor of Philosophy and doctorates other than the Doctor of Philosophy, but not higher doctorates. They are listed in Schedule 3.

- (2) Candidates for the Doctor of Philosophy must complete a minimum of 12 credit points of coursework from Table R, which is set out in Schedule 2.

Note: As specified in clause 10, this requirement commences on 1 January 2021.

- (a) Candidates must complete these requirements within:
 - (i) eight research periods from the commencement of full-time candidature; or
 - (ii) 16 research periods from the commencement of part-time candidature.

- (3) Candidates for a Doctorate by Research other than the Doctor of Philosophy, must complete a minimum of 12 credit points of coursework from Table R, which is set out in Schedule 2.

Note: As specified in clause 10, this requirement commences on 1 January 2021

- (a) Candidates must complete these requirements within:

- (i) eight research periods from the commencement of full-time candidature; or
 - (ii) 16 research periods from the commencement of part-time candidature.
- (4) Candidates for the Master's by Research must complete a minimum of 6 credit points of coursework from Table R, which is set out in Schedule 2.
 - (a) Candidates must complete these requirements within:
 - (i) four research periods from the commencement of full-time candidature; or
 - (ii) eight research periods from the commencement of part-time candidature.
- (5) The course requirements for the Doctor of Philosophy are set out in Schedule 4.
- (6) The course requirements for Doctorates by Research other than the Doctor of Philosophy are set out in the course resolutions for the award.
- (7) The course requirements for Masters by Research degrees are set out in the course resolutions for the award.
- (8) Completion of the coursework requirement will be monitored and verified by the Academic Progress Review panel in each year of candidature.

12 Recognition of prior learning

- (1) The relevant Associate Dean may grant an exemption from the requirements of clause 11 to students who are:
 - (a) transferring to a Doctor of Philosophy or other Doctorate by Research after completing at least two years of doctoral research study at another institution; or
 - (b) transferring to a Master's by Research after completing at least one year of full-time equivalent research study at another institution.
- (2) The relevant Associate Dean may grant an exemption from the requirements of clause 11 to students who are transferring to a Doctor of Philosophy or other Doctorate by Research after completing less than two years of doctoral research study at another institution if:
 - (a) the student has completed an equivalent volume of coursework at an AQF level 9 in a discipline directly relevant to their thesis:
 - (i) which was completed within five years of commencing at the University; and
 - (ii) for which results at distinction level or above were obtained;
 - (b) the student and their co-ordinating supervisor agree that further coursework training is not needed to support the completion of their thesis or achievement of the relevant graduate qualities;
 - (c) the relevant Associate Dean is satisfied that there is a substantial overlap between the coursework completed and the coursework which would otherwise be required by clause 11; and
 - (d) the exemption request was submitted within nine months of the commencement of candidature.

- (3) The relevant Associate Dean may grant an exemption from the requirements of clause 11 to students who are transferring to a Master's by Research after completing less than one year of doctoral research study at another institution if:
 - (a) the student has completed an equivalent volume of coursework at an AQF level 9 in a discipline directly relevant to the thesis:
 - (i) which was completed within five years of commencing at the University; and
 - (ii) for which results at distinction level or above were obtained;
 - (b) the student and their co-ordinating supervisor agree that further coursework training is not needed to support the completion of their thesis; and
 - (c) the relevant Associate Dean is satisfied that there is a substantial overlap between the coursework completed and the coursework which would otherwise be required by clause 11; and
 - (d) the exemption request was submitted within nine months of the commencement of candidature.
- (4) The relevant Associate Dean may grant an exemption from the requirements of clause 11 to students who are commencing their studies in a Doctor of Philosophy, Doctorate by Research, or Master's by Research if:
 - (a) the student has completed an equivalent volume of coursework at an AQF level 9 in a discipline directly relevant to the thesis:
 - (i) which was completed within five years of commencing at the University; and
 - (ii) for which results at distinction level or above were obtained.
 - (b) the student and their co-ordinating supervisor agree that further coursework training is not needed to support the completion of their thesis or achievement of any applicable graduate qualities;
 - (c) the relevant Associate Dean is satisfied that there is a substantial overlap between the coursework completed and the coursework which would otherwise be required by clause 11; and
 - (d) the exemption request was submitted within nine months of the commencement of candidature.
- (5) The co-ordinating supervisor must inform the student's first Annual Progress Review panel of any exemptions which have been granted.
- (6) If an exemption has been granted to a student under this clause the first Annual Progress Review panel meeting must be satisfied, after discussion with the student, that the exemption has not adversely affected the student's capacity to develop relevant research skills or meet the relevant graduate qualities.

