



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

# Procedure:

## Supervision and Candidacy process for Higher Degree by Research (HDR) Students

Effective: 29 August 2019

Audience: Staff and Students

Policy Category: Academic  
Policy Sub-category: Research

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Procedure Owner:	Pro Vice Chancellor, Research
Responsible Officer:	Director, Research Office
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## 1 PURPOSE

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- 1.1** This Procedure sets out the processes for candidacy and supervision of Higher Degree by Research (**HDR**) Students and should be read in conjunction with the *Policy: Supervision of Higher Degree by Research (HDR) Students*.

## 2 RELATED POLICIES AND REGULATIONS

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- 2.1** This Procedure should be read in conjunction with any relevant regulations, codes, policies and procedures including, but not limited to, the following:
- 2.1.1 *Australian Code for the Responsible Conduct of Research 2018*
  - 2.1.2 *Education Services for Overseas Students Act 2000*
  - 2.1.3 *National Code of Practice for Providers of Education and Training to Overseas Students 2018*
  - 2.1.4 *Australian Council of Graduate Research Conflict of Interest Guidelines*
  - 2.1.5 *National Health and Medical Research Council Conflict of Interest Guide*
  - 2.1.6 *General Regulations*
  - 2.1.7 *Regulations: Research Degree*
  - 2.1.8 *Code of Conduct: Students*
  - 2.1.9 *Code of Conduct: Staff*
  - 2.1.10 *Policy: Supervision of Higher Degree by Research (HDR) Students*
  - 2.1.11 *Policy: Research Integrity*
  - 2.1.12 *Policy: Intellectual Property*
  - 2.1.13 *Code of Conduct for Research*
  - 2.1.14 *Policy: Student Appeals*
  - 2.1.15 *Policy: Adjunct, Clinical, Academic and Visiting Appointments*
  - 2.1.16 *Procedure: Student Grievances*
  - 2.1.17 *Staff Enterprise Agreement 2015-2017*
  - 2.1.18 *Policy: Sexual Assault and Sexual Harassment*
  - 2.1.19 *Procedure: Disclosing Sexual Assault and Sexual Harassment*
  - 2.1.20 *Universities Australia Principles for Respectful Supervisory Relationships*

## 3 SCOPE

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- 3.1** This Procedure applies to all Staff Members, Adjunct Staff Members and External Supervisors involved in the supervision and candidature of HDR students, and to all HDR Students.

## 4 SUPERVISORY TEAM

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### 4.1 Composition

- 4.1.1 Prospective HDR Students may identify potential suitable members for their Supervisory Team, and confirm their willingness to supervise.
- 4.1.2 The application process for admission of a HDR Student requires completion of the *Supervisor Nomination Form*, which is approved by the Dean of the School enrolling the HDR Student.
- 4.1.3 A Supervisory Team consists of one Principal Supervisor and at least one Associate

Supervisor.

- 4.1.4 The number of Associate Supervisors in a Supervisory Team will be determined according to the Research Project being undertaken, and is at the discretion of the Pro Vice Chancellor, Research (or delegate).
- 4.1.5 A Supervisory Team should include at least one staff member.
- 4.1.6 A Supervisory Team can include an Adjunct Staff Member or an External Supervisor formerly contracted and accountable to the University for supervisory duties.
- 4.1.7 Each of the following expertise, knowledge and skills must be represented in the Supervisory Team:
  - 4.1.7.1 Discipline knowledge and expertise in the proposed field of study; and
  - 4.1.7.2 Expertise in research design and methodology; and
  - 4.1.7.3 Ability to satisfy any supervisory administration requirements, including regulatory compliance relating to research and Research Degree supervision.
- 4.1.8 Changes to a Supervisory team must be approved by the Director, Research Office and the Dean of the School in which the Supervisor is employed.

## **4.2 Principal Supervisor - Eligibility**

- 4.2.1 A person is eligible to be appointed as a Principal Supervisor if they:
  - 4.2.1.1 hold a doctoral degree, or have equivalent research experience; and
  - 4.2.1.2 are active in research and publishing, or otherwise making original contributions to a relevant field or discipline; and
  - 4.2.1.3 have successfully supervised HDR Students to completion, or have relevant experience in Research Degree supervision, and have completed the University supervision training program; and
  - 4.2.1.4 are able to fulfil the roles and responsibilities outlined in Section 5.1 of the *Policy: Supervision of Higher Degree by Research (HDR) Students*.

