Purpose

The Candidature Management Procedure is designed to provide practical steps to candidates, supervisors, Faculties and Research Services regarding roles, responsibilities and processes in relation to the administrative management of candidature at Federation University, in accordance with overarching external regulatory requirements.

This procedure covers the following activity:

- Inductions
- Confirmations of Candidature
- Annual, Interim and Ad Hoc Progressing reporting
- Absentee leave and Leave from Studies
- Changes to Candidature, such as study fraction and extensions
- Show Cause

Scope
This procedure impacts on candidates, supervisors, Associate Deans Research (or Nominee), Deans (or Nominee) and Research Services.

Legislative Context

Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>APR - Annual Progress Report</td>
<td>The Annual Progress Report is a compulsory and formal annual review of the progress of candidature.</td>
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<tr>
<td>Associate Supervisor</td>
<td>A person who provides support to the student and to the Principal Supervisor.</td>
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<tr>
<td>At Risk</td>
<td>A candidate who is not making satisfactory progress in their candidature.</td>
</tr>
<tr>
<td>Candidate</td>
<td>A student enrolled in a Higher Degree by Research program.</td>
</tr>
<tr>
<td>Co Supervisor</td>
<td>A person who provides support to the candidate and to the Principal Supervisor but is external to the University and is not an employee of the University.</td>
</tr>
<tr>
<td>Confirmation Panel</td>
<td>The Panel appointed to assess a candidate for confirmation.</td>
</tr>
<tr>
<td>Confirmed Candidate</td>
<td>A candidate enrolled in a Higher Degree by Research program who has completed and passed a Confirmation of Candidature.</td>
</tr>
<tr>
<td>Conversion</td>
<td>A change in candidature from a Masters Degree (Research) to a Doctoral Degree, or vice versa.</td>
</tr>
<tr>
<td>HDR</td>
<td>Higher Degree by Research</td>
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<tr>
<td>Milestones</td>
<td>Specific requirements throughout candidature that must be met for a candidate to progress, such as confirmation of candidature.</td>
</tr>
<tr>
<td>Principal Supervisor</td>
<td>A person who has prime responsibility for guiding the progress of a designated research higher degree candidate.</td>
</tr>
<tr>
<td>Probationary Candidate</td>
<td>A candidate enrolled in a Higher Degree by Research program who has not yet completed Confirmation of Candidature.</td>
</tr>
<tr>
<td>Provisional Principal Supervisor</td>
<td>A person who, under the direction of an appropriate Faculty-appointed mentor, has responsibility for guiding the progress of a designated higher degree by research candidate.</td>
</tr>
<tr>
<td>Research Integrity</td>
<td>Research must be conducted according to appropriate ethical, legal and professional frameworks, obligations and standards in a research environment underpinned by a culture of integrity (Australian Research Council).</td>
</tr>
<tr>
<td>RHDC - Research Higher Degrees Sub- Committee</td>
<td>The RHDCSC, a Sub-committee of Research Committee, handles all operational matters requiring Committee approval that relate to HDR students.</td>
</tr>
<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
</tr>
<tr>
<td>SEPP</td>
<td>Student Evaluation of Postgraduate Programs</td>
</tr>
<tr>
<td>Show Cause</td>
<td>The process where a candidate is required to make a case as to why their candidature should not be terminated, such as repeated instances of insufficient progress.</td>
</tr>
</tbody>
</table>
### Term Definition

**Supervisory Panel**
A panel consisting of at least two members (including the Principal Supervisor and at least one associate supervisor) which oversees the planning and execution of the project and preparation and submission of the thesis.

### Actions

#### Research Induction

Probationary candidates are also required to undertake a Local Induction and Occupational Health and Safety Induction as outlined in the *Induction Procedure*. Faculties are responsible for conducting these inductions.

Timeline: Research inductions are held at the commencement of the semesters each year in March and July/August.

<table>
<thead>
<tr>
<th>Steps</th>
<th>Responsible</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Newly enrolled candidates emailed invitation to attend.</td>
<td>Research Services</td>
<td>Probationary candidates will be provided with details of seminars and locations.</td>
</tr>
<tr>
<td>2. Research Services run induction</td>
<td>Research Services</td>
<td>The induction program conducted by Research Services includes: • University HDR regulations and administrative arrangements for candidature; • codes of responsible conduct of research; • responsibilities and rights of candidates; • the role of the Supervisor; • support that can be expected during candidature; • research integrity; • intellectual property, and authorship of publications; • key milestones (confirmation, progress reports, examination); • procedures for dealing with significant difficulties that may arise during candidature</td>
</tr>
<tr>
<td>4. Evaluation of the program is collected</td>
<td>Research Services</td>
<td>Information regarding the program is collected for continuous improvement.</td>
</tr>
<tr>
<td>5. The feedback is considered and improvements recommended to RHDC on Induction Program</td>
<td>Research Services</td>
<td>All feedback is collected and assessed. Research Services will consider any feedback and make</td>
</tr>
</tbody>
</table>

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CRICOS Provider Number: 00103D
## Confirmation of Candidature

**Timeline:** confirmations must be held within 12 months of commencement for full time or equivalent Doctoral probationary candidates and 6 months full time or equivalent commencement for Master by Research candidates. Confirmations can be held at any time of the year.