PART 3 PROGRESS REVIEW

13 Progress reviews

- (1) Progress reviews (including supplementary progress reviews) must be conducted in accordance with this policy and the procedures.
- (2) The purpose of a progress review is to:

- (a) assess whether the student has adequate support and resources to complete his or her research project and thesis in accordance with the progress plan;
 - (b) assess whether the current supervisory arrangements are satisfactory;
 - (c) assess the feasibility of the progress plan; and
 - (d) assess and rate the student's progress.
- (3) A copy of the student's progress plan will be provided to all parties involved in the progress review.
 - (4) A progress review must be conducted for each student as required by the postgraduate coordinator and at least once per year.
 - (5) Students re-enrolling for a period of more than six months as a result of a requirement to revise and resubmit in a previous thesis examination, must participate in a progress review between three and six months from the date of re-enrolment.
 - (6) Progress reviews should be supported by continuous evaluation of progress and regular meetings between students and supervisors.

14 Review Panel

- (1) The postgraduate coordinator must appoint two or more academic staff members to form a review panel for each student's review and nominate one of the panel members to act as chair.
- (2) Each Review Panel member must have one or more of:
 - (a) relevant disciplinary expertise;
 - (b) experience in supervising and managing higher degree by research candidatures; or
 - (c) other relevant specialist knowledge.
- (3) In appointing members of a Review Panel, the postgraduate coordinator:
 - (a) may appoint from outside the department or faculty;
 - (b) must not appoint any of a student's supervisors; and
 - (c) must consider and manage any actual, potential or perceived conflicts of interests.

Note: For information on evaluating and managing conflicts of interest, see the [External Interests Policy 2010](#).

15 Progress review meetings

- (1) Students must participate in a progress review meeting as required by the postgraduate coordinator and at least once per year.
- (2) Students may be accompanied at the progress review meeting by a support person, such as a colleague, friend, family member or student representative.
- (3) Progress review meetings will be conducted by the Review Panel.
- (4) The Review Panel:

- (a) may invite any or all of the student's supervisors to attend part of the progress review meeting;
- (b) must discuss the progress plan, and any required variations to the progress plan, with the student and (when in attendance) his or her supervisors; and
- (c) must provide the student with an opportunity to speak to the Review Panel without any of the student's supervisors present.

16 Progress review outcomes

- (1) The student's progress will be measured against:
 - (a) University, faculty, school and student milestones and activities that are within the student's control;
 - (b) action items identified in the student's previous progress reviews; and
 - (c) compliance with student responsibilities set out in relevant University policies and procedures.
- (2) Students must meet the requirements specified in subclause 16(1) to the required standard or quality.
- (3) The progress review ratings are:
 - (a) meets or exceeds objectives;
 - (b) marginal progress;
 - (c) unsatisfactory progress.
- (4) The Review Panel must prepare a written report for the postgraduate coordinator:
 - (a) giving its assessment of the feasibility of the progress plan;
 - (b) setting out any required variations to the progress plan;
 - (c) identifying any actions to be taken as a result of the progress review, and who will be responsible for them;
 - (d) recommending whether a supplementary progress review is required;
 - (e) indicating, where relevant, whether the student's scholarship is at risk, and the time frame for any potential termination of scholarship; and
 - (f) recommending a progress review rating based upon its assessment of the student's progress.
- (5) The Review Panel may prepare a report and recommend a progress review rating in the student's absence, if:
 - (a) the student fails to attend the progress review meeting without notice or good cause; or
 - (b) the student is unable to attend, and the Review Panel forms the reasonable view that the progress review meeting can properly be conducted in the student's absence.
- (6) The student will have an opportunity to respond to the Review Panel's report.
- (7) The postgraduate coordinator must:
 - (a) determine a progress review rating, taking into account:
 - (i) the recommendation of the Review Panel;

- (ii) the student's response; and
 - (iii) any exceptional circumstances related to the candidature and beyond the reasonable control of the student;
- (b) specify any actions to be taken as a result of the progress review, including who will be responsible for them and timeframes for their completion;
 - (c) state whether the proposed supervision arrangements are satisfactory;
 - (d) determine whether a supplementary progress review is required; and
 - (e) monitor the implementation of any action items for the school, faculty or University identified by the Review Panel. Such items should be completed within three months of the date of the progress review.

