

# Research Proposal, Supervision Agreement and Confirmation of Candidature Process

**No. 3.2.17**

Version: 1.03

Approved: Academic Board

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Administered: Governance

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**Intent:**

The purposes of the Research Proposal are to:

- Provide a method for the DVC(R) to evaluate the feasibility and resource implications of a HDR student's research project
- Provide a method for the DVC(R) to confirm a HDR student's candidature
- Help HDR students to structure and refine their ideas and to ensure that their chosen research project is feasible within the stated time and funding limits of a doctoral or masters program.

The purpose of the Supervision agreement is to provide a mechanism to assist candidates and their supervisors to define the boundaries of their supervisory relationship.

**Attributes:**

Essential features of the Research Proposal are:

- 2000 to 5000 words in length
- Sufficient detail to allow for the evaluation of feasibility and resource implications under the headings listed in Appendix 1

Essential features of the Supervision Agreement are:

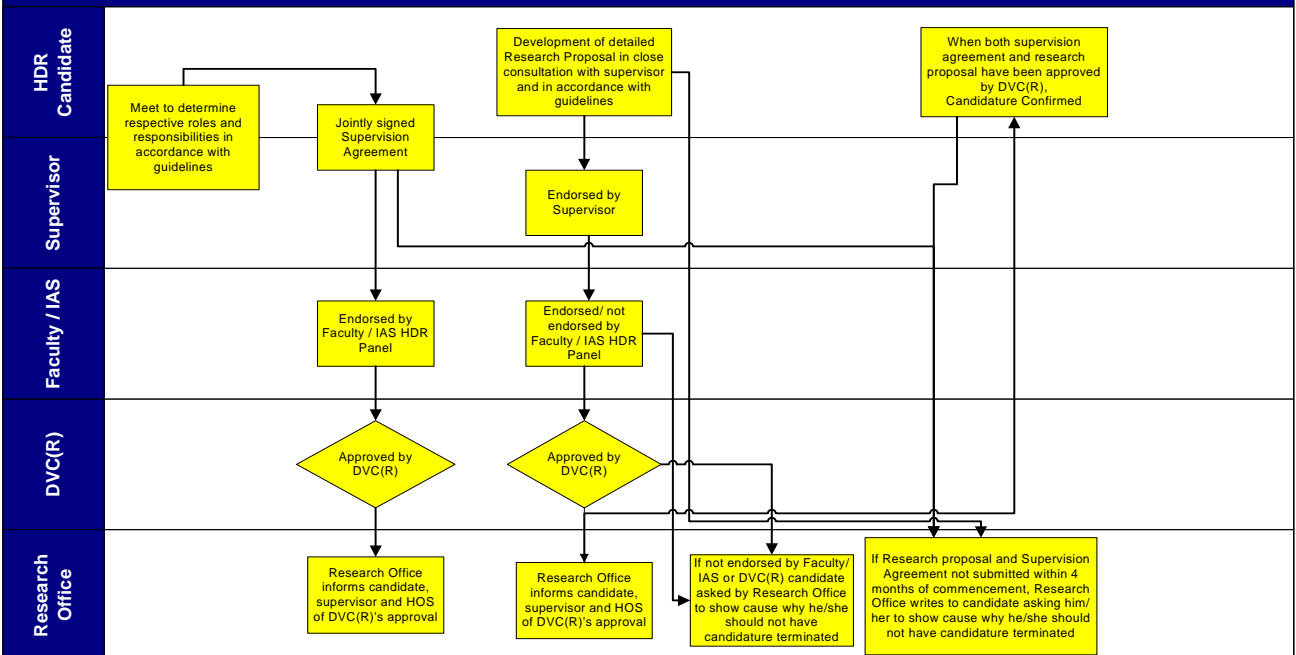
- Must be a jointly signed record of the agreement entered into and/or the understandings held by supervisor and candidate regarding the supervisory relationship.