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<thead>
<tr>
<th>Steps</th>
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</thead>
<tbody>
<tr>
<td>1. Probationary Candidate / Supervisor Meet</td>
<td>Supervisor / Probationary Candidate</td>
<td>Probationary candidate and their supervisor meet to discuss the requirements of confirmation, ensuring that the probationary candidate is made aware of the requirements for Confirmation of Candidature as specified in this procedure.</td>
</tr>
<tr>
<td>2. Notification of Application for Confirmed Candidature</td>
<td>Probationary candidate</td>
<td>Probationary candidate to advise Research Services, ADR and Supervisor of their intention to confirm in writing at least four weeks prior to their confirmation date.</td>
</tr>
</tbody>
</table>
| 3. Confirmation panel formed               | Chair of Confirmation Panel (ADR or nominee)     | The Chair will nominate panel members for the confirmation meeting. The panel will normally consist of:  
• The Associate Dean (Research) (Chair) or nominee  
• The Principal Supervisor  
• An academic staff member from Federation University with relevant disciplinary experience and knowledge.  
• An experienced supervisor or discipline expert, from either Federation or another University.  
• An industry partner, where appropriate.  
The Panel members will be provided to Research Services at least three weeks prior to the confirmation date. Failure to provide this information in a timely manner will result in a delay in the organisation of the Confirmation. |
| 4. Submission of written proposal          | Probationary candidate                             | Probationary candidate to submit to Research Services a written proposal, in accordance with the Confirmation Proposal Guidelines, at least two weeks prior to the confirmation. The body of the written proposal will be no more than 10 000 words for Doctoral probationary candidates and 5 000 words for Masters by Research probationary candidates, including the main text, footnotes and captions, and excluding references. There will be no more than 2 000 additional words in the supplementary information. Words in excess of these counts will not be considered. |
### Steps | Responsible | Comments
--- | --- | ---
5. Confirmation meeting takes place | Probationary candidate, Confirmation Panel | The Probationary candidate makes an oral presentation of no more than 25 minutes for Doctoral probationary candidates and 15 minutes for Masters by Research probationary candidates to a Confirmation Panel (and any additional audience) as outlined in the Confirmation Proposal Guidelines. The Probationary candidate will be required to answer any questions arising from their presentation or written submission.
Experts external to the University may provide written feedback on the candidate’s submission in advance.

6. Panel provides recommendation to the Research Higher Degrees Subcommittee (RHDS C). | Chair, Confirmation Panel, Panel members | Confirmation Panel will deliberate and recommend to the RHDS C on confirmation of candidature in accordance with the directions contained in the Confirmation Panel Report. The Panel will normally recommend that the candidate be;
- Confirmed; or
- Confirmed subject to conditions: or
- Not confirmed (candidature may be terminated)

If the candidate is ‘Confirmed subject to conditions’, the panel report will include details of tasks that will need to be completed. If the candidate is ‘Not confirmed’ the Panel will provide a written report outlining the reasons for its decision. The Panel Report should be provided to RHDS C via Research Services.

7. Panel provides feedback to the candidate / probationary candidate | Panel Chair – Research Services | Feedback will be provided to the candidate within five business days of the confirmation. Feedback should contain;
- The Confirmation Panel’s recommendation to the RHDS C (i.e. “candidature confirmed”, “candidature confirmed subject to conditions”, or “candidature not confirmed”); and,
- Any feedback on the substance of the candidate’s research.

In cases where conditions are set, including a recommendation that the candidate be required to re-present either the written proposal and/or the oral presentation for confirmation, the feedback will include details of what needs to be addressed, scheduling and the next step in the confirmation process.

