Responsibilities for Supervision of HDR Candidates Procedure

Policy Code: RS1956

Table of Contents

Purpose ......................................................................................................................................................... 1
Scope ............................................................................................................................................................ 1
Legislative Context ......................................................................................................................................... 1
Definitions ...................................................................................................................................................... 1
Actions ........................................................................................................................................................... 2
Supporting Documents .................................................................................................................................. 13
Responsibility ............................................................................................................................................... 14
Promulgation ................................................................................................................................................ 14
Implementation ............................................................................................................................................. 14
Records Management ................................................................................................................................... 14

Purpose

This Procedure is to enable persons involved in the supervision of Higher Degree by Research candidates, and candidates enrolled in a Higher Degree by Research to understand their roles and responsibilities.

Scope

This Procedure applies to:

- All candidates undertaking a Federation University Australia higher degree by research, and,
- All persons with candidature oversight and supervisory responsibilities for higher degree by research candidates.

Legislative Context

Regulation 5.1 – Higher Doctorates, The Doctoral Degree (Research), The Doctoral Degree (Professional), and The Masters Degree (Research).

Definitions

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Supervisor:</td>
<td>A person who is an employee of the University and has prime responsibility for guiding the progress of a designated higher degree by research student.</td>
</tr>
<tr>
<td>Provisional Principal Supervisor:</td>
<td>A person who, under the direction of an appropriately experienced mentor, has responsibility for guiding the progress of a designated higher degree by research candidate.</td>
</tr>
<tr>
<td>Term</td>
<td>Definition</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Associate Supervisor:</td>
<td>A person who is an employee of the University and provides support to the student and to the Principal Supervisor.</td>
</tr>
<tr>
<td>Co Supervisor:</td>
<td>A person who provides support to the student and to the Principal Supervisor but is external to the University and is not an employee of the University.</td>
</tr>
<tr>
<td>RHDSC - Research Higher Degrees Sub-Committee</td>
<td>The RHDSC, a Sub-committee of Research Committee, handles all operational matters requiring Committee approval that relate to HDR students.</td>
</tr>
<tr>
<td>Supervisory Panel</td>
<td>Is a panel consisting of at least two members (including the principal supervisor and at least one associate supervisor) which oversees the planning and execution of the project and preparation and submission of the thesis.</td>
</tr>
</tbody>
</table>

**Actions**

**Responsibilities for supervision of HDR candidates**

The Responsibilities for Supervision of Higher Degree by Research CandidatesProcedure identifies the reciprocal and shared responsibilities of the University, Schools and Faculties, HDR candidate supervisors, and HDR candidates. The Procedure is based in part upon the principles outlined in the [Australian Code for the Responsible Conduct of Research](https://www.arc.gov.au/). The Procedure is divided into five parts:

- Responsibilities of the University
- Responsibilities of the Faculty
- Responsibilities of the supervisor
- Responsibilities of the candidate
- Conflicts of interest

**Responsibilities of the University**

The University is responsible for ensuring that appropriate policies relating to research and research training are developed and implemented University-wide. The policies apply to candidates enrolled in HDR programs at Federation University Australia, including candidates enrolled in external/off campus mode, and Faculties and supervisors involved in the candidature of those candidates. The University maintains an environment in which responsible and ethical behaviour in research is expected. The research governance framework of the University is designed to ensure compliance with applicable laws, regulations, guidelines and codes of practice governing the conduct of research. The University acts to ensure that the following conditions are met.

**Standards and requirements**

- Key documents on the responsible conduct of research, including the [Australian Code for the Responsible Conduct of Research](https://www.arc.gov.au/) and the University’s own policies, procedures and guidelines on the conduct of research, are readily accessible.
- Adequate and accurate information is provided and induction procedures are followed.
- Clear policies, procedures, and guidelines exist for all aspects of candidature, including the thesis examination process for examiners/adjudicators, outlining in particular the University’s expectations for research degrees.
- A safe working environment is maintained for the conduct of research.
• A positive culture within Schools and Faculties is promoted for the benefit of candidates
• The University’s administrative procedures assist candidates to complete their degrees as expeditiously as possible.