Both the Research Proposal and the Supervision Agreement must be registered with the Research Office within 4 months of commencing candidature for full-time students and 8 months for part-time students.

For Research Professional Doctorate students both the Research Proposal and the Supervision Agreement must be registered with the Research Office within 4 months (8 months for part-time students) of commencing the research component of their course.

**Supervision Agreement, Research Proposal & Confirmation of Candidature Process**

0-4 Months Candidature



Process Step

Decision Step

<b>Research Proposal</b>		
<b>Process Step</b>	<b>Summary of Process</b>	<b>Responsibility</b>
Development of detailed Research Proposal in close consultation with supervisor and in accordance with guidelines	<p>The CDU Common Rules for the Degrees of Doctor of Philosophy and Master by Research (<a href="http://www.cdu.edu.au/governance/commoncourserules.html">http://www.cdu.edu.au/governance/commoncourserules.html</a>) state that the candidature of commencing research degree students must be confirmed at the expiry of four months full time candidature, or eight months part-time candidature (Clause 6.1).</p> <p>Your research proposal is drafted, in close consultation with your supervisor, during this timeframe.</p> <p>In order to ensure that you fulfill the requirements of your conditions of candidature, please read carefully the notes on Research Proposals in Appendix 1, and seek the assistance and advice of your supervisor in developing your research proposal. Failure to submit such a report shall result in the candidate being required to show cause why candidature should not be terminated.</p>	HDR candidate and supervisor
Endorsed by Supervisor	When candidate and supervisor are satisfied with the Research Proposal, supervisor submits it to the Head of School (HOS) for endorsement by the Faculty/ IAS HDR Panel.	Supervisor
Endorsed/ not endorsed by Faculty / IAS HDR Panel	If endorsed by Faculty/ IAS HDR Panel, the Research Proposal is forwarded to the DVC(R) for final approval and confirmation of your candidature.	Faculty/ IAS HDR panel
If not endorsed by Faculty/ IAS, candidate asked by RDSO to show cause why he/she should not have candidature terminated	Failure to gain Faculty/ IAS endorsement shall result in the candidate being required to show cause why candidature should not be terminated.	RDSO
Approved/not approved by DVC(R)	<p>Confirmation of candidature is granted by the DVC(R), once satisfied that your current progress gives a strong indication of your ability to successfully complete your program of study.</p> <p>In order for the DVC(R) to review your initial progress, the development of your initial research idea and planned methodology is examined, as outlined in the Research Proposal.</p>	DVC(R)
RDSO informs candidate, supervisor and HOS of DVC(R)'s approval	RDSO emails candidate, Supervisor and HOS to inform them that the Research Proposal is/is not approved.	RDSO, Research Office

When both supervision agreement and research proposal have been approved by DVC(R), Candidature Confirmed	RDSO emails candidate, Supervisor, HOS to inform them that candidature is confirmed.	RDSO, Research Office
If Research Proposal not submitted within 4 months of commencement, RDSO writes to candidate asking him/ her to show cause why he/she should not have candidature terminated	If Research Proposal not submitted within 4 months of commencement, RDSO writes to candidate asking him/ her to show cause why he/she should not have candidature terminated.	RDSO, Research Office
<b>Supervision Agreement</b>		
<b>Process Step</b>	<b>Summary of Process</b>	<b>Responsibility</b>
Meet to determine respective roles and responsibilities in accordance with guidelines	The University requires all research degree candidates and their supervisors to discuss a range of matters relating to the supervision partnership with a view to enhancing the quality of that partnership and facilitating the candidate's academic progress. This discussion, which may require more than one session, should take place within the first four months of candidature. Expectations of supervisor and candidate concerning how they will work together should be documented. See Appendix 2 for an example supervision agreement including suggested topics for discussion.  Both candidate and supervisors should be familiar with the Guidelines for Postgraduate Supervision, Appendix 3.	Supervisor and HDR candidate
Jointly signed Supervision Agreement	A jointly signed record of the agreement entered into and/or the understandings held by supervisor and candidate are to be forwarded to the DVC(R) via the Faculty/ IAS HDR Panel within four months of the candidate commencing his/her candidature, preferably within one month. Supervision agreements are unique to each candidate/supervisor partnership. They are intended to be a mechanism to assist candidates and their supervisors to define the boundaries of their supervisory relationship, but do not create a legally binding relationship. Agreements, therefore, may need to be reviewed as the candidate/supervisor partnership develops. The Research Panel recommends that such a review is carried out during the October yearly reporting process.	Supervisor and HDR candidate
Endorsed by Faculty / IAS HDR Panel	The Faculty/ IAS HDR Panel endorses the agreement and submits it to the DVC(R.)	Faculty/ IAS panel

