Research and Research Training Policy

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Purpose

This policy mandates the Research and Research Training structures and operations for Federation University Australia in accordance with the Federation University Australia Act 2010 and any other applicable legislative and regulatory bodies. This policy must be followed in conjunction with supporting statutes, regulations and policy documents.

Reconciliation statement

Federation University is deeply committed to embedding Indigenous and reconciliation matters throughout all areas of the University. Our key policy areas will complement and engage with our Indigenous and reconciliation strategies across the University.

Anti-Modern Slavery Statement

Federation University Australia acknowledge that modern day slavery and the exploitation of an individual's rights and freedoms is a complex global issue. We are committed in doing our part to identify and prevent instances of modern slavery in all forms.

Scope

This policy applies to all persons who conduct research as a member of the Federation University. This includes:

- Staff
- Adjunct and honorary
- Consultants, contractors
- Staff and students of partner organisations
- Students enrolled in Higher Degree by Research Programs of study
- Students enrolled in undergraduate programs with a research component such as honours students

Definitions

Term	Definition
Foreign Principal	Includes the following: • a Foreign Government • a Foreign Political Organisation • a Foreign Government Related Entity • a Foreign Government Related Individual
ORCID	Open Researcher and Contributor ID. A unique persistent identifier (PID) that assists researchers to distinguish their work from others and ensure proper attribution of publications and other research activities. More information can be found at www.orcid.org.
Registrable activities	Includes the following: • Parliamentary Lobbying • General Political Lobbying • Communications Activities • Disbursement Activity (payment of money or things of value).
Sanctions	Measures not involving the use of armed force that are imposed in situations of international concern and are designed to bring a situation of international concern to an end by influencing those responsible in a bid to limit the adverse impacts of a situation or to penalise those responsible.

Policy statement

Federation University is committed to research excellence. This is achieved through research integrity and ethical conduct. Research conducted through Federation University must comply with all relevant legislation, standards, regulations and funding requirements. This policy is written in adherence to the Higher Education Standards

Framework (Threshold Standards) 2021, legislated under the Tertiary Education Quality and Standards Agency Act 2011.

The following policy statements outline the requirements for the university community when planning for, conducting and reporting research.

1. Research structures

1.1 Designated research centres and groups

Federation University promotes and supports multi-disciplinary research that supports social and economic regional development. Multi-disciplinary research teams are supported through university sponsored designated research centres and groups.

Designated research centres and groups are approved by the Vice-Chancellor and University Council upon the recommendation of the Pro Vice-Chancellor (Research and Innovation). Teams of academic staff may apply for designated research centre or group status if they meet published research performance standards in:

- Income generation
- Publication volume and quality
- Best practice supervision of research students and early career researchers.

Research Centre Directors report directly to the Research and Innovation portfolio and manage the research time allocated to its academic staff members. Directors are responsible for assuring that research is conducted at world standards according to TEQSA guidelines.

1.2 Joint venture research centres and groups

Occasionally, academic staff will conduct research within join venture organisations that can be directed by a member of staff from a partner organisation.

Joint research ventures will be approved by the Vice-Chancellor and Council upon the recommendation of Pro Vice-Chancellor (Research and Innovation), who will be responsible for reporting on the management and conduct of research activities.

2. Research integrity, conduct and misconduct

Federation University is committed to a search for knowledge and understanding, to the recognised principles of research conduct, to the honest and ethical conduct of research, and to the honest and open dissemination of results. Federation University adheres to the Australian Code for the Responsible Conduct of Research The Code and requires all researchers and research managers to be familiar with its provisions and to conduct their research and related tasks in accordance with these provisions and all other relevant legal, regulatory and policy requirements.

2.1 Integrity and conduct

The University operates in accordance with the principles of a strong research culture, and will foster an environment where individuals:

- Conduct and manage research with honesty and integrity;

- Respect human research participants, animals and the environment;
- Demonstrate good stewardship of public resources used to conduct research;
- Appropriately acknowledge the role of others in research; and
- Communicate research results responsibly.

