

# Guideline: Higher degree by research - University, candidate, and supervisor responsibilities

## Purpose

This guideline provides a framework for discussions and expectations at the various candidature stages of a Higher Degree by Research candidate, and should be read in conjunction with:

- The [Research Awards Rule](#);
- the *Higher degree by research: Candidature* [policy](#) and [procedure](#);
- the *Higher Degree by Research: Supervision* [policy](#) and [procedure](#); and
- University policies and procedure concerning general student matters.

## Guideline

1. The entire supervisory panel and candidate should discuss, as part of the negotiation of the Candidate-Supervisor agreement, their respective roles, and their expectations and responsibilities. They should reach a common understanding of the key goals to be met during candidature, the stages at which these goals are to be met, and how they will work together. These are consistently established and re-established as a candidate progresses through their studies.
2. Where students are enrolled in the National Centre for Indigenous Studies, a reference to the College should be taken as a reference to that Centre.

## Candidate responsibilities

### Arrival and settling in

3. Candidates have responsibility for:
  - a. Advising the university of their commencement date and of any changes to that commencement date;
  - b. Logging into the Interactive Student Information System (ISIS) and updating their contact details;
  - c. Meeting promptly with their Chair and Primary Supervisor to establish mutual expectations and responsibilities. This may include discussion about the aims,

scope, orientation and presentation of the thesis and the operation of the supervisory panel;

- d. Agreeing on the frequency and nature of contact with the Primary Supervisor, with a standard expectation being a meeting not less than once a month and maintaining regular other contact;
- e. Attending induction and orientation programs including any required research and ethics training; and
- f. Becoming familiar with the University's HDR policy framework including the [Research Awards Rule](#) as well as other policies concerning general student matters. In addition, for scholarship holders, becoming familiar with their scholarship conditions of award.

## **During Candidature**

4. During candidature, candidates are responsible for:
  - a. Consulting with the Chair, Primary Supervisor, and panel members about proposed research plans, before commencing research;
  - b. Informing their panel of any change in research design or content;
  - c. Seeking feedback from their panel on research progress;
  - d. Negotiating with panel members regarding any publication or joint publication likely to arise during the research project according to the criteria specified for authorship in the [Code of Research Conduct](#), to ensure appropriate and adequate recognition of the candidates, panel members' and others' contribution to the publication;
  - e. Conducting research in accordance with approved ethics clearance, and seeking amended clearance in light of changes to the research;
  - f. Attending relevant seminars and workshops;
  - g. Maintaining familiarity with University policy on health and safety, and insurance issues;
  - h. Reporting as soon as practicable to the Chair of Panel or College administration any accident or emergency; and
  - i. Applying for permission to travel using the University form, including complying with all travel policies and procedures.
  - j. Discussing with the supervisory panel relevant issues regarding research integrity and intellectual property, including obtaining advice relevant to the field of research on health and safety working practices, responsible research practices including human research and/or animal experimentation requirements, and the extent of any confidentiality obligations.

- k. Maintaining productivity and adhering to expectations set out in the research plan, including submitting written work on an agreed schedule, and actively engaging in the research program in a manner likely to produce significant results by the time of the first and any subsequent reviews of progress;
- l. Applying to the University of candidature changes such as leave, extension, to be externally located/off campus study and to change intensity as soon as practicable ; and
- m. Paying fees administered by the University and complying with any penalties for non-payment;
- n. Complying with local area requirements (e.g. prescribed coursework, laboratory or language training, pre-fieldwork seminars), and skills training and further study recommended or required by their supervisory panel;
- o. Completing milestones, training, and any required coursework within specified timeframes; and
- p. Prior to entering into any external contractual agreement pertaining to their research program, obtaining external legal advice in relation to the conditions of the agreement, any confidentiality undertakings entered into, or any intellectual property and/or publication issues. The candidate should discuss these arrangements with their panel

## Preparing the Thesis

5. In finalising the thesis, a candidate has responsibility for:
  - a. Maintaining close and regular contact with the Chair of Panel and Primary Supervisor, particularly when working off campus;
  - b. Confirming the format of the thesis meeting University requirements. If the thesis will be in a non-standard format, the candidate should seek advice from their panel regarding approval for that format;
  - c. Submitting drafts according to schedule determined in consultation with the panel;
  - d. Considering advice from panel members concerning the editing and revision of thesis drafts;
  - e. Completing the Notification of Intention (NOI) form at least 2 months before the expected submission of the thesis;
  - f. Producing the thesis for examiners according to the *Higher degree by research: submission and examination of theses [procedure](#)*.