Approved by DVC(R)	The DVC R approves the supervision agreement	DVC(R)
RDSO informs candidate, supervisor and HOS of DVC(R)'s approval	Once DVC(R) has approved the supervision agreement, RDSO emails candidate, supervisor and HOS to inform them	Research Degrees and Scholarship Officer, Research Office

## **Appendix 1:**

### **Notes relating to the development of a Research Proposal**

The research proposal is an expansion of the short proposal submitted with your application for admission. It is an outline of your research topic and a detailed statement of the resources and clearances required in order to ensure the successful completion of your candidature. The proposal will form the working basis for your research for the period of your candidature, and can only be changed with the approval of the DVC(R). The proposal should describe the objectives and subject matter of your intended research. It should supply enough information for an independent evaluation of the merits of the proposal and the funding implications for the Faculty in which you are enrolled.

The purposes of the research proposal are to help you to structure and refine your ideas and to ensure that your chosen research project is feasible within the stated time and funding limits of a doctoral or masters program. In assessing your proposed program the DVC(R) is interested in such issues as whether the University can provide the resources needed to support it, whether the scope of the thesis is appropriate for a higher degree, and whether the project is well thought out (particularly with respect to methodology). One of the roles of the DVC(R) is to anticipate difficulties, which might interfere with the research. Your proposal will help the DVC(R) identify possible problems. Proposals should be written in such terms as to be comprehensible and informative to both experts in your field of research and academics in other fields of research.

Through your Research Proposal you should provide detailed descriptions using the following headings:

#### **1. Field of research code**

You must nominate one of the RFCD (Research Fields, Courses and Disciplines) listed by DEST. RFCD Codes are indicated on your letter of offer and are also available from the Research Website (<http://www.cdu.edu.au/research/office/researchcodesandforms.htm>), from Faculty/ IAS Offices and from the Research Office. This information is required for statistical purposes.

#### **2. Thesis Title**

You will need to give your thesis a working title. The title should indicate the contents of the thesis, and be no more than about 200 characters, or 10 words, in length.

#### **3. Description of the issues to be addressed**

Define and briefly discuss the research objectives that will be examined in the thesis. Where appropriate you should identify the research topic to be investigated, and the theoretical and/or methodological perspectives that will be applied.

#### **4. Description of the importance of these issues**

Place the project within its disciplinary context by describing the importance of the issues being examined. You should clearly state the relationship of the proposed project to previous work of a similar nature. For doctoral theses, you should also explain how the study contributes original and significant knowledge.

#### **5. Description of the research methods**

Describe the way in which the research objectives are to be achieved. The precise presentation will vary between Faculties/ IAS, but all proposals should describe the source/s of information, the procedures for establishing the reliability and relevancy of that information, and the structure of the research itself. You should not only outline the form your analysis will take, but also identify the resources that would be required.

#### **6. Outline of the timing for various stages of research**

As far as possible define a series of stages within the project and provide an indication of the expected time of completion for each stage. This information should demonstrate the capacity of the project to be completed

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within the normal period of candidature. Six monthly reports will review your progress in the light of this original plan.