17 'Meets or exceeds objectives'

- (8) A rating of 'meets or exceeds objectives' means that the student's progress since the last progress review, or since commencement of candidature, has been satisfactory or exceeded expectations.
- (9) To achieve a rating of 'meets or exceeds expectations' the student must:
 - (a) have satisfactorily met all requirements (as specified in subclause 16(1)) since the last progress review;
 - (b) for a first progress review, have submitted a major piece of writing for similarity checking; and
 - (c) be expected to submit the thesis for examination on time, or in a timely fashion, allowing for any previous delays.

18 'Marginal progress'

- (1) A rating of 'marginal progress' indicates that:
 - (a) the student has not satisfactorily met all requirements (as specified in subclause 16(1)) since the last progress review;
 - (b) there is some risk that the student's thesis will not be submitted for examination on time, or in a timely fashion, allowing for any previous delays; or
 - (c) there has been a finding of inappropriate academic practice, academic dishonesty, research misconduct or a breach of the [Research Code of Conduct](#) or [Research Data Management Policy](#).

Note: See [Academic Honesty in Coursework Policy 2015](#); [Research Code of Conduct 2013](#), [Research Data Management Policy 2014](#) and [Academic Honesty Procedures 2016](#).
- (2) If a student receives a rating of 'marginal progress', the postgraduate coordinator:
 - (a) must specify a set of required actions and due dates; and
 - (b) must set a date for a supplementary progress review; and
 - (c) may:
 - (i) refer the Review Panel's report to the Associate Dean; and

- (ii) take such other action as they consider appropriate, consistent with the Rule and this policy.
- (3) A rating of 'marginal progress' will be considered satisfactory for the purposes of a student's scholarship, where the terms and conditions of the scholarship are under the University's control.
- (4) A rating of 'marginal progress' cannot be used as a trigger for the requirement for a student to show good cause why he or she should be permitted to continue the candidature.
- (5) If a student is required to meet a required set of actions and due dates, the coordinating supervisor is responsible for overseeing their completion.

19 'Unsatisfactory progress'

- (1) A rating of 'unsatisfactory progress' indicates that:
 - (a) the student has not satisfactorily met all requirements (as specified in subclause 16(1)) since the last progress review; or
 - (b) there is a significant risk that the thesis:
 - (i) will not be submitted for examination on time, or in a timely fashion, allowing for any previous delays; or
 - (ii) will not be completed at all; or
 - (c) there has been a finding of inappropriate academic practice, academic dishonesty, research misconduct or a breach of the [Research Code of Conduct](#) or [Research Data Management Policy](#).

Note: See [Academic Honesty in Coursework Policy 2015](#); [Research Code of Conduct 2013](#), [Research Data Management Policy 2014](#) and [Academic Honesty Procedures 2016](#).
- (2) If a student receives a rating of 'unsatisfactory progress', the postgraduate coordinator:
 - (a) must, except where the student is asked to show good cause:
 - (i) specify a set of required actions and due dates;
 - (ii) set a date for a supplementary progress review;
 - (iii) refer the Review Panel's report to the Associate Dean; and
 - (iv) take such other action as they consider appropriate, consistent with the Rule and this policy.
 - (b) may:
 - (i) where relevant, recommend to the University that the student's research scholarship be terminated;
 - (ii) recommend to the Associate Dean that the student be asked to show good cause why he or she should be permitted to continue the candidature.
- (3) In determining what action to take in accordance with subclause (2), the postgraduate coordinator will take into account:
 - (a) any injury, illness or misadventure experienced by the student that has had an impact on progress since the last progress review;

- (b) any difficulties caused by, or fault on the part of, the University; and
 - (c) any exceptional circumstances related to the candidature and beyond the reasonable control of the student.
- (4) If a student receives a rating of 'unsatisfactory progress' at two consecutive progress reviews, the postgraduate coordinator must recommend to the Associate Dean that the student be asked to show good cause why he or she should be permitted to continue the candidature.
- (5) If a student must meet a required set of actions and due dates, the coordinating supervisor is responsible for overseeing their completion.

20 Supplementary progress reviews

- (6) If the postgraduate coordinator requires a student to undertake a supplementary progress review, that supplementary progress review:
- (a) should take place in one of the scheduled review cycles;
 - (b) must take place no sooner than two months and no later than six months from the date of the previous review; and
 - (c) must be conducted in accordance with this policy.
- (7) Subject to sub-clause (3), if a student receives a rating of 'marginal progress' at a supplementary progress review, clause 18 of this policy will apply.
- (8) If after two consecutive supplementary progress reviews the student fails to achieve a rating of 'meets or exceeds expectations', the student must receive a rating of 'unsatisfactory progress' for the second supplementary progress review, and clause 19 of this policy will apply.