The University demonstrates its commitment to research integrity by:

- adhering to, and promoting the principles of The Code;
- providing research integrity training;
- appointing Research Integrity Advisors.

The University provides online training in Research Integrity (via Research Services). All researchers (including students undertaking research) are required to complete research integrity training as advised by the Research Integrity Office and/or via required Learning notifications in Workday upon admission and at regular intervals thereafter. Requests for exemption from training requirements must be approved by the Pro Vice-Chancellor (Research and Innovation). Please note, researcher training in Research Integrity is a requirement as per the Australian Code for the Responsible Conduct of Research; it is therefore unlikely that exemption requests will be supported.

2.2 Misconduct

Federation University supports the detection and reporting of deficiencies or lapses in research integrity and will provide a framework that enables the timely address of allegations and the remedy of the situation. In responding to allegations related to research integrity, the University will:

- Be timely and consistent
- Ensure procedural fairness to all concerned
- Be transparent and promote confidence (internally and with the public)
- Ensure maximum opportunity for improvement

A failure to meet the principles and responsibilities set out in The Code is a breach of The Code. Breaches of The Code occur on a spectrum from minor breaches to major breaches. A serious breach of The Code that is carried out with intent or recklessness or negligence may be referred to as research misconduct.

Potential breaches of The Code reported to the Research Integrity Office will be assessed, and potentially investigated, as per the NHMRC *Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research*. Management and investigation of potential breaches of The Code will be conducted in adherence to principles of procedural fairness. Investigations will be proportional, fair, impartial, timely, transparent and confidential.

The Vice-Chancellor has overall responsibility for any investigations undertaken following an allegation of a breach of The Code or of research misconduct.

2.3 Conflicts of interest

Conflicts of interest may occur when an individual's professional interests or responsibilities conflict with, or are influenced by, their personal interests such that an independent observer might conclude that the professional actions of that person are unduly influenced by their own interests. In accordance with Principle 3 of The Code, the University requires the disclosure and management of any potential, perceived or actual conflicts of interest.

The University recognises that conflicts of interest in the research area are common and may occur throughout the research process.

Supporting documents

- Research Integrity and Misconduct Procedure RS1502
- Managing Conflicts of Interest Procedure CG1060

3. Recognition of the rights of Aboriginal and Torres Strait Islander Peoples

Federation University respects and acknowledges Aboriginal and Torres Strait Islander peoples, lands, cultures and histories and works collaboratively to advance outcomes for Aboriginal and Torres Strait Islander and all First Nations People.

In accordance with Principle 6 of The Code, the University recognises the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them.

All Federation University researchers will:

- Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples.
- Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.
- Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement.
- Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged.

The University acknowledges that research with Aboriginal and Torres Strait Islander peoples spans many methodologies and disciplines, and that there are wide variations in the ways in which Aboriginal and Torres Strait Islander individuals, communities and groups are involved in, or are affected by, research.

Relevant research ethics applications must demonstrate compliance with the most contemporary versions of:

- *AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research*;
- *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders and Keeping research on track 11*; and
- *CARE Principles for Indigenous Data Governance*.

4. Research ethics, health and safety

Federation University's research governance framework is designed to ensure that research undertaken by the University is ethically designed, reviewed and conducted.

4.1 Human participants

As per the National Statement on Ethical Conduct in Human Research (2007) - updated 2018 ('the National Statement'), the design, review and conduct of human research at Federation University must reflect the values of:

- merit and integrity;
- justice;
- beneficence; and
- respect.

Research projects involving the collection or use of human data must obtain written approval from the Human Research Ethics Committee (HREC) or subcommittee prior to commencement.

The HREC and its subcommittee(s) are appointed by the Pro Vice-Chancellor (Research and Innovation) in accordance with National Health and Medical Research Council NHMRC requirements to oversee, approve and monitor research involving humans in order to protect the interests of research subjects, investigators, the University and the general community.