## **7. Statement of ethical and/or legal clearances obtained or required**

You should be aware that obtaining any form of permit or clearance for your work is ultimately your responsibility as principle researcher. There is a wide range of bodies controlling experimental research and the access to some geographic regions. Because the success of some research projects depends on satisfying the requirements of those bodies, it is important that your proposal outlines the progress of your applications to appropriate bodies.

By the required date of submission of your research proposal you are expected to have obtained ethical clearance from the applicable University committees. In order to undertake research involving animal experimentation, a clearance must be obtained from the Charles Darwin University Animal Ethics Committee. Research involving the participation of humans as subjects of research requires clearance from the Human Research Ethics Committee. Some projects may require, in addition, clearance from the Biosafety Committee. Forms for these committees can be obtained from Faculty/ IAS Offices or the Research Office. There may also be a need to obtain clearance from ethical committees in other institutions.

Where the research requires entry to government land (eg, National Parks, Conservation areas, water catchment zones, military land, etc) permission must be sought from the relevant government body; and where research activities are specifically covered by legislation (eg Heritage Conservation Act, Wildlife and Flora Preservation Act) a permit will need to be acquired. Research that takes place on Aboriginal land will need to be approved by the relevant Land Council (in the Northern Territory either the NLC or CLC). Where the research project involves investigations overseas, research visas will need to be obtained.

In addition to these former bodies, it may be necessary to obtain permission from individuals to undertake the research. For example, parental consent for studies with minors, permission from school principals and teachers for access to students in class time, or permission from landlords to enter land. The need for written permission from individuals should be discussed with your supervisor. However, obtaining such clearances are your responsibility.

## **8. Identification of issues of intellectual ownership**

If there are restrictions on the free circulation of your research results you should describe the nature and extent of such restrictions. This applies to ethical restrictions (eg privileged information, medical details, information restricted by legislation) as well as restrictions stemming from contractual obligations to a funding body.

## **9. Non-English languages**

If the subject of research is some aspect of a culture whose native language is not English, outline your capacity to understand the language. If you do not have adequate knowledge of the language, describe the implications for your research of a dependency on English translations.

The thesis would normally be written in English. If you have a reason for writing the thesis in another language, provide an explanation here.

## **10. Outline of the resources required for the project**

Normally, all funding and equipment for your research is provided by the Faculty/ IAS of your registration. In your initial research proposal submitted with your application for admission, you will have described the resources required for the successful completion of your project. This information is required before your acceptance as a candidate, so that the Faculty/ IAS can give a commitment to support the project.

In this proposal, you are required to elaborate on the initial statement, giving as much detail as possible, and listing all changes to the initial statement of required resources. List equipment needs that you will have (eg vehicles, computers, audiovisual equipment, laboratory equipment, expendable items such as film, floppy disks, photocopying, chemicals). Check the University Library and archive holdings to identify whether any material not currently held will be required, and in particular to identify your interlibrary loan requirements. If

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the project involves travel to undertake research you will need to identify the likely destination and mode of transport. Indicate likely needs for conference travel. Where possible describe the timing of these needs.

The Faculty/ IAS in which you are enrolled is responsible for the support for your project, including funding. However, in all academic matters you are ultimately accountable to the Research Panel.

**11. Identification of the source of other required funds (if applicable)**

Do you require any external funds or facilities to complete the research? If so, have you received commitments from an external body for the provision of these funds/facilities? Provide documentation of this commitment, and indicate the degree to which these funds or access to facilities is guaranteed. Describe an alternative course of action for completing your research if the external source becomes unavailable.

**12. Bibliography of key references of the subject**

By this stage of your candidature you should have carried out an extensive literature review. Attach a comprehensive bibliography to the research proposal, including any references cited in the body of the research proposal. You should use the method of citation you intend to use in your thesis. You should refer to the Rules for the Presentation of Theses for guidelines on bibliographic citation. Your Faculty/IAS may have a preferred method; your supervisor will be able to advise you on this. You will be able to familiarise yourself with your chosen method of citation by referring to the style manuals held in the University Library.

