

SECTION 1 - INTRODUCTION

1. Summary

- 1.1. This Guideline describes the responsibilities of higher degree by research (HDR) candidates, their supervisors, graduate research coordinators (GRCs), Head of Academic Unit (HoAU), College Associate Dean Research (ADR), respective Academic units and the University of Tasmania (University) as it relates to HDR candidature, and forms the basis of understanding and commitment between all parties. This document is guided by the Australian Council of Graduate Research's [Australian Graduate Research Good Practice Principles](#) and supports the University's formal governance instruments for Higher Degrees by Research.
- 1.2. This Guideline provides a framework for discussions and expectations at the various candidature stages of an HDR candidate, and should be read in conjunction with:
 - a. Research Training Ordinance,
 - b. Research Training Policy,
 - c. Research Policy,
 - d. Behaviour Policy,
 - e. HDR Admission, Selection and Enrolment Procedure,
 - f. HDR Research Training Program and Other Scholarships Procedure,
 - g. HDR Supervision and Academic Support Procedure,
 - h. HDR Candidature Management and Enrolment Variation Procedure,
 - i. HDR Academic Progress Procedure,
 - j. HDR Examination Procedure,
 - k. University policies and procedures concerning general behaviour, compliance, and student matters,
 - l. [Australian Code for the Responsible Conduct of Research](#), and
 - m. [Australian Graduate Research Good Practice Principles](#).

2. Audience

- 2.1. This Guideline applies to all HDR candidates, academic and professional staff involved in research training, academic units of enrolment and the University.

3. Purpose

- 3.1. The purpose of this Guideline is to provide a foundation for successful candidature by outlining the minimum responsibilities of all parties to ensure mutual understanding and should be referenced throughout the lifecycle of a candidate's program.

Applicable policy principles

4.2: 3.1	Supervisors will provide candidates with intellectual support, procedural guidance, and broad pastoral care in the design and conduct of the higher degree by research program and facilitate and support the timely completion of candidature.
4.2: 3.2	Academic units will ensure support and guidance for their higher degree by research candidates and higher degree by research supervisors are appropriately resourced.
4.2: 3.3	The academic unit will ensure the quality of the research training experience for the candidate regardless of the mode and location of their enrolment, including access to appropriate workspaces, facilities, and resources, in line with the conditions of their candidature.
4.2: 4.1	The University will provide support for candidates to enable successful completion of all elements of a higher degree by research program within a timeframe consistent with standard degree periods.
4.2: 4.2	The University will support candidates to undertake original research.
4.2: 4.4	The University will review the progress of candidature to identify and address issues that may require additional support.
4.1: 2.1	The University will actively promote and support a culture of responsible research conduct.
4.1: 2.2	University researchers will conduct research responsibly, ethically, and with integrity as a foundation for high-quality research, credibility, and community trust in the research endeavour.
5.3: 2.1	Responsible persons will ensure conflicts or potential conflicts of interest are identified, disclosed, monitored and effectively managed.
4.2: 4.5	The University will ensure the integrity and confidentiality of the examination of higher degree by research theses.
6.4: 1.1	The behaviour of all University community members will be considerate of others and consistent with the University's values – respect and self-respect, fairness and justice, integrity, trust and trustworthiness, responsibility and honesty.
6.4: 1.2	The expectations for behaviour apply to University community members regardless of whether on University premises and campuses (including University residential accommodation) or off-campus but reasonably connected to the University or a University activity, including electronically and in virtual environments.
6.4: 1.4	Behaviour and conduct that is not accepted by the University includes: <ul style="list-style-type: none"> a. Sexual assault and sexual harassment (sexual misconduct) b. Vilification or victimisation to a person or a group of people, as well as adverse action c. Bullying of any other community member d. Unlawful discrimination and behaviour which offends, humiliates, or intimidates on the basis of certain protected attributes e. Vexatious, malicious, and/or frivolous complaints f. Harm or damage (including loss or obstruction), or behaviour that threatens harm or damage, to another person or the property of the University g. Behaviour that negatively impacts on the ability of others to study, work or take part in other activities of the University
6.4: 2.3	The University may take action it considers necessary to ensure the immediate safety and wellbeing of students, staff and/or community. Such action may include, but is not limited to: <ul style="list-style-type: none"> a. required separation in work, study and/or living environments b. exclusion from University activities or from University property

	c. suspension of access to the University's information and communications technology services
6.3 2.3	Members of the University community will ensure research, learning and teaching environments are inclusive of differences, are diverse, intolerant of harassment and discrimination and that all people are treated with respect, fairness, and justice.
7.1: 1.1	The University will embed a culture of privacy that respects individual's rights.
2.2: 1.2	Wherever possible, students are encouraged to first attempt to resolve their matter locally (i.e. where the issue arose) and informally before formalising a complaint.
2.2: 1.3	Formal complaints will be taken seriously and actioned in a timely manner, and complainants kept informed as to the progress of their complaint. They will be advised in writing of the outcome and reasons behind the decision.
2.2: 1.7	At all times during a complaint process, parties to the complaint will treat each other with respect and in accordance with the University's Behaviour Policy.

SECTION 2 – HDR RESPONSIBILITIES

4. Applicant Responsibilities

HDR Portfolio Area	Applicant Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> • Applicants are responsible for ensuring that: <ul style="list-style-type: none"> ○ information provided in their application is complete and accurate, and contains no fraudulent or misleading information, and ○ they adhere to any pre-enrolment and ongoing conditions stipulated by the University. • Finding, and obtaining agreement from, a suitable primary supervisor in their proposed research area. • Submitting their application, including all supporting documents, on or before the application closing deadline (if applicable). • Applying for and obtaining appropriate Visa and Overseas Student Health Cover (International applicants). • Have sufficient funds to cover both tuition and living expenses for any proposed study in Australia. • Advising the University of their commencement date and of any changes to that commencement date.