As per the National Statement, human participation in research may include, but is not limited to:

- taking part in surveys, interviews or focus groups;
- undergoing psychological, physiological or medical testing or treatment;
- being observed by researchers;
- researchers having access to their personal documents or other materials;
- the collection and use of their body organs, tissues or fluids (e.g. skin, blood, urine, saliva, hair, bones, tumour and other biopsy specimens) or their exhaled breath;
- access to their information (in individually identifiable, re-identifiable or non-identifiable form) as part of an existing published or unpublished source or database.

Supporting documents

- Research Ethics and Institutional Biosafety Procedure RS2096

4.2 Animals in research

As per the Australian code for the care and use of animals for scientific purposes, 8th Edition (2013), Federation University researchers conducting research involving animals must:

- Ensure respect for animals underpins all decisions and actions involving the care and use of animals for scientific purposes;
- Use animals only when justified;
- Support the wellbeing of animals;
- Avoid or minimise harm, including pain and distress, to animals;
- Apply high standards of scientific integrity;
- Apply principles of Replacement, Reduction and Refinement (the 3Rs) at all stages.

To ensure compliance with the various regulations and codes of practice relating to animal research, the University requires that written approval from the Animal Ethics Committee (AEC) must be obtained prior to commencement of research involving animals.

The Animal Ethics Committee is appointed by the Pro Vice-Chancellor (Research and Innovation) as per the Australian Code for the Care and Use of Animals for Scientific Purposes 8th edition (2013). The Committee's primary responsibility is to ensure that all staff and students involved in the care and use of animals are compliant with current legislative requirements. The Committee reviews all projects with activities involving animals, including acquisition, transport, breeding, housing, husbandry, trapping, observations, fieldwork, the use of the animal, and the provisions for the animal at the completion of their use.

The University is responsible for ensuring that all persons involved in animal care and use are appropriately trained and competent, that they incorporate the principles of Replacement, Reduction and Refinement (three Rs) and that they maintain adequate records of animal usage.

Supporting documents

- Research Ethics and Institutional Biosafety Procedure RS2096

4.3 Institutional biosafety

The University's Institutional Biosafety Committee is appointed by the Pro Vice-Chancellor (Research and Innovation) to assess, review and approve certain kinds of research related to Genetically Modified Organisms (GMOs) as per the requirements of the Gene Technology Act 2000 and the corresponding Gene Technology Regulations 2001. The purpose of the Act and corresponding Regulation is to protect the health and safety of people, and to protect the environment, by identifying risks posed by or as a result of gene technology, and by managing those risks through regulating certain dealings with GMOs. The Committee advises on the identification and management of the risks associated with dealings with GMOs undertaken by the organisation, including the containment of GMOs. The Committee also provides an interface with the Office of the Gene Technology Regulator OGTR.

The University requires that written approval from the Institutional Biosafety Committee must be obtained prior to the commencement of any research involving live, viable organism that have been modified by techniques of gene technology including the progeny (or descendants) of such GMOs which also share a genetically modified trait.

Supporting documents

- Research Ethics and Institutional Biosafety Procedure RS1927

5. Research funding

Federation University Australia aims to actively support researchers who seek external funding to support their research endeavours. The University will be fiscally accountable and transparent in the way in which it allocates, manages, monitors and reports its activities and outcomes in accordance with the Delegations Schedule.

All externally sourced research funding sits under one of four categories as per the Higher Education Research Data Collection HERDC specifications. The four categories are:

- Category 1: Australian Competitive Grants R&D Income
- Category 2: Other Public Sector Research Income
- Category 3: Industry and Other R&D Income
- Category 4: CRC R&D Income

All proposals for external funding must comply with University Policy and Procedures and follow the relevant guidelines and funding rules of the funding body.

5.1 Agreements and contracts

Federation University supports the provision of Research and Development activities under specified negotiated terms and conditions in exchange for specified deliverables, signed by all parties. For University purposes research agreements must include one or more of the following:

- formal contractual agreements, including those requiring execution under seal
- letters of agreement
- variations

This may occur because of direct negotiations rather than a nationally competitive application process.