## Appendix 2:

### EXAMPLE RESEARCH DEGREE SUPERVISION AGREEMENT

**Supervisor:**

**PhD/Master Candidate:**

**Faculty:**

**School:**

**University:** Charles Darwin University

#### **1. INDUCTION**

*Who has primary responsibility, the candidate or the supervisor, for ensuring that the candidate attends induction programs run by the Faculty and University for research students, and meets other administrative requirements?*

Example: The supervisor shall have primary responsibility for ensuring that the candidate attends induction programs run by the Faculty/IAS and the University for research students, and meets all other administrative requirements.

#### **2. MEETINGS AND ACCESS**

*What level of access does the candidate have to the supervisor (eg. open access, access by appointment, access as required, access during working hours)?*

*How frequently are candidate and supervisor to meet (eg. weekly, fortnightly, as required or arranged)?*

*Where are candidate/supervisor meetings to be held (eg. supervisor's office, laboratory)*

*Is a written record of meetings to be made? If so, by whom and for what purpose?*

*What procedures apply for the cancellation of meetings by the supervisor and/or the candidate?*

*What is the structure/purpose of candidate/supervisor meetings (eg. to discuss previously submitted material; to discuss work-in-progress; to review formally work-in-progress)?*

Example: The candidate shall have regular access to the supervisor.

The candidate and supervisor are to meet as required or as agreed between them from time to time.

Candidate/supervisor meetings will be held in the supervisor's office, or at another agreed location.

A written record of meetings is not required.

Scheduled meetings may be cancelled, at reasonable notice, by the candidate or the supervisor, by telephone or e-mail.

The structure and purpose of candidate/supervisor meetings will vary, but will include to discuss previously submitted material or work-in-progress, and to review work-in-progress formally.

#### **3. PROJECT PLANNING AND MILESTONE SETTING**

*Who has primary responsibility for defining the research topic and for developing the initial research proposal?*

*Who has primary responsibility for developing the research timetable and project milestones?*

*What measures will the supervisor take if the research timetable is not adhered to, or if project milestones are not met to a satisfactory standard?*

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Example: The supervisor is to take primary responsibility for ensuring that all ethical issues are addressed and that experimental or investigative work does not commence before ethics approval is obtained from the relevant committee.

The candidate has primary responsibility for defining the research topic and for developing the initial research proposal.

The research timetable and project milestones are the shared responsibility of the candidate and the supervisor.

If the research timetable is not adhered to, or if the project milestones are not met to a satisfactory standard, the supervisor shall meet with the candidate to discuss the circumstances for such failure, and to offer advice for improvement of performance.

#### **4. ETHICS**

It is the joint responsibility of candidates and supervisors to ensure that the research work adheres to the National Guidelines in regard to research involving people and experimentation involving vertebrate animals.

Work must not commence before ethics approval, if required, is obtained from the relevant CDU ethics Committee. See 'About Ethics and Charles Darwin University'  
<http://www.cdu.edu.au/research/office/aboutethics.html>

#### **5. ACADEMIC CONTRIBUTION**

*To what degree will the supervisor provide source information to the candidate, or direct the candidate to the source information?*

*What type of critique will the supervisor give on research practice and performance, written drafts or seminars? Will this feedback be written or oral? Will this feedback always be provided in private?*

*What type of critique on research practice and performance, written drafts or seminars does the candidate require? Does the candidate prefer this feedback to be written or oral?*

Example: The supervisor shall provide source information to the candidate and direct the candidate to such information as much as reasonably and legitimately possible.

The supervisor shall provide either written or oral criticism of the candidate's research practice and performance, and of written drafts and seminars, depending on the context and nature of the research.

In most cases, the criticism will take the form of comments on written drafts. Such criticism will generally be given in private, but may be given in public, by way of informal commentary, in the context of a candidate's seminar.

