



Version	Approved by	Approval date	Effective date	Next full review
2.0	Deputy Vice-Chancellor Research	9 October 2017	9 October 2017	October 2020
<b>Procedure Statement</b>				
<b>Purpose</b>	This procedure outlines the processes for independent review of research progress and confirmation of higher degree research candidatures.			
<b>Scope</b>	This procedure applies to all higher degree research candidates, their supervisors and people in roles responsible for management of higher degree research (HDR). The relevant Conditions for Award Policy should be read in conjunction with this procedure.			
<b>Are Local Documents on this subject permitted?</b>	<input type="checkbox"/> Yes, however Local Documents must be consistent with this University-wide Document			<input checked="" type="checkbox"/> No
<b>Procedure Processes and Actions</b>				

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## 1. Introduction

UNSW is committed to supporting candidates in the timely completion of their studies. Maximum time for the degree is defined as 4 years full-time equivalent (FTE) for Doctor of Philosophy (PhD)/Doctoral programs and 2 years FTE for Masters including Master of Philosophy (MPhil).

Undergoing regular research progress review is a critical part of this support. Research progress reviews are intended to be a positive and productive process. They provide an opportunity to review progress, plan thesis submission and ensure that candidates make the most of their time at UNSW. The reviews provide candidates with:

- An affirmation of their progress, where satisfactory progress has been achieved,
- Support in developing a research plan and milestones for the period up to the next review,
- An opportunity to have their research and supervision arrangements reviewed by a panel that is independent of the supervision and the conduct of the candidate's research project, and
- A safe environment in which they can raise any issues they feel are impacting on research progress

All part-time and full-time research candidates must have their research progress reviewed by an independent panel at least once per calendar year throughout their candidature.

## 2. Responsibilities

### 2.1. The candidate

Research candidates are responsible for ensuring their progress review documentation is completed on time and according to instructions provided on the online form and by the School. The candidate is also responsible for disclosing any information they feel is pertinent to their progress. This includes any issues that have arisen that may affect progress including personal matters and concerns relating to supervision. If a candidate is not comfortable raising these issues in the review, or if independent support is required for other reasons, candidates are encouraged to access appropriate support services (see Section 11.2) and seek professional evidence of issues that may have affected progress.

### 2.2. Supervisors

Primary supervisors are responsible for providing formal advice on progress of the candidature to the Head of School via the UNSW review process. They are responsible for completing their sections of the progress review form as instructed and engaging proactively in the review process. The supervisor should also consult other members of the supervisory team about their views on the progress of the candidate and encourage them to attend the review.

### 2.3. Postgraduate Research Coordinator (PGC)

The PGC is responsible for scheduling and managing all formal research progress reviews as outlined in the Roles and Responsibilities of Postgraduate Research Coordinators Guideline. This includes providing appropriate discipline-specific guidance to candidates on the review process and documentation required to support the review. It also includes responsibility for the milestone setting process to ensure that appropriate milestones are documented on the Progress review form.

## 3. Review Panels

All research progress reviews have the same panel composition requirements.

Each candidate will have a review panel ("the panel") appointed by the PGC, to conduct the research progress review. The panel must be able to provide an independent and objective review of the

candidate's research progress. The candidate and supervisor should be informed of the panel membership prior to the review.

### **3.1. Qualifications and experience**

- Panel members should be qualified at least at the qualification level or equivalent that the candidate is attempting.
- Qualifications and experience in a cognate discipline, or relevant disciplines where interdisciplinary research is being conducted should be represented in the panel.
- The panel should be composed of at least two members.
- The panel must include:
  - a panel chair who is either the PGC or a senior member of academic staff who is eligible to be a primary supervisor or has an equivalent conjoint appointment, and has experience in supervision of higher degree research candidates to completion, and
  - at least one other member who holds an appointment at UNSW academic level B or higher.
- The panel must not include:
  - more than one member who is an early career researcher
  - more than one member external to UNSW.
- The same panel members should be maintained for reviews of a candidate throughout their candidature wherever possible.

### **3.2. Freedom from conflict of interest**

- Panel members should be free from perceived or actual conflicts of interest in relation to the candidature.
- The panel must not include:
  - the supervisor, joint supervisor, secondary supervisor, or any member of a supervisory panel
  - If the PGC is a supervisor they must not be involved in management of the review process.