8. Probationary candidate submits revisions / organises further oral | Probationary candidate | Probationary candidate undertakes revisions, and/or additional oral presentation as per instructions from the panel report.
<table>
<thead>
<tr>
<th>Steps</th>
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<tbody>
<tr>
<td>presentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Probationary candidate attends Show Cause meeting in the instance of 'not confirmed'.</td>
<td>Supervisor, Probationary candidate, Research Services</td>
<td>Probationary candidates who are not confirmed will be requested to show cause (see Show Cause section of this procedure) as to why their candidature should continue. Supervisors are responsible for providing guidance to probationary candidates throughout this process.</td>
</tr>
<tr>
<td>10. Recording of Confirmation undertaken</td>
<td>Research Services</td>
<td>Research Services will record outcome of the confirmation process and any further action to be undertaken on the candidate record.</td>
</tr>
</tbody>
</table>

**Conversion from Master by Research to Doctoral program**

Masters by Research candidates may transfer to a Doctoral program after having their Master’s program confirmed, or may be recommended for conversion by their supervisor. Masters by Research candidates will be required to undertake the Confirmation of Candidature steps as outlined for Doctoral probationary candidates.

Once confirmed, Research Services will assist the candidate to transfer their program and course details to the appropriate Doctoral program.

**Conversion from Doctoral program to Master by Research**

Transfers from a PhD program to a Masters program will only be considered where an extension for candidature has not already been approved. Where a candidate has already exceeded the maximum allowable time for a Masters by Research candidate, their thesis must be submitted within six months of their transfer request, or part time equivalent and any scholarships will be ceased.

**Progress**

All candidates are required to undertake the Annual Progress Report, commencing in their first year. Candidates identified as being ‘At Risk’ from the previous APR cycle will be required to undertake an additional Interim Progress Report on a six monthly cycle until they are no longer deemed ‘At Risk’.

**Annual Progress Report**
Timeline: Preparation and submission APRs will occur every 12 months during July / August. Candidates will be emailed regarding Annual Progress Reporting by the last Friday in June. They have four weeks to respond to the survey email. Supervisors will have two weeks to confirm and respond to candidates APRs.

<table>
<thead>
<tr>
<th>STEPS</th>
<th>WHO IS RESPONSIBLE?</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Annual Progress Report questions reviewed from previous cycle</td>
<td>Research Services</td>
<td>Research Services will review the information required for the APR and suggest any revisions.</td>
</tr>
<tr>
<td>2. Annual Progress Report questions approved by RHDSC</td>
<td>RHDSC</td>
<td>Any revisions made to the APR questions will be tabled at the RHDSC committee prior to June for discussion and approval.</td>
</tr>
<tr>
<td>3. All Candidates emailed student section of Annual Progress Report</td>
<td>Research Services</td>
<td>The Annual Progress Report will be emailed to all candidates via their FedUni student email address.</td>
</tr>
<tr>
<td>4. Candidates respond to survey</td>
<td>Candidates</td>
<td>It is compulsory for all enrolled candidates to complete the Annual Progress Report within four weeks of receipt. Failure to submit the Annual Progress Report may result in a request for a candidate to show cause as to why their candidature should not be terminated.</td>
</tr>
<tr>
<td>5. Responses forwarded to candidates supervisor for comment</td>
<td>Research Services</td>
<td>Completed surveys are forwarded to supervisors for comment. Candidates are also provided with an opportunity to give confidential feedback directly to the Dean and Research Services.</td>
</tr>
<tr>
<td>6. Supervisors provide commentary on candidates progress</td>
<td>Supervisor</td>
<td>Supervisor provides commentary on candidate’s progress. Supervisors can recommend that candidate’s be: • Satisfactorily progressing; • At Risk; or • Requested to Show Cause At Risk candidates will be required to undertake the Interim Progress Report actions.</td>
</tr>
<tr>
<td>7. ADR approves APR</td>
<td>ADR</td>
<td>Associate Dean, Research approves APR or recommends candidate show cause. ADR will meet with candidates who have been deemed to be ‘At Risk’.</td>
</tr>
</tbody>
</table>

Interim Progress Reporting
Timeline: Interim progress reporting will occur every 12 months during January / February. Research Services will require the details of candidates requiring interim progress reporting by 24th December.

<table>
<thead>
<tr>
<th>Steps</th>
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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Candidate identified by supervisor, ADR or Dean for interim reporting or deemed ‘At Risk’ in Annual Progress Report</td>
<td>Supervisor, Associate Dean Research, Dean</td>
<td>Candidates are identified by their supervisor, Dean, Associate Dean Research or Head of School for interim reporting or via the previous Annual Progress Report. Details of candidates nominated for interim reporting must be provided to Research Services by 24th December, or close of business on the final operating day of the University year.</td>
</tr>
<tr>
<td>2. Candidates emailed Interim Progress Report Survey</td>
<td>Research Services</td>
<td>Candidates will have four weeks to submit the Interim Progress Report</td>
</tr>
<tr>
<td>3. Responses forwarded to candidates supervisor for comment</td>
<td>Research Services</td>
<td>Completed surveys are forwarded to supervisors for comment. Candidates are also provided with an opportunity to give confidential feedback directly to their Dean and Research Services.</td>
</tr>
<tr>
<td>4. Supervisors provide commentary on candidates progress</td>
<td>Supervisor</td>
<td>Supervisor provides commentary on the probationary candidate’s progress. Supervisors can recommend that candidates be placed on ‘At Risk’ if they are not making satisfactory progress. Supervisors can also recommend that candidates previously identified as At Risk have this status revoked.</td>
</tr>
<tr>
<td>5. ADR approves Interim Report</td>
<td>ADR</td>
<td>Associate Dean, Research approves Interim Report or recommends that candidate Show Cause. ADR will meet with candidates who have been deemed to be ‘At Risk’.</td>
</tr>
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</table>