#### **6. REPORTING ARRANGEMENTS**

*It is the joint responsibility of candidates and supervisors to be aware of the relevance and deadlines of-yearly reports and to ensure their submission.*

*What procedures are to be put in place to ensure that candidate and supervisor, jointly, meet reporting requirements?*

Example: It is the joint responsibility of the candidate and the supervisor to be aware of the relevance and deadlines of Interim & Annual reports and to ensure their submission.

In order that the candidate and supervisor jointly meet reporting requirements, the candidate and supervisor shall meet to discuss a draft report before it is due for submission, and to ensure its requirements are properly met before it is lodged.

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## 7. PUBLICATIONS AND INTELLECTUAL PROPERTY

Authorship of any publication arising out of the candidate's research shall conform to the AV-CC guidelines on authorship <http://www.nhmrc.gov.au/funding/policy/researchprac.htm>

It is the supervisor's responsibility to ensure that the candidate and supervisor comply with AV-CC guidelines on authorship and the Charles Darwin University policy on intellectual property [http://www.cdu.edu.au/research/office/administration\\_management/hdr-student-guide.html](http://www.cdu.edu.au/research/office/administration_management/hdr-student-guide.html)

Supervisor

Candidate

Date:

Date:

### **Appendix 3:**

#### **Guidelines for Postgraduate Research Supervision**

To ensure the continuity of quality supervision for higher degree by research students throughout their candidature

##### **1. The Higher Degree by Research Program**

A candidate for a higher degree by research (Doctor of Philosophy, or Masters by research, or the research component of a Professional Doctorate) is a researcher in training. Collectively, research students make a significant contribution to the research output of the university and in return receive a high level of training to develop their research capacity.

A research student shall make a distinct contribution to knowledge by developing new theories or research methods or by providing new information. The contribution shall amount to more than a description of events or area and shall display originality of thought at the PhD level. It is the level of originality and contribution to the field that distinguishes the doctoral and Master programs from other postgraduate qualifications.

The thesis submitted as a requirement for a higher degree by research must contain an examination of timely and significant research topics to a level achievable within the designated time-frame, and must demonstrate that the candidate understands his or her field of research. It must contain a critical appraisal of existing literature on the subject, provide explicit descriptions of theoretical frameworks, research designs, and analyses of information employed, and in the case of PhD students provide evidence of originality.

The thesis should be written in formally crafted English of a high standard.

##### **2. Supervision Structures**

A comprehensive structure exists for ensuring continuity of quality supervision throughout periods of candidature and provides a mechanism for the acquisition of supervisory skills by those members of academic staff who have had little previous experience in the supervision of postgraduate research students.

The University requires that all candidates have a Supervisory Team that can provide the academic and administrative support to the candidate, to ensure timely submission of a high quality thesis. The Supervisory Team must consist of at least a Supervisor and two Associate Supervisors.

2.1 Following are definitions and roles of participants in the supervision process.

2.1.1 *The supervisor* is normally a member of the University academic staff appointed by the Deputy Vice-Chancellor Research (DVCR) upon the recommendation of the HOS. The supervisor is responsible for guiding a candidate in the design and implementation of research, and for monitoring and reporting on the candidate's progress to the DVC(R).

The supervisor will have demonstrated skills in research or supervision at a scale of sustained analysis typical of research degree theses. The DVC(R) may wish to examine the *curriculum vitae* of the potential supervisor to evaluate his or her suitability to act as a supervisor. The supervisor should hold a degree equivalent to that level at which he or she will be supervising or alternatively, have produced a body of research publications that demonstrate sustained debate at the appropriate level, or have a record of successful supervision at the required level.

In appointing the supervisor, the DVC(R) will take note of the number and progress of other candidates under the same supervisor, and the plans of the potential supervisor with respect to leave, teaching, or administrative commitments. Where the tenure of the potential Supervisor may cease before expected completion of candidature, arrangements must be made in consultation with the candidate to ensure continuity of supervision.