## **4.3 Associate Supervisor – Eligibility**

- 4.3.1 A Staff Member is eligible to be appointed as an Associate Supervisor, if they:
  - 4.3.1.1 hold a doctoral degree, or have equivalent research experience; and
  - 4.3.1.2 are active in research and publishing, or otherwise making original contributions to a relevant field or discipline; and
  - 4.3.1.3 have completed a University supervision training program; and
  - 4.3.1.4 are able to fulfil the roles and responsibilities outlined in Section 5.2 of the *Policy: Supervision of Higher Degree by Research (HDR) Students*.
- 4.3.2 An Adjunct Staff Member or a researcher from an institution or industry external to the University is eligible to be appointed as an Associate Supervisor if they:
  - 4.3.2.1 hold a doctoral degree, or have equivalent research experience; and
  - 4.3.2.2 are active in research and publishing, or otherwise making original contributions to a relevant field or discipline; and
  - 4.3.2.3 are able to fulfil the roles and responsibilities outlined in Section 5.2 of the *Policy: Supervision of Higher Degree by Research (HDR) Students*.

## **4.4 Absences**

- 4.4.1 In accordance with the Research Degree Regulations, where the Principal Supervisor is to be absent from the University for more than six consecutive weeks, as Acting Principal Supervisor must be appointed by the Pro Vice Chancellor, Research (or delegate), unless adequate supervision can be maintained by the existing Supervisory Team during the period of the absence.

## 5 SUPERVISORY LOAD

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- 5.1 Staff Members supervising more than three EFTSL or more than five HDR Students at any one time, or changes to the Supervisory Team that impact supervision load, must have the approval of the Pro Vice Chancellor, Research and the Dean of the School in which they are employed, for each additional HDR Student. This approval occurs as part of the Supervisory Team nomination and appointment process.
- 5.2 When assessing additional supervisory load, the following should be considered:
  - 5.2.1 Teaching, research and administrative responsibilities of the Staff Member;
  - 5.2.2 Whether the Staff Member has a track record of successful HDR Student completions (within four years for a Doctoral Degree or two years for a Masters Degree); and
  - 5.2.3 The proposed role and load on the Supervisory Team.
- 5.3 As per the *Policy: Supervision of HDR Students*, it is the responsibility of the Dean of the School in which the Supervisor is employed to acknowledge formal provision of workload for the purpose of supervision.

## 6 CANDIDACY PROCESS

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### 6.1 Study Program

- 6.1.1 Supervisors and HDR Students must agree on specific roles and responsibilities expectations and project requirements early in the Candidacy using a Study Program, including responsibilities for ethics approvals and any approvals required to be obtained from external parties.
- 6.1.2 The HDR Student and the Supervisory Team must meet regularly to monitor performance of the HDR Student in relation to time consumed, agreed Study Program and standard required for the award.

### 6.2 Research Proposal

- 6.2.1 The HDR Student must submit and present a formal Research Proposal, written and oral, under the guidance of the Supervisory Team to the School Research Committee (SRC).
- 6.2.2 The SRC assumes responsibility for managing the review of the HDR Student's Research Proposal for confirmation of Candidacy and makes recommendation to the Pro Vice Chancellor, Research (or delegate).

### 6.3 Progress Reviews and Reporting

- 6.3.1 In order to ensure timely completion of the Candidacy, HDR Students are required to undergo regular research progress reviews each six to 12 months.
- 6.3.2 The HDR Student and the Principal Supervisor, in consultation with the Associate Supervisor(s), must submit academic progress reports via the Dean (or delegate) to the Research Office as requested to assist the review process, through which the HDR Student will be provided with affirmation or constructive feedback to ensure satisfactory progress is achieved.
- 6.3.3 The Pro Vice Chancellor, Research, (or Director, Research Office, as per the University's delegation schedule) has the responsibility for approval of the academic progress of a HDR Student.
- 6.3.4 Progress reviews and reporting provide HDR Students and Supervisors an opportunity to raise any issues that may affect progress, including personal matters and concerns relating to supervision.

### 6.4 Thesis for Examination

- 6.4.1 The Principal Supervisor provides the School Research Committee with a statement certifying that the HDR Student's thesis is ready for examination and that it is the original work of the HDR Student to the best of their knowledge.
- 6.4.2 The Principal Supervisor is responsible for completing the *Examiner Nomination Form*. This Form requires the approval of the Dean of the School in which the HDR Student is enrolled.
- 6.4.3 The Principal Supervisor advises the HDR Student on addressing feedback from the examiners and revision to be made.

## 7 CONFLICTS OF INTEREST

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- 7.1 In an instance where an HDR Student believes there to be a conflict of interest, for example, in the appointment of a Supervisor or Examiner, the principles and processes outlined in the *Australian Council of Graduate Research Conflict of Interest Guidelines*, the *National Health and Medical Research Council (NHMRC) Conflict of Interest Guide* and the *University's Code of Conduct: Research* should be followed.