5. Candidate Responsibilities

- 5.1. Undertaking an HDR program requires dedication and accountability. In accepting an offer of admission, a candidate agrees to comply with the ordinances, policies and procedures of the University, including maintaining the standards of professional behaviour with all University staff and fellow candidates as described in University's Behaviour Policy and Procedure.
- 5.2. The candidate-supervisor relationship is critical in ensuring successful and timely completion. The relationship is first and foremost a professional, not a personal relationship.

HDR Portfolio Area	Candidate Responsibilities
Commencement & Induction	<ul style="list-style-type: none"> • Meet with their supervisory team within their first week of candidature to discuss their respective roles, and the mutual expectations and requirements of the degree. • Instigate initial discussions with the supervisory team to discuss and establish mutual expectations using the Role Perception Scale as a guide. • Complete any required University induction programs, as well as any additional orientation or training sessions required by the Academic unit. • Become familiar with the University's HDR policy framework including the Research Training Ordinance, the Research Training Policy, HDR Procedures and other procedures concerning general student matters. • For scholarship holders, become familiar with their scholarship conditions of award.
During Candidature	<ul style="list-style-type: none"> • Commit appropriate time to their research project in line with their level of enrolment.

	<ul style="list-style-type: none"> • Promptly advise a member of the supervisory team of any significant factors that may affect progress and initiate any variations to candidature as required. • Be aware of and take part in (where appropriate) additional training opportunities offered by the University or the College/Academic unit. • Utilise the resources, facilities, and opportunities available to ensure progress, and where additional resources or facilities are required, discuss these requirements with the supervisory team. • Maintain continuous enrolment and regular attendance patterns or seek approval for leave of absence if necessary. • Apply themselves diligently to their research, make every effort to achieve satisfactory academic progress with their research project, and aim to complete the program within the specified timeframe. • Determine a regular schedule of meetings with the supervisory team and adhere to this schedule. These arrangements may need to be re-negotiated as candidature progresses. In the case of off-campus enrolments, these meetings may occur in any format that is agreeable to those involved (including remotely via phone or video conferencing). Ideally and where possible, external candidates should endeavour to meet in person with their supervisor(s) at least annually. • In consultation with the supervisory team, develop and maintain the research plan and detailed timeline, with milestones, for completion of the research project and thesis write-up. • Document the progress of work and present written or other material to the supervisory team for comment, feedback, and discussion in a timely manner to allow for continuity of the research program. • Take the initiative in raising problems, difficulties or delays relating to candidature and seek to resolve such matters as expeditiously as possible. • Satisfy all confirmation and progression requirements, and submit all confirmation reports, progress reports and other reports as required. • Be available to complete any coursework and/or skills training requirements. • Report as soon as practicable to the primary supervisor or College/Academic Unit administration any accident or emergency.
Candidate-Supervisor Relationship	<ul style="list-style-type: none"> • Actively and constructively engage in continuous interaction with their supervisors. • Be aware of the Academic unit mechanisms that exist for resolving candidate-supervisor difficulties and access assistance when necessary. • Discuss any supervisor changes required with the supervisory team prior to the candidate requesting the change.
Behaviour, Culture & Safety	<ul style="list-style-type: none"> • Actively engage with the research community in the College and Academic unit. • Participate in the intellectual and research activities of the Academic Unit of enrolment and the wider community of scholars at the University. • Apply for permission to travel using the University form, including complying with all travel policies and procedures.
Research Integrity & Ethics, & Data Management	<ul style="list-style-type: none"> • Adhere to ethical practices in research appropriate to the particular discipline and relevant profession, including: <ul style="list-style-type: none"> ○ Australian Code for the Responsible Conduct of Research,

	<ul style="list-style-type: none"> ○ Research Policy and Research Ethics Procedure, and ○ any ethical guidelines that may be set down by a relevant government or funding body. • Seek advice from supervisors and other relevant experts on any application for ethics approval. • Maintain safe working practices relevant to the field of research. • Ensure that agreement is reached regarding who will have access to research data (raw and processed data) and at what stage of the research process. All raw and processed data must be recorded in a retrievable, durable and appropriately referenced form, and made available to supervisors at any time during candidature. • Ensure that all original data are managed in accordance with the Australian Code for the Responsible Conduct of Research, and retained and disposed of in accordance with the Management of Research Data Procedure. • Ensure that agreement is reached with supervisors and other research collaborators concerning authorship and any IP considerations of publications and other research outputs, and acknowledgment of relative contributions during and after candidature in accordance with the Authorship Procedure and the Intellectual Property Management Procedure.
<p>Thesis Preparation & Examination</p>	<ul style="list-style-type: none"> • Write and prepare the thesis for examination to an appropriate standard and in the format prescribed in the HDR Examinations Procedure and the HDR Thesis Preparation & Formatting Guideline, including making the required thesis declarations. • Prepare the thesis in accordance with the principles of research integrity as stipulated in the Australian Code for the Responsible Conduct of Research including authorship, plagiarism and research ethics, and ensure that any editorial assistance in the writing of the thesis is appropriately acknowledged. • Complete the Intention to Submit form via iGrad at least 2 months before the expected submission of the thesis. • Respect the confidentiality of the examination process and not make any undue enquiries that may compromise the integrity of the examination. • After examination, make any required corrections to the thesis within the specified timeframe. • As required, ensure to acknowledge any scholarship contributions that supported candidature.
<p>General</p>	<ul style="list-style-type: none"> • Regularly access University email account as a means of maintaining communication with the University. Official communication from the University, including from Graduate Research, will be sent to the candidate's University email account. • Logging into eStudent and updating their contact details. • Paying fees administered by the University and complying with any penalties for non-payment. • Be aware of University policy and procedure regarding communication, media and social media use for the purpose of disseminating research findings.

