

# DOCTOR OF PHILOSOPHY BY PORTFOLIO COURSE RULES POLICY AND PROCEDURE



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## 1 PURPOSE

- 1.1 This policy provides a set of course rules to govern the Doctor of Philosophy (PhD) by Portfolio degree at CQUniversity, ensuring a clear and equitable framework and that the PhD award is consistent with expectations of the [Australian Qualifications Framework](#).

## 2 SCOPE

- 2.1 This policy and procedure applies to Doctor of Philosophy (PhD) by Portfolio degree offered by CQUniversity.
- 2.2 This policy and procedure does not apply to:
- students in the Graduate Certificate in Research. Refer to the [Graduate Certificate in Research Course Rules Policy and Procedure](#).

- Masters by Research, Doctor of Philosophy (traditional degree type) Doctor of Education or Doctor of Professional Studies degrees. Refer to the [Research Higher Degree Course Rules Policy and Procedure](#), or
- courses involving a substantive and/or formalised period of study outside Australia, such as cotutelle agreements and fully offshore enrolments. Refer to the [Research Higher Degree \(Offshore\) Course Rules Policy and Procedure](#).

### 3 POLICY STATEMENT

#### Nature of the PhD by Portfolio degree

- 3.1 The PhD by Portfolio degree offered by CQUniversity requires candidates to undertake work that is consistent with the [Australian Qualifications Framework](#) definition for a doctoral degree, being “a program of independent supervised study that produces significant and original research outcomes culminating in a thesis, dissertation, exegesis or equivalent for independent examination by at least two external expert examiners of international standing” (AQF Framework Council, 2013, p, 65).

### 4 COURSE RULES AND PROCEDURE

#### Qualifications for admission as a candidate

- 4.1 The University will consider applications for admission to candidature for PhD by Portfolio from individuals who can clearly demonstrate existing peer-reviewed research output/s to be considered for an award of a doctoral degree. In particular, such output/s must be:
- work for which the applicant is largely responsible (for example, as demonstrated by authorship sequence)
  - cogent; occurring within a unified area of study, and
  - of a volume and quality that aligns with the expectations of an Australian doctoral degree.
- 4.2 In addition to existing peer-reviewed outputs, an applicant is required to hold the following qualifications:
- has been awarded a Masters degree either by research or with a substantial element (typically one-third) of research work within it, from a university or any other approved institution
  - has qualified for the award of a Bachelor degree in an appropriate discipline with first class or second class honours conferred by a university or any other approved institution, or
  - alternative qualification/s and/or relevant professional experience deemed by the Research Higher Degrees Committee (RHDC) to be of equivalent scope and standard to those listed above. This may include the CQUniversity Graduate Certificate in Research and/or consideration of vocational training qualifications where these are shown to have relevant research or discipline-based content.
- 4.3 In considering the above admissions criteria, the University will have regard to the recency and duration of the applicant's formal qualifications, research outputs and/or professional experience.
- 4.4 International applicants are required to meet the requirements described in the [English Language Proficiency Requirements Policy and Procedure](#), and any applicable study requirements relating to the visa held.
- 4.5 Where a domestic applicant presents with educational qualifications from an institution that does not instruct in English, the University reserves the right to request evidence of English language proficiency, prior to granting admission.

#### Application for admission

- 4.6 An application for admission can be made at any time of the year.

