

HDR - Annual and Interim Reports Procedures

INTRODUCTION

The annual and interim reporting process allows a continuous assessment of various aspects of the candidature of an HDR candidate as required by the relevant Common Course Rules.

They provide a mechanism for any issues to be raised and resolved. All commencing HDR candidates and those continuing HDR candidates whose previous Annual Report has raised issues, are required to complete the Interim (mid-year) Report. All HDR candidates are required to complete the Annual Report.

COMPLIANCE

This is a compliance requirement under the:

- [Higher Education Standards Framework \(Threshold Standards\)](#); and
- [National Code of Practice for Providers of Education and Training to Overseas Students](#)

INTENT

This procedure provides information on the mechanism by which any issues with HDR candidature are raised and can be resolved in a timely manner.

Annual and Interim Reports are necessary to provide an equivalent to continual assessment, as required by the Common Course Rules for HDR degrees, with the information gathered used to assist in resolving any HDR candidature issues that are raised.

RELEVANT DEFINITIONS

In the context of this document

PROCEDURES

Report Completion

Annual Report: All HDR candidates are required to complete an Annual Report for each year of their candidature.

Interim Report: All commencing HDR candidates and those continuing HDR candidates whose previous Annual Report has raised issues are required to complete an Interim (mid-year) Report.

Office of Research and Innovation sends report proforma *HDR-22 Annual Report* (in November) or *HDR-23 Interim Report* (in May) to the HDR Candidate and copies it to the Principal Supervisor.

The candidate must then complete Part 1 of the Report.

The Principal Supervisor completes Part 2 of the Report.

The candidate and Principal Supervisor discuss and sign-off on the completed report and forward the report to the relevant faculty Pro Vice-Chancellor.

Report Assessment

For reports where no problems are identified, issues have been fully resolved or where issues unrelated to poor progress are being addressed to the satisfaction of the relevant Pro Vice-Chancellor, the Pro Vice-Chancellor will approve the report and forward the paperwork to the Office of Research and Innovation.

In all other circumstances, the Pro Vice-Chancellor provides comments and forwards the report to the Office of Research and Innovation for consideration by the DVC. In these cases, the DVC assesses the report and determines what further action is required.

Notification

The Office of Research and Innovation will notify the candidate and Principal Supervisor in writing whether the report has been accepted or not by the relevant Pro Vice-Chancellor and/or DVC as appropriate and provides feedback and advice as required.

The candidate and Principal Supervisor will then be required to respond to requests from the Pro Vice-Chancellor or DVC for further information or action as required.

Non-Compliance

The Office of Research and Innovation follows up outstanding reports with faculties and candidates.

Failure to comply with reporting requirements may result in the candidate being required to 'Show Cause' to maintain their candidature and/or scholarship and may lead to termination of candidature by DVC.

HDR candidates have the right of appeal against the decision to terminate their candidature in accordance with the University's [Students - Academic Grievance Procedures](#).

ESSENTIAL SUPPORTING INFORMATION

Internal

[Common Course Rules](#)

HDR-22 Annual Report

HDR-23 Interim Report

[Responsible Conduct of Research Policy](#)

[Students - Academic Grievance Procedures](#)

External

Document History and Version Control

Last amendment:	Dec 2017	Next Review:	Nov 2013
Sponsor:	Pro Vice-Chancellor, Research and Research Training		
Contact Officer:	Director, Research		

Version	Date Approved	Approved by	Brief Description
1.00	19 Aug 2005	Academic Board	Creation of original document and upload to CDU website.
1.01	15 May 2007	Manager, ORI	Update web links
1.02	21 Mar 2010	Governance	<ul style="list-style-type: none"> • Change process into new process format. • Change Deputy Vice-Chancellor Research to Deputy Vice-Chancellor Research and International to reflect title change • Change Research Office to Office of Research and Innovation to reflect title change.
2.00	26 Nov 2010	Academic Board	<ul style="list-style-type: none"> • Major review • Convert document from process to new procedure template
2.01	17 Aug 2011	Governance	<ul style="list-style-type: none"> • Amend Executive Dean to Pro Vice- Chancellor to reflect title change. • Amend Research Committee to Research and Research Training Committee to reflect title change.
2.02	22 May 2013	Governance	<ul style="list-style-type: none"> • Removed references to DVC • Changed date for submission of annual report • Minor changes to wording, formatting and grammar • Assigned document number • Convert to current template • Updated and added hyperlinks
2.03	15 Dec 2017	Governance	<ul style="list-style-type: none"> • Conversion to new Governance template due new University branding, includes removal of flowchart • Update hyperlinks • Update definitions