

# HDR - Candidate Recruitment, Admission and Enrolment Procedures

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## INTRODUCTION

Conforms to the Common Rules for the associated awards.

## COMPLIANCE

This is a compliance requirement under the:

- [Higher Education Standards Framework \(Threshold Standards\)](#); and
- [National Code of Practice for Providers of Education and Training to Overseas Students](#)

## INTENT

To provide a process for the recruitment, admission and enrolment of candidates into Masters by Research and Doctor of Philosophy degree courses at CDU.

## RELEVANT DEFINITIONS

In the context of this document

HDR means Higher Degree by Research and includes PhD candidates, Masters by Research candidates and Research Professional Doctorate candidates.

## PROCEDURES

Recruitment Phase

Schools and the Office of the DVC(R) and International Office will work with Corporate Communications to conduct a marketing and recruitment campaign for HDR students. Campaigns are run twice a year:

- In late August, early September to allow time for potential candidates to apply for admission and scholarship prior to the scholarships closing date of 30th September for International Postgraduate Research Scholarships (IPRS) or 31st October for Australian Postgraduate Awards (APA) and University Postgraduate Research Scholarships (UPRS) scholarships in any given year and for admission semester 1 following year (Census date 31 March); and
- In July for semester 2 admission (census date 31st August)

### Application Phase

Domestic Applicants

Domestic applicants should email [student.admin@cdu.edu.au](mailto:student.admin@cdu.edu.au) or call 1800 061 963 or contact the RDSO at the Research Office to request that a research degree application form be sent out to them. The Research Office will forward an admissions pack containing:

- Application for admission form;
- Scholarship application form; and
- Two referee reports forms

Domestic applicants must submit to the Research Office:

- Completed and signed Application for admission form;
- Two referee reports;
- Certified photocopies or a printout of supporting documents including all units/subjects with grades for qualifying degrees; and
- Research proposal

If also applying for a CDU scholarship, a scholarship application form must be included.

If the applicant is a permanent resident, they must also submit a certified copy of the relevant pages of their passport as proof of residency status.

The closing dates for applications for Charles Darwin University Scholarships are 30th September for IPRS or 31st October for APA and UPRS scholarships in any given year.

If not applying for a Scholarship, applications for admission can be submitted, with supporting documentation, at any time throughout the year.

The Research Office will follow up any incomplete applications for missing documents.

### **International applicants**

International applicants should email [international@cdu.edu.au](mailto:international@cdu.edu.au) or phone +61 8 8946 7215 to request that a research degree application form be sent out to them. The International Office will forward an admission pack containing:

- Application for admission form;
- Scholarship application form;
- Two referee reports forms;
- Course Guide; and
- Information on applying for a student visa from the Department of Immigration and Multicultural and Indigenous Affairs.

The International Office will forward completed applications from International applicants to the Research Office and follow up incomplete applications for missing documents.

The Research Office will carry out preliminary assessment of eligibility, record applicant details in the Postgrad database and forward applications to the relevant Head of School within one (1) week of receiving a complete application.

The preliminary assessment of eligibility for entry into the HDR program takes into account the principles for determining Honours equivalence where required

H2A/E is the minimum entry standard for PhD and H2B/E is the minimum entry standard for Masters by Research.

International applicants must meet the University's English Language Proficiency Requirements.

Where an applicant is deemed eligible for entry, the relevant Senior Manager or delegate will discuss possible supervisory arrangements with the applicant.

Within two weeks of receiving a completed application for admission the School will:

- confirms eligibility for entry into the HDR program;
- assigns a supervisory panel to the student; and
- confirms its desire (or not) to accept the candidate/ availability of resources required for the candidate, taking into account the guidelines for Postgraduate Research Supervision.

The School must forward all completed documentation to the Research Office. The Research Office will forward all relevant documentation to the DVC(R) for approval.

Within one week of receiving the documentation from the Research Office, DVC(R) will make a final decision on whether to admit a student into a Masters by Research or PhD course at CDU. Notice of the decision will be sent to the Research Office for actioning.

If the applicant has been unsuccessful in gaining admission or a scholarship, the Research Office will send a letter informing them of this outcome. If the applicant is successful, Research Office will send a letter of offer and Enrolment package to them.

Non-scholarship holders must commence by either 31 March (Semester 1) or 31 August (Semester 2). Scholarship holders are expected to commence no later than 31 March in the year for which the award is granted. Special circumstances may allow an extension up to 30 June.

### **Enrolment Phase**

Applicants must complete and return their enrolment form to Research Office at least four (4) weeks prior to Census date. Forms received after census date will result in the applicant not being admitted to the course until the next semester.