PART 4 MILESTONES AND ACTIVITIES

21 Milestones and activities

- (1) There are three types of milestones and activities:
- (a) University;
 - (b) faculty and school;
 - (c) student.
- (2) University milestones and activities are:
- (a) set out in Schedule 1 of this policy;
 - (b) mandatory (including the items listed in bullet-points); and
 - (c) common for all candidates.
- (3) Faculty and school milestones and activities:
- (a) are additional to University milestones and activities;
 - (b) are mandatory specialist requirements specific to the faculty or school;
 - (c) are common for all candidates in the faculty or school;

- (d) may include school specific activities required to achieve University milestones; and
 - (e) must be approved by the UE Research Education Committee.
- (4) Student milestones and activities are:
- (a) specific to the student's candidature;
 - (b) set in consultation with the student and endorsed by the coordinating supervisor.
- (5) Progress plans must include at least one faculty or school milestone between the University milestones 'Confirmation' and 'Intent to Submit'.

22 Rescissions and replacements

This document replaces the *Progress Review of Higher Degree by Research Students Guidelines*, which commenced on 21 August 2014, which is rescinded as from the date of commencement of this document.

23 Transitional provisions

Rescinded

SCHEDULE 1: UNIVERSITY MILESTONES AND ACTIVITIES

Milestone	Time frame	Research Project & Thesis	Research Training	Compliance	Outcome Checklist
Preliminary appraisal	6 months	<ul style="list-style-type: none"> Review research idea. Draft research plan. Draft data management plan. 	<ul style="list-style-type: none"> Complete training needs analysis. Schedule relevant training activities. Review communication skills (especially writing). Identify subsequent actions in progress plan. 	<ul style="list-style-type: none"> Complete Responsible Research Practice module. Complete induction(s). Identify any need for ethics approval. Conduct intellectual property review, and consider need for IP agreements. Conduct autonomous sanctions check. Consider potential for restricted information. 	<ul style="list-style-type: none"> Have all relevant action items been identified and included in the progress plan?
			<ul style="list-style-type: none"> Review the graduate qualities and identify units of study to complete the HDR coursework requirement. 	<ul style="list-style-type: none"> Identify actions needed to further develop the graduate qualities. 	
WHS [Activity, within Preliminary Proposal Milestone]	2 months			<ul style="list-style-type: none"> Complete WHS training 	<ul style="list-style-type: none"> WHS training completed.
Consent Matters Module	6 months			<ul style="list-style-type: none"> Complete Consent Matters Module 	<ul style="list-style-type: none"> Consent Matters Module completed; or Exemption obtained.

Milestone	Time frame	Research Project & Thesis	Research Training	Compliance	Outcome Checklist
Confirmation	12 months	<ul style="list-style-type: none"> Finalise research proposal/plan. Finalise data management plan. Conduct resources review, including information technology, hardware, software, space, funding, supervision. 	<ul style="list-style-type: none"> Ensure student has adequate written English to write thesis, or that measures are in place to assist the student to meet this requirement within a specified timeframe. Submit a substantial piece of written work (e.g. proposal or literature review) for similarity checking, and discuss outcome with supervisor 	<ul style="list-style-type: none"> Confirm ethics plan and commence ethics application process (where relevant). Ensure autonomous sanctions check completed. 	<ul style="list-style-type: none"> Is the research project feasible? If not, consider next steps.
			<ul style="list-style-type: none"> Review the student's development of the graduate qualities. Review the results of coursework taken to date and agree on units of study to complete the HDR coursework requirement. 		<ul style="list-style-type: none"> Is the student progressing satisfactorily in developing the graduate qualities? If not, consider what additional training or support is needed.
			<ul style="list-style-type: none"> Identify actions to further develop the graduate qualities. 		
			<ul style="list-style-type: none"> Identify potential industry/ community engagement opportunities that would further develop the student's research capabilities. 		