- 4.7 In the course of preparing an application for admission, an applicant should consult with the School of Graduate Research to determine eligibility for admission. An applicant should also consult with the Postgraduate Research Coordinator in the relevant School/s, on the proposed research topic, supervision and the availability of adequate resources.
- 4.8 The application for admission must be submitted on the standard pro forma which includes key information relating to:
- the existing peer-reviewed output/s to be presented for consideration and how these meet the eligibility criteria for inclusion (see section 4.13 below)
  - an indication of the unified and/or niche area in which the prior publication/s already demonstrate cogency; and how these might be supplemented with any new research pursued during the study
  - any proposed data collection or other research activities that may be required to complete the requirements for the degree, and
  - the proposed supervisory panel.
- 4.9 An application for admission must also contain a declaration that the work presented for consideration has not previously been submitted for the award of a degree at any other institution.
- 4.10 To be regarded as eligible for inclusion, research works must satisfy all of the following criteria:
- the applicant is the first-author, or a lead-author (for example, within the first three listed authors), and a statement of contribution describing the inputs of all authors is provided. Publications in which the applicant is not the first author would be expected to form the minority of work to be presented for the degree
  - the output is fully published or in press, and has passed rigorous peer-review, under standards commensurate with the specifications of the Australian [Higher Education Research Data Collection](#) (HERDC)
  - the output type/s is recognised as a quality output for the discipline area; for example, as demonstrated by citation data
  - the work has not been submitted, in part or in whole, for the award of a degree at any institution, and
  - the work is not the subject of intellectual property, copyright, confidentiality or other ownership issues that would preclude its use in a thesis.
- Other eligibility criteria, as deemed appropriate by the RHDC, may also be applied to maintain the rigour and quality of the degree.
- 4.11 All applicants for the PhD by Portfolio will be required to attend a pre-admission interview (either by face to face or virtual means) together with the Dean, School of Graduate Research and the Postgraduate Research Coordinator of the intended host School. Members of the proposed supervisory panel may also participate in this interview.

### **Admission to candidature**

- 4.12 An applicant may be admitted to the PhD by Portfolio only where:
- there is a substantive body of previously published, peer-reviewed work eligible for inclusion in the thesis (refer to sections 4.10 and 4.11 above)
  - the proposed study can be pursued in an environment of research activity or other creative endeavour, inquiry and scholarship, and
  - the supervision and resources required for their project are available. Appropriate supervision, as defined in the [Supervision](#) section, must be available from the intended commencement date.
- 4.13 All applications for admission will be assessed by the Dean, School of Graduate Research in consultation with the Postgraduate Research Coordinator of the relevant School, and subject matter experts as appropriate. An outcome provided to the applicant within 28 days of receipt of the admission.

- 4.14 The University may refuse admission to, withdraw an offer to, or cancel an enrolment of an applicant who would otherwise be eligible for admission where it reasonably believes that:
- a) the applicant or their presence poses a risk to CQUniversity students and/or employees or the wider CQUniversity community
  - b) the applicant may prejudice the University's reputation, management or good governance
  - c) the applicant acted in a dishonest and/or deceitful manner when applying for admission to the University or any other tertiary educational institution
  - d) the applicant would be lawfully prevented from entering University premises for all or part of the course or unit because of a court order or any enactment or decision made under legislation
  - e) the University would be subject to sanctions under the [Autonomous Sanctions Act 2011](#) (Cwlth), or
  - f) the applicant would be unable to meet the course or unit requirements, including but not limited to attendance or group participation requirements.
- 4.15 An offer of admission will be issued from the School of Graduate Research. This will contain a formal Description of Candidature including:
- the date of commencement of candidature
  - the name of the school in which the course will be undertaken
  - the mode of study and campus location (for on-campus candidates)
  - appointment of the supervisors
  - the timeline by which the confirmation of candidature must be completed
  - approval of the proposed field of research, and
  - any special conditions that the candidate may be required to fulfil.
- 4.16 Candidature will be deemed to have commenced as at the date indicated on the Description of Candidature and as confirmed by the candidate when accepting the offer of admission.

## Enrolment

- 4.17 Candidature may commence at any time of year but offers of admission will be made subject to resource availability and administrative processes, and having regard to the implications of term and Census dates and any applicable tuition liability.
- 4.18 The standard course length for the PhD by Portfolio at CQUniversity is one EFTSL (please note: one EFTSL is equivalent to one year's full-time study).
- 4.19 This standard period will be calculated from date of commencement to date of conferral of the award, and is:
- inclusive of pre-confirmation, confirmation, thesis preparation and submission, plus any revisions as required by the Chair of Examiners, and
  - exclusive of any leave of absence periods, and the time during which the thesis is under examination.
- 4.20 A candidate who has consumed more than the standard EFTSL will be considered an over-time candidate.
- 4.21 A candidate will continue to be re-enrolled under the same conditions as per the previous term, unless the School of Graduate Research is formally advised in writing. An over-time candidate must formally advise the School of Graduate Research if they do not wish to continue with their research course.
- 4.22 A request for a change to the term of enrolment that is received after the applicable Census date will not be honoured unless in exceptional circumstances.