### **3.3. Appeals regarding panel membership**

- Any issues regarding the panel composition including reasons for objections to the composition must be raised with the PGC prior to the review and the appeal must be in writing with sufficient evidence.
- The PGC is responsible for determining whether there is justification for exclusion or inclusion of specific members and whether to continue with the review or reconstitute a panel in the near future.

## **4. Running of a Research Progress Review**

Data will be made available to PGCs by the Graduate Research School (GRS) to inform them of when candidates are due for a research progress review.

The PGC should set review dates and ensure the online Progress Review form is available to the candidate.

### **4.1. Confidential meetings**

While there is some flexibility with how the research progress review can be conducted, it is important that the review provides an opportunity for the candidate and, if relevant, the supervisor(s) to meet with the review panel alone so that they can discuss any issues confidentially.

### **4.2. Attendance**

If either the candidate or the supervisors are not able to attend the review, alternate methods such as video-conferencing can be used if all parties agree and it can be supported by the School.

### **4.3. Documentation of formal reviews**

Completed formal review forms, attachments and outcomes will be maintained on the student system. All other documentation relating to the academic aspects of the progress review should be maintained by the PGC/Head of School. Any plans for remedial action that are not included on the review form should be clearly communicated in writing by the PGC to the candidate and the supervisors, with a copy supplied to the GRS to place on the candidate's electronic file.

### **4.4. Consideration of mitigating circumstances**

All reviews should consider any mitigating circumstances raised by the candidate or supervisor(s) and ensure that they are proactively and sensitively managed. If the Panel believes that the mitigating

circumstances need consideration, then a management plan should be developed that outlines a clear pathway to completion and ensures appropriate support is in place. The management plan must be done in consultation with the candidate and supervisors, and relevant student support services. The plan must be uploaded to the on-line APR system so there is a permanent record.

The management plan may recognise that the candidature cannot be completed in the maximum time allowed for the degree. Subsequent reviews will need to consider the management plan and progress monitored relative to this plan. In cases where candidates are unable to devote sufficient time to the research to justify a full-time or part-time enrolment they should apply for approved leave.

#### **4.5. Milestones setting**

A critical part of the Research Progress Review process is the setting of milestones to ensure candidates make progress towards the completion of their degree.

##### **4.5.1 Candidate and Supervisor**

Candidates must set milestones in consultation with their supervisor(s) within the first 3 months of candidature as well as at each progress review. Candidates and supervisors must keep records of the agreed milestones.

As part of the review process, candidates should provide:

- An outline of achievements since the last review against agreed objectives/criteria and milestones
- An outline of key objectives/criteria and milestones to be met by the next review
- A timeline and milestones for completion of the thesis.

##### **4.5.2 Review Panel**

In all reviews, regardless of the outcome, the Panel, together with the candidate and the supervisor(s), must set milestones for the next review and these should be able to be used to assess progress in the program

The Panel should ensure that:

- Milestones are agreed, with specific dates by which they should be achieved
- The candidate is given appropriate time to achieve the milestones
- The candidate and the supervisors are actively involved in the process of setting milestones.

For marginal and unsatisfactory reviews, it is critical that more detailed milestones are set that are considered achievable in 3 full-time equivalent months and that remedial actions are proposed to address the key factors identified as impeding progress.

If appropriate milestones are not set, the PGC will return the review form to the panel for revision.

### **5. Research Progress Reviews for candidates who are within the maximum time permitted for the degree**

There are different categories of research progress review and each type of review will be documented using the same online progress review form. Which type of review is used is dependent on the candidate's stage of candidature. There are three categories for candidates who are on track for on-time completion:

- **Annual Progress Review**
- **Additional Review**
- **Confirmation Review**

Review guidelines that are specific to Faculty/School should be clearly documented and provided to candidates during Faculty/School induction at the commencement of candidature.

**Note related to Part-time candidates.** For part-time candidates, although review is required in each year of candidature, progress is evaluated on the basis of full-time equivalent time periods. Following marginal or unsatisfactory reviews, part-time candidates should be given the same full-time equivalent periods as full-time candidates leading up to additional review.