2.1.2 Potential Supervisors will only be appointed if their tenure is greater than the proposed length of candidature.

2.1.3 While the final responsibility for the supervision of a candidate rests with the supervisor, supervision must also involve at least two *associate supervisors*. Associate supervisors may be appointed by the DVCR, upon the recommendation of the Faculty/ IAS. An associate supervisor is an individual who has demonstrated expertise in the candidate's research area and who provides advice in

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specialised aspects of the research program. Associate supervisors may, but need not, be staff members of the University; they are often, but not always, Honorary Fellows of the University.

- 2.1.4 The supervisor is expected to maintain a high level of contact with the candidate and carry out both academic supervision and the administration associated with a candidate's activities. Associate supervisors have minimal administrative responsibility and meet with the candidate at their mutual convenience.
- 2.2 An individual may be appointed an associate supervisor by the DVC(R) on the recommendation of a candidate and the candidate's supervisor, and of the relevant HOS.
- 2.3 The supervisor is expected to maintain regular contact with a candidate. When a candidate's Interim or Annual report indicates that the supervisor has not had regular contact with a candidate, a new supervisor may be appointed by the DVC(R). The supervisor is expected to draw the DVC(R)'s attention to any perceived need for the appointment of (additional) associate supervisors.
- 2.4 An academic who has not had extensive supervisory experience would normally be appointed to a position of associate supervisor rather than that of supervisor. However, there is provision for an experienced supervisor to mentor an associate supervisor for a period of 12 months with the aim of transferring the responsibility of principal supervisor after that period, subject to the agreement of all parties (supervisors and student).
- 2.5 A supervisor or associate supervisor may not act as examiner to a thesis submitted for examination by a candidate that he or she has supervised.
- 2.6 Where the supervisor is likely to be unavailable for more than two months, or an unforeseen absence of the supervisor exceeds two months, another supervisor will be appointed for the period of the absence or until the unavailable supervisor resumes duties. The HOS is responsible for advising the DVC(R) of such absences and for recommending the appointment of a named replacement supervisor as soon as practicable.
- 2.7 Part-time employees of the University may be appointed as Supervisors if they can satisfy the conditions as detailed in these Rules.
- 2.8 External Supervisors may be appointed where the University does not have the discipline expertise. See External Supervision Agreement.

### **3 Intellectual Responsibilities of the Supervisor**

There are a number of key activities, deemed to be part of good supervisory practice, that are expected of all supervisors. Although faculties and disciplines will express these intellectual responsibilities in subtly different ways, basic characteristics of these responsibilities can be identified and are outlined below. In some aspects the supervisor may need to enlist the assistance of associate supervisors to provide appropriate support, and an associate supervisor may on occasion, and with the supervisor's approval, take a more significant role in the candidate's supervision.

- 3.1 The supervisor should provide intellectual guidance to a candidate during the formulation of research designs. When developing research plans and timetables, consideration should be given to choosing appropriate topics and time-scales; incorporation of "safety nets", eg primary and secondary objectives; and creating staged designs of research.
- 3.2 The supervisor should provide guidance to a candidate in the candidate's exploration of the discipline by suggesting contact with other researchers, supplying reading lists and advising on choices of instruments, libraries, computer programs etc.
- 3.3 The supervisor should be available on a regular basis to provide academic guidance to a candidate. The supervisor should critically evaluate the work of the candidate and provide detailed comments of this evaluation to the candidate. The supervisor should be prompt in providing comments on drafts.
- 3.4 The supervisor should ensure that a candidate is aware of issues relating to research involving humans or animals and the requirements of the relevant ethics committees. These issues are dealt

with in the ethics section of the Research Office website [www.cdu.edu.au/research](http://www.cdu.edu.au/research)

- 3.5 While issues of intellectual property are dealt with by the Executive Director of Business Development, the supervisor should ensure that a candidate is aware of issues, which may arise and their rights and obligations pertaining thereto.
- 3.6 The supervisor shall encourage good research practices by assisting and encouraging the candidate to develop self-confidence and resilience, problem-solving skills and skills in the processes of self-evaluation. The supervisor should also assist in enhancing the candidate's understanding of research itself (epistemology etc), and encourage the candidate to present results of his or her research at conferences and seminars.