Supervisors
• All supervisors are aware of the need to implement the relevant national and University codes of practice, policies and procedures for the conduct of research, and of the requirements and operations of the ethics committees.
• Adequate provision is made for professional development of supervisors and potential supervisors.
• When a supervisor is no longer authorised or is unable to continue in the role, the relevant academic unit is notified so it can initiate procedures to identify and appoint a suitable replacement supervisor within two weeks.

Access to resources
• The candidate, where necessary, has access to guidance and tuition in skills development such as communication, statistical advice and general research skills needed to conduct a research project.
• There is access to appropriate physical space and research resources.

Intellectual property
• The intellectual property rights of all parties are clearly articulated and protected.

Grievance procedures
• There are grievance procedures by which either the candidate or the supervisor may make representations as appropriate, should significant difficulties arise.
• There are appeals procedures setting out the grounds on which, and means whereby, candidates may appeal against the conduct and outcome of the examination and evaluation of their candidature.
• Separate procedures apply in the event of non-confirmation and termination of candidature.

Research misconduct procedures
• Candidates are made aware of the University’s research misconduct guidelines and regulations.
• There are clear guidelines for dealing with potential conflicts of interest.

Authorship and publications
• The University promotes an environment of honesty, integrity, accuracy and responsibility in the dissemination of research findings. Specific aspects of conduct are presented in Sections 4 and 5 of the Australian Code for the Responsible Conduct of Research.

Data retention
• The University’s Research Data Management policy and guidelines on the safe and secure retention and disposal of materials and research data are readily available. The University’s policy in this area is based upon the Australian National Data Service (ANDS) guidelines on data management issues. Specific aspects of conduct are presented in Section 2 of the Australian Code for the Responsible Conduct of Research.

Responsibilities of the School and Faculty

Normally, the following responsibilities would be undertaken by the Executive Dean of the relevant Faculty or delegated nominee, in this case the Associate Dean, Research. The Faculty is responsible for advising candidates to familiarise themselves with the reporting lines and candidature management arrangements for their Faculty.

The Faculty acts to ensure that the following conditions are met.

Selection and admission

• The candidate appears to have the capacity required to undertake the course successfully and in reasonable time.
• The proposed research project is appropriate for the degree.
• The Faculty is the most appropriate one in which the research should be undertaken.
• Due recognition is given to the research interests and ability of the candidate in determining the project.
• Information is provided to prospective candidates about the research interests and experience of all staff in the Faculty.

Supervision arrangements

• The proposed supervisory panel is sufficiently expert and interested in the area of research to offer the candidate appropriate supervision.
• The proposed supervisor(s) are listed on the Register of Research Higher Degrees Supervisors at Federation University Australia, and their role(s) in the supervisory team are in accordance with the level at which they have been registered (i.e. Principal Supervisor, Associate Supervisor etc.)
• When a supervisor is no longer authorised or is unable to continue in the role, the relevant ADR or HDRC initiates procedures to appoint a replacement, as per Supervision of Higher Degree by Research Candidates Procedure within 10 working days.

Workload for supervisors

• The supervision of HDR candidates is appropriately identified in performance development profiles which are used to manage the overall workloads for academic staff.
• The workload of the supervisor is such as to allow sufficient time to give proper supervision to the candidate, according to the guidelines in this Code.
• Supervisors must be provided with opportunities for adequate professional development.
• Supervisors must be afforded adequate recognition of the workload required to supervise their HDR candidates.
• Supervisory load limits for a supervisor are determined by the supervisor’s level of registration.
• In cases of poor supervision performance or serious violation of this Code and on the advice of the RHDSC, additional limits may be placed on the supervision load and level of registration of an academic staff member, for a period of time deemed appropriate.
If a supervisor is unable to supervise for a period in excess of 3 months, the supervision arrangement should be reviewed and an alternative supervisor appointed prior to the supervisor’s absence. For a period of absence or less than 3 months the associate supervisor may act as principal supervisor.