### Ad-hoc Progress Reports

<table>
<thead>
<tr>
<th>Steps</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1. Supervisor requests progress report from candidate / probationary candidate</td>
<td>Supervisor, Associate / Co Supervisor, Associate Dean Research, Dean</td>
<td>At any time, any stakeholder in the candidature of a candidate can request a progress report or research plan.</td>
</tr>
</tbody>
</table>
| 2. Candidate completes requested report | Candidate | The candidate must comply with any reasonable request for a
### Student Evaluations of Postgraduate Programs

**Timeline:** The SEPP is sent to candidates in Semester 2 each year.

<table>
<thead>
<tr>
<th>Steps</th>
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<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Research Services reviews previous SEPP and makes recommendations for changes to questions to RHDSC, if required.</td>
<td>Research Services</td>
<td>Research Services will review response rates, inter-annual trends and other available data to assess the viability and relevance of questions in the SEPP and recommend changes where required to RHDSC.</td>
</tr>
<tr>
<td>2. RHDSC considers and approves / rejects any changes recommended</td>
<td>RHDSC</td>
<td>The recommended changes will be presented at RHDSC for endorsement by a Research Services representative. RHDSC can approve or reject changes as required.</td>
</tr>
<tr>
<td>3. Updated questions provided to Strategic Planning for update to eValuate</td>
<td>Research Services</td>
<td>All updated questions are entered into eValuate for the next SEPP round.</td>
</tr>
<tr>
<td>4. Strategic Planning provides candidate data and survey details to Research Services</td>
<td>Strategic Planning</td>
<td>Research Services will check and confirm details, such as program, course enrolments and email addresses for each candidate.</td>
</tr>
<tr>
<td>5. Strategic Planning sends survey to candidates</td>
<td>Strategic Planning</td>
<td>Candidates are sent the SEPP in July / August.</td>
</tr>
<tr>
<td>6. Data are collated and reported to Research Services</td>
<td>Strategic Planning</td>
<td></td>
</tr>
<tr>
<td>7. Research Services analyses data and provides a report to RHDSC and Faculties</td>
<td>Research Services</td>
<td>Research Services will compare SEPP data to previous years responses and formulate a report on appearing trends.</td>
</tr>
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### Leave from all Studies

Leave from all Studies includes the following types of leave:

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• Requests for leave of at least six months but no more than 12 months
• Parental leave (Primary Carer) (including adoption leave)
• Parental Leave (Partner leave) (including adoption leave)
• Extended sick leave (more than 20 business days concurrently)

Not all leave types apply to all candidates. Applicable leave types are outlined in the Candidature Management Policy. All Leave from all Studies must be approved before the candidate commences leave. Leave will not be backdated, with the exception of sick leave. These leave types of leave suspend candidature so that RTS / fees are not expended. Scholarships are also suspended for general Leave from all Studies, paternity leave and extended sick leave. Candidates wishing to take maternity leave may be eligible for continued scholarship payments and should refer to the Candidature Management Policy for details.

Candidates who have not yet confirmed or who have already been granted more than 12 months of Leave from Study should not expect to have their request automatically approved.