#### **5.1. Annual Progress Review (APR) for candidates within the maximum time for the degree (see Appendix A)**

All higher degree research (HDR) candidates must have a review completed at least once per year of enrolment. Re-enrolment in each year of a HDR program up to the maximum time for the degree is conditional upon undergoing an APR within the year prior to the relevant census date. In circumstances where a candidate is on approved program leave, where possible a review should take place

immediately prior to the period of leave, or if not possible, within three months of return to study but no earlier than one month after their return

#### 5.1.1. Key documentation for the APR

- **Progress Review Form.** The candidate must complete the form as requested by the Panel/School. Ideally the candidate should complete their section of the form 14 days prior to the scheduled review date. This should be discussed with the supervisor/s prior to completion. The supervisor should also complete the form and ensure that other members of the supervisory team are given the opportunity to make comments. The candidate and supervisor should include specific reference to changes in the research plans that may have changed the previously agreed milestones.
- **Issues Impeding Progress.** It is important that any personal, technical, academic or other issues considered to have impeded progress are flagged by the candidate and/or supervisor on the form. If the candidate or the supervisor has concerns about the supervisory relationship, this should be flagged immediately with the PGC prior to completion of the form.
- **Additional Documentation** and material presented in oral presentations (see 5.1.2) must incorporate sufficient detail to allow the Panel to assess the research and its progress. Any material required as part of the milestones agreed at the previous progress review must be provided. All documentation must be provided in sufficient time to be fully reviewed by the panel.
- In addition to evidence of meeting any Faculty/School specific requirements, the candidate should provide in writing:
  - An outline of achievements for the past 12 months against agreed objectives/criteria and milestones
  - For Masters/MPhil candidates, evidence that UNSW Research Integrity (RI) has been completed must be presented at their first annual review. For PhDs and other doctorates, RI must be completed before the confirmation review (see Section 5.3.1)
  - An outline of key objectives/criteria and milestones for the next 12 months
  - A timeline and milestones for completion of the thesis
  - When the candidate plans on submitting within the next 12 months, a table of contents for the thesis together with the completion status of each section.

#### 5.1.2. Major components of an APR

- **Oral Presentation** on the research must be given. This will typically be an open presentation to the School and should include the Panel members. Time must also be devoted to questions from the Panel and, where relevant, the audience.
- **A panel review meeting** must be held during which the candidate is given an opportunity to meet with the review panel alone, in the absence of the supervisors. The expectation is that supervisors will be available for the panel to interview.

#### 5.1.3. Review Outcomes:

- **Satisfactory.** A satisfactory recommendation confirms that the Panel considers that all of the milestones have been met to a satisfactory standard, the degree is on track for a timely completion, and that re-enrolment is permitted. A set of milestones must be produced for the next scheduled review.
- **Marginal.** A marginal recommendation indicates that the Panel considers that the degree is at risk of an overtime completion. It suggests that although milestones from previous review were met in part, there are others that have been partially achieved or have not been achieved. New milestones must be set that detail achievements expected and remedial actions and the dates by which they should be completed. A review date for the additional review must be scheduled to take place within 3 full-time equivalent months following the marginal outcome.
- Following a Marginal outcome, there are only two recommendations that can be made at an additional review: Satisfactory or Unsatisfactory/Additional review. If the progress is judged Unsatisfactory following the Marginal review outcome, then the process following an Unsatisfactory outcome must be followed.
- **Unsatisfactory/Additional review.** An unsatisfactory recommendation indicates that the Panel considers that there is a high risk of the candidature becoming overtime and/or that the degree will not be completed. Unsatisfactory recommendations are a serious review outcome that reflect poor progress of the research. Detailed milestones must be set and remedial actions developed to address the key factors identified as impeding progress. Specific dates by which milestones must be achieved should be set. If this outcome results from the candidate's first review or follows a marginal or satisfactory outcome at the last completed review, then re-enrolment is permitted, and the candidate must work towards meeting the remedial milestones

set. An additional review must be scheduled within 3 full-time equivalent months following the first unsatisfactory outcome.