Appointment of supervisors

- The appointment of the supervision panel is determined and agreed upon in consultation with the candidate.
- On appointment, all members of the supervision panel should agree on their respective roles and responsibilities, and this should be communicated to the candidate.
- One member of the supervisory team, normally the principal supervisor, is responsible for administrative tasks.

Faculty HDR coordinators

- One or more senior academic staff members with appropriate supervision expertise should be appointed within each faculty to act as a HDR coordinator to monitor the general progress and welfare of candidates.
- The coordinators, in association with the ADRs where applicable, will provide advice on admissions, confirmations, milestones, scholarships and grievances, and their workloads should be appropriately recognised.
- The Faculty HDR coordinators should have access to appropriate administrative support.

Provision of information on requirements, policies and procedures

The Faculty should ensure that written information is provided to all candidates giving details on the requirements, candidature management arrangements relating to all graduate matters administered by the Faculty including:

- A statement on the facilities and resources available to full-time and part-time candidates within the Faculty and the University (e.g. library, computing and technical facilities, statistical advice, writing skills, language support and other such centrally delivered skills training and coursework components); information on the responsible conduct of research, and policies on authorship and intellectual property, including the nature and scope of confidentiality agreements;
- Provision of clear instructions on University and Faculty OH&S policies, procedures and arrangements.
- Advice that the candidate’s program may not be unreasonably influenced or redirected by political, Commercial or industrial factors and that publication may not normally be delayed by external sponsors beyond 12 months;
- Guidance to candidates on communicating their research findings through the media;
- Faculty/ University policies and procedures on the timing and mode of presentation of the confirmation of candidature requirements;
- A clear statement on the applicable policies, procedures and financial support available for fieldwork, conference attendance and research related travel;
- Grievance and complaints procedures, whereby candidates may make representation to the Executive Dean, ADR, HDRC, other appropriate officer and/or Faculty/University committee, if they believe that their work is not proceeding satisfactorily for reasons outside their control, especially in situations involving problems in supervision or unresolved conflict between candidates and supervisors;
- Advice on data management including the requirement for safe storage and retention of the candidate’s research data for a period of at least five years after acceptance of the thesis, and provision of facilities for same. Note: data retention guidelines in some research disciplines may exceed five years.

Consultation between Faculty staff and candidates

Warning - Uncontrolled when printed! The current version of this document is kept on the FedUni website.

Authorised by: Deputy Vice-Chancellor (Research & Innovation) | Document Owner: Director, Research Services | Original Issue: 19/10/2015 | Current Version: 19/10/2015 | Review Date: 19/10/2020 | Policy Code: RS1956
CRICOS Provider Number: 00103D
Page: 5 of 14
The Faculty should ensure that mechanisms are in place to promote regular consultation between academic staff and candidates, including:

• Orientation programs at the Faculty or other appropriate level for candidates and their supervisors to outline procedures, give advice and discuss the University’s expectations of candidates and supervisors;
• Seminars on research procedures relevant to graduate-level research;
• A regular program of graduate seminars in the Faculty’s research areas;
• Training workshops on appropriate occupational health and safety procedures;
• Seminars on appropriate training in ethical issues and related procedures;
• Seminars and courses to provide information and skills development as well as opportunities for all candidates to participate in the intellectual and social life of the Faculty;
• Access to common rooms or tea rooms to encourage collegial interaction within the Faculty.

Human and physical resources

The University recommends the following minimum facilities for higher degree by research candidates:

• Furnished office/studio space, normally with 24-hour access (which may be a shared space for part-time and external candidates);
• Mail box and secure storage space;
• Personal computer access (sole use for full-time, on-campus candidates);
• Appropriate level of access to photocopying, printing and stationery, software and internet access and IT support;
• Access to unlimited local and internal telephone and facsimile calls for work purposes, and access to interstate and international calls as determined by the Faculty.