6. Supervisor Responsibilities

- 6.1. The responsibilities listed are shared between the primary supervisor and the co-supervisor(s), with the primary supervisor normally being the primary contact person and having responsibility for the requirements of candidature including progress reporting.
- 6.2. Supervisors are responsible for ensuring that the role model they demonstrate to candidates encourages a research culture of excellence, integrity, professionalism and mutual respect.
- 6.3. The candidate-supervisor relationship is a critical relationship in ensuring successful and timely completion. The relationship is first and foremost a professional, not a personal relationship.

HDR Portfolio Area	Supervisor Responsibilities
During Application and/or Admission (Proposed Primary supervisor)	<ul style="list-style-type: none"> • Assess an applicant's suitability for a research degree and for the proposed project. • Conduct one or more face-to-face interviews, either in person or using video conferencing technology, with all applicants seeking entry to an HDR program in order to test applicant claims made about research preparedness. • Assess IP of proposed project and determine whether a Deed of Assignment is required with any offer made.
Commencement & Induction	<ul style="list-style-type: none"> • Meet promptly with commencing candidates and actively participate in initial discussions with the candidate and the whole supervisory team to discuss and establish mutual expectations using the Role Perception Scale as a guide. • Provide initial (and ongoing) guidance to the candidate about the nature of research and the standard of performance expected, including: <ul style="list-style-type: none"> ○ planning of the research program, ○ presentation of a research proposal, ○ appropriate literature and sources, ○ research objectives and approach, ○ discussion of any IP, and ○ research methods and requisite techniques (including arranging for instruction and attendance at taught classes where necessary e.g. computer analysis, statistics). • Discuss resources required for the program with the candidate, including exceptional needs or costs.
During Candidature (All supervisors)	<ul style="list-style-type: none"> • Coordinate the overall supervision of a candidate's program. • Undertake early assessment of the candidate's work, provide formative feedback on academic progress, and identify needs for additional support. • Strongly encourage, wherever appropriate, the publication of the results of the candidate's research in appropriate forums and media. • Assist candidates in developing the necessary skills for peer review, and to understand their obligation to participate in peer reviews. • Ensure that where a change in research direction occurs, appropriate supervisory adjustments are negotiated and that, subject to approval, adjustments are made to the period of candidature. • Advise the candidate of any expected absence and the alternative arrangements to be implemented for supervision during that absence.

	<ul style="list-style-type: none"> • Negotiate with the candidate to establish and maintain a schedule of regular contact with the candidate in accordance with the <u>HDR Academic Progress Procedure</u> and balanced in terms of the needs of the project and the candidate. Off-campus candidates should use appropriate technology for the purposes of the regular meetings, and where possible meet in person at least annually. • Provide guidance to candidates in preparing for a timely and successful confirmation. • Contribute to all progress reviews of a candidate, as required. All supervisors, including those external to the University, must be consulted by the principal supervisor and their feedback included in the supervisory comments on the progress report form. • Ensure that the candidate provides regular written work, interim reports or research results as appropriate and to return such work, including draft thesis writing, with appropriate feedback and criticism, within an appropriate timeframe (usually as negotiated – ordinarily within one month of receipt). • Ensure that the candidate is made aware of inadequate progress by specifying the problems and suggesting ways of addressing them. • Report in writing to the GRC if they consider that the candidate is not making satisfactory academic progress, has contravened a matter in the policy framework, has contravened a condition imposed within their letter of offer or has not completed a required milestone. • Ensure that unsatisfactory progress or delays are reported and addressed promptly and appropriately (e.g. by applying intervention strategies, seeking additional assistance from the GRC, HoAU, ADR or GRO). • Be satisfied that the research methods and outcomes of the candidate are appropriate and valid, and to report any concerns to the appropriate authority. • Work with the candidate to develop a detailed timeline, including milestones, and provide detailed advice on necessary completion dates of successive stages of work so that the thesis may be submitted within the scheduled time. • Refer candidates to appropriate professional development support, training, and resources (e.g. workshops, health services, emerging IP considerations etc.) if needed.
Candidate-Supervisor Relationship	<ul style="list-style-type: none"> • Notify the HoAU of any perceived or actual conflicts of interest between the members of the supervisory team and/or the candidate. In cases of conflict, mitigation strategies must be put in place. • Be mindful of the particular requirements of each candidate, and ensure appropriate and productive use of the candidate's time, especially in the first year of candidature. • Encourage the candidate to show initiative and self-motivation so that the candidate will be able to pursue independent research with confidence, particularly in the final stages of candidature. • Advise the candidate of any changing circumstances in relation to supervisory availability, including withdrawal of supervision.
Behaviour, Culture & Safety	<ul style="list-style-type: none"> • Encourage the candidate to play a full and active role in the intellectual life of the College/Academic unit. This is particularly important in the case of part-time

	<p>candidates and candidates whose major work is being conducted away from the University Academic unit or in a joint project with a commercial or industry partner.</p> <ul style="list-style-type: none"> • Encourage the candidate to participate in an annual presentation (or more frequently if appropriate) of their research work to College/Academic unit forums. • Encourage the candidate to: <ul style="list-style-type: none"> ○ attend any seminars presented by visiting or local academics or other HDR candidates or Honours students, ○ engage with other researchers in their College by presenting their work in a seminar or similar setting, ○ participate in professional development opportunities provided to students and researchers, and ○ actively publish discipline appropriate research outputs in addition to their thesis/creative equivalent. • Supervisors are responsible for all aspects of safety under their control, including supporting and encouraging a safe learning and work culture for their candidates according to the <u>People Policy</u> and <u>Health and Safety Policy</u>. • Supervisors should utilise the University resources available to support candidate's well-being, including but not limited to: <ul style="list-style-type: none"> ○ The Safe and Fair Community Unit, ○ Behavioural Contact Officers, ○ University counselling, ○ Postgraduate advocates, and ○ Student advisers. • Report to the GRC if they have serious concerns regarding a candidate's health and well-being.
<p>Research Integrity & Ethics, and Data Management</p>	<ul style="list-style-type: none"> • Ensure that the candidate is adequately trained in safe working practices relevant to the particular field of research. • Ensure that the candidate is aware of the Australian Code for the Responsible Conduct of Research and the <u>Research Policy</u> and, in particular, of the need to follow ethical practices appropriate to the particular discipline and profession. • Advise the candidate of appropriate ethical practices and where required, scrutinise and endorse as Chief Investigator, an application that meets the requirements of the University and any other appropriate ethics committee, ensuring that approval is obtained before the research commences, and that the research is conducted in accordance with the terms of approval from the ethics committee(s). • Ensure adherence to the University Intellectual Property Policy and associated procedures. • Raise issues of ethical research and intellectual property, and discussing how they will be handled. • Report to the Delegated Authority if they consider that the candidate has committed academic and/or research misconduct. • Ensure that the candidate records original data in a retrievable, durable and appropriately referenced form and stored safely for a period appropriate to the discipline, in accordance with the Australian Code for the Responsible Conduct of