- **Unsatisfactory/Show Cause.** If a follow up review held after a first unsatisfactory review is also unsatisfactory, the panel will recommend that the candidate be requested to show cause as to why the candidature should not be terminated. (see *Show Cause for Research Candidates Guideline*)

## 5.2. Additional Review (see Appendix A)

An additional review is supplementary to the annual review cycle for candidates who are not progressing, or have specific challenges that need independent management. It is scheduled as a result of a marginal or unsatisfactory APR, or may be called by the PGC, supervisor or candidate for other reasons. The role and conduct of this review, including any required milestones must be made clear in writing to the candidate, either via the review form or via other documentation.

- If an additional review is required as a result of an APR, the PGC initiates the review.
- For all other additional reviews, the person requesting the review (if it is not the PGC) should justify the review by stating the reasons for the review in writing to the PGC. If the PGC requires the review, the supervisor and candidate must be informed in writing.

### 5.2.1. Review Outcomes:

The review outcomes follow the APR process for on time candidatures as detailed in Section 5.1.3.

## 5.3. Confirmation Review (see Appendix A)

Confirmation Review is required for all PhD candidates prior to the end of their first year of candidature (full-time equivalent).

A Confirmation Review includes the elements of an APR as detailed in Section 5.1 and is conducted on the same review form.

For PhD candidates, the Confirmation Review should be scheduled approximately 9 months (full-time equivalent) from the census date of the semester in which they commenced. It must occur at least 3 months prior to the next census date (either March 31 or August 31) which marks the completion of the first full-time equivalent year of enrolment. If confirmation is not achieved within the first year (ie if marginal or unsatisfactory at their first confirmation review), the confirmation period may be extended to fifteen months for full-time PhD candidates or thirty months for part-time candidates in order to allow sufficient time for a follow up review to be held. This equates to three full-time equivalent months after the census date marking one year of enrolment.

For any candidate enrolled part time, the first review will typically be a regular APR and the second will be the confirmation review. (note that there is an option to record a review outcome as "satisfactory prior to confirmation".)

Confirmation is not required for Masters candidates unless they wish to apply for admission to the PhD (for details see [Admission to Higher Degree Research Programs Procedure](#)).

### 5.3.1. Additional documentation required for a confirmation review

- Evidence that a well written and critical review of the research area (typically a literature review) has been drafted
- An established and feasible, detailed research proposal
- Evidence that the UNSW Research Integrity module has been completed
- Evidence that Faculty/School specific confirmation requirements have been met.

### 5.3.2. Review Outcomes:

- **Satisfactory** progress is required in order for the candidature to be confirmed. A satisfactory confirmation review signals that the research is appropriate for a PhD program, that the candidate has demonstrated their capacity to do research and is on track for on-time completion.
- **Marginal or Unsatisfactory.** A recommendation from the first confirmation review that progress is marginal or unsatisfactory may suggest that the candidate is not suited to undertaking a research degree at the current time. The candidate will be required to set new agreed milestones which must include detailed plans to meet confirmation requirements and the dates by which these should be achieved. The confirmation period may be extended by 3 months for the purpose of holding a second confirmation review against the milestones set. In all cases the confirmation period must not be extended beyond 15 months for a full-time candidate or 30 months for a part-time candidate.

- **Unsatisfactory/Show Cause.** If progress is unsatisfactory at the second confirmation review, the panel will recommend that the candidate be asked to show cause as to why the candidature should not be terminated.

## 6. Research Progress Reviews for candidates not on track for on-time completion

Exceeding the maximum time permitted for the degree is a serious matter, with the candidate being at high risk of not completing the degree. Accordingly, it is critical that the progress of candidates is carefully monitored. Reviews must be conducted in each semester of over-time enrolment. There are two categories for candidates that are not on track for on-time completion:

- **Final On-time Semester Progress Review**
- **Over-time Review**

**Note related to Part-time candidates.** For part-time candidates, although review is required in each semester of overtime candidature, progress is evaluated on the basis of full-time equivalent time periods. Following marginal or unsatisfactory reviews, part-time candidates should be given the same full-time equivalent periods as full-time candidates leading up to the additional review.

**Note relating to mitigating circumstances.** Where a management plan has been put in place (see Section 4.4), review milestones and candidature management should be aligned with the plan.