Candidates are encouraged to make submissions regarding the provision of adequate human and physical resources within their Faculty. The research environment must be sensitive to cultural differences and the special needs of candidates with disabilities.

Duration of candidature

The expected duration of candidature does not exceed four years full-time-equivalent for a Doctoral degree and two years full time equivalent for a Masters degree; however it should be noted that many scholarships do not exceed three or three point five years. The Faculty must ensure the project is feasible in terms of time, facilities, equipment, technical and resource staff, source materials and funding for the expected duration of candidature. The scope of the project should take into account the maximum duration of candidature and the duration of any relevant scholarship(s).

Responsibilities of the supervisor

It is the responsibility of a supervisor to provide ongoing research supervision and maintain a professional relationship at all times throughout the candidature until such time as supervisory arrangements are formally changed.

The supervisors should ensure the following protocols are met.

University policy

• Supervisors adhere to all codes of conduct, policies, procedures and guidelines adopted by the University.
• Supervisors understand and adhere to the University’s policy on intellectual property as it applies to research candidates.
• The direction of the research work is entirely under the control of the University and the candidate in accordance with University policy.

Guidance to candidates
• Guidance is given to candidates regarding the requirements and timelines for progress reviews including confirmation of candidature.
• Guidance is given to candidates regarding the selection of any optional coursework and/or training activities that form part of Doctoral Degree programs.
• Guidance is provided about the nature of research and the standard expected, refining the research topic, planning the research program, presenting a research proposal, literature and sources, attendance at taught classes where appropriate, requisite techniques and research methods, and other relevant skills.
• The supervisors are to be particularly sensitive to the need to ensure productive use of the candidate’s time, especially in the first year of candidature. The candidate is encouraged to show initiative and self-motivation so that he/she will be able to pursue independent research with confidence in the final stages of candidature.
• Constructive feedback on the quality of English expression and editing skills is given along with appropriate referral to support services if required.
• Help is given to the candidate to interpret and understand examiners' reports and how to meet their requirements.

Establishment of timelines
• Detailed advice is given on the necessary completion dates of successive stages of work so that the thesis may be submitted within the scheduled time and all coursework and/or training requirements completed at appropriate stages of candidature.
• A schedule of regular contact (recommended: at least every two weeks for full-time candidates and at least monthly for part-time candidates) is established and maintained with the candidate. Meetings may include tools that allow real time interaction, such as telephone and Skype.
• Regular written work, interim reports or research results, including the final draft of the thesis, and details of completed training activities are requested as appropriate and such work returned with constructive criticism, normally within two weeks for chapter-length drafts and as negotiated for longer pieces but normally within one month.

Changes to supervisory arrangements
• Where a change in research direction occurs, appropriate supervisory adjustments are negotiated as required.

Occupational health and safety
• The candidate is adequately trained in safe working practices relevant to the field of research and adheres to the University's occupational health and safety policies.

Responsible research practice and ethics
• The candidate and supervisory panel are aware of the Australian Code for the Responsible Practice of Research.
• The candidate and supervisor follow ethical practices appropriate to the particular discipline and relevant profession, and as specified by the relevant University committees and by the ethics guidelines set by any relevant funding body.

• Candidates enrolled in external mode, and other candidates who are undertaking research as part of a joint project with one or more partner organisations, observe the ethics guidelines and cultural sensitivity guidelines of both Federation University Australia and the other institution(s).

• The candidate and principal supervisor obtain all necessary clearance with respect to ethics in research on humans, animal experimentation, hazardous materials and biosafety.

Presentations
• Arrangements are made, as appropriate, for candidates to make presentations of their research work at Faculty seminars.

Meetings and candidate involvement in Faculty activities
• The candidate is encouraged to meet other researchers in the field and to attend meetings or conferences as appropriate.

• The candidate plays a full and active role in the intellectual life of the Faculty. This is particularly important for part-time candidates and those whose major work is being conducted away from the Faculty, under external mode or in a joint project with a commercial, educational or partner organisation.