	<p>Research, and where appropriate will include the lodging of datasets with national data archives.</p> <ul style="list-style-type: none"> • Ensure that agreement is reached with the candidate concerning authorship and any IP considerations of publications and other research outputs, and acknowledgment of relative contributions during and after candidature in accordance with the Authorship Procedure and the Intellectual Property Management Procedure.
<p>Thesis Preparation & Examination</p>	<ul style="list-style-type: none"> • Ensures the candidate is aware of the requirements to ensure that a thesis is suitable for submission for examination. • Maintain regular contact with the candidate, read thesis drafts and provide timely written and oral feedback in line with an agreed schedule. • Nominate examiners who are appropriately qualified and free from conflict, taking into consideration where relevant, names of possible examiners the candidate requests be excluded for valid reasons. • Ensure the thesis adheres to the principles of research integrity as stipulated in the Australian Code for the Responsible Conduct of Research including authorship, plagiarism and research ethics, and that any editorial assistance in the writing of the thesis is appropriately acknowledged. • Support the candidate during the oral examination (where relevant). • Support the candidate to address corrections to the thesis within the nominated timeframe.
<p>General</p>	<ul style="list-style-type: none"> • Register and maintain eligibility to remain registered as a supervisor • Undertake supervisor training and professional development as required. • Keep up to date with changes to supervisory practice and procedures. • Oversee and support the development of candidates' discipline specific research skills, general academic skills and career planning.

7. Graduate Research Coordinator Responsibilities

- 7.1. The GRC serves a critical role in the overall experience of HDR candidates
- 7.2. Th GRC advises the Head of Academic Unit (HoAU) on all HDR matters and is the HoAU's point of contact with the Graduate Research Office. In addition, the GRC will typically have responsibility for reviewing and advising the HoAU on the Academic Unit's HDR profile, formulating the Academic Unit's HDR policy and advising on facilities and appropriate levels of resources.
- 7.3. The GRC will work with the College ADR to support high-quality research training strategy and objectives for the College.

HDR Portfolio Area	GRC Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> • Provide advice to supervisors on the recruitment of high-quality applicants with support and guidance from the College and assist with recruitment activities as required. • Provide applicants with advice on eligibility requirements, possible research topics, available resources, Academic Unit research strengths, and supervisor expertise. • Make formal recommendations to the HoAU on applications for admission, including any special conditions of candidature. • Identify possible cross-Academic unit collaborations with relevant GRCs. • Identify potential commercial-in-confidence issues with specific projects and/or funding arrangements and bring these to the attention of supervisory teams, HoAU and the Dean. • Monitor recommendations on the approval of admission of candidates to ensure adherence to policies relating to admission, supervision and provision of resources.
HDR Scholarships	<ul style="list-style-type: none"> • Be familiar with the conditions for UTAS Research Scholarships and able to advise scholarship holders about these, or guide candidates to appropriate and up-to-date resources. • Make recommendations to the HoAU and College ADR on scholarship applications (including justification of academic or sector-based experience). • Make recommendations to the Dean on applications for scholarship extension, leave of absence, leave of absence (medical). • Where required, assess scholarship applications (including justification of cases for equivalence) for domestic and international scholarship rounds in consultation with Associate Dean Research.
Commencement & Induction	<ul style="list-style-type: none"> • Coordinate and/or conduct Academic unit Induction programs for HDR candidates.
During Candidature	<ul style="list-style-type: none"> • Clearly communicate University and Academic unit policy on the timing and mode of presentation of reports by which a candidate's progress is assessed. • Sign off on candidature milestones and issues pertaining to candidature management. • Coordinate annual reviews of progress (including confirmation of candidature) in consultation with supervisory teams. • Ensure that confirmation of candidature committees are established to assess the performance of the candidate within twelve months (doctoral) or six months

	<p>(masters by research) of the commencement of candidature (on a full-time basis, or part-time equivalent).</p> <ul style="list-style-type: none"> • Recommend variations to candidature to the Dean in consultation with the supervisory team and HoAU. • Facilitate the appointment of supervisors with the HoAU and Dean. • Monitor progress towards timely completion by all candidates. • Coordinate the dissemination of information about relevant workshops, seminars, scholarships and other opportunities. • Report to the College ADR via the HoAU any proposed changes to candidature that may impact on the allocation of supervisory and/or project resources.
Candidate-Supervisor Relationship	<ul style="list-style-type: none"> • Identify and manage potential conflicts of interest in supervisory teams. • Provide pastoral care to candidates. • Provide guidance to and/or mediate between supervisors and candidates on issues related to HDR candidature in the first instance and identify situations where more specialist support is warranted.
Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> • Act as the initial point of contact for the College ADR and the Dean in resolving candidature problems and formal grievances (including those related to academic or research misconduct).
Thesis Preparation & Examination	<ul style="list-style-type: none"> • Coordinate requests for confidentiality agreements in examination, and coordinate nomination of examiners prior to submission. • Liaise with supervisors regarding the nomination of examiners and recommend examiners to the Dean on behalf of the HoAU (where appropriate for the discipline). • Providing support and guidance to supervisors and candidates, as required, through the examination process.
General	<ul style="list-style-type: none"> • Be aware of and keep candidates and supervisors informed of applicable University policies, procedures, due dates and other relevant information. • Ensure that College guidelines, including space, resources and facilities meet minimum standards in accordance with Schedule C: Minimum resources for HDR candidates of the <u>HDR Admissions, Selection & Enrolment Procedure</u>. • Provide advice to the HoAU to assist with assessment of supervisory performance and practices within the Academic Unit and any problems or grievance (including those related to academic or research misconduct) that may arise and may need to be reported to the Dean. • Attend and participate in GRC Days, workshops and professional development activities relevant to the GRC role. • Liaise with Candidature Management Advisors (CMA) in GRO.