## 8 COMPLAINTS

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- 8.1 Where the Supervisors do not wish to discuss the matter with the HDR Student or the other members of the Supervisory Team (e.g. in the event of a breakdown in the supervisory relationship) the matter should be discussed with the relevant campus HDR Coordinator within the Research Office. If the matter cannot be resolved by the Research Office, it should be resolved in accordance with the *Procedure: Student Grievance*.

## 9 RELATED DOCUMENTS

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- 9.1 *Supervisor Nomination Form*
- 9.2 *Examiner Nomination Form*

## 10 DEFINITIONS

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- 10.1 For the purpose of this Procedure, the definitions outlined in the *Policy: Supervision of HDR Students* apply.

- 10.2 In addition, the following definitions apply to this Procedure:

**Adjunct Staff Member** means a person appointed as an Adjunct Staff Member in accordance with the *Policy: Adjunct, Clinical Academic and Visiting Appointments*.

**Candidacy** means a period of enrolment as a HDR Student.

**EFTSL** means Equivalent Full Time Study Load.

**External Supervisor** means a person appointed to a Supervisory Team who is not a Staff Member or Adjunct Staff Member.

**Research Degree** means a degree in which an original research investigation is undertaken in order to gain knowledge and understanding. The degree shall entail a minimum two-thirds research component. It includes work of direct relevance to the needs of the professions and industry, as well as to the public and voluntary sectors; scholarship; the

invention and generation of ideas, images, performances and artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved material, devices, products and processes, including design and construction.

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

**Research Office** means the Research Office of the University.

**Research Project** means a project undertaken in fulfilment of Research Degree requirements.

**Research Proposal** means a formal proposal of a student, written under the supervision of the Supervisory Team.

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






**Staff Member** has the same meaning as in *The University of Notre Dame Australia Staff Enterprise Agreement 2015-2017* or such other enterprise agreement as may be in force from time to time.

**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 either a Principal Supervisor or an Associate Supervisor who is part of a Supervisory Team undertaking supervision of a HDR Student.

Version	Date of approval	Approved by	Amendment
1	11 March 2019	Vice Chancellor	Effective date – new Procedure.
2	29 August 2019	Vice Chancellor	Minor amendments to complaints section and inclusion of reference to Universities Australia's <i>Principles for Respectful Supervisory Relationships</i> and the University's sexual harassment and sexual assault policy documents.

## 11 PROCESS SUMMARY

<b>Process Step</b>	<b>Responsibility</b>
	
<b>Nomination and appointment of Supervisory Team</b> <ul style="list-style-type: none"> <li>• <i>Supervisor Nomination Form</i> approved and sent to the Director, Research Office.</li> <li>• Formal approval of the Supervisory Team</li> </ul>	Dean of the School (or delegate) PVC, Research (or delegate)
	
<b>Absence of Principal Supervisor</b> <ul style="list-style-type: none"> <li>• Where a Principal Supervisor plans to be absent for more than six consecutive weeks, an Acting Principal Supervisor must be appointed by the Pro Vice Chancellor, Research (or delegate), unless the Dean determines that adequate supervision can be maintained by the existing Supervisory team during the period of absence.</li> </ul>	Dean of the School (or delegate)
	
<b>CANDIDACY PROCESSES</b>	
<b>Development of Study Program</b> <ul style="list-style-type: none"> <li>• Joint agreement on specific roles and responsibilities, expectations and project requirements, as per the University's <i>Regulations: Research Degree</i>.</li> </ul>	HDR Student, and Supervisory Team members
	
<b>Submission of Research Proposal</b> <ul style="list-style-type: none"> <li>• Formal Research Proposal submitted and presented, under guidance of the Supervisory Team and School Research Committee, for confirmation of candidacy.</li> <li>• Research proposal submitted to the Research Committee.</li> <li>• Final review of the Research Proposal for confirmation of candidacy.</li> </ul>	HDR Student  Supervisory Team  Research Committee
	
<b>Progress Reviews and Reporting</b> <ul style="list-style-type: none"> <li>• Progress reviews undertaken each six to 12 months, in accordance with agreed Study Program.</li> </ul>	HDR Student with Supervisory Team



<ul style="list-style-type: none"> <li>• Report on academic progress submitted to Research Office via the Dean.</li> </ul>	HDR Student with Supervisory Team
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<p><b>Submission of Thesis</b></p> <ul style="list-style-type: none"> <li>• Verification that the HDR Student's thesis is their original work and that the thesis is ready for examination.</li> <li>• Appointment of examiners, via the <i>Examiner Nomination Form</i>.</li> <li>• Advice to the HDR Student on addressing feedback from the examiners and revisions to be made.</li> </ul>	Principal Supervisor  Principal Supervisor  Principal Supervisor
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