Support services
• Advice is given on the availability of relevant academic and other support services provided by the University.

Publication and co-authorship with candidates
• The candidate is encouraged, where appropriate, to publish and disseminate the results of their research responsibly.

• The candidate’s findings are accurate and reported appropriately.

• The candidate is made aware that works of others are cited accurately and appropriately.

• The candidate is made aware that it is not acceptable to submit the same research findings to several publications, except in particular circumstances such as review articles, anthologies, collections and translations; and the candidate therefore takes reasonable steps to obtain permission from the original publisher before republishing research findings. Publication must include information on all sources of financial and in-kind support for the research and any potential conflicts of interest.

• The candidate is made aware that publication of their research may not be unreasonably influenced or redirected by political, commercial or industrial factors and is aware of the nature and scope of confidentiality agreements and the extent to which any contractual arrangements may restrict, delay or limit publication (although not normally by more than 12 months).

• Agreement is reached with the candidate concerning authorship of publications and acknowledgment of contributions during and after candidature. There should be open and mutual recognition of the candidate’s and all supervisor’s contributions on all published work arising from the project. It should not be automatically assumed that a supervisor’s name or candidate’s name will appear on all such published work.

Specific aspects of conduct are presented in Section 4 (Publication and dissemination of research findings) of the Australian Code for the Responsible Conduct of Research.
Intellectual property

• The candidate is fully aware of the University policy and guidelines on intellectual property and implications for their research.

Regular advice on progress

• The candidate is required to consult their supervisors when preparing confirmation of candidature and annual reports. The principal supervisor must endorse any reports prior to their presentation to the confirmation panel.
• The candidate is made aware of inadequate progress by the principal supervisor who specifies the problems and suggests ways of addressing them.
• Supervisors who think they may become obliged to recommend that a candidature be terminated because of unsatisfactory progress, must do so in accordance with the University’s termination procedures.
• Reports are made regularly as required on the candidate’s progress to the relevant bodies as appropriate.

Thesis preparation and presentation

• The thesis is properly presented and is worthy of examination
• The research and writing embodied in the thesis are that of the candidate except where due reference is made in the text.
• Thesis work submitted must not contain any material which has been accepted for the award of any other degree or diploma in any university or other institution. The candidate must affirm that to the best of their knowledge the thesis contains no material previously published or written by another person, except where due reference is made in the text of the thesis.
• Any assistance provided during the research phase, or any editorial assistance in the writing of the thesis, has been appropriately described and acknowledged.
• Where the thesis is based on conjointly published or unpublished work, both the extent and the nature of the contributions of the candidate and the co-authors are stated.
• The thesis demonstrates the candidate’s capacity to carry out independent research.

Nomination of possible examiners

• The principal supervisor advises the Executive Dean of the names of possible examiners, after consultation with the candidate.

Retention of data

• Original data are recorded in a retrievable, confidential, durable and appropriately referenced form and stored safely for a period appropriate to the discipline. The period for most cases suggested in the Australian Code for the Responsible Conduct of Research is at least five years from the date of publication. However, for specific types of research, such as clinical trials, 15 years or more may be appropriate.

Absence of the supervisor
The principal supervisor must notify the candidate of their intention to go on leave for a period of two weeks or longer. If the period of leave is longer than 3 months, an alternative principal supervisor must be appointed prior to the supervisor’s absence. For a period of absence up to 3 months, the associate supervisor may act as principal supervisor.

Resignation or retirement of a supervisor

A supervisor must notify the candidate of the intention to cease employment at the University as soon as practicable.

Responsibilities of the candidate

It is the responsibility of the candidate to maintain a professional relationship at all times with the supervisor and other University staff and in relation to the following protocol.

Regulations and guidelines

- Be familiar with and adhere to the appropriate degree and Faculty guidelines and other information including national research codes of practice pertaining to graduate research.
- Undertake induction, training courses, enabling or mandatory coursework units as soon as practicable after commencing candidature and by relevant milestones as required.