All research related contract/funding agreements and variation negotiations must be documented in writing, via a fully executed contract/funding agreement or formal correspondence signed by authorised personnel for all parties.

All contracts, agreements and variations must be reviewed and approved by the Legal Office. Where appropriate the Legal Office will draft, negotiate and modify these documents.

Where specified within the contract/funding agreement, completed projects will go through a financial acquittal process, and any unspent funds must be distributed as per the contractual specifications.

Supporting documents

- Delegations of Authority Guideline CG1976

5.2 Partnerships and collaborations

Federation University strongly supports participation in collaborative research, including interdisciplinary investigation, within the University, and between institutions nationally and internationally.

The University acknowledges that collaborations will take different forms, be of varying magnitude and duration and will utilise diverse instruments of agreement.

In every form of collaboration, and in line with the Higher Education Standards Framework, the University requires that proposed collaborators be consistent with the University's directives. In the event that differing research practices exist between proposed collaborators and/or their institutions, the University requires that:

- researchers comply with the Australian Code for the Responsible Conduct of Research, with any proposed deviation needing University approval prior to participation;
- research integrity and accountability be maintained (as required by Higher Education Standards Framework).

Where collaboration involves formal contractual agreement, the University requires that staff proposing such collaborations:

- notify and consult with the University;
- ensure negotiations are undertaken by authorised and suitably experienced staff;
- ensure proposed agreements are reviewed by Legal Services prior to sign-off; and
- ensure all agreements are documented and accessible.

External collaborative agreements must give consideration to:

- Intellectual property;
- Confidentiality and copyright issues;
- Sharing commercial returns;
- Responsibility for ethics and safety clearances;
- Managing conflicts of interest;
- Authorship criteria;
- Export Controls;
- Australian Sanctions regimes; and
- Reporting to appropriate agencies.

These considerations will be subject to compliance with The Code and relevant University policies and procedures.

Supporting documents

- Applying for Research Funding Procedure (Pre-Award) RS1925
- Management of Research Funding Procedure (Post-Award) RS1926
- Higher Education Research Data Collection HERDC specifications

- Budget Costing Proforma
- Risk Management Framework Procedure CG2029

6. Research compliance

6.1 Export controls

Federation University is committed to full compliance with all export control laws that apply to its research, academic and business activities. Anyone involved in the conduct of research associated with Federation University must be aware of and comply with Australian export controls legislation. The University will provide training and support for researchers to ensure compliance with Australian export controls laws.

Export control laws regulate the export of defence and strategic goods, technology and software. This includes the transmission and publication of certain controlled information.

While research or teaching activities may not be specifically related to weapons or defence, they may involve defence and strategic goods, technology or software. Publication or export of these items from Australia to a place outside Australia requires a permit.

Researchers are required to:

- Comply with Australian export controls laws by assessing whether their teaching or research involves controlled items and identifying whether permits may be required in accordance with this policy and the supporting procedure. Researchers should use the Online DSGL Tool to establish whether a permit is required to export, supply, publish or broker-controlled goods, software or technology.
- Individual researchers must follow the process detailed in Federation University policy documents

Supporting documents

- Research Export Controls Procedure RS2050

6.2 Foreign relations and sanctions

Federation University is committed to full compliance with all Foreign Interference Laws that apply to its research, academic and business activities. Under the Foreign Influence Transparency Scheme, as established under the Foreign Influence Transparency Scheme Act 2018 (Cth) (Act), the University is required to register certain activities (Registrable Activities) if they are undertaken on behalf of a foreign principal.

The University staff and students will be required to register an activity if:

- they undertake Registrable Activities or enter into a Registrable Arrangement, and
- the activity is, or will be undertaken in Australia on behalf of a Foreign Principal, and
- the activity is undertaken for the purpose of political or governmental influence, and
- no exemptions apply.

If it is determined that an activity being undertaken by the University is a Registrable Activity, then it will need to be registered.