- 4.23 A candidate who is required to undertake major revisions following thesis examination shall be required to re-enrol for a prescribed period of not less than one Census period, irrespective of enrolment mode. Such enrolments will be automatically completed by the School of Graduate Research and a confirmation of enrolment forwarded to the candidate. This will occur unless a candidate has formally advised that they do not intend to perform the thesis revisions within 28 days of receipt of the examination advice.
- 4.24 Candidates are required to fully fund their enrolment in the course, unless otherwise advised in writing by CQUniversity.

### **Study load**

- 4.25 Applicants to the PhD by Portfolio course may be accepted as either full-time or part-time candidates.
- 4.26 Research studies may be undertaken in either on-campus or online mode. Permission to enrol as an online candidate shall only be granted where:
- appropriate supervision arrangements are available, and
  - access can be guaranteed to laboratories, equipment, research literature and resource materials as necessary for the successful completion of the research.
- 4.27 A candidate may transfer from one mode to another on such terms as approved by the University.
- 4.28 Full-time candidates will contribute between 35 to 40 hours per week to their research and thesis. Part-time candidates will contribute between 17.5 to 20 hours per week to their research and thesis.
- 4.29 Candidates may participate in forms of paid or unpaid employment, voluntary positions and other duties, provided that this does not impede satisfactory academic progress.

### **Thesis proposal milestone**

- 4.30 Admission to the PhD by Portfolio shall initially be offered as provisional candidature.
- 4.31 Provisional candidates are required to complete the Thesis Proposal Milestone by 0.40 EFTSL (146 days at full-time or 292 days at part-time from their commencement, not counting any periods of leave). This is the maximum time at which the milestone must be achieved, and candidates are strongly encouraged to complete their documentation well ahead of this timeframe.
- 4.32 During the period of provisional candidature, the candidate will develop, in consultation with the supervisors, a detailed Thesis Proposal. This shall include:

#### Part A: Thesis Topic and Contribution:

- a thesis title, of no more than 25 words, which should be descriptive and unambiguous
- a thesis abstract of no more than 250 words
- a statement describing the aims, objectives and research questions
- a statement of the candidate's existing contribution to the field of research (that is, the contribution made by the previously published outputs)
- a statement of the candidate's proposed contribution to the field of research (that is, the contribution that will be made by the work undertaken during the period of candidature)
- a thesis plan (chapter outline and identification of previous as well as any prospective publications arising), and
- a TurnItIn Report.

#### Part B: Prior Outputs:

- a list of all prior outputs to be tendered for inclusion in the thesis document, together with relevant materials to establish their quality, authorship and eligibility for inclusion, and

- statements regarding necessary ethics clearance (either human or animal), intellectual property disbursements, and any other permits or licences that are (or were) relevant to the research.

Part C: Supplementary Research Plan:

- a statement describing any further data collection that may be required to finalise the thesis as a cogent body of work. As appropriate, this would include full details of the proposed methodology, methods and/or research design
  - a detailed description of the physical or other resources required to complete the research
  - a Gantt chart demonstrating the milestones and timelines for the proposed project
  - an itemised project budget (in the format prescribed by the School of Graduate Research) indicating funding sources either secured or proposed
  - a corporate risk profile summary (in the format prescribed by the School of Graduate Research)
  - a research data management plan, outlining storage arrangements, access, and ownership of the research data (as per the requirements of the [Research Data Management Plan Policy and Procedure](#)), and
  - a TurnItIn Report generated on the Section A of the proposal.
- 4.33 The thesis proposal milestone shall be received by the School of Graduate Research and provided to a Thesis Proposal Reference Group for consideration. The Reference Group will comprise the Dean, School of Graduate Research, and appropriate representation from Human or Animal Research Ethics Committees, a nominee from the Occupational Health and Safety Unit and expert consultation (as required). The Reference Group will review the candidate's progress and milestone documentation and provide one of the following recommendations:
- full candidature status be granted
  - full candidature status be provisionally confirmed, subject to the appropriate ethics, risk and any other certifications being secured, or
  - candidature to remain provisional (with specific advice regarding action/s required to progress to full candidature).
- 4.34 The Dean, School of Graduate Research may invite the candidate to conduct a short oral presentation to support their written submission and/or participate in an interview relating to the thesis proposal milestone.
- 4.35 The University reserves the right to terminate candidature if the candidate does not demonstrate satisfactory completion of all prescribed conditions as well as successful completion of the thesis proposal milestone, by the required date. Where it is determined that a provisional candidature shall be terminated, the candidate shall be given the opportunity to show cause why such action should not be taken.
- 4.36 All conditions imposed on candidature as outlined within the attachment to Offer of Admission should be fulfilled by the candidate at the time of confirmation. Full candidature would not normally proceed until all requirements are met.
- 4.37 Approval of a candidate's transition to full candidature is a decision made by the Dean, School of Graduate Research. The Reference Group may require changes to the course of research and study, confirm the candidature or take such other action as is deemed appropriate.
- 4.38 A candidate who has successfully completed the thesis proposal milestone will be advised in writing by the School of Graduate Research.