### 6.1. Final on-time semester review where on-time completion is not possible (see Appendix B)

It is recognised that candidates in their final semester of on-time candidature may be unable to submit their thesis on time. In such cases, a review must be held before a request for over-time enrolment can be made. This review must be held prior to the next census date. Requests for over-time enrolment are considered by the Faculty Higher Degree Committee and are not automatic. Over-time enrolment is only approved for one semester at a time.

#### 6.1.1. Additional documentation

The APR form will be used, plus the following needs to be documented:

- A thesis outline must be submitted for all requests for overtime enrolment including the:
  - complete chapter structure of the thesis,
  - percentage of each chapter that has been completed,
  - status of supervisory review of each chapter.
- The reasons for the delay in submission must be documented

#### 6.1.2. Review Outcome:

Given that the candidate is not on track to submit on-time, there are only two possible review outcomes:

- **Marginal.** A marginal recommendation indicates that the Panel acknowledges that progress has not been sufficient to allow on-time submission of the thesis and that there is some risk that the degree will not be completed. New milestones must be set that detail remedial actions and the dates by which they should be achieved. A review date for the additional review must be set within 3 full-time equivalent months of re-enrolment following the marginal outcome.
- **Unsatisfactory.** An unsatisfactory recommendation indicates that the Panel considers that there is a high risk that the degree will not be completed. Unsatisfactory recommendations are a serious review outcome that reflect poor progress of the research. Detailed milestones must be set and remedial actions developed to address the key factors identified as impeding progress. Specific dates by which milestones must be achieved should be set and a review date for the additional review must be set within 3 full-time equivalent months of re-enrolment.

### 6.2. Over-time Review (see Appendix B)

All candidates who exceed the maximum time for the degree will have received either a Marginal or Unsatisfactory review (see Section 6.1.2). Candidates who are over-time must be reviewed within 3 full-time equivalent months of their re-enrolment. At this review, it is expected that the candidate would have achieved the milestones set by the Panel at the previous review and is able to confirm that they are on-track to submit their thesis.

#### 6.2.1 Review Outcomes:

- **Satisfactory.** If progress is satisfactory enrolment can continue with new milestones set. The candidate must have achieved the previous milestones set and the panel should be confident that they will submit prior to the end of the semester. A follow-up review will take place only if the thesis is not submitted by the census date.

- **Unsatisfactory.** An unsatisfactory recommendation indicates that the Panel considers that the milestones have not been met and that there is no confidence that the thesis will be submitted by the end of the semester. The panel will recommend that the candidate be asked to Show Cause.

### 6.2.2 Failure to submit thesis in agreed timeframe

If the review outcome was satisfactory but the thesis is then not submitted by the census date, a review must be held as soon as possible and progress reviewed as per section 6.1 (ie. marginal or unsatisfactory are the only possible outcomes). Failure to submit by the end of the next semester (ie. 3 years of candidature for Masters, 5 years for PhD FTE) will result in a request for Show Cause.

## 6.3. Research Progress Reviews for candidates who are revising and resubmitting a thesis

In the thesis examination process, some candidates will be asked to revise and resubmit their thesis. It is important that progress of their revisions is monitored in each semester of enrolment to ensure that they can complete the revision in a timely fashion. The review should be held as for other reviews and the review outcomes will be as detailed in Section 6.1 and 6.2, except that an unsatisfactory outcome could result in the candidate not being awarded the degree.

## 7. Appeals and complaints

### 7.1. Candidate appeal against a review outcome

If candidates wish to appeal against a panel recommendation or any recommended actions, they must have the opportunity to make a written submission to the Faculty Higher Degree Committee ("the Committee"). If required, appropriate avenues for support available are outlined in Section 11.2.

#### 7.1.1. Step 1.

Documentation outlining the subject of the appeal and any supporting evidence must be submitted to the School PGC within 10 working days from the date the school publishes the review recommendation. If there is a conflict of interest or other issue, the candidate may submit documents via the appropriate Faculty Associate Dean or via the GRS.

#### 7.1.2. Step 2

The Higher Degree Committee will consider the appeal by the candidate and advise the candidate whether the appeal has been upheld. The Committee's notification should also outline the appropriate actions resulting from the appeal outcome.

Examples of the types of issues that a candidate may wish to raise in an appeal document may include:

- A conflict of interest on the part of the panel;
- A failure on the part of the panel to consider all of the issues raised by the candidate; and/or
- A failure on the part of the panel to measure progress against the agreed milestones.