Registration does not mean that the activity cannot proceed. The Foreign Influence Transparency Scheme operates to provide a public record of the University's activities to ensure it meets its legal obligations with respect to the purpose of any relevant foreign relationships.

Federation University will comply with all relevant Sanctions, which include the United Nations Security Council (UNSC) sanctions and Australian Autonomous Sanctions.

Sanctions operate to place restrictions on trade in goods and services, place restrictions on engaging in commercial activities, place targeted financial sanctions on designated persons and entities and place travel bans on certain persons.

7. Data, primary materials and records management

Federation University Australia endorses the requirements articulated in The Australian Code for the Responsible Conduct of Research regarding the responsibilities for the management, storage, access, retention and disposal of research data and primary materials.

In accordance with The Code (R8 and R22), the University will:

- Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference;
- Retain clear, accurate, secure and complete records of all research including research data and primary materials; and
- Where possible and appropriate, allow access and reference to these by interested parties.

Researchers are expected to create a Research Data Management Plan prior to the commencement of all research projects, and maintain this as a living document for the life of the project.

Federation University Australia expects researchers to follow the use of FAIR Data Principles as described by the Australian Research Data Commons when appropriate. That is, data that is findable, accessible, interoperable, and reusable. The application of FAIR Data Principles are outlined in associated procedures and manuals.

The University supports the deposit of research outputs to repository infrastructure to:

- facilitate increased use, impact and awareness of Federation University Australia (Open Access Citation Advantage) research through the provision of open and FAIR access to the University's research outputs; and
- assist Federation University Australia researchers to meet the open access requirements of funding bodies (e.g. Australian Research Council and National Health and Medical Research Council).

Supporting documents

- Research Data Management Procedure RS1836

8. Publication and dissemination of research findings

Federation University supports the wide dissemination of research data and research outcomes, subject to privacy, contractual and intellectual property considerations.

The University encourages researchers to consider multi-channel dissemination strategies for all research projects, and to incorporate these in their Authorship Plan. The University requires adherence to corporate Branding and Media Relations procedures when executing dissemination strategies.

The University requires:

- that all Federation University academic staff have a current ORCID that is:
  - up to date;
  - linked to other relevant identifiers and web services, such as Web of Science, Scopus and Figshare;
  - recorded in the Federation University research management system;
  - displayed on their researcher profile (if applicable); and
  - provided when prompted to do so on manuscript or funding submissions, or by other University or research-related external processes and organisations.

- that all reasonable steps be taken to ensure that published accounts related to research activities, performances and exhibitions are complete and accurate.
- that publication information relevant to research performance be submitted in accordance with the requirements as per Excellence in Research Australia published guidelines.
- the accurate citation of the work of other authors, in accordance with the provisions in Principle 4 of The Australian Code for the Responsible Conduct of Research.

9. Authorship

Federation University follows the *Australian Code for the Responsible Conduct of Research* regarding Authorship of research outputs and applies to the research outputs and other forms of dissemination.

As per Principle 4 of The Code, it is the researcher's responsibility to give credit, including authorship where appropriate, to those who have contributed to the research.

In addition, Responsibility 25 of The Code, states that a researcher is responsible for ensuring:

- That authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.
- The University holds that authorship eligibility is based upon the demonstration of substantial contribution, in a combination of:
  - conception and design of the project
  - analysis and interpretation of research data
  - drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

The University holds that the right to authorship is not tied to position or profession and does not depend on whether the contribution was remunerated or voluntary in nature. The offer of authorship must be made to all eligible people, including research trainees, who meet the criteria for authorship as specified in The Code.

The University requires that authorship be confirmed for all research outputs, irrespective of the medium, that appropriate authorship be attributed to these outputs and that associated authorship records be maintained.

Federation University Australia must be attributed as the institution of affiliation by all Federation University staff, students and volunteers, and by conjoint, Adjunct and Honorary appointments where appropriate.

