

## REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSOPHY (PhD)

(Applicable to 1 September 1999 to 31 August 2001)

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### PHD1. Definition

The degree of Doctor of Philosophy (PhD) is a research postgraduate degree. Such a degree shall be awarded to a candidate who, on the completion of an approved scheme of research,

- (a) presents a successful thesis representing the result of the candidate's research which should be an original contribution to knowledge and worthy of publication; *and*
  - (b) satisfies the examiners in an oral examination (and any other examination if required) in matters relevant to the subject of the thesis.
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### PHD2. Admission requirements

A candidate for registration

- (a) shall comply with the General Regulations;
  - (b) shall hold
    - (i) a Bachelor's degree with honours from this University; *or*
    - (ii) another qualification of equivalent standard from this University or from another university or comparable institution accepted for this purpose; and any additional qualifications laid down by the Faculty concerned; *and*
  - (c) shall satisfy the examiners in a qualifying examination if required.
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### PHD3. Qualifying examination

- (a) A qualifying examination may be set to test the candidate's ability to pursue the research project proposed. A qualifying examination shall consist of one or more invigilated written examination papers; additionally, the invigilated written paper(s) may be supplemented by other forms of examination.
  - (b) A candidate who is required to satisfy the examiners in a qualifying examination shall not be permitted to register until all examination requirements are satisfied.
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### PHD4. Registration

- (a) A candidate shall be permitted to register only on the first day of any month of the year.
- (b) A candidate whose application is accepted shall first register *provisionally* and shall be subject to a probationary period of twelve months in the case of a full-time candidate or eighteen months in the case of a part-time candidate. By the end of this probationary period, the candidate is required to have demonstrated capability in research and to have submitted a detailed scheme of research. A decision shall be made on whether the candidature shall be confirmed or terminated.
- (c) A candidate may apply for transfer to MPhil within the first six months of full-time candidature, or nine months in the case of part-time candidature; and will be required to complete all the formal coursework requirements before thesis submission. Such transfer shall only be permitted on the first day of any month of the year.
- (d) A candidate may be permitted to transfer from full-time to part-time candidature (or vice versa) for the same degree at any time during the period of study but such transfer shall only be permitted on the first day of any month of the year.

**PHD4A.**

- (a) A student may register as a *full-time* candidate when he or she holds
    - (i) no employment; *or*
    - (ii) part-time employment (whether inside or outside the University), provided that the employment entails not more than 150 hours of work per annum; *or*
    - (iii) a University Research Assistantship, provided that the work undertaken in this capacity is focused on the topic of the holder's research degree study.

The status of the candidature must be affirmed in the form of a written declaration by the head of department, the supervisor(s) and the student.
  - (b) A full-time candidate may hold a University postgraduate studentship or another postgraduate studentship or scholarship which is intended to enable him or her to study on a full-time basis.
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**PHD5. Period of Study**

- (a) A candidate registered for the degree shall follow an approved course of study and research under at least one supervisor for
    - (i) a period extending over not less than thirty-six months and not more than sixty months, in the case of a full-time candidate, and
    - (ii) a period extending over not less than fifty-four months and not more than seventy-two months, in the case of a part-time candidate, beginning on the first day of provisional registration.
  - (b) A candidate shall be required to spend the whole of the minimum period of study in Hong Kong, unless leave of absence, provided for under Regulation PHD6 below, has been granted.
  - (c) Any extra period allowed for revision or re-submission under Regulation PHD11(b) shall not count towards the maximum period of study.
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**PHD6. Leave of absence**

A candidate who wishes to be absent from Hong Kong and/or the approved course of study and research or who proposes to take vacation leave shall be required to submit in writing an application for leave of absence. A full-time candidate is entitled to take up to one month of vacation leave in each twelve-month period during the minimum period of study. Any leave of absence granted for the purpose of study for the degree for which the candidate is registered, or any period of vacation leave of up to one month in each period of twelve months to which a full-time candidate is entitled, shall be counted towards the period of study and the minimum period required to be spent in Hong Kong. Leave of absence granted for any other reason shall result in the extension of the period of study by the period of absence. Leave of absence shall not be granted for any continuous period of more than twelve months.

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**PHD7. Supervision and progress**

- (a) A candidate shall be required to submit a progress report at six-monthly intervals and may be required to give one or more seminars on any part of his or her course of study and research.
- (b) A candidate may be required to attend courses offered within the University at any time during the candidate's period of study, and may also be required to satisfy such formal requirements of these courses as may be specified.
- (c) A candidate may be discontinued if satisfactory progress in study is not being made.

**PHD8. Title of thesis**

A candidate shall submit for approval the title of the thesis at any time following the confirmation of the candidature but not later than three months before the submission of the thesis for examination. Thereafter no modification of title shall be made without further approval.

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**PHD9. Submission of thesis**

- (a) At the end of the approved course of study and research the candidate shall submit four copies of the thesis for examination, typed or printed and bound in accordance with the regulations governing the format, binding, and presentation of theses, together with a written declaration that the thesis represents the candidate's own work, or, in the case of conjoint work, a statement, countersigned by the candidate's co-worker and the supervisor(s), describing the candidate's share of the work.
  - (b) A candidate shall not submit work that has been previously included in a thesis, dissertation or report submitted to this University or to any other institution for a degree, diploma, or other qualification, but material which has been previously published may be included in the thesis subject to the provisions of Regulation PHD9(a).
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**PHD10. Examinations**

A candidate shall be examined by examiners appointed for this purpose both on the thesis itself, and at an oral examination on the subject of the thesis and/or approved course of study and research. A candidate may also be examined by other means.

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**PHD11. Examination results**

- (a) A candidate who has satisfied the examiners shall be recommended for conferment of the degree of Doctor of Philosophy.
  - (b) A candidate who has not satisfied the examiners
    - (i) may be required to resubmit the thesis after making corrections and amendments as required by the Board of Examiners, without a new examination; *or*
    - (ii) may be required to revise and resubmit the thesis for a new examination within a specified period, and may also be required to satisfy the examiners at a new oral examination, or any other examination as appropriate, on the subject of the revised thesis and/or the approved course of study and research; *or*
    - (iii) may be required to attend a new oral examination, or any other examination as appropriate, within a period not exceeding six months; *or*
    - (iv) may be deemed to have failed, without the option of resubmission.
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**PHD12. Publication based on thesis**

Any publication based on work approved for a higher degree should contain a reference to the effect that the work was submitted to the University of Hong Kong for the award of the degree.

*[“Please refer to the Course Enrolment Brochure of the Graduate School for syllabuses for MPhil/PhD coursework obtainable from the Graduate School which is also available at the Graduate School’s web site: <http://www.hku.hk/gradsch>”.]*