Milestone	Time frame	Research Project & Thesis	Research Training	Compliance	Outcome Checklist
Finalise Research Proposal [Activity, within Confirmation Milestone]	12 months	<ul style="list-style-type: none"> Agree a final research proposal 			<ul style="list-style-type: none"> Is the research proposal feasible? Is the research proposal agreed by all parties?
Coursework (Master's by Research linked to Table R)	12 months		<ul style="list-style-type: none"> Ensure the HDR coursework requirement is complete. 	<ul style="list-style-type: none"> Check the student has completed and passed the required unit of study to complete the HDR coursework requirement. 	
Coursework (Doctorates linked to Table R)	24 months		<ul style="list-style-type: none"> Ensure the HDR coursework requirement is complete. 	<ul style="list-style-type: none"> Check the student has completed and passed all required units of study to complete the HDR coursework requirement. 	
Intent to submit	3 months from projected submission	<ul style="list-style-type: none"> Check thesis draft. Student to provide input on potential examiners. 	<ul style="list-style-type: none"> Ensure all training activities from training needs analysis are complete. 	<ul style="list-style-type: none"> Check compliance with ethics approvals, data management plan, IP agreements. Consider whether the thesis contains restricted information. 	<ul style="list-style-type: none"> Will the thesis be ready for examination? If no, does the progress plan need to be updated and an extension sought?
Submit for examination	Submission date	<ul style="list-style-type: none"> Coordinating supervisor confirms thesis is in a form suitable for examination. Faculty decides to proceed with examination. 		<ul style="list-style-type: none"> Consider whether confidentiality agreements are required for examiners. 	<ul style="list-style-type: none"> Is the thesis examinable? If yes, have examiners been appointed?

Milestone	Time frame	Research Project & Thesis	Research Training	Compliance	Outcome Checklist
Examination	Complete within 4 months of submission	<ul style="list-style-type: none"> Determine outcome of examination. 			<ul style="list-style-type: none"> Does the thesis satisfy the requirements for award? If yes, are there any conditions that must be satisfied? If no, can the student revise and resubmit?
Award	Within 4 months of award notification	<ul style="list-style-type: none"> Complete requirements for award, including emendations. Lodge final version of thesis. 		<ul style="list-style-type: none"> Comply with data management plan. Comply with any ethics approval and protocol. 	<ul style="list-style-type: none"> Can the degree be conferred?
			Ensure the HDR coursework requirement is complete.	<ul style="list-style-type: none"> Check the student has completed and passed all required units of study to complete the HDR coursework requirement. 	
Confer degree					



SCHEDULE 2: TABLE R

Unit of study

*Credit
points*

A: Assumed knowledge P: Prerequisites C: Corequisites N: Prohibition

Session

SCHEDULE 3: HIGHER DEGREES BY RESEARCH WITH COURSEWORK REQUIREMENTS

- (1) The following higher degree by research courses require the completion of 12 credit points of coursework within two years of candidature:
 - (a) Doctor of Philosophy;
 - (b) Doctor of Arts;
 - (c) Doctor of Social Sciences; and
 - (d) Doctor of Musical Arts.

- (2) The following higher degree by research courses require the completion of six credit points of coursework within two years of candidature:
 - (a) Master of Arts (Research);
 - (b) Master of Education (Research);
 - (c) Master of Fine Arts;
 - (d) Master of Philosophy (Arts and Social Sciences);
 - (e) Master of Philosophy (Education);
 - (f) Master of Philosophy (Social Work);
 - (g) Master of Philosophy (Business);
 - (h) Master of Philosophy (Engineering);
 - (i) Master of Applied Science (Health Sciences);
 - (j) Master of Philosophy (Dentistry);
 - (k) Master of Philosophy (Nursing);
 - (l) Master of Philosophy Pharmacy;
 - (m) Master of Philosophy (Medicine);
 - (n) Master of Philosophy (Science);
 - (o) Master of Philosophy (Architecture, Design and Planning);
 - (p) Master of Music (Composition);
 - (q) Master of Music (Music Education);
 - (r) Master of Music (Musicology);
 - (s) Master of Music (Performance);
 - (t) Master of Laws (Research); and
 - (u) Master of Criminology (Research).

- (3) The following higher degree by research courses do not have to meet the coursework requirement established in section 11 but may have to meet separate coursework requirements as established in course resolutions or inter-institutional agreements:
 - (a) Master of Global Health / Master of Philosophy;
 - (b) Master of Health Policy / Master of Philosophy;
 - (c) Master of Public Health / Master of Philosophy;



- (d) Master of Medicine / Master of Philosophy;
- (e) Master of Science in Medicine / Master of Philosophy;
- (f) Science Master of Clinical Psychology / Doctor of Philosophy;
- (g) Master of Veterinary Studies (Clinical Residency Program) / Master of Veterinary Clinical Studies;
- (h) Doctor of Philosophy (Cotutelle).

