



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

Policy:

Supervision of Higher Degree by Research (HDR) Students

Effective: 29 August 2019

Audience: Staff and Students

Policy Category: Academic

Policy Sub-category: Research

Key words:	Supervision, Research, Thesis
Policy Owner:	Pro Vice Chancellor, Research
Responsible Officer:	Director, Research Office
Review Date:	August 2022

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1 OBJECTS OF THE UNIVERSITY

The University's Objects are defined in Section 5 of its Act of Parliament:

The Objects of the University are:

- (a) the provision of university education, within a context of Catholic faith and values; and
- (b) the provision of an excellent standard of -
 - i. teaching, scholarship and research;
 - ii. training for the professions; and
 - iii. pastoral care for its students.

2 PURPOSE

- 2.1 The University of Notre Dame Australia (**University**) is committed to the provision of an excellent standard of supervision of Higher Degree by Research (**HDR**) Students.
- 2.2 This Policy outlines principles governing supervision of HDR Students at the University.

3 SCOPE

- 3.1 This Policy applies to all persons involved in the supervision of candidature of HDR Students.

4 PRINCIPLES

- 4.1 A HDR Student shall be supported by a Supervisory Team appointed by the Pro Vice Chancellor, Research (or delegate) and comprising one Principal Supervisor and at least one Associate Supervisor.
- 4.2 Supervisors and HDR Students under their supervision must understand and comply with any relevant national standards and University regulations, codes, policies, procedures and guidelines relating to research.
- 4.3 The relationship between Supervisor and HDR Student is a professional relationship characterised by mutual respect and trust, free from any actual or perceived conflict of interest.
- 4.4 A sexual and/or romantic relationship between a Supervisor and a HDR Student under their supervision is not appropriate.
- 4.5 The relationship of Supervisor and HDR Student is based on shared values of professional integrity and avoiding competing interests in areas such as authorship and intellectual property. Supervisors must ensure that HDR Students receive appropriate credit for their work.
- 4.6 Supervisors, Schools, and Research Office staff must work together to ensure that actions affecting the candidature of International HDR Students are compliant with the *Education Services for Overseas Students Act 2000* and the associated *National Code of Practice for Providers of Education and Training to Overseas Students 2018*.
- 4.7 **Respectful Supervisory Relationships**
 - 4.7.1 Supervisors shall not engage in sexual or romantic relationships with students.

- 4.7.2 If a Supervisor is at risk of such a relationship occurring, or a relationship does occur, a Supervisor must take action to immediately remove themselves from the supervision of the HDR Student and advise the Pro Vice Chancellor, Research who will make alternative supervision arrangements for the student.
- 4.7.3 Supervisors engaging in a romantic or sexual relationship with a student is a breach of the Staff Code of Conduct and the Supervisor will be subject to disciplinary action.
- 4.7.4 If the University becomes aware of an allegation of sexual assault or sexual harassment of a HDR Student by their Supervisor, the University will immediately prioritise the safety and wellbeing of the HDR Student and take appropriate steps in response to the situation.

5 ROLES AND RESPONSIBILITIES

5.1 *General Responsibilities of all Supervisors*

- 5.1.1 Supervisors must have relevant expertise, be active in research activities, have an interest in the HDR Student's research project, and adequate time for supervision of the HDR Student.
- 5.1.2 Supervisors must be active in research and continue to participate in research activities that include, but are not limited to: publishing research outcomes; supervision of HDR Students; applying for grants to support research projects; and being involved in research collaborations and/or industry engagement.
- 5.1.3 Supervisors are expected to ensure that Research Degree training encompasses a range of discipline-based research skills as well as other professional development needs of HDR Students to support their career development and employability.
- 5.1.4 Supervisors are required to continually develop their supervision skills through participation in University induction and supervision training programs and through the practice of supervision.
- 5.1.5 Supervisors are required to provide knowledge, expertise, support and pastoral care to HDR Students during their Candidacy, including in relation to:
 - 5.1.5.1 the development of research proposals;
 - 5.1.5.2 preparation of thesis for examination;
 - 5.1.5.3 ensuring consistent satisfactory progress and timely completion of thesis for examination;
 - 5.1.5.4 timely completion of Candidacy; and
 - 5.1.5.5 encouraging publication and/or dissemination of research findings.

5.2 *Principal Supervisors* are responsible for:

- 5.2.1 providing primary academic oversight of the HDR Student's research project;
- 5.2.2 coordinating the Supervisory Team; this involves, but is not limited to, coordinating the collective feedback from the Associate Supervisors on progress of the Student's Candidacy through formal Progress Review process and provide recommendations to the Dean, as well as the feedback on nomination of thesis examiners, and other matters related to HDR Student support during their Candidacy;
- 5.2.3 endorsing the readiness of the HDR Student's thesis for examination and advising them on addressing feedback from examiners;
- 5.2.4 developing their supervision skills through participation in University supervision training programs and through the practice of supervision;
- 5.2.5 complying with this Policy, and other relevant research codes, regulations, policies and

- procedures, and seeking guidance in the event of uncertainty as to their application;
- 5.2.6 ensuring that HDR Students understand their rights and obligations under any University policies, procedures or guidelines relevant to research, including but not limited to those relating to Research Integrity, Code of Conduct for Research, Intellectual Property, and Ethics Clearance Approvals;
- 5.2.7 ensuring that, wherever possible, HDR Students have advance notice about any planned or unplanned leave during candidature and that suitable supervisory arrangements are made for the period of their leave;
- 5.2.8 providing formal advice on the progress of the HDR Student to the Dean of the relevant School via the Progress Review process; and
- 5.2.9 acting as the administrative contact for the School and/or Institute, and the Research Office.