8. Head of Academic Unit Responsibilities

HDR Portfolio Area	HoAU Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> • Be kept aware of EOIs and applications.
During Candidature	<ul style="list-style-type: none"> • Appoint appropriate academic staff to the role of GRC to monitor the general progress and welfare of HDR candidates, ensuring that GRO are notified of the appointment.
Candidate-Supervisor Relationship	<ul style="list-style-type: none"> • Ensure that appropriate supervision is available to the candidate and that: <ul style="list-style-type: none"> ○ Conflict of Interest is avoided, or declared and managed appropriately, ○ each candidate has a minimum of two supervisors, ○ the primary supervisor has appropriate expertise and interest in the area of research, and has sufficient experience and capacity in supervision to offer the candidate adequate supervision, ○ the primary supervisor must be a University academic employee, ○ the primary supervisor is not themselves an HDR candidate, and ○ the workload of supervisors is such as to allow sufficient time for the adequate supervision of the candidate, and the allocation of supervisors has taken into consideration any Honours students being supervised, as well as teaching load and other obligations.
Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> • Ensure candidates receive adequate supervision of research projects. • Ensure supervisors are adequately prepared to supervise candidates and they are trained in or have appropriate level of knowledge of ethical, health and safety, environmental protection, and other required protocols.
Thesis Preparation & Examination	<ul style="list-style-type: none"> • Ensuring that the thesis meets all the requirements for submission for examination. • Ensuring that the examination process is free from conflict of interest. • Endorsing the nominated thesis examiners. • Appointing the Chair of Examiners.

9. Academic Unit Responsibilities

HDR Portfolio Area	Academic Unit Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> Ensure that candidates are only admitted where there are suitable physical facilities and research resources appropriate to the field of study.
Commencement & Induction	<ul style="list-style-type: none"> Provide orientation and induction programs for candidates and their supervisors, to clarify procedures, give advice and discuss the expectations of candidates and staff (e.g. with regard to the timing and presentation of progress reports, access to facilities and resources, and guidelines on procedures at College/Academic unit level). Ensure that training workshops in ethical issues and procedures, health and safety procedures, environmental protection and any technical matters relevant to the discipline are delivered.
During Candidature	<ul style="list-style-type: none"> Ensure the minimum level of resources required to complete a high quality research project is provided to each on-campus HDR candidate, in accordance with Schedule C: Minimum resources for HDR candidates of the <u>HDR Admissions, Selection & Enrolment Procedure</u> (acknowledging part-time candidates' access to physical resources may need to be on a shared basis). Ensure that for off-campus candidates, the level of resources to be provided is agreed between the candidate and the College/Academic Unit and documented at the time of enrolment, or upon approval of off-campus enrolment. Ensure that candidates have opportunity to provide feedback to the appropriate person within their Academic unit regarding any issues around the provision of resources. Provide clear information to candidates on the facilities and resources available within the Academic unit.
Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> Ensure mechanisms are in place to promote regular consultation, interaction, and development of productive intellectual relationships between HDR candidates and other researchers, both within the academic unit and globally, including: <ul style="list-style-type: none"> promoting the integration of HDR candidates within the Academic unit's community, involving candidates within the broader research culture of the College and University, electing an HDR candidate as a representative to an appropriate representative body of the Academic unit, developing a seminar program with high participation, creating a stimulating research ambience, encouraging participating in seminars and courses that provide information and skills development, and providing guidance on matters relating to authorship of publications, ownership of intellectual property, exploitation of inventions, and retention of data. Ensure that, where by prior arrangement a candidate is conducting the majority of their research away from the University, steps are taken to ensure the candidate is

	<p>given the opportunity to have as active a role as circumstances permit in the intellectual life of the Academic unit.</p> <ul style="list-style-type: none"> • Promote positive academic cultures within Colleges/Academic Units to the benefit of all candidates, which ensure candidates are recognised as involved members of the host units. • Ensure candidate representation on the relevant academic unit Research Committee. • Ensure there is effective pastoral care for candidates. • Promote social contact between candidates as a means of peer-support.
<p>Thesis Preparation & Examination</p>	<ul style="list-style-type: none"> • Provide appropriate levels of support to candidates to ensure timely completion.
<p>General</p>	<ul style="list-style-type: none"> • The Academic unit will provide candidates and supervisors with the appropriate support, facilities and academic culture to thrive in their research. • Establish written guidelines that document the suitable access to physical facilities (where appropriate) and research resources appropriate to the field of study. • Ensure the level of resources provided to candidates is monitored as part of the confirmation process and through regular progress reports for all candidates.

10. Chair of Examiners Responsibilities

HDR Portfolio Area	Chair of Examiners Responsibilities
Thesis Examination	<ul style="list-style-type: none"> • Manage candidate expectations with regards to the thesis examination process and timeframes. • Consult with the supervisor on the examiners' reports and make an appropriate recommendation to the HoAU after examination. • Coordinate checking of corrections to the thesis or exegesis as applicable. • Provide a recommendation to the GRO on the Examiners' reports. • Ensure that the candidate has made the changes requested by the Examiner(s) or has defended on academic grounds the absence of a change. • Convene and chair an internal committee of review process, where applicable. • Convene and chair a Viva Voce process, where applicable. • Provide advice to the Dean that the candidate has satisfied the conditions for the award of the degree,
General	<ul style="list-style-type: none"> • Declare any conflict of interest to the HoAU in relation to that examination and recuse themselves of the role.