## Panel member responsibilities

### Arrival and settling in

6. The Chair of the Supervisory Panel has responsibility for:
  - a. Coordinating the overall supervision of a candidate's program;
  - b. Convening of supervisory panel;
  - c. Ensuring other panel members, especially new supervisors and external supervisors, are aware of their responsibilities;
  - d. Ensuring candidates have access to resources in line with the relevant policies and the *Research Award Rule*;
  - e. Discussing resources required for the program with the candidate, including exceptional needs or costs;
  - f. Advising new supervisors on panels regarding skills training and professional development opportunities relevant to supervision; and
  - g. Agreeing with panel members their roles and responsibilities during the candidate's program.
7. All members of the supervisory panel have responsibility for:
  - a. Familiarising themselves with the *Research Awards Rule* and acting in accordance with University legislation and, where relevant for scholarship holders, scholarship conditions of award and scholarship budgets;
  - b. Meeting promptly with commencing candidates to establish mutual expectations and responsibilities. This may include discussion about the aims, scope, orientation and presentation of the thesis and the operation of the supervisory panel;
  - c. Discussing any plans for a panel member's extended absence (e.g. on study leave, long service leave) during the candidature and the proposed arrangements for supervision during the absence;
  - d. Agreeing on the frequency and nature of contact with commencing candidates, with a standard expectation being to meet not less than once a month with their Primary Supervisor and maintaining other contact;
  - e. Assisting candidates in the preparation of their research plan for the first twelve months;
  - f. Advising candidates regarding skills training or further study relevant to the proposed research. This may include prescribed coursework, training courses, directed reading, conference support as required, or referral to appropriate academic skills assistance in the first and any subsequent semester of enrolment;

- g. Raising issues of ethical research and intellectual property, and discussing how they will be handled. This includes advice relevant to the field of research on health and safety working practices, responsible research practices including human research and/or animal experimentation requirements, and the extent of any confidentiality obligations. Prior to entering into any external contractual agreement pertaining to their research program, candidates should obtain external legal advice in relation to the conditions of the agreement, any confidentiality undertakings entered into, and any intellectual property and/or publication issues. The candidate should discuss these arrangement with their panel, and agreements must be consistent with the relevant provisions of the *Research Awards Rule* and related policies and procedures.

## **During candidature**

8. The Chair of the Supervisory Panel has responsibility for:
  - a. Arranging panel meetings to consider the candidates detailed research proposal, Annual Reports and Plans, Thesis Proposal Review, oral presentation, and if applicable, Mid-Term Review;
  - b. Evaluating the appropriateness and effectiveness of the supervisory panel; and
  - c. Reporting to the Delegated Authority if they consider that the candidate is not pursuing the program satisfactorily, has contravened a matter in the policy framework, has contravened a condition imposed by the Delegated Authority on the candidate's admission to the program, has not completed a required milestone.
9. The Primary Supervisor has responsibility for:
  - a. Academic oversight of all major research aspects of the student's candidature; and
  - b. Monitoring candidate progress in light of the research plan.
10. The panel have responsibility for:
  - a. Assessing the appropriateness of the candidate's proposed experimental plans, research sites, modes of analysis, and/or data selection, and providing advice both verbally and in writing to the candidate on these;
  - b. Advising and negotiating with the student at the commencement or during the program, regarding any publication or joint publication likely to arise during or on the basis of the research project according to the criteria specified for authorship in the *Code of Research Conduct*, to ensure appropriate and adequate recognition of the candidate's and the Supervisor's or other joint author's contribution to the publication;
  - c. Ensuring that ethical approval is in place before research commences;
  - d. Advising the student of relevant academic seminars and conferences;

- e. Providing opportunities for research reporting. This includes requiring written work from the candidate on an agreed schedule, reviewing drafts of submissions for and participating in reviews of progress, and providing advice both verbally and in writing to the candidate on these;
- f. Referring students to appropriate professional development support, training, and resources (e.g. workshops, health services, etc.) if needed; and
- g. Report to the Delegated Authority if they consider that the candidate has committed academic misconduct, or if they have serious concerns regarding a candidate's health and well-being.

## **Preparing the thesis**

- 11. The panel agrees on who has responsibility for:
  - a. Maintaining regular contact with candidates, and a schedule for draft submissions;
  - b. Reading thesis drafts and providing timely written and oral feedback;
  - c. Discussing career preparation with candidates (e.g. post-doctoral work, publications, on-line thesis availability); and
  - d. Reviewing final thesis drafts and determining suitability for submission;
- 12. The Primary Supervisor signs to confirm that a thesis is in the correct format for submission and whether the panel endorses the submission.

## **University responsibilities**

### **Arrival and settling in**

- 13. The College and University have responsibility for:
  - a. Providing orientation and induction programs to familiarise candidates with program guides and University resources, including the entitlement for access to University facilities and resources;
  - b. Ensuring that University standards on minimum resources for supervision and research are met;
  - c. Providing advice and clear guidelines concerning ethical research conduct, intellectual property, and the appropriate retention or destruction of data;
  - d. Directing students to University legislation, codes of practice, policies and procedures relating to HDR candidates published at the University's website. This also includes provisions for work health and safety, equal opportunity and equity, and grievances and appeals;

- e. Ensuring that reporting and review requirements are in place and advised to the candidate;
- f. Administration to support and enhance HDR candidature, including managing student records and maintaining communication regarding important information; and
- g. Providing learning support and professional development opportunities to supervisors where required.

### **During candidature**

- 14. The College and University have responsibility for:
  - a. Providing health and safety equipment (eg. in laboratories);
  - b. Providing necessary laboratory and/or pre-fieldwork training;
  - c. Responding appropriately to student requests for assistance in emergency situations; and
  - d. Administration to support and enhance HDR candidature, including managing student records and maintaining communication regarding important information.

### **Preparing the Thesis**

- 15. The College and University have responsibility for:
  - a. Articulating clear regulations regarding thesis submission and appeals provisions;
  - b. Providing career-related information and skill development opportunities for HDR candidates;
  - c. Administering the ANU Postgraduate Research Experience Questionnaire in a manner that respects confidentiality;
  - d. Offering an exit interview opportunity; and
  - e. Providing a public ceremony for the conferral of HDR degrees.

## Document information

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