#### 7.1.3. Step 3

If an appeal is not upheld, candidates have the right to submit a complaint to the Dean of Graduate Research according to the *Student Complaint Procedure*.

### 7.2. Complaints relating to the termination of candidature

All candidates will be given the opportunity to speak with the Dean of Graduate Research following a termination of candidature recommendation from the Committee. The objective of this meeting is to discuss the procedure followed and outline all of the factors taken into consideration. If a candidate has any additional matters that they believe have not been adequately considered these should be raised during this meeting.

Following a termination of candidature outcome, the candidate has the right to submit a formal complaint as outlined in the *Student Complaint Procedure*.

## 8. Transfer to Masters

If at any review the supervisor or the Panel recommend transfer to a Master degree, the candidate should be informed in writing of the reasons for this recommendation. If the transfer recommendation is accepted, program transfer should be conducted via the *Variation of Candidature Procedure*.

## 9. Show Cause As To Why Candidature Should Not Be Terminated

The Show Cause recommendation is a serious outcome that is not made lightly. This outcome provides the candidate with a final opportunity to demonstrate their capacity to complete the degree. Failure to do



so may result in termination of the candidature. The *Show Cause for Research Candidates Guideline* should be consulted for more information.

### **9.1. Show cause as a result of unsatisfactory progress**

The Panel makes the Unsatisfactory/Show Cause recommendation on the basis of unsatisfactory progress of the research and subsequent failure of the candidate to meet remedial milestones set for the review.

### **9.2. Show cause as part of a lapsed candidature**

A lapsed candidature occurs when a candidate fails to re-enrol and is absent without approved leave. Progress may be deemed unsatisfactory due to lapsed candidature and a candidate may be asked to Show Cause as a result of an inadequate response to a lapsed candidature notification. The procedure outlined in the *Variation of Candidature Procedure* will be followed in such cases.

### **9.3. Show cause due to failure to undergo a research progress review**

Where a candidate fails to undergo a Progress Review scheduled in accordance with UNSW policy and procedure (see Supporting Information), the candidate may be asked to Show Cause. If a candidate does not complete their section of the form at all, or does not provide documentation by the due date so that there is sufficient time to review the material, their review may be deemed unsatisfactory or they may be considered to have failed to undergo a progress review.

## **10. Managing issues relating to supervision**

Research candidates may feel reluctant to raise issues relating to their supervision during a formal review. It is critical that all candidates are given the opportunity to meet with the Panel alone and to raise any issues in the absence of the supervisors.

If the panel is alerted to a potential dispute or breakdown in the relationship between the candidate and the supervisor, both the candidate and the supervisor should be given the opportunity to meet with the panel separately to discuss the relevant issues.

### **10.1. Supervisory team changes**

If during a review a change in supervision arrangements is signalled, the HDR Supervision Policy and Procedure and the Variation of Candidature Procedure should be followed.

### **10.2. Referral of issues relating to supervision**

If the Panel does not feel comfortable with managing the issues raised, the candidate should be formally referred to an appropriate authority such as the Head of School, the Associate Dean Research Training / Director of Postgraduate Research or the Dean of Graduate Research.

## **11. Making progress reviews a positive process**

Where progress is judged as marginal or unsatisfactory, the most important roles of the panel are to:

- Determine the key factors that have impacted on research progress
- Provide advice to the candidate on how they may address these factors and how they might overcome any issues raised in the review, including issues with supervision
- Facilitate development of a plan with the candidate and supervisor designed to assist the candidate in achieving satisfactory progress of the research
- Recommend the candidate be required to Show Cause if previous remedial action following unsatisfactory outcomes has been unsuccessful.

### **11.1. Non-research related issues**

Where non-research related issues are considered to have impacted progress, candidates should be advised to seek appropriate support such as that outlined in Section 11.2.

Candidates may be advised to transfer from full-time enrolment to part-time enrolment or to apply for leave if personal issues are protracted. This will allow time for management of the non-research related issues and will minimise the impact on their research candidature.

### **11.2. Resources and Support Services**

A range of resources and support services are available for all candidates at UNSW.