## Course of study

- 4.39 All research, thesis preparation and administrative tasks undertaken within these Course Rules must be conducted in English.
- 4.40 All research, thesis preparation and administrative tasks undertaken within these Course Rules must be conducted in accordance with the [Australian Code for the Responsible Conduct of Research](#).

- 4.41 On admission to candidature, a candidate is required to pursue a supervised and approved course of research and study leading to the submission of a thesis in not less than 0.75 EFTSL or more than two EFTSL. This EFTSL reflects total consumption, exclusive of any periods of approved leave.
- 4.42 A change to the focus of the research that represents a significant departure from the approved course of research and study will not be permitted.
- 4.43 A candidate shall prepare under supervision a thesis based on the thesis proposal milestone. The thesis shall constitute a substantial investigation into a selected field of research.
- 4.44 In the course of the approved course of research and study, a candidate may be required to:
- attend the University for consultation and other purposes as deemed necessary
  - participate in lectures and seminars and perform such practical work as prescribed in the offer of admission or Thesis Proposal Milestone , and/or
  - present their research at an appropriate scholarly or professional venue as an unassessed component of the candidature.
- 4.45 Candidates are not permitted to hold enrolment in any other RHD courses at either Australian or international institutions during their period of candidature, unless with the permission of the Dean, School of Graduate Research.
- 4.46 A candidate may not engage in any other academic course of study leading to a higher education or vocational qualification without the approval of the Dean, School of Graduate Research. Approval:
- will be granted to full-time candidates only in exceptional circumstances, or where this is a requirement of the Description of Candidature
  - may be granted to part-time candidates where it can be clearly demonstrated that the external studies will not impact on timely progress in the research higher degree course, or
  - will not be provided unless the candidate has demonstrated strong progress in their research higher degree.
- 4.47 Candidates are encouraged to participate in research training offered by the School of Graduate Research. This training would normally enhance a candidate's research skills and contribute to their graduate attributes but would not be deemed as an academic course.
- 4.48 A candidate who wishes to change their study location from that which was approved at time of admission must apply in writing to the Dean, School of Graduate Research. Approval will be granted only in circumstances whereby continued supervisory and an appropriate study environment can be maintained.
- 4.49 Candidates who are living with a diagnosed disability, medical or mental health condition are encouraged to register with the University's [Inclusion and Accessibility Service](#). Through this service, candidates may be able to access flexible arrangements for assessment items and other support measures, through the development and implementation of a tailored Accessibility Plan.

### **Attendance at the University**

- 4.50 The University encourages candidates to attend its campuses (including regional and metropolitan campus locations, study hubs, and virtual spaces as appropriate) and to be part of the University community.
- 4.51 The University reserves the right to vary the agreed arrangements to require the candidate to attend on-campus for certain periods, if such attendance is felt to be necessary for the successful pursuit of the study course. Such variations will be discussed initially with the candidate's supervisory panel and the Postgraduate Research Coordinator or Deputy Dean (Research).