Supporting documents

- Authorship Procedure RS1957

10. Intellectual property

Intellectual Property refers to all statutory and other proprietary rights (including right to require information be kept confidential) in respect of inventions, copyright, trademarks, designs, patents, plant breeder's rights, circuit layouts, know-how, trade secrets, data, materials and all other rights as defined by Article 2 of the *Convention establishing the World Intellectual Property Organisation of July 1967,* whether registered or unregistered.

Federation University protects and commercialises intellectual property by:

- protecting the rights of Federation University staff, students, and those affiliated with Federation University;
- fostering an innovative culture in which the creation of IP and entrepreneurial endeavour are valued and rewarded;
- enabling use and exploitation of Federation University's IP by industry, government and community for local, national and global benefit; and

- facilitating timely transfer of research to industry, government and community.

Federation University will have the sole right to protect and commercialise any Intellectual Property over which it asserts legal and beneficial ownership and may assign or license such IP to third parties, with the right to sub-license, unless otherwise agreed in writing. The University acknowledges Tangible Intellectual Property that the University agrees is owned by a Staff member, a Student or a third party prior to the date of their employment or enrolment at Federation University.

Federation University will endeavour to make decisions about the protection and commercialisation of IP in consultation with creators. Commercialisation of IP will ensure due reward to individuals who created the IP.

Research students must formally assign, in advance, all right, title and interest they may have in any IP to the University before being permitted to engage in research. Students retain ownership of copyright and moral rights in any thesis or publications arising from their research, unless subject to a third-party agreement.

Supporting documents

- Disbursement of Net Revenue from Intellectual Property Commercialisation Procedure RS2033
- Disclosing and Exploiting Intellectual Property Procedure RS2027

11. Library services and academic resources

Library Services

Library Services staff contribute to the University's strategic directions related to quantum and quality of research outputs through the provision of specialist programs and services for researchers, and the management of infrastructure aligned to research at the University. These are available to researchers affiliated with University research centres and Institutes, and Higher Degree by Research (HDR) candidates enrolled through the Graduate Research School.

The Library employs specialist staff with expertise in providing services including document delivery and borrowing from other University or specialist libraries of resources not available in the University Library collection; expert assistance with managing research data; provision of a range of researcher skills development sessions on a range of topics, including modules in the HDR Skills Development Program; and management of the University's research repositories for publications and non-traditional outputs. In addition, the Library provides specialist research-relevant manuscript, artefact and print collections, some of which are unique to the University, and an extensive range of electronic resources.

The University is committed to Open Access principles and the Library provides advice, resources and management of infrastructure to facilitate and encourage researchers in Open Access publication and FAIR access to and sharing of research data. The Library participates in a number of agreements with journal publishers which allow University researchers to publish their accepted manuscripts as Open Access without payment of a fee.

Academic Resources

The acceptance of a student into a Higher Degree by Research (HDR) program indicates that the University has the required finances, space and supervision to support the student through to timely completion.

The support provided will be supplemented by the provision of University services including the Library, Information Technology Services, and Graduate Research School.

12. Higher Degree by Research (HDR) admissions

Federation University is committed to the selection of quality HDR candidates who demonstrate capability in completing their program to a high standard within the required timeframes.

Federation University adheres to the following principles in considering applicants for entry to its HDR programs:

- To select quality HDR students capable of completing their program within the required time to a high academic standard,
- To select applicants into research environments where appropriate supervisory expertise and resources are available,
- To meet Federation's Strategic Research Plan,
- To ensure diversity and equity in selection.

To qualify for admission to a Higher Degree by Research program, applicants must:

a. possess a degree that is the equivalent to an AQF Bachelor degree with Honours with first class or second class, first division, for entry to a PhD or at least third class honours for entry to a Masters by Research, or
b. possess a Masters degree with a relevant research component that is equivalent to a Masters degree from Federation University and an equivalent result as outlined in clause a, or
c. submit other evidence of relevant qualifications and experience, or research experience, to confirm that the applicant possesses a level of relevant research experience and capacity equivalent to an award in either clause a or b, and
d. satisfy such additional requirements for admission to a PhD candidature, if any, as may be prescribed by the Graduate Research School Board.