- The Faculty or School in which the candidate is enrolled can provide specific details of how policy and procedures are implemented. The PGC, supervisors, Director of Postgraduate Research/Associate Dean Research Training can provide specific advice and guidance.
- The GRS has faculty-specific Candidature Management Officers, who can provide information on policies and procedures as applicable across the University. The Executive Officer, Office of

the Pro-Vice-Chancellor (Research Training) is also available for all candidates to provide confidential advice. The Director of the GRS or the Dean of Graduate Research can assist candidates and this usually occurs via a referral from the Executive Officer.

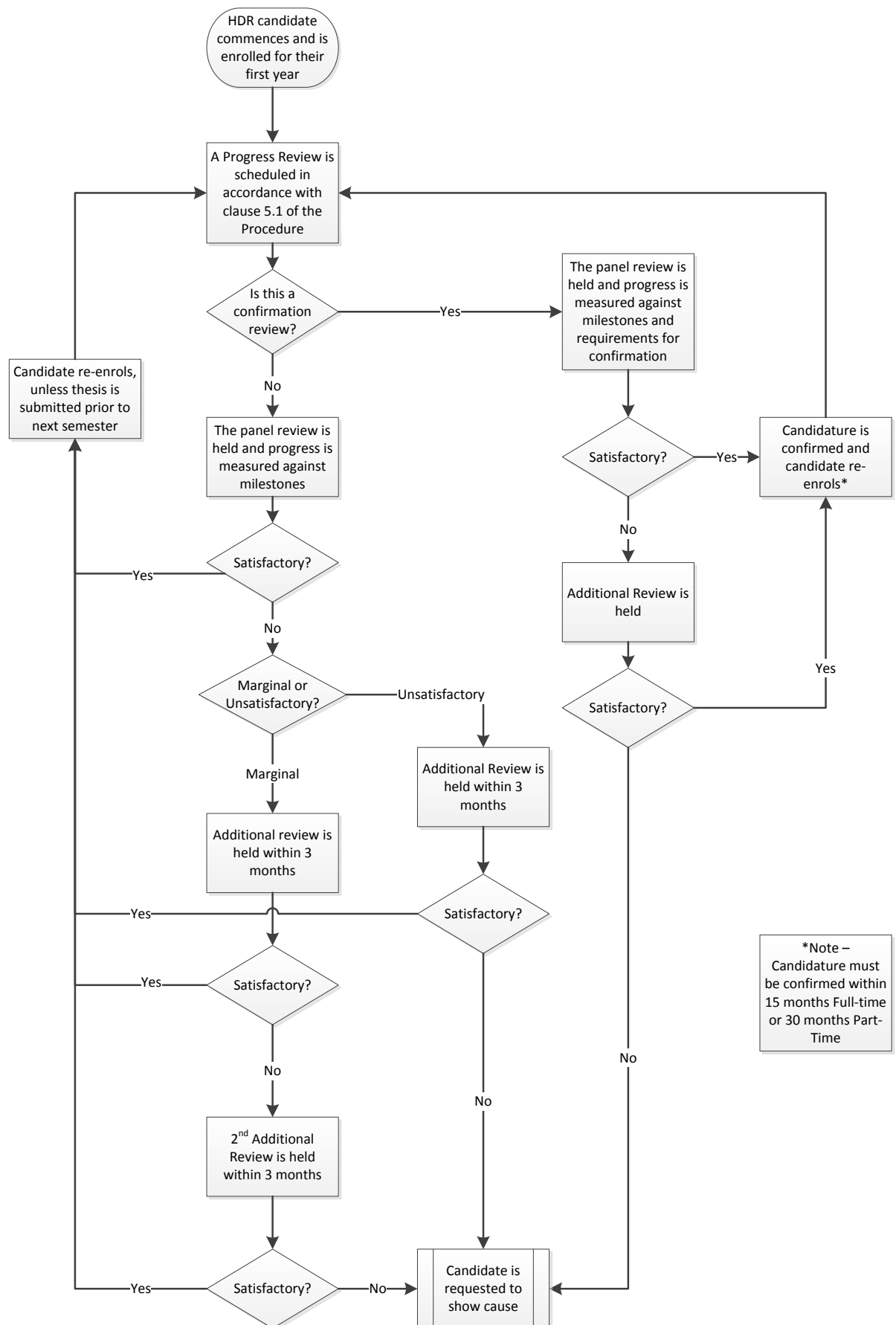
- The Division of the Deputy Vice Chancellor Academic offers a variety of services for UNSW students, including Counselling and Psychological Services, Disability Services, Educational Support Advisors and the Learning Centre, who can provide support and skills development.
- The Student Integrity Unit is available for advice relating to the *Student Complaint Procedure*.
- For independent advice including legal advice and advocacy, candidates should contact Arc @ UNSW, the student organisation.