## Leave of absence

- 4.52 On application by the candidate, the Dean, School of Graduate Research may grant leave of absence from the course of research and study for a period of not less than three days and not exceeding 365 days. Periods in excess of 365 days months will be considered only in exceptional circumstances and will require supporting documentation.
- 4.53 For international candidates, periods of leave of absence will be considered on a case-by-case basis. An international candidate must supply detailed information to demonstrate that the leave of absence, if granted, will comply with obligations required by the Australian Government under the relevant visa class.
- 4.54 Aboriginal or Torres Strait Islander descent candidates may access additional leave of absence for Indigenous Cultural and/or Ceremonial leave purposes. Such leave will be granted at the discretion of the Dean, School of Graduate Research and shall not reasonably be refused. Refer to the [Definitions](#) section for what may be deemed an appropriate basis for cultural and/or ceremonial leave.
- 4.55 The period of leave of absence will not be counted as part of a candidate's EFTSL consumption.
- 4.56 Candidates should note that liability for tuition fees and other University fees may still apply, where the period of leave is less than one Census period in duration. Candidates should seek advice from the School of Graduate Research regarding tuition liability, prior to applying for a leave of absence.
- 4.57 During a leave of absence, the candidate will not be afforded access to University facilities and resources including office and laboratory space, supervision, training opportunities and any applicable candidate funding allocations. A candidate will, however, be able to maintain access to CQUniversity email and associated information technology systems, including standard library services.
- 4.58 Candidates resuming from a leave of absence must formally notify the School of Graduate Research, in writing, of their return to study date. Candidates resuming from an extended leave of absence (30 days or more) may also be required to supply a revised project timeline, and/or candidate-supervisor memorandum of understanding, upon returning to study.
- 4.59 The University reserves the right to refuse re-enrolment to a candidate returning from an extended leave of absence (30 days or more) in the event that the University is unable to provide adequate resources, facilities or supervision for the approved project, at the proposed time of resumption.
- 4.60 A candidate who is recommencing study after a period of leave, or withdrawal from study, will be required to enrol for a minimum period of four weeks, prior to submitting a thesis for examination. This will allow sufficient time for lodgement of the Intention to Submit, as well as perusal of the final thesis draft by the supervisory panel and/or professional editor, as appropriate.

## Supervision

- 4.61 An applicant or candidate will be deemed to have appropriate, continuing supervisory arrangements only when:
- there is a principal supervisor who holds a doctoral degree, and who is active in research and publishing in, or otherwise making original contributions to, a relevant field or discipline
  - there is at least one associate supervisor with relevant research expertise, and
  - the principal supervisor is an employee of CQUniversity, or has a relevant adjunct appointment, or is otherwise formally contracted and accountable to the CQUniversity for supervisory duties.
- 4.62 The supervisory panel (principal plus one or more associate supervisors) will be appointed by the Dean, School of Graduate Research in consultation with the Postgraduate Research Coordinator and relevant line managers, in accordance with the [Research Higher Degrees Supervision Policy and Procedure](#).
- 4.63 A candidate shall consult the supervisory panel regularly during the course of developing and undertaking the prescribed course of research and during preparation of the thesis, and must, as the supervisors may require, submit drafts of the thesis for advice and comment prior to its submission for examination.



- 4.64 Where a candidate's supervision arrangements have been dissolved due to resignation or departure of the principal supervisor, the candidate shall be placed on interim leave until such time that an appropriate principal supervisor has been appointed.

## Progress reporting

- 4.65 PhD by Portfolio candidates are exempt from the mandatory six-monthly progress reports that are a usual requirement of other RHDs. However, the Dean, School of Graduate Research may request a progress report in circumstances where the candidate has failed to progress towards examination in the expected timeframes. A candidate will be informed in writing of any such requirement and will be provided with 28 days in which to respond.
- 4.66 Where the Dean, School of Graduate Research, determines that the candidate has failed to make satisfactory academic progress in the work, or meet the conditions of candidature, the candidature may be terminated. However, as a matter of normal practice, candidature shall not be terminated on the basis of unsatisfactory progress unless reasonable attempt has been made to ensure that the candidate has been:
- clearly warned of shortcomings in research performance
  - advised of means of overcoming these shortcomings and of obtaining a satisfactory standard of performance in the research, and
  - provided the opportunity to take action as directed.