Applicants requesting to transfer their candidature to Federation University will have the period of enrolment at the previous institution deducted from the usual period of candidature at FedUni. Transfer to FedUni will not normally be allowed for students who have completed more than two years EFTSL of a doctoral program or six months EFTSL of a Masters program.

12.1 Candidature and enrolment

HDR students may enrol on a full-time or a part-time basis, subject to approval. International students on Australian student visas are required to enrol on a full-time basis. Full-time students are expected to commit to 37.6 hours of study each week. The expectation for part-time study is at least 50% of the full-time load.

Students may request to change study fraction, subject to approval. Students requesting a change from full-time to part-time candidature, who hold a stipend, may be required to relinquish the stipend.

The period of candidature is defined as:

- Three years full time or part time equivalent for PhD students, or
- 18 months full time or part time equivalent for Masters by Research students.

Students may apply for an extension to candidature of up to six months, or part time equivalent, subject to approval. In extenuating circumstances one further extension of six months may be granted to PhD students. The minimum period of candidature is one year of full-time study.

Supporting documents

- HDR Candidate Procedure RS2091

12.2 Induction

Candidates must complete the prescribed HDR Orientation. This will normally include an overview of policy, procedure and expectations and information on codes of conduct, research integrity and ethics, intellectual property and other research related issues.

Students will also be provided with an Occupational Health and Safety (OHS) induction and a Local Induction.

Students are required to successfully complete the Federation University approved Research Integrity module prior to attempting confirmation.

Supporting documents

- HDR Candidate Procedure RS2091

12.3 Scholarships

Federation University has a framework for the administration and allocation of higher degree research (HDR) scholarships for which the University has primary responsibility. The scholarship schemes within the scope of this policy include but are not limited to:

- University funded stipend scholarships
- Industry funded scholarships
- University/Industry co-funded scholarships
- Research Training Program (RTP) scholarships
- University funded HDR tuition fee scholarships

The Research Training Program (RTP) is a Commonwealth Government scheme established to support domestic and international students enrolled in Higher Degree by Research (HDR) programs.

The (RTP) provides three levels of funding support for students. Students may receive one or more of the following benefits:

- Fee offset;
- Stipend for general living costs; and
- Allowances related to the ancillary cost of research degrees

Supporting documents

- RTP and HDR Scholarship Procedure RS1931

12.4 Progress

Admission to HDR candidature is on a probationary basis, and candidature must be confirmed within 9 months of the date of enrolment. In order for candidature to be confirmed, the student must demonstrate that a viable research program has been developed, satisfactory progress has been made, and the degree requirements can be completed within the approved candidature period; three years full time or part-time equivalent for PhD students and 1.5 years full time or part-time equivalent for Masters by Research students.

All students are required to demonstrate that they have maintained satisfactory progress on their research project by participating in Milestones when requested.

Students who do not demonstrate sufficient progress via formal milestones may be required to demonstrate why their candidature should not be terminated via a show cause process.

Supporting documents

- HDR Candidate Procedure RS2091

12.5 Research training partnerships

Federation University may offer HDR awards in partnership with suitable partner higher education institutions. Where the agreement has been made to partner with an international institute, all requirements, policies and procedures of Federation University must be followed.

Awarding of testamurs under joint or cotutelle awards will be governed by TEQSA requirements for both domestic and international partnerships.

Supporting documents

- HDR Candidate Procedure RS2091

12.6 Research environment

Research Centres and Groups are responsible for the inclusion and integration of HDR students into their academic environment. The Research Centre or Group should ensure that students are:

- included in research seminars/conferences,
- included in academic professional development opportunities where appropriate,
- encouraged to network and interact with University staff and any scholarly visitors, and
- provided with opportunities for social interaction (e.g. access to staff room) with staff and other research student

Research Centres and Groups are expected to provide support which nurtures and develops research trainees.