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<tr>
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<tbody>
<tr>
<td>1. Candidate decides / is required to take Leave from Studies</td>
<td>Candidate</td>
<td>Candidate discusses leave with Supervisor and then submits Leave from Studies form along with supporting documentation (such as medical certificates) to Research Services at least two weeks prior to the requested commencement of leave date.</td>
</tr>
<tr>
<td>2. Research Services checks previous periods of leave for requests other than parental leave or sick leave and notes them on Leave from all Studies form</td>
<td>Research Services</td>
<td>Research Services checks the candidates leave history. Second or subsequent requests for Leave from Studies, leave during probationary candidature and leave following At-Risk determination will be referred to an Academic Advisor for comment, if the leave is other than parental, carers or sick leave.</td>
</tr>
<tr>
<td>3. Leave from all Studies form forwarded to Faculty for approval</td>
<td>Research Services</td>
<td>Leave form forwarded to Faculty for approval.</td>
</tr>
<tr>
<td>4. Faculty nominee approves / rejects Leave from all Studies form</td>
<td>Faculty Nominee</td>
<td>Faculty nominee either rejects or approves period of leave and returns form to Research Services</td>
</tr>
<tr>
<td>5. Leave recorded in University Student Management and Research Management Systems and by Scholarships Office</td>
<td>Research Services, Student Administration, Scholarships Office</td>
<td>Leave is recorded in University systems and candidate’s candidature is suspended for the leave period. The candidate’s scholarship will be suspended for the period of leave.</td>
</tr>
<tr>
<td>6. Candidate sent reminder to re-enrol</td>
<td>Research Services</td>
<td>Candidate is sent a ‘Return to Study’ email approximately four weeks before their leave expires.</td>
</tr>
</tbody>
</table>
### Absentee Leave

Absentee leave includes the following leave types:

- Recreation leave
- Sick leave (fewer 20 business days)
- Compassionate leave
- Jury Service
- Special Leave / Cultural Leave

Absentee leave does not result in a suspension of candidature. Fees continue to be payable and RTS continues to be consumed during these leave types. Specific leave entitlements under these categories are outlined in the Candidature Management Policy.

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</thead>
<tbody>
<tr>
<td>1. Candidate requests Absentee Leave approval from Supervisor</td>
<td>Candidate</td>
<td>Candidate completes the Absentee Leave form and requests approval from supervisor.</td>
</tr>
<tr>
<td>2. Candidate submits completed Absentee Leave form to Research Services along with supporting documents (E.g. medical certificates)</td>
<td>Candidate</td>
<td>The candidate is responsible for providing the leave form to Research Services. This may be scanned and sent electronically.</td>
</tr>
<tr>
<td>3. Research Services checks leave availability and records the leave in the RMS (Research Management System)</td>
<td>Research Services</td>
<td>Research Services checks previous leave requests against leave provisions and records the instance of Absentee Leave in the RMS.</td>
</tr>
</tbody>
</table>

### Re-enrolment

As stipulated in Regulation 5.1, all HDR candidates are required to re-enrol until such time as their thesis has been submitted for examination, or their candidature will be terminated. International candidates will be required to meet with Research Services to re-enrol in their program. Domestic candidates are responsible for their own re-enrolment.

**Timeline:** APR details are forwarded to RHDSC for October meeting. Candidates will be emailed regarding re-enrolment dates when they are released, normally by late November.
### Change of Study Fraction

Candidates may request a change of study fraction from full-time to part-time or part-time to full-time. Conversions to part time will be carefully considered and must be supported by supervisors. Changes may impact on the continuation of scholarship payments.

<table>
<thead>
<tr>
<th>Steps</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1. Candidate seeks endorsement for change of fraction from supervisor and ADR or nominee</td>
<td>Candidate</td>
<td>Candidate completes Enrolment Amendment form and requests endorsement from Supervisor and ADR or nominee.</td>
</tr>
<tr>
<td>2. Candidate submits form to Research Services</td>
<td>Candidate</td>
<td>Candidate may return form via mail, electronically or in person.</td>
</tr>
<tr>
<td>3. Research Services updates RMS and forwards form to Student Administration.</td>
<td>Research Services</td>
<td>Conversion of fraction is recorded in the research RMS.</td>
</tr>
</tbody>
</table>

### Extensions

Candidates are responsible for submitting an Extension Request form at least 4 weeks before their expected end date.
### Change to Thesis

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1.</td>
<td>Candidate discusses required change with Supervisor or Associate Dean Research (or nominee)</td>
<td>Candidate</td>
</tr>
<tr>
<td>2.</td>
<td>Candidate submits appropriate forms to Research Services for processing</td>
<td>Candidate</td>
</tr>
<tr>
<td>3.</td>
<td>Research Services updates RSMS with supervision / thesis changes</td>
<td>Research Services</td>
</tr>
</tbody>
</table>

### Show Cause

HDR candidates who have been determined through the Annual or Interim Progress Report process, or by the Confirmation of Candidature panel, or the Dean or nominee to be “At Risk” or not making satisfactory progress will be invited to Show Cause as to why their candidature should not be terminated. Candidates may also be asked to Show Cause due to:

- Being deemed ‘At Risk’ in APRs and / or Interim Reports on more than one occasion
- Failure to submit a complete APR or Interim Report
- Failure to re-enrol after request/s
- Failure to return after Leave from all Studies
• Not providing ad-hoc progress reports after a reasonable request
• Failure to make adequate contact with University
• Failing to meet any other condition of candidature as stipulated in Regulation 5.1

The Candidate may choose not to attend the hearing, in which case the panel will make its decision based upon the candidate’s written submission and file. Applications for Leave from Studies will not be considered once notification for a Show Cause hearing has been given.