11. College Associate Dean Research Responsibilities

11.1. NOTE: These responsibilities will be finalised following the Review of the PhD strategic initiative.

HDR Portfolio Area	College ADR Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> • Reviewing and endorsing applications for admission. •
HDR Scholarships	<ul style="list-style-type: none"> • Reviewing and endorsing applications for scholarship. •
Commencement & Induction	<ul style="list-style-type: none"> •
During Candidature	<ul style="list-style-type: none"> •
Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> •
Thesis Preparation & Examination	<ul style="list-style-type: none"> •
General	<ul style="list-style-type: none"> • Developing and implementing College strategy for the HDR portfolio.

12. University Responsibilities

- 12.1. The University is responsible for the quality assurance of the HDR program and that it meets the legislative requirements, including the standards outlined in the Australian Qualifications Framework, Higher Education Standards Framework, and the Education Standards of Overseas Students (ESOS) Act (2000).

HDR Portfolio Area	University Responsibilities
During Application and/or Admission	<ul style="list-style-type: none"> • Ensure that information about programs, entry requirements, and application procedures are accurate and communicated to applicants in a timely fashion. • Ensure admission processes are fair, transparent, inclusive, and consistent across the University. • Ensure adequate and accurate University wide information is provided to applicants and their proposed supervisors prior to enrolment. • Ensure that the policies and procedures for the allocation of scholarships are widely available and include clearly defined eligibility and selection criteria, as well as information regarding scholarship conditions.
HDR Scholarships	<ul style="list-style-type: none"> • Ensure that information about HDR scholarships and application procedures are accurate and available to applicants. • Ensure that scholarships provided for Aboriginal and Torres Strait Islander students are competitive with those offered by other Australian universities. • Ensure that scholarship assessment and awarding processes are fair, transparent, inclusive, and consistent across the University. • Ensure that HDR scholarship conditions of award are clear, accurate and available to applicants and candidates.
Commencement & Induction	<ul style="list-style-type: none"> • Provide all candidates with an informative induction program. • Direct candidates to University ordinances, policies and procedures relating to HDR candidates published on the University's website. This also includes provisions for work health and safety, equal opportunity and equity, and grievances and appeals. • Distribute information to all HDR candidates on facilities and resources available, including, but not limited to: <ul style="list-style-type: none"> ○ research ethics and conduct, ○ library support, ○ information services, ○ access to research and conference funding, ○ IT infrastructure, and ○ guidelines on matters relating to authorship of publications, ownership of intellectual property, exploitation of inventions, retention of data, and the procedures for monitoring adherence to them.
During Candidature	<ul style="list-style-type: none"> • Ensure the University's administrative processes assist candidates to complete their degrees as expeditiously as possible within the regulations. • Ensure there are progress reporting requirements that enable the views of both staff and candidates to be adequately represented. • Systemically review the periodic progress reports and student experience surveys in order to make improvements to the processes and outcomes for candidates.

Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> • Provide information to supervisors and candidates regarding the necessity to comply with the Australian Code for the Responsible Conduct of Research and the University's Research Policy and are aware, where applicable, of the working procedures of the ethics committees. • Endeavour to create a University culture which is safe for and respectful of Aboriginal and Torres Strait Islander people.
Thesis Preparation & Examination	<ul style="list-style-type: none"> • Ensure that each thesis examination is conducted by at least two experts of international standing in the discipline. Experts must be external to the University, independent of the conduct of the research, and without any real or perceived conflict of interest in reaching their decision. • Ensure there are clear guidelines for examiners on the University's expectations for the award of the degree. • Maintain clear procedures for the nomination and appointment of examiners, conflicts of interest, examination processes, and appeal. • Provide open access to all final theses, unless an approved embargo has been applied.
General	<ul style="list-style-type: none"> • The University will ensure that policies relating to HDR candidature are developed, implemented and monitored. • The Dean must undertake an annual review of the effectiveness of Graduate Research Coordination and report the outcomes to the University Research Committee. Any recommendations arising from this review will be provided to HoAUs, ADRs and Executive Deans.

13. Collective Responsibilities

HDR Portfolio Area	Collective Obligations and Responsibilities
Grievances	<ul style="list-style-type: none"> • In the first instance, all issues and grievances relating to HDR candidature will be managed in a timely manner that assists in informal resolution at the lowest level possible. • If more significant difficulties arise, representations should be made to the appropriate HoAU, Executive Dean and/or the Dean. Aboriginal and Torres Strait Islander candidates may also request assistance from the Office of the Pro Vice Chancellor of Aboriginal Leadership. Candidates and supervisors are expected to seek negotiated solutions to any problems prior to initiating a formal complaint.
Behaviour, Culture, Research Integrity & Safety	<ul style="list-style-type: none"> • The University must manage circumstances in accordance with the Student Behaviour and Conduct Ordinance and/or the Student Academic Integrity Ordinance where a candidate demonstrates: <ul style="list-style-type: none"> ○ concerning behaviour, ○ academic misconduct, ○ research misconduct, or ○ non-academic misconduct.

HDR Responsibilities Guideline



Schedule A: Principles of Supervision

Supervision of HDR candidates is an important task; and like all tasks, can be approached in a variety of ways depending on the personalities and individual requirements of HDR candidates and supervisors and their discipline area/s. Nevertheless, some common principles and responsibilities apply to all supervisory arrangements and practice.