Use of resources and facilities

- Use the resources, facilities and opportunities available in a timely and responsible manner to facilitate progress in the research project.
- Acquire or improve the skills and knowledge required for completion of the research project.

Faculty activities and meeting with other researchers

- Contribute to the development of the intellectual community provided by the Faculty.
- Be aware of opportunities for meeting other researchers in the field and attend seminars, meetings and conferences, as appropriate.

Safe working practices

- Adopt, at all times, safe working practices relevant to the field of research and adhere to the University’s Occupational Health and Safety Requirements.

Adherence to ethical practices

- Develop a personal ethos of appropriate research practices and conduct.
- Adhere to research practices laid down in the Australian Code for the Responsible Conduct of Research.
- Where necessary, comply with provisions in University policy and procedure which relate to Show Cause, Grievances, Problems and/or Appeals.
Follow ethical practices appropriate to the particular discipline and relevant profession, and as specified by the University's ethics committees and policies on ethical human and animal research and biosafety, and the ethics guidelines set by any relevant funding body.

Seek clarification and further information from the supervisor or other appropriate senior researcher on any aspect of research policy and conduct, as required.

When undertaking research as part of a joint project with a commercial, educational or industrial partner, observe the ethics guidelines and the occupational health and safety requirements of both the University and the partner organisation.

Prior to disseminating the results of the research by publication or other means, consult with, and obtain the agreement of, the supervisor.

Ensure the research is not unreasonably influenced or redirected by political, commercial or industrial factors.

Specific aspects of conduct are presented in Section 5 (Publication and dissemination of research findings) of the Australian Code for the Responsible Conduct of Research.

Retention of data

Ensure that original data are recorded in a retrievable, durable and appropriately referenced form and stored safely for a period appropriate to the discipline, but in any case at least five years from the date of publication. (Note, however, that for specific types of research such as clinical trials, 15 years or more may be appropriate.)

Meetings/communication with supervisors

Initiate discussions or communication with the supervisors on the type of guidance and comment considered most helpful, and agree to a schedule of meetings which will ensure regular contact.

Notify supervisors of any planned leave or unexpected absences from the academic unit.

Negotiate planned leave with the supervisors and follow appropriate approval processes.

Discuss with the supervisors, HDRC or ADR any concerns regarding current supervision arrangements and any intention to investigate new supervisory arrangements prior to approaching potential replacement supervisors.

In the case of external candidature, negotiate with the supervisors an effective means of real-time communication and a schedule of on-campus attendance or equivalent research activities, such as attendance at a conference when a supervisor is also present, thus ensuring that the candidate is able to participate in the intellectual life of the academic unit.

Employment

Before accepting employment, consult with the principal supervisor to ensure such work does not unduly impede the satisfactory progress of the research work.

Grievance procedures

Take the initiative in raising problems or difficulties and seeking solutions to these problems.

Be aware of grievance procedures, but seek negotiated solutions to any problems before recourse to those procedures.

Documentation of progress
• Document the progress of the work as agreed with the supervisors, and present written or other material at agreed times including confirmation of candidature.
• Undertake, in association with the supervisors, other reports as required.
• It is the responsibility of the candidate, as well as the supervisors, to bring to the attention of the University any problems that may have hindered the progress of the research. This may be done via the relevant Executive Dean, ADR, HDR coordinator or via administrative staff within Faculties or within Research Services.

Examination
• Prepare the thesis for examination, including arrangements for its production, proofreading and binding after consulting with the supervisor, as appropriate, regarding matters of style and presentation.
• Ensure the research and writing embodied in the thesis are the candidate's own except where due reference is made in the text.
• Thesis work submitted must not contain any material which has been accepted for the award of any other degree or diploma in any university or other institution. The candidate must affirm that to the best of their knowledge the thesis contains no material previously published or written by another person, except where due reference is made in the text of the thesis.
• Acknowledge and describe any assistance provided during the research phase or any editorial assistance in the writing of the thesis.
• Where the thesis is based on conjointly published or unpublished work, state both the extent and the nature of the contributions of the candidate and the co-authors.