Note: Candidates for the Doctor of Philosophy (Cotutelle) may have to meet coursework requirements subject to the terms of the principal agreement and student agreement.

SCHEDULE 4: REQUIREMENTS FOR THE DOCTOR OF PHILOSOPHY

- (1) To qualify for the award of the Doctor of Philosophy, candidates must complete:
 - (a) a program of independent supervised study that produces significant and original research outcomes culminating in a thesis; and
 - (b) a thesis reporting the results of research undertaken during the candidature as set out in the Thesis and Examinations of Higher Degree by Research Policy 2015;
- (2) To meet the progression requirements for the Doctor of Philosophy, candidates must complete a minimum of 12 credit points of coursework from Table R within:
 - (a) 8 research periods from the commencement of candidature for full-time candidates; or
 - (b) 16 research periods from the commencement of candidature for part-time candidates.

NOTES

Progress Planning and Review for Higher Degree by Research Students Policy 2016

Date adopted:	2 December 2015
Date registered:	11 December 2015
Date commenced:	1 January 2016
Date amended:	17 August 2016, commencing 19 September 2016 27 October 2016 (administrative amendment only) 1 May 2017, commencing 23 May 2017 28 November 2017, commencing 1 January 2018 1 October 2019 (administrative amendment only)
Administrator:	Director, Graduate Research
Review date:	1 January 2021
Rescinded documents:	

Progress Review of Higher Degree by Research Students Guidelines

Related documents:

University of Sydney (Higher Degree by Research) Rule 2011

Essential Resources for Postgraduate Research Students Policy 2016

Research Data Management Policy 2014

Research Data Management Procedures 2015

Supervision of Higher Degree by Research Students Policy 2013

Thesis and Examination of Higher Degree by Research Policy 2015

Thesis and Examination of Higher Degree by Research Procedures 2015

Academic Honesty Procedures 2016

AMENDMENT HISTORY

Provision	Amendment	Commencing
15(1)(c), 16(1)(c)	Subclause and note added	19 September 2016
15(2)(c)(ii), 16(2)(a)(iv)	Minor amendment	19 September 2016
Notes	Change to Administrator of document	19 September 2016
Notes	<i>Research Data Management Policy 2014, Research Data Management Procedures 2015, and Academic Honesty Procedures 2016</i> added to related documents	19 September 2016
9(5)(b)(2) and related Note	Addition of other relevant clause references (administrative amendment)	19 September 2016
18(3)(e)	References to Senior Executive Group Research Training Committee changed to University Executive Research Education Committee	27 October 2016
Various	Hyperlinks to policy documents added	27 October 2016
4(3)	New clause referencing health, safety and wellbeing	23 May 2017
5(3)	Definitions updated (administrative amendments)	23 May 2017
7(2)	Note deleted	23 May 2017
8(2)	Insertion of new clause at (c) referencing disability action plan	23 May 2017
9(4)	Wording changed to reference disability and health	23 May 2017
9(6)	Terminology change (administrative amendment)	23 May 2017
14(2)	New clause added at (b) specifying similarity checking of an item of student written work	23 May 2017
20	Rescinded	23 May 2017
Schedule 1	Insertion of new requirement for confirmation by 12 months of candidature	23 May 2017
4(3); 6 ; 8(2)(b); 9(5); 9(6)(b); 10(4); 11(1); 11(3); 12(1); 13(4);	Amendments to align with <i>University of Sydney (Delegations of Authority – Academic Functions) Rule 2016</i>	1 January 2018

Provision	Amendment	Commencing
13(7); 15(2); 15(2)(c)(i); 16(2); 16(2)(a)(iii) 16(3); 16(4); 17(1)		
6; 9(5)(a); 13(10(a); 13(7)(e); 18(1); 18(3); 18(3)(b)- (d); 13(5)	Amendments to align with organisational design changes	1 January 2018
10;11;12	New Part 2A added, comprising new clauses 10-12. ; consequential renumbering of following clauses	1 January 2019
10	Formatting changes	1 January 2020
11(2), (3)	Note added	1 January 2020
12(1)	Subclause replaced	1 January 2020
12 (2)	Subclause replaced	1 January 2020
Schedule 1	Addition of required coursework modules	1 January 2020
Schedule 2	New schedule added - Table R	1 January 2020
Schedule 3	New Schedule added – awards impacted by new part 2A.	1 January 2020
Schedule 4	New schedule added – course requirements for the Doctor of Philosophy	1 January 2020