## Submission and examination of the thesis

- 4.67 Thesis examination will be conducted in accordance with the [Research Higher Degrees Examination Policy and Procedure](#).
- 4.68 The candidate shall give notice, through the principal supervisor, of the intention to submit a thesis no less than four weeks prior to the proposed date of submission.
- 4.69 Where, following consultation with the other supervisors, the principal supervisor has any doubt as to whether the thesis is in a suitable format and/or of examinable quality, the supervisor is not required to endorse the notice. The principal supervisor is required, however, to advise the candidate and RHDC of the reasons why support has not been forthcoming.
- 4.70 Where the principal supervisor refuses to endorse the notice for reasons other than failure to complete prescribed studies, the candidate may appeal to the Dean, School of Graduate Research, to submit the thesis for examination.
- 4.71 The candidate shall ensure that the thesis follows the directions for thesis preparation and submission as set out on the [Research Higher Degree Theses Policy and Procedure](#).
- 4.72 An examiner's report shall conclude with one of the following recommendations:
- a) that the thesis be accepted as satisfactory for the award of the degree
  - b) that provided the listed minor revisions are corrected to the satisfaction of the chair of examiners, the thesis be accepted as satisfactory for the award of the degree
  - c) that provided the major revisions are completed to the satisfaction of the examination panel and the chair of examiners, the thesis be accepted as satisfactory for the award of the degree
  - d) that although the thesis does not meet the standard expected for the degree, the candidate be required to carry out additional work as directed and resubmit the thesis for re-examination, or
  - e) that the thesis be rejected and that the degree not be awarded.
- 4.73 A candidate who has revised a thesis in accordance with the [Research Higher Degree Examination Policy and Procedure](#) and who fails a re-examination shall not be eligible for any further examination.
- 4.74 In the event that an examined thesis receives an outcome of major revisions, the candidate shall be required to re-enrol for a prescribed period of not less than six months and no longer than 12 months. These are set time periods and are irrespective of enrolment mode.

## Intellectual property

- 4.75 Where research projects are conducted in cooperation with, or under the sponsorship of industry, or where the intellectual property may have commercial significance, the CQUniversity requires that negotiations with respect to the ownership of any intellectual property arising from or associated with the research project, be formalised prior to the confirmation of candidature.
- 4.76 In the event that details of any intellectual property or process improvement are contained within a thesis, and where the candidate does not seek to restrict public access to that thesis, the principal supervisor may seek to protect the interests of the University and/or sponsor and apply through the RHDC for such restriction to be approved.
- 4.77 Consistent with CQUniversity's [Intellectual Property and Moral Rights Policy](#) (especially relating to patents, royalties and proprietary information which are still being formulated), the candidate shall normally hold copyright in any thesis associated with or arising from their research candidature. Ownership of intellectual property may be negotiated between the candidate, University and any funding partners.

## Conferral of award

- 4.78 The Chair of Examiners will determine whether the candidate has satisfied the requirements for the degree.
- 4.79 Where the candidate has met the requirements for the degree, the Chair of Examiners will recommend to the Dean, School of Graduate Research (or Vice-President (Research) where the Dean, School of Graduate Research is unavailable or has a conflict of interest) for conferral of the award.
- 4.80 Where this is contention as to whether the candidate has satisfied the requirements for the degree, the Dean, School of Graduate Research may consult with the Vice-President (Research) or undertake other internal or external consultation prior to making a determination.

## Responsibilities of the candidate

- 4.81 It is the candidate's responsibility to regularly monitor official University correspondence, communication channels and their enrolment dashboard to keep abreast of information and requirements relating to their candidature, particularly with regard to student accounts.
- 4.82 At any point during their candidature, the CQUniversity reserves the right to require the candidate to make contact with the School of Graduate Research. Failure to make contact within the prescribed period will result in the candidate being asked to show cause as to why their candidature should not be terminated.
- 4.83 Candidates have responsibility to inform the School of Graduate Research of matters relating to their enrolment, attendance at the CQUniversity and academic progress. Candidates also have responsibility to address requests for information or actioning from their supervisors, Postgraduate Research Coordinator and/or the Research Division.
- 4.84 Show cause notices and/or funding restrictions may be placed on any candidate who has:
- failed to supply a progress report in a timely manner, or
  - failed to respond to any other formal administrative request of the University in a timely manner.
- 4.85 These Course Rules do not cover issues of visa arrangements, deferments, confirmation of enrolment or insurance. It is the responsibility of an international candidate to notify and seek appropriate advice from the Global Development Division, and other appropriate authorities external to the University, regarding matters of on-campus attendance.