Show Cause Committee may make the following recommendations to Academic Board via Research Committee:
• Candidate has been making progress,
• Candidates enrolment for the degree should be terminated, or
• Candidate’s enrolment for the degree may continue, with conditions specified in writing.

Timeline: Show Causes procedures may be undertaken at any time of the year. The Candidate will be provided with 10 working days to provide written response to the request to attend the Show Cause Committee. The written response will be provided to the Show Cause Committee members three days prior to the committee meeting. The Committee has five days to provide an outcome to the Candidate

<table>
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<tr>
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<tbody>
<tr>
<td>1. Candidate is identified for Show Cause procedure</td>
<td>Supervision Team, HDRC, ADR, Dean, Research Services</td>
<td>Candidates may be identified through the Annual Progress Report, Interim Progress Report, ad-hoc reporting or through direct approach to the Dean as not making satisfactory progress. They may also be identified through failure to meet conditions of candidature as outlined in Regulation 5.1.</td>
</tr>
<tr>
<td>2. A request to form a Show Cause Committee is made to the DVC (R&amp;I) or nominee in writing</td>
<td>Supervision Team, HDRC, ADR, Dean, Research Services</td>
<td>The request to form a show cause panel must outline reasons why the candidate should show cause. This information will be provided to the Candidate in writing. It is expected that the request will include;  • Specific issues and details related to the request for Show Cause  • Details regarding dates of incidents/requests  • Any attempt to address these issues directly with the Candidate.</td>
</tr>
<tr>
<td>3. DVC (R&amp;I) or nominee assesses the available evidence regarding the Show Cause request</td>
<td>DVC (R&amp;I) or nominee</td>
<td>The DVC (R&amp;I) will assess the available evidence in support of termination of candidature against the request for Show Cause to ensure that it can be supported. If the process cannot be supported,</td>
</tr>
<tr>
<td>Steps</td>
<td>Responsible</td>
<td>Comments</td>
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</tr>
<tr>
<td>4.</td>
<td>Candidate advised in writing of Show Cause hearing</td>
<td>Executive Officer, SCC (Research Services)</td>
</tr>
<tr>
<td>5.</td>
<td>DVC (R&amp;I) advises Chair, Research Committee to form Show Cause Committee, Research Services to provide Executive Officer for Committee</td>
<td>DVC (R&amp;I), Research Committee</td>
</tr>
<tr>
<td>6.</td>
<td>Chair, Research Committee nominates members</td>
<td>Chair, Research Committee</td>
</tr>
<tr>
<td>7.</td>
<td>Candidate drafts response to Show Cause hearing request and returns it to Research Services</td>
<td>Candidate</td>
</tr>
<tr>
<td>8.</td>
<td>Candidates response provided to SCC</td>
<td>Research Services</td>
</tr>
<tr>
<td>9.</td>
<td>Show Cause hearing takes place</td>
<td>Show Cause Committee, Candidate</td>
</tr>
</tbody>
</table>
| 10.   | Show Cause Committee recommends outcome | Show Cause Committee | The SCC will make one of the following recommendations:  
- Candidate has been making progress,  
- Candidates enrolment for the degree should be terminated, or
<table>
<thead>
<tr>
<th>Steps</th>
<th>Responsible</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>11. Recommendation forwarded to Research Committee for approval</td>
<td>EO, SSC</td>
<td>• Candidate's enrolment for the degree may continue, with conditions specified in writing. The Candidate will be provided with the outcome of their Show Cause hearing once the recommendations has been approved by Research Committee.</td>
</tr>
<tr>
<td>12. Research Committee approves or declines the recommendation</td>
<td>Research Committee</td>
<td></td>
</tr>
<tr>
<td>13. Chair, Academic Board and DVC (R&amp;I) approves or declines recommendation</td>
<td>Chair, Academic Board, DVC, R&amp;I</td>
<td></td>
</tr>
<tr>
<td>14. DVC (R&amp;I) formally advises Candidate of outcome</td>
<td>DVC (R&amp;I)</td>
<td>The Candidate will be provided with the outcome and information regarding the University Appeals process.</td>
</tr>
</tbody>
</table>