5.3 Associate Supervisors are responsible for:

- 5.3.1 providing relevant research expertise for the HDR Student's project;
- 5.3.2 ensuring continuity of supervision during leave of Principal Supervisor;
- 5.3.3 developing their supervision skills through participation in University supervision training programs and through the practice of supervision;
- 5.3.4 complying with this Policy, and other relevant research codes, regulations, policies and procedures, and seeking guidance in the event of uncertainty as to their application; and
- 5.3.5 working with the Principal Supervisor and the Supervisory Team to ensure that the HDR Students understand their rights and obligations under any University policies, procedures or guidelines relevant to research, including but not limited to, those relating to Research Integrity, Code of Conduct for Research, Intellectual Property, and Ethics Clearance Approvals.

5.4 Deans are responsible for:

- 5.4.1 managing the process of nomination of the Supervisory Team and requests for a change of nominated supervisor(s) to the Pro Vice Chancellor, Research (or Director, Research Office, as per the University's delegation schedule);
- 5.4.2 providing written confirmation to the Research Office as to the appropriateness of proposed External Supervisors;
- 5.4.3 monitoring and approving staff supervisory loads to ensure appropriateness, and acknowledgement of formal provision of workload for the purpose of supervision; and
- 5.4.4 ensuring adequacy of supervision during any periods of absences of any Supervisory Team member.

5.5 Research Office is responsible for:

- 5.5.1 managing the implementation of this Policy and any procedures relating to supervision of HDR Students;
- 5.5.2 ensuring that External Supervisors are provided with information about University policies and procedures relating to Research and Research Degree supervision; and
- 5.5.3 ensuring that External Supervisors are engaged and remunerated in accordance with a contract of appointment to be entered into prior to the supervision commencing.

5.6 School Research Committee is responsible for managing the review of the HDR Student's Research proposal for confirmation of Candidacy and makes recommendations to the Pro Vice Chancellor, Research (or delegate).

5.7 HDR Students are responsible for:

- 5.7.1 working with their supervisors to clarify and agree on expectations, project

- requirements and responsibilities using a Study Program;
- 5.7.2 meeting with their supervisory team on a regular basis;
 - 5.7.3 submitting a formal Research Proposal under the guidance of the Supervisory Team; and
 - 5.7.4 participating in regular research progress reviews each six to 12 months.
- 5.8 Any HDR Student who has experienced sexual assault or sexual harassment is encouraged to disclose the matter in accordance with the *Procedure: Disclosing Sexual Assault and Sexual Harassment*.

6 RELATED DOCUMENTS

- 6.1 *Procedure: Supervision and Candidacy Process for Higher Degree by Research (HDR) Students*
- 6.2 *Staff Enterprise Agreement 2015-2017*
- 6.3 *Code of Conduct: Research*
- 6.4 *Policy: Student Appeals*
- 6.5 *Guideline: Authorship, Peer Review and Dissemination of Research*
- 6.6 *Procedure: Student Grievances*
- 6.7 *Regulations: Research Degree*
- 6.8 *Australian Code for the Responsible Conduct of Research 2018*
- 6.9 *Higher Education Standards Framework (Threshold Standards) 2015*
- 6.10 *Education Services for Overseas Students Act 2000*
- 6.11 *National Code of Practice for Providers of Education and Training to Overseas Students 2018*
- 6.12 *Code of Conduct: Students*
- 6.13 *Code of Conduct: Staff*
- 6.14 *Policy: Intellectual Property*
- 6.15 *Policy: Sexual Assault and Sexual Harassment*
- 6.16 *Procedure: Disclosing Sexual Assault and Sexual Harassment*
- 6.17 *Universities Australia Principles for Respectful Supervisory Relationships*

7 DEFINITIONS

5.1 For the purpose of this Policy, the following definitions apply:

Associate Supervisor means a person appointed as an Associate Supervisor who meets the requirements set out in the *Procedure: Supervision and Candidacy Process for Higher Degree by Research (HDR) Students*.

Candidacy means a period of enrolment as a HDR Student.

International HDR Student means a student visa holder (Subclass 500) enrolled in a Research Degree at the University.

Higher Degree by Research (HDR) Student means a student enrolled in a Research Degree at the University.

Principal Supervisor means a person appointed as a Principal Supervisor who meets the requirements set out in the *Procedure: Supervision and Candidacy Process for Higher Degree by Research (HDR) Students*.

Research Degree has the same meaning as in the *Regulations: Research Degree*.

School means the School of the University in which the HDR Student is enrolled.

Study Program means a formally developed program of research progress, including timelines for major milestones, formulated in consultation with the candidate's Supervisory Team.

Supervisor means a Principal Supervisor or an Associate Supervisor appointed by the Pro Vice Chancellor, Research (or delegate).

Supervisory Team means a Supervisory Team comprising one Principal Supervisor and at least one Associate Supervisor, as appointed by the Pro Vice Chancellor, Research.

Version	Date of approval	Approved by	Amendment
1	11 March 2019	Vice Chancellor	Effective date – new Policy.
2	29 August 2019	Vice Chancellor	Updated to include Respectful Supervisory Relationships requirements, including reference to University Australia's <i>Principles for Respectful; Supervisory Relationships</i> and the University's sexual harassment and sexual assault policy documents.