Supervisors are collectively and individually responsible for:

Principles of Supervision	Characteristics	Practices	Resources
<p><i>Open communication</i></p> <p>Ensuring open, two-way, communication between supervisors and candidate provides the basis for a supportive learning environment.</p>	<p>Supervisors and candidates understand motives and expectations from both parties and agreed from the beginning of the candidature mutual expectations and requirements.</p> <p>Supervisors’ open, timely and clear communication ensures clarity regarding key issues such as expectations, responsibilities and progress.</p> <p>Regular feedback about progress that is both sensitive and frank enables supervisors to develop and maintain trust thereby minimising unnecessary shock and distress on the part of the candidate.</p> <p>Supervisors model dialogic practices such as active listening and questioning with the aim of enhancing critical thinking, creativity, and adaptability. This approach also recognises that learning is reciprocal.</p>	<p>Communicative supervisors and candidates ensure:</p> <ul style="list-style-type: none"> • regular, ideally weekly, meetings or contact to monitor time bound goals and provide feedback, • discussing progress against agreed project milestones at every supervisory meeting, • active listening combined with questioning in a sensitive and thought-provoking way to prompt critical reflection, • actively seek to advance the candidates research career by ensuring due recognition of ideas and contribution to publications etc, • not assuming candidates are happy because they do not say otherwise. Instead, candidates are provided opportunities to raise issues, including issues with supervision, in a non-confrontational way, and • developing protocols for the management of dissent within the supervisory team and between supervisor and candidate. 	<p>Australian Code for the Responsible Conduct of Research 2018: Supervision Guide</p> <p>Australian Council of Graduate Research Guidelines for Quality Research Supervision</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Supportive role model</i></p> <p>Candidates learn and develop as researchers when supervisors are supportive and responsive to their needs and lead by example.</p>	<p>Supporting the HDR candidate to develop and design their research project so that it is of the quality and standard required for the qualification and can be completed within the maximum degree period.</p> <p>Supervisors adopt a considered, student-centred approach that is structured yet flexible enough to be adaptable to the needs of individual candidates, the demands of the research project, and changing circumstances.</p> <p>This approach is open and negotiable yet also task driven and directive when necessary.</p> <p>It recognises that candidates learn through a combination of modelling and direct instruction / guidance and also need freedom to explore in order to develop and enact scholarly independence.</p>	<p>Supportive supervisors ensure:</p> <ul style="list-style-type: none"> • evaluation of the research proposal scope is undertaken with the candidate and a clear research plan is ready for confirmation processes, • the supervisor has the necessary broad theoretical, methodological and disciplinary knowledge to support the HDR candidate’s research, • advice and support are given about the typical stages and management of the research project including confirmation, ethics and data collection and any additional training required, • unsatisfactory progress in the research project is brought to the HDR candidate’s attention and documented and the HDR candidate is given the opportunity to improve the pace and/or quality of research, and • the supervisor facilitates discussions with the HDR candidate about the necessary resources and minimum infrastructure and seek relevant approvals for resources with the HoAU or nominee. 	<p>Australian Code for the Responsible Conduct of Research 2018: Supervision Guide</p> <p>Australian Council of Graduate Research Guidelines for Quality Research Supervision</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Provide mentorship</i></p> <p>Supervisors exemplify a quality researcher and provide mentoring and guidance to candidates in successfully completing all aspects of a research project.</p>	<p>Supervision is a shared experience in which both the supervisor and the HDR candidate have an intellectual investment. Supervisors should have the broad theoretical and practical expertise to offer the candidate competent supervision, an interest in the research project and timely progression of candidature, and adequate time for supervision.</p>	<p>Supervisors who provide quality mentorship ensure:</p> <ul style="list-style-type: none"> • the HDR candidate is directed to appropriate literature and other research materials, • that milestone meeting outcomes are recorded in a manner that facilitates the continuing progress of the HDR candidate (e.g. email records), • unsatisfactory progress in written work is brought to the HDR candidate’s attention and documented and the candidate is given the opportunity to improve the pace and/or quality of written work, • timely feedback is given on written work, focusing on the content and style of the thesis drafts and the HDR candidate is informed about the quality of the thesis, and • the candidate understands the procedures for the preparation, submission and examination of the thesis or creative equivalent as per the <u>HDR Examinations Procedure</u>. 	