**Supporting Documents**

**Responsibility**

Supplier

**Induction:**

- Organise Local and OHS induction for new candidates

**Confirmation of Candidature:**

- Advise probationary candidate of responsibilities as outlined in Regulation 5.1
- Meet with candidate to discuss progress and / or any issues they may face preparing for confirmation
- Provide probationary candidate with feedback and guidance in preparing for confirmation
- Advise probationary candidate of readiness to undertake confirmation process
- Form part of the confirmation panel
- Provide feedback to the probationary candidate
- Support the probationary candidate in any changes / revisions to their confirmation documentation and / or presentation
- Supporting probationary candidate through Show Cause procedure, should they be deemed 'not confirmed'

**Annual Progress Report**

- Provide commentary on candidates progress

**Interim Progress Report**

- Nominate candidates to undertaken IPR
- Provide commentary on candidate’s progress

**Ad Hoc Reporting**

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*Warning - Uncontrolled when printed! The current version of this document is kept on the FedUni website.*
• Request report from candidate
• Provide outcome to Research Services

Leave from Studies
• Discuss Leave from Studies requests with candidate
• Approve requests for Leave from Studies where Faculty nominee

Absentee Leave
• Approve/reject absentee leave requests

Extensions
• Meet with candidate to discuss extension request
• Endorse extension request form

Show cause
• Provide written report on progress of candidate

Candidate

Induction:
• Attending Research Services, Local and OHS inductions.

Confirmation of Candidature
• Advise supervisor, Research Services and ADR of their intention to confirm at least four weeks in advance of their preferred date
• Read Regulation 5.1 as it relates to confirmation of candidature
• Prepare written submission and oral presentation in accordance with Guidelines for Confirmation Proposal
• Submit the written proposal at least two weeks in advance to Research Services for provision to the Confirmation Panel
• Ensure the confirmation location meets the technical requirements of their presentation (e.g. projectors are available)
• Provide any revisions within the requested time period
• Prepare supplementary oral presentation within the requested period.

Annual Progress Report
• Complete APR survey in a within designated time frames each year

Interim Progress Report
• Complete IPR survey within designated time frames, where requested

Ad Hoc reports
• Provide study plans and progress reports, as requested by supervisor, ADR or Dean

Student Evaluation of Professional Programs
• Complete SEPP survey within designated time frames

Leave from Studies
• Discuss Leave from Studies request with supervisor
• Submit Leave from Studies form to Research Services
• Commence Leave from Studies once approved
• Communicate with supervisor and Research Services regarding return date
• Re-enrol in the return semester
• Complete a study plan and submit to supervisor and Research Services on return

Absentee Leave
• Complete Absentee Leave form and request approval from supervisor

Re-enrolment
• Re-enrol in each required semester using the University Student Management System at the commencement of each year

Change of Study Fraction
• Discuss any request to change study fraction with supervisor and request approval
• Complete Enrolment Amendment form and submit to Research Services

Extension
• Discuss requirement for extension with supervisor
• Complete extension request form

Change of Supervisor/Thesis title
• Discuss any changes with Supervisor and / or ADR
• Complete Change of thesis form with endorsement from Faculty nominee

Show Cause
• Candidate prepares written response for request to Show Cause
• Candidate attends meeting to discuss Show Cause
• Candidate undertakes any specific actions resulting from the Show Cause decision

Associate Dean, Research (or Nominee)

Confirmation of Candidature
• Nominate Confirmation Panel members to Research Services at least three weeks prior to the designated date
• Attend the Confirmation of Candidature
• Facilitate the Panel to reach an agreement on the status of the probationary candidate
• Complete the Confirmation Panel Report and forward to Research Services.

Annual, Interim and Ad-hoc Reporting
• Approve APR or recommend candidate for Show Cause

Leave from Studies
• Approves requests for Leave from Studies where Faculty nominee

Change of Thesis or Supervisor
• Discuss supervisor changes with candidates, where requested

**Show Cause**

• Provide written advice on progress of candidate, where requested
• Provide direct request to the Dean for Show Cause of a candidate

Where another staff member is acting as the Nominee for one or more of these actions, the ADR will provide written advice to Research Services, outlining any limitations.

**Dean (or Nominee)**

**Annual, Interim and Ad-hoc Reporting**

• Receive and action Confidential Student Reports

**Extensions**

• Approve / reject requests for extensions

**Show Cause**

• Receive recommendations for candidates to show cause due to progress reports or direct reporting
• Request that the DVC (R&I) form a Show Cause Committee
• Where another staff member is acting as the Nominee for one or more of these actions, the ADR will provide written advice to Research Services, outlining any limitations.