## Appeals and complaints

- 4.86 A candidate, supervisor or examiner who has reasonable grounds for dissatisfaction with any formal decision made under this policy or procedure may lodge an appeal by written request to the Dean, School of Graduate Research, within 28 days of date of issue of the decision. If the candidate or supervisor can demonstrate that the process was not followed or that new evidence is available, they may lodge a further internal appeal with the Vice-President (Research).
- 4.87 With regard to matters relating to academic assessment, a candidate who has reasonable grounds for dissatisfaction with any formal decision may appeal to the Academic Appeals Committee. Students must lodge their application for an academic appeal by completing an [Academic Appeals Application Form](#) and attaching copies of all relevant supporting documentation. Timeframes for submitting an appeal to the Academic Appeals Committee are outlined in the [Academic Appeals Policy and Procedure](#). For further information about the academic appeals process, please refer to the [Academic Appeals Policy and Procedure](#).
- 4.88 Students who have a complaint may make a complaint in accordance with the [Student Feedback – Compliments and Complaints Policy and Procedure](#).
- 4.89 The University recognises the importance of providing prompt and fair complaint resolution procedures and appeal processes for candidates, without victimisation for initiating or participating in the settlement. The candidate's enrolment will be maintained (without additional tuition liability) while the complaint and/or appeals process is underway.
- 4.90 Any candidate not satisfied with the outcome of their internal appeal may appeal the decision by referring the matter to the [Queensland Ombudsman](#) or to a court or tribunal with an appropriate jurisdiction.

## 5 RESPONSIBILITIES

### Compliance, monitoring and review

- 5.1 The Dean, School of Graduate Research is responsible for implementing, monitoring, reviewing and ensuring compliance with this policy and procedure.

### Reporting

- 5.2 Regular reporting on RHD candidates will be presented to the RHDC as per reporting schedule and via the Chair's report.

### Records management

- 5.3 Employees must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping information system.
- 5.4 University records must be retained for the minimum periods specified in the University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#). Before disposing of any records, approval must be sought through the Records Management Office (email [records@cqu.edu.au](mailto:records@cqu.edu.au)).

## 6 DEFINITIONS

- 6.1 Terms not defined in this document may be in the University [glossary](#).

### Terms and definitions

**EFTSL:** Equivalent full-time student load, one EFTSL is equivalent to one year of full-time study.

**Indigenous Cultural or Ceremonial Leave:** applies to candidates who identify as being Aboriginal or Torres Strait Islander decent. Leave will not be unreasonably refused to fulfil ceremonial obligations.

**Over-time candidate:** a candidate who has exhausted the standard EFTSL in their course; such candidates will be liable for additional tuition liability.

## 7 RELATED LEGISLATION AND DOCUMENTS

[Academic Appeals Policy and Procedure](#)

[Australian Code for the Responsible Conduct of Research](#)

[Australian Qualifications Framework](#)

[Autonomous Sanctions Act 2011](#) (Cwth)

[English Language Proficiency Requirements Policy and Procedure](#)

[Graduate Certificate in Research Course Rules Policy and Procedure](#)

[Higher Education Standards Framework \(Threshold Standards\) 2015](#) (Cwth)

[Research Higher Degree Thesis Examination Policy and Procedure](#)

[Research Higher Degree Supervision Policy and Procedure](#)

[Research Higher Degree Theses Policy and Procedure](#)

[Research Training Program and Research Higher Degree Scholarships Policy and Procedure](#)

[Student Ombudsman Procedure](#)

## 8 FEEDBACK

8.1 Feedback about this document can be emailed to [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 9 APPROVAL AND REVIEW DETAILS

| Approval and Review | Details                           |
|---------------------|-----------------------------------|
| Approval Authority  | Research Higher Degrees Committee |
| Advisory Committee  | N/A                               |
| Administrator       | Dean, School of Graduate Research |
| Next Review Date    | 02/07/2023                        |

| Approval and Amendment History       | Details  |
|--------------------------------------|--|
| Original Approval Authority and Date | Executive Committee of Academic Board 26/06/2017   |
| Amendment Authority and Date         | Administrator Approved – Dean, Graduate Studies 20/04/2018; Minor Amendments Administrator Approved – Dean, School of Graduate Research 23/10/2019; Administrator Approved – Dean, School of Graduate Research 26/11/2019; Research Higher Degrees Committee 02/07/2020; Dean, School of Graduate Research 23/07/2020. |
| Notes                                |  |