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Academic Integrity and Ethical Conduct</i></p> <p>Supervision plays a critical role in the responsible conduct of research.</p>	<p>The responsibilities of supervisors are diverse and include maintaining currency in discipline-specific knowledge and practices, as well as setting the highest standards in research design and methodology to assure high quality, reliable, and reproducible research findings.</p> <p>They also include developing and maintaining a working knowledge of the legal and policy frameworks that underpin responsible conduct of research at the disciplinary, institutional, and national levels.</p>	<p>Responsible supervisors ensure:</p> <ul style="list-style-type: none"> • the HDR candidate is provided with guidance and mentorship on responsible research conduct, • appropriate ethics approval is sought and granted prior to the commencement of any research, • the HDR candidate’s research data and materials are held with appropriate security, • ethical practices and the principles of responsible research conduct are maintained throughout the HDR candidate’s research project, and • the HDR candidate is directed to key and binding documents relating to ethics, responsible research, authorship, intellectual property, data management and publishing. 	<p>Australian Code for the Responsible Conduct of Research 2018: Supervision Guide</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Respectful behaviour</i></p> <p>Treating candidates with respect, maintaining professional boundaries and being concerned for their wellbeing creates a supportive and effective supervisor – candidate relationship.</p>	<p>An ethos of respect and care recognises that people are at the heart of the supervisor-candidate relationship and need to be treated respectfully. People also have diverse needs and backgrounds.</p> <p>Supervisors observe at all times the professional nature of the relationship with candidates and take care not to overstep or blur professional / private boundaries.</p> <p>Supervisors recognise that the diverse gender and cultural backgrounds that make up the research education community positively enriches and enhances research and supports innovation.</p> <p>Supervisors seek to be inclusive and respectful of difference by adapting to meet the multiple capacities and interests of diverse candidates.</p> <p>Difference can also lead to misunderstandings and there may be unspoken assumptions about roles and responsibilities which may not be shared or well understood.</p> <p>Difficult conversations are conducted respectfully by seeking to redress the inherent power differential between supervisors and candidate.</p>	<p>Supervisors and HDR candidates must:</p> <ul style="list-style-type: none"> • treat each other fairly and reasonably and should respect the social and intellectual diversity of the University community, • not engage in, or tolerate, harassment and discrimination, • recognise that every supervisory relationship is unique and will reflect the particular needs, preferences and work styles of those involved, • recognise that intellectual and practical input from other supervisors is necessary and desirable, and is to be encouraged, and • exercise professional discretion in their relationship, maintaining confidentiality where appropriate. 	<p>Behaviour Policy</p> <p>Australian Code for the Responsible Conduct of Research 2018: Supervision Guide</p> <p>Safe and Fair Community Unit</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Monitor progress</i></p> <p>Supervisors monitor and record a candidate's progression, and provide guidance and advice to ensure timely completion.</p>	<p>The supervisor's role is to guide, advise and support HDR candidates to make this significant independent contribution in their own right.</p> <p>The candidate's role is to be guided by their supervisory team, while taking ownership and responsibility for meeting candidature milestones and completing the research project.</p> <p>Both parties are responsible for ensuring the research project is completed within the maximum degree period.</p>	<p>Supervisors and Candidates have a collective responsibility to:</p> <ul style="list-style-type: none"> • complete candidature milestones on-time, • design a research project that can be completed within the maximum degree period, • understand the requirements of each candidature milestone, especially confirmation of candidature and annual reviews of progress, • record progress in meeting notes and iGRad, and • openly and constructively discuss project milestones, roadblocks and alternative research plans in a timely manner. 	<p>HDR Candidature Management and Enrolment Variation Procedure</p> <p>HDR Academic Progress Procedure</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Provide level of pastoral care</i></p> <p>Supervisors have a level of awareness of the candidate’s basic wellbeing.</p>	<p>Supervision also involves concern and a measure of pastoral care for the HDR candidate. In the best cases, the relationship between the supervisor and the candidate develops during the candidature in a mutually supportive, respectful and collegial fashion.</p> <p>Unrelated to academic capability, research progress can be impeded by circumstances related to a candidate’s life. Operating within their professional capacity, a supervisor has a role in acknowledging these issues, assisting the HDR candidate to find support, and accommodating, to a reasonable degree, effects on the project and the supervisory relationship.</p>	<p>Supportive supervisors:</p> <ul style="list-style-type: none"> • ensure candidates are on-campus as required by conditions outlined in their letter of offer, • ensure candidates seek approval to be off-campus for extended periods of time, • ensure candidates are attending and are actively engaged with regular supervisor-candidate meetings, • be aware of unusual and out of character behaviours by the candidate, • understand where and how safety and wellbeing support can be sought for both the supervisory team and the candidate, and • discuss any concerns regarding the candidate and candidature with the GRC and/or HoAU. 	<p>University Counselling</p> <p>Safe and Fair Community Unit</p> <p>Consent Matters MyLo Unit</p> <p>Responding to Disclosures of Sexual Violence MyLO unit</p>

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Training and induction</i> Supervisors create and promote an inclusive research training environment</p>	<p>Supervisors play a vital role in a candidate's career development and potential progression. Modelling and promoting an inclusive research environment and openly discussing a candidate's future career aspirations, assists with developing a bespoke training plan for that candidate.</p>	<p>Inclusive supervisors:</p> <ul style="list-style-type: none"> • ensure HDR candidates receive induction in the Academic Unit of enrolment, • ensure candidates have access to an intellectual and training environment in addition to the training provided during completion of the research project (e.g. school seminars, workshops), • are aware of, and complying with, the University's commitment to inclusion, diversity and equity, • foster an inclusive and vibrant culture for candidates that respects and values diversity, • ensure research training practices and environments are free from discrimination and harassment, and • recognise diversity and ensure the research training and social and cultural environment of the Academic Unit enables and supports the participation of all candidates; including those experiencing disadvantage. 	

HDR Responsibilities Guideline



Principles of Supervision	Characteristics	Practices	Resources
<p><i>Continual professional development</i></p> <p>Excellence in supervision develops iteratively through ongoing critical reflection and professional development.</p>	<p>There is no single formula for good practice in supervision: it will vary by discipline and with reference to the personal styles of supervisors and candidates.</p> <p>With commitment to the spirit of good practice supervisors can develop a robust supervisory approach that is also adaptable to the needs of each candidate and the multitude of different situations which may arise.</p> <p>This occurs through experience, personal reflection, scholarship of research education and engagement with both disciplinary and cross-disciplinary communities of practice.</p> <p>Ongoing, open engagement with professional development can also assist supervisors to maintain and extend their professional skills in this domain.</p>	<p>Examples of ongoing professional development of supervision include:</p> <ul style="list-style-type: none"> • online supervisory training program, • completion of an approved external supervisor training workshop, • completion of online staff development and training units available through MyLO: <ul style="list-style-type: none"> ○ Equal Opportunity on-line training program: Fair Play on Campus, ○ Consent Matters, and ○ Responding to disclosures of Sexual Violence, and • serving as a GRC. 	

Versioning

Versions	Action	Approval Authority	Responsible Officer/s	Approval Date
1	Approved	Dean of Graduate Research	Dean of Graduate Research	19 Apr 2021

Definitions

[applicant](#) | [academic unit](#) | [academic unit of enrolment](#) | [Associate Dean Research](#) | [candidate](#) | [Candidate Management Advisor](#) | [candidature](#) | [co-supervisor](#) | [Dean](#) | [Executive Dean](#) | [Graduate Research Coordinator](#) | [Graduate Research Office](#) | [Head of Academic Unit](#) | [higher degree by research](#) | [primary supervisor](#) | [study mode](#) | [supervisory team](#)

UNDER REVIEW