**Faculty**

**Confirmations of Candidature**

• Promote Confirmations to all Faculty staff, candidates and students
• Participate in the confirmation process for the University, where appropriate

**Deputy Vice Chancellor, Research and Innovation (or Nominee)**

**Show Cause**

• Assess the evidence for cases of Show Cause
• Recommend Show Cause or mediation
• Form Show Cause committee
• Chair Show Cause meeting

**Research by Higher Degrees, Subcommittee (by delegation from Research Committee)**

**Induction**

• Discuss and approve / reject any recommendations for major changes to Induction program

**Confirmation of Candidature**
• Discuss and approve / reject recommendations for Confirmed Candidature

**Annual Progress Reports**
• Discuss and approve / reject any recommendations for major changes to APR questions or process

**Student Evaluation of Postgraduate Programs**
• Discuss and approve / reject any recommendations for major changes to SEPP questions or process

**Re-enrolment**
• Approves candidates for re-enrolment on the basis of APR results

**Extensions**
• Approves / rejects candidate applications for extension to candidature

**Research Services**

**Induction of new candidates:**
• Invite all new candidates to attend induction
• Run induction sessions and evaluate the program

**Confirmation of Candidature**
• Provide written advice to the probationary candidate and supervisor on the expected confirmation date
• Facilitate the physical requirements of the confirmation meeting by booking rooms and equipment
• Advise panel members of the potential dates nominated by the probationary candidate
• Advise the probationary candidate of the outcome of their confirmation by providing the Confirmation Panel Report
• Update the RMS to reflect the candidates confirmed / converted status
• In the case of conversion from a Masters by Research program to a Doctoral program, facilitate the administration of course and program changes.

**Annual Progress Report**
• Administering APR surveys
• Forwarding responses to Faculties and approval
• Forwarding Confidential reports to Deans of Faculties
• Recording APR results in RMS
• Review of process and questions

**Interim Progress Reports**
• Identifying qualifying candidates in RMS
• Administering IPR surveys
• Forwarding responses to Faculties for approval
• Forwarding Confidential reports to Deans of Faculties
• Review of process and questions

**Ad hoc Progress Reports**
• Recording results of ad hoc progress reports

**Student Evaluation of Postgraduate Programs**
• Liaise with Strategic Planning to implement survey via eValuate
• Administer candidate information for survey
• Provide data analysis to RHDSC and Research Committee

Leave from studies
• Check previous periods of leave and advise Faculty
• Record periods of leave in RMS
• Provide notice, in writing, of return from leave directions

Absentee Leave
• Record absentee leave in RMS

Re-enrolment
• Forward details of all candidates required to re-enrol to RHDSC for approval
• Email candidates advising re-enrolment is available

Change of Study Fraction
• Records change of study fraction in RSMS and informs Student Administration

Extensions
• Forward request for extension to RHDC
• Record outcome for extension in RSMS

Change of thesis or supervisor
• Records change of thesis title or supervisor in RSMS

Show Cause
• Identify candidates via the reporting and re-enrolment processes for Show Cause
• Provide EO to the Show Cause Committee
• Provide written advice to the candidate regarding show cause hearing
• Provide candidate response to the Show Cause Committee
• Record and action outcome of Show Cause hearing

General Responsibilities
• Record actions in Research Management System
• Respond to candidate enquiries regarding candidature in a timely manner

Promulgation

The HDR Progress and Reporting Procedure will be communicated throughout the University via:

1. an Announcement Notice under 'FedNews' website and through the University Policy - ‘Recently Approved Documents’ webpage to alert the University-wide community of the approved Policy;
2. inclusion on the University Policy, Procedure and Forms website; and/or
3. distribution of e-mails to Head of School / Head of Department / University staff; and/or
4. documentation distribution, eg. posters, brochures.
5. Other - please describe
Implementation

The HDR Progress and Reporting Procedure will be implemented throughout the University via:
1. Information Sessions; and/or
2. Training Sessions; and/or
3. Other - please describe

Records Management

<table>
<thead>
<tr>
<th>Title</th>
<th>Location</th>
<th>Responsible Officer</th>
<th>Minimum Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confirmation of Candidature Panel Report Forms</td>
<td>Research Services</td>
<td>Director, Research Services or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
<tr>
<td>Confirmation of Candidature candidate written proposal</td>
<td>Research Services</td>
<td>Director, Research Services or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
<tr>
<td>Progress Reports – Annual and Interim</td>
<td>Research Services</td>
<td>Director, Research Services or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
<tr>
<td>Variation to Thesis Title / Supervisor Form</td>
<td>Research Services</td>
<td>Director, Research Services or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
<tr>
<td>Absentee Leave Forms and supporting documents (med. Certificates etc)</td>
<td>Research Services</td>
<td>Director or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
<tr>
<td>Extension of Candidature request</td>
<td>Research Services</td>
<td>Director or delegate</td>
<td>Temporary - retain on the student file for 7 Years from date of program completion</td>
</tr>
</tbody>
</table>