

Research Project Monitoring Guideline - Professional Doctorate Candidates

Section 1 - Context/Overview

(1) These Guidelines support the [Professional Doctorates Policy](#) and the [Coursework Professional Doctorates Guideline](#) and should be read in conjunction with these rules.

Section 2 - Guidelines

(2) The Rules Governing Professional Doctorates provide at clause 21 that once a candidate commences the research component of the program, the progress of the candidate will be monitored according to guidelines provided by the Research Training Sub-Committee, a sub-committee of the Research Committee, hereafter referred to as 'the Committee'.

(3) The Committee has determined that as the candidates are undertaking research the guidelines will match the relevant rules regarding progress that apply to Higher Degree by Research candidates in the [Higher Degree by Research Policy](#).

(4) The Candidate and the supervisor shall submit progress reports as specified in the [Coursework Professional Doctorates Guideline](#) ("Formal progress reports are to be submitted around the mid-point of any of the candidate's research components of 40 units duration or greater"). The candidate may also be required, at the request of the program convenor, to submit a progress report at the conclusion of the research component and/or at the conclusion of enrolment in the 20 unit thesis extension course, if the thesis has not been submitted. The candidate's failure to complete this requirement may result in a recommendation being made to the Committee for termination of candidature.

(5) In addition to the progress report(s), for the purpose of assessing a candidate's progress, the supervisor and/or the Head of School (or nominee) and/or the program convenor may submit reports on the candidate's progress to the relevant College Pro Vice-Chancellor (or nominee) at any time.

(6) Following submission of a report the Pro Vice-Chancellor (or nominee) and the program convenor will review reports on the candidate's progress and ensure appropriate action is taken where required. The Pro Vice-Chancellor (or nominee) may place conditions on the continuation of the candidature.

(7) Cases of unsatisfactory progress will be reported to the Committee. The Committee may place conditions on the continuation of the candidature.

Section 3 - Termination of Candidature

(8) The enrolment of a candidate may be terminated by the Pro Vice-Chancellor (or nominee) on the recommendation of the Committee in any of the following circumstances:

- a. where the candidate has failed to submit a thesis within prescribed time limits, including extensions of

enrolment as approved by the Pro Vice-Chancellor (or nominee);

- b. where the candidate is absent without leave for a period exceeding six months;
- c. where the progress of the candidate is deemed unsatisfactory by the Committee (refer to Clauses 3 to 6);
- d. where the candidate has failed to otherwise comply with the Rules Governing Professional Doctorates or any Memorandum of Understanding in the case of candidates enrolled through an offshore provider.

(9) Before terminating candidature, the Committee shall notify the candidate in writing of the grounds for the recommendation of termination and shall give the candidate an opportunity to 'show cause' by making representations in writing. In addition, a candidate may address the Committee in person. The Committee shall take such representations into account before reaching its decision.

(10) Where a recommendation that candidature be terminated is accepted by the Pro Vice-Chancellor (or nominee), the candidate shall be notified in writing by the College.

Section 4 - Appeal Procedure - Termination of Candidature

(11) A candidate whose candidature has been terminated by the Pro Vice-Chancellor (or nominee) may appeal against the decision in writing, within 20 working days of the date of the letter of notification of termination of candidature. Appeals will be permitted on procedural grounds only. In accordance with Universities Australia Policy, appeals by candidates simply rejecting an assessment of the merit of their work will not be permitted nor will an appeal on the grounds of complaint about the inadequacy of supervision or other arrangements during the period of study. In these latter cases, the grievance procedures should be used as appropriate (refer to [Complaint Management Policy](#)).

(12) If the candidate was unable to make representation due to exceptional circumstances, the candidate may, within the prescribed appeal period, appeal for reconsideration of the decision. Any reconsideration will take place within 20 working days of the candidate advising the Pro Vice-Chancellor (or nominee) of the nature of the exceptional circumstances.

(13) Upon receipt of an appeal, the Pro Vice-Chancellor (or nominee) shall convey the submissions of the candidate to the Deputy Vice-Chancellor (Research and Innovation) who shall determine if a case exists for reconsideration of the candidate's termination of enrolment. If it is determined that a case does exist, the Deputy Vice-Chancellor (Research and Innovation) will advise the Head of School and Pro Vice-Chancellor (or nominee) to allow the candidate to re-enrol and resume candidature under whatsoever conditions the Deputy Vice-Chancellor (Research and Innovation) determines.

(14) In exceptional circumstances, a former candidate whose enrolment was previously terminated may be re-admitted by the Deputy Vice-Chancellor (Research and Innovation) on the recommendation of the relevant Head of School and Pro Vice-Chancellor (or nominee) after a period of time as determined by the Deputy Vice-Chancellor (Research and Innovation). The Deputy Vice-Chancellor (Research and Innovation) may prescribe whatsoever terms and conditions on the candidate's re-enrolment.

Status and Details

Status	Historic
Effective Date	10th November 2017
Review Date	31st December 2019
Approval Authority	Senior Deputy Vice-Chancellor Research and Innovation
Approval Date	5th December 2011
Expiry Date	9th October 2023
Responsible Executive	Kylie Shaw Dean of Graduate Research
Enquiries Contact	Lisa Williams Senior Manager Operations

Glossary Terms and Definitions

"Working day" - Any day other than Saturday, Sunday, or a public holiday in Newcastle, on which business may be conducted.

"Candidature" - The period of time between acceptance of offer and termination, withdrawal from, or completion of a higher degree by research program, including periods when a candidate is not enrolled.

"Complaint" - As defined in Australian/New Zealand Standard - Guidelines for complaint management in organisations.

"Course" - When referring to a course offered by the University, a course is a set of learning activities or learning opportunities with defined, assessed and recorded learning outcomes. A course will be identified by an alphanumeric course code and course title. Course types include core courses, compulsory courses, directed courses, capstone courses and electives. For all other uses of this term, the generic definition applies.

"Candidate" - With regard to Higher Degree by Research it has the same meaning as student. For all other instances it is a person considered for appointment to a position.

"Program Convenor" - The academic staff member with overall responsibility for the management and quality of a program.

"Research" - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.

"Term" - When referring to an academic period, term means a period of time aligned to an academic year for the delivery of a course in which students enrol and for which they are usually charged fees for example semesters, trimesters, summer, winter or full-year term. The academic year for a term is determined by the academic year in which the course commences, not concludes. For all other uses of this term, the generic definition applies.

"College" - An organisational unit established within the University by the Council.