Conflicts of interest
Specific information on conflicts of interest are presented in Section 8 of the Australian Code for the Responsible Conduct of Research. Faculties, candidates and supervisors should be aware of potential conflicts of interest relating to research and to the candidate–supervisor relationship.
Conflicts of interest are defined as situations where there exists or appears to exist a divergence between the interests of the supervisor and those of the candidate, or between the interests of the candidate and supervisors and those of the University, such that an independent observer might reasonably question whether the professional actions or decisions of that person have been influenced by their own interests.
Potential conflicts of interest may arise in relation to the following:

Affiliation/financial involvement related to the research project
• Candidates and their supervisors must fully disclose to each other and their respective Faculty any affiliation or financial involvement with any organisation sponsoring or providing financial support for a project undertaken by the candidate. Financial involvement includes direct financial interest, provision of benefits (such as travel and accommodation) and provision of materials or facilities.

Participation of candidates in submission of grants or funding applications
• Candidates and their supervisors are to ensure a candidate’s involvement in the preparation of a grant application does not impede progress in the research degree.

Candidates are to be:
• Informed of the progress of the grant application and the outcome;
• Involved in negotiations which may include, for example, continued participation in a project where a chief investigator relocates elsewhere; and
• Informed of all key decisions with respect to the discharge of the obligations of a successful grant application.

A supervisor overseeing the employment of a candidate

Faculties must be aware that a conflict of interest may arise where a supervisor oversees the employment of a candidate as a staff member of the University, whether this be in a teaching or other capacity, and must have in place mechanisms to allow recourse for candidates in the event that such conflict interferes with the progress of their research program.

Relationships between supervisors and candidates

Faculties will not appoint a supervisor who is a relative or close associate (e.g. friend, spouse or business partner) of the candidate and which could give rise to undue advantage or disadvantage to the candidate. Should a close association subsequently develop during the course of candidature, the Faculty would normally make arrangements for alternative supervision if such association could give rise to undue advantage or disadvantage to the candidate in relation to the candidature.

Relationships between examiners, candidates and supervisors

Faculties will not nominate an examiner who is a relative or close associate (e.g. friend, spouse or business partner) of either the candidate or a supervisor, which could give rise to undue advantage or disadvantage to the candidate. Faculties are responsible for ensuring that there is no existing relationship between examiners, candidates and supervisors.

Academic decision making and awarding of financial and material assistance

A staff member will be prohibited from participating in academic decision making and assessment procedures (including the determination of a final result) for a relative or close associate, and from having involvement in the awarding of grants, scholarships and other forms of financial and material assistance to such persons.

Privileged relationships between supervisors

Faculties must be made aware of privileged relationships between candidates and prospective supervisors or between prospective supervisors (such as marriage or other close personal relationships) which might potentially create a conflict of interest in their supervision of the candidate.

Supporting Documents

• Australian Qualifications Framework
• TEQSA Higher Education Standards Framework
• Higher Degree by Research Candidate Supervision Procedure
• Higher Degrees by Research Roles and responsibilities Procedure
Responsibility

Supervisors, students and the University are responsible for adhering to the actions outlined in this Procedure.

Promulgation

The Responsibilities for Supervision of HDR Candidates Procedure will be communicated throughout the University via:

1. an Announcement Notice under ‘FedNews’ website and through the University Policy - ‘Recently Approved Documents’ webpage to alert the University-wide community of the approved Policy;
2. inclusion on the University Policy, Procedure and Forms website; and/or
3. distribution of e-mails to Head of School / Head of Department / University staff; and/or
4. documentation distribution, eg. posters, brochures.
5. Other - please describe

Implementation

The Responsibilities for Supervision of HDR Candidates Procedure will be implemented throughout the University via:

1. Information Sessions; and/or
2. Training Sessions; and/or
3. Other - please describe

Records Management