<b>Accountabilities</b>	
<b>Responsible Officer</b>	Pro-Vice-Chancellor (Research Training) & Dean of Graduate Research
<b>Contact Officer</b>	Director, Graduate Research School
<b>Supporting Information</b>	
<b>Legislative Compliance</b>	This Procedure supports the University's compliance with the following legislation: <a href="#">Higher Education Standards Framework (Threshold Standards) 2015</a>
<b>Parent Document (Policy)</b>	<a href="#">Conditions for Award of Doctor of Philosophy Policy</a> <a href="#">Conditions for Award of Master of Philosophy Policy</a>
<b>Supporting Documents</b>	<a href="#">Show Cause for Research Candidates Guideline</a>
<b>Related Documents</b>	<a href="#">Admissions Policy</a> <a href="#">Admission to Higher Degree Research Programs Procedure</a> <a href="#">Student Complaint Procedure</a> <a href="#">Roles and Responsibilities of Postgraduate Research Coordinators Guideline</a> <a href="#">Higher Degree Research Supervision Policy</a> <a href="#">Higher Degree Research Supervision Procedure</a> <a href="#">Variation of Candidature Procedure</a> <a href="#">Register of Delegations</a>
<b>Superseded Documents</b>	Progress Review and Confirmation of Research Candidatures Procedure, v1.0
<b>File Number</b>	2012/04304
<b>Definitions and Acronyms</b>	
<b>Research Progress Review</b>	These are formal, independent reviews that are conducted according to these University procedures. They include Annual Progress Reviews (APR), Confirmation Reviews, semester reviews and additional reviews. Reviews are not intended to replace regular meetings and evaluations of progress that supervisors normally conduct.
<b>Confirmation of Candidature</b>	This is the result of a formal review that is conducted within the first year (FTE) of a PhD program. Confirmation indicates that the research candidate has demonstrated to an independent panel that they have developed a feasible research program appropriate for PhD level qualification.
<b>Show Cause</b>	A candidate may be asked to Show Cause as to why their candidature should not be terminated in cases where there has been sustained unsatisfactory research progress. Show Cause is a process that provides an opportunity for the candidate to raise any issues that may have affected progress. These may include but are not limited to personal, technical and academic issues. Candidates may also be asked to Show Cause in cases of lapsed candidatures.
<b>PGC</b>	Postgraduate Research Coordinator
<b>GRS</b>	Graduate Research School

<b>APR</b>	Annual Progress Review			
<b>PhD</b>	Doctor of Philosophy			
<b>FTE</b>	Full-Time Equivalent			
<b>HDR</b>	Higher Degree Research			
<b>RI</b>	UNSW Research Integrity online training module			
<b>MPhil</b>	Master of Philosophy			
<b>Revision History</b>				
<b>Version</b>	<b>Approved by</b>	<b>Approval date</b>	<b>Effective date</b>	<b>Sections modified</b>
Version 1.0 of this Procedure superseded a GRS Local Document approved on 25 August 2009.				
1.0	Vice-President and Deputy Vice-Chancellor (Research)	23 October 2012	23 October 2012	Revision, reformat using Governance templates.
2.0	Deputy Vice-Chancellor Research	9 October 2017	9 October 2017	Full review

## Appendix A: Process for Research Progress Reviews for candidates who are within the maximum time permitted for the degree

The process illustrated is an example for full-time PhD candidates within time. For any candidate enrolled part-time, the first review will be an APR and the second review will be a confirmation review. For Master level candidates, confirmation is not required unless requesting a transfer to the PhD program.



## Appendix B: Process for Research Progress Reviews for candidates not on track for on-time completion

The process illustrated is an example for full-time PhD candidates not on track for on-time completion.