Supporting documents

- HDR Candidate Procedure RS2091

12.7 Student grievances

Federation University has procedures in place to support Higher Degree by Research students who may have a grievance related to their study experience. Please see the Students and Support for Students Policy – 2.3 Student Complaints and Appeals for detail regarding the complaints and appeals process.

13. Higher Degree Research (HDR) supervision

At Federation University Australia, all higher degree by research candidates are allocated a supervisory panel consisting of a Principal Supervisor and at least one Associate Supervisor(s). Supervisory panels may also include one or more external Co-Supervisors. All Supervisors must be approved and be on the University Register of Supervisors.

In adherence with the TEQSA Higher Education Standards Framework requirements, higher degree by research candidates (doctoral and masters degrees) must be supervised by a Principal Supervisor who holds a doctoral degree. Applicants to Register of Supervisors should hold an AQF level 10 research qualification.

Where an applicant to the Register of Supervisors does not hold the required AQF level qualification but can demonstrate that they have the equivalent research expertise, experience and achievement they may be eligible for registration subject to the approval of Research Higher Degree Committee.

Supervisors must demonstrate relevant experience and expertise within the research areas and discipline in which they provide supervision. Experience must be demonstrated by peer reviewed publications in a related area, awarding of grants in related areas, or other relevant research experience in the same domain as the student project over the last five years.

Supervisors are responsible for providing guidance and mentorship on responsible research conduct to students and monitor student conduct in undertaking their research and other research related activity.

To be allocated to a supervisory panel, the supervisor must be listed on the Register of Supervisors. Initial admittance to the register is on application and requires the applicant to have undertaken Federation University supervisor training and participated in a supervisor induction session. Supervisors are expected to participate in continuing professional development activities related to research training in order to maintain their supervisory status.

Supporting documents

- HDR Supervision Procedure RS2090

14. Higher Degree by Research (HDR) examination

HDR theses must be examined by at least two independent examiners of international standing who hold a PhD and are external to the University. Supervisors must consider conflict of interest when selecting examiners for a student thesis. Examiners will assess the completed thesis and make a recommendation to the University on the awarding of the degree. Examiners may also recommend that further corrections, changes or revisions should be undertaken before the degree should be awarded.

On submitting a thesis to the University for examination, a student and supervisory panel must ensure that they have complied with the requirements of the degree and that the thesis is ready for examination. A student may submit their thesis for examination without the approval of their supervisory panel where they have approval from the Dean, Graduate Studies.

The thesis must conform to the University requirements outlined in the supporting documents. Where a student requests an alternative arrangement for a thesis, they must seek approval from the Academic Board.

Supporting documents

- HDR Candidate Procedure RS2091

Legislative context

- Australian Qualifications Framework AQF
- The Copyright Act 1968 (Cth) (Copyright Act)
- Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS)
- Educational Services for Overseas Students (ESOS)
- Federation University Australia Act 2010
- Federation University Australia Statute 2021
- Higher Education Standards Framework (Threshold Standards) 2021
- Tertiary Education Quality and Standards Agency (TEQSA)
- Australian Code for the Responsible Conduct of Research, 2018
- ARC Conflict of Interest and Confidentiality Policy
- ARC Research Integrity Policy
- Other Federal and State Legislation and Regulations as appropriate

Modification history

Original issue	Current version	Review date	Details
06 December, 2022	06 December, 2022	06 December, 2027	Consolidation of existing Policy Documents to a revised overarching Policy for Information Management that includes a living suite of support documents to better reflect currency and best practice of University Operations.

Policy governance responsibilities and communications

All documentation within the Governance Framework will be communicated throughout the University including, but not limited to, internal communications such as FedNews, VC Comms, staff emails, staff inductions and documentation distribution.

Policy Document owners are responsible for identifying and managing information-related risks and issues for their assigned information entities and for escalating these to Approval Authorities accordingly. Owners of Policy documents are accountable for their respective procedures, manuals and work instructions in alignment with their position descriptions and Your Growth Matters (YGM) cycles.