#### **4. Administrative Responsibilities of the Supervisor**

The various roles of the supervisor are not divisible. In addition to providing guidance in intellectual matters, the supervisor is responsible for a number of administrative procedures associated with candidature. The supervisor must be familiar with the University *Rules for the Degree of Doctor of Philosophy (PhD)*, *Rules for Professional Doctorates* and the *Rules for the Degree of Master by Research* and must follow all required administrative procedures associated with candidature.

- 4.1 In consultation with the Research Degrees & Scholarships Office and the HOS within the Faculty/IAS, the supervisor should:
- 4.1.1 ensure that a candidate is aware of University rules, policies and procedures relating to the degree of Doctor of Philosophy, Professional Doctorate or Master by Research;
- 4.1.2 provide information with regard to the requirements of the Animal Ethics Committee and the Human Research Ethics Committee and ensure that necessary applications for clearance are obtained prior to the commencement of research;
- 4.1.3 establish a schedule of meetings of the supervisor and the candidate;
- 4.1.4 monitor the status of the candidate's progress and provide Interim and Annual reports to the DVC(R);
- 4.1.5 advise the Faculty/IAS of the continuing resource needs of the candidate, including access to resources, eg funds, rooms, vehicles;
- 4.1.6 recommend appropriate grant-giving bodies and provide guidance in the completion of grant applications, including the supply of referees' reports;
- 4.1.7 provide advice on the selection of examiners.

#### **5. Responsibilities of the Candidate**

- 5.1 Quality supervision arises from the positive interaction between supervisor and candidate. Within this interaction it is possible to isolate a number of activities which are the prerogative and responsibility of the candidate. They include:
- 5.1.1 immediately after the commencement of candidature, or in the case of Professional Doctorates the commencement of the research component of the degree, it is the candidate's responsibility to discuss with the supervisor the type of guidance and comment the candidate would find most helpful;
- 5.1.2 the provision of Interim and Annual reports, detailing comments on progress and on any difficulties encountered, to the DVC(R);
- 5.1.3 a responsibility to inform the supervisor of critical problems as they arise;
- 5.1.4 the presentation of written copies of research outcomes to the supervisor prior to the formal submission of the thesis. When providing such written material, a candidate must allow sufficient

time for the supervisor to consider, comment on and discuss the work with the candidate.

5.1.5 the decision, in consultation with the supervisor, as to when the thesis is ready for submission.

## **6. Responsibilities of the Faculty/IAS**

The Faculty/IAS provides the immediate financial and intellectual context for both the supervisor and the candidate. Consequently, the Faculty/IAS is responsible for:

- 6.1 ensuring that there are adequate resources available for the research projects they recommend;
- 6.2 recognising supervision of higher degree by research candidates and Professional Doctorate candidates as a teaching load borne by staff within the Faculty/IAS;
- 6.3 encouraging a research culture within the Faculty/IAS in which individual and group research is supported and valued;
- 6.4 facilitating and actively encouraging the development of supervisory skills;
- 6.5 considering and recommending with regard to the appointment of supervisors and associate supervisors.

## Document History and Version Control

Version	Date Approved	Approved by	Brief Description
1.0	19/08/2005	Academic Board	Original process posted to web
1.01	05/10/2006	Manager Governance	Editorial changes – Update template Maintain the AVCC web link Add to Appendix 3 No 2.4 “.....provision for an experienced supervisor to mentor an associate supervisor.....”
1.02	15/05/07	Manager Research Office	Update web links
1.03	26/11/07	Deputy Vice Chancellor Research	Add to Attributes, last para, p.1 For Research Professional Doctorate students both the Research Proposal and the Supervision Agreement must be registered with the Research Office within 4 months (8 months for part-time students) of commencing the research component of their course.