The Research Office will check enrolment forms for completeness and will follow up any missing information or documentation. The Research Office will allocate a HECS category and enter the enrolment on Callista.

The Research Office will create a hardcopy student file to be kept in the Research Office for the period of the student's candidature and to be archived and stored for seven (7) years after the student has completed.

The Research Office will generate fees advice for the candidate based on the course offered. The applicant must pay Tuition fees, if applicable, to cashier at CDU.

### **Fees for Postgraduate Research Candidates**

The University has a limited number of Commonwealth funded RTS places available for allocation to domestic students each year. Students who are not in receipt of an RTS place are full-fee paying students, although a number of domestic fees scholarships are offered each year.

For details about course costs, contact Research or call Research Degree and Scholarships Officer: (08) 8946 6548 or (08) 8946 7065 for domestic students or +61 8 8946 7215 for international students.

## Principles for gauging honours equivalence

It is problematic for members of any board or committee of academics to judge the competing arguments and requirements of candidates from very different scholarly traditions. The nature of the research project in Engineering or Medicine may be very different from that required for Literature or Political Science, for example. Thus, the demonstration of a candidate's potential for higher degree research may equally require qualitatively different evidence. The Honours degree has been seen as the great leveller in this regard.

In determining Honours Equivalence consideration may be given to alternative\* qualifications and/or research experience and publications.

The primary principles for deciding the value to be given to alternative\* qualifications for the purpose of entry into a research degree are:

- Successful completion of a Masters by Research Degree is considered equivalent to a First Class Honours;
- To be deemed equivalent to a First Class Honours, the research component of an alternative\* coursework based degree must comprise at least 0.5FTE and must be achieved with a High Distinction level result overall. Where the alternative\* coursework based degree is not awarded with a merit based grade or the grade achieved is less than a High Distinction evidence of publication output as detailed below is essential in order to be considered for First Class Honours equivalence;
- To be deemed equivalent to a Second Class Honours A, the research component of an alternative\* coursework based degree must comprise at least 0.5FTE and any graded coursework based degree must be achieved with a Distinction level result overall;
- To be equivalent to a Second Class Honours B, the research component of an alternative\* coursework based degree should be at least 0.25FTE for a Masters by Coursework and at least 0.5FTE for a Graduate Diploma.

\*Acceptable alternative qualifications for entry into the PhD program include a Masters by Coursework Degree and a Masters by Research Degree. For entry into the Masters by Research Program, a Graduate Diploma may also be considered.

## Research Experience

To qualify, the applicant should have substantial experience as a research officer actively engaged in research. They should be able to demonstrate their ability to undertake a higher degree by research through their output. A minimum of three journal articles or similar, not necessarily in DEST's principle publication categories would be expected. Where publications do not qualify as DEST audited categories full copies of the publications must be provided at the time of application for admission so that an academic assessment of equivalence may be made.

Such experience may allow an upgrade from a Pass degree or Honours IIB to Honours IIA or First Class Honours equivalence, depending on ability to demonstrate proven research potential.

## Creative Arts

It is recognised that for creative arts students the DEST categories of publications are often not appropriate and that exhibitions and performances are often of equal merit. Therefore, applicants with a Creative Arts background who are looking to attain entry into a research degree in Creative Arts will be able to present the following in place of traditional publications:

- International Exhibitions or Performances - at least one (1) major work of scholarship (or two (2) joint works), advertised in the international press and held at a recognised international gallery, theatre or equivalent. Sufficient to upgrade from pass or Honours IIA or IIB to First Class Honours equivalence.
- National Exhibitions or Performances – at least two (2) solo works of scholarship (or three (3) joint works), advertised in the major national press and held at a recognised national gallery, theatre or equivalent. Sufficient to upgrade from pass or Honours IIA or IIB to First Class Honours equivalence.

## Publications

Other than as detailed under research experience and creative arts above, publications should fit into DEST's audited publication categories (A1, B, C1, E1) and be relevant to the proposed area of study:

- Books — at least one (1) major work of scholarship, published as single author. Sufficient to upgrade from pass or Honours IIA or IIB to First Class Honours equivalence.
- Journals / Book Chapters— at least two (2) journal articles/book chapters, refereed. Sufficient to upgrade Honours IIA to First Class Honours equivalence.
- Journals / Book Chapters— at least 3 journal articles/book chapters, refereed. Sufficient to upgrade pass or Honours IIB to First Class Honours equivalence.
- Conference publications — at least 3 published papers, subject to editorial scrutiny and peer review. Upgrade pass or Honours IIB/IIA to First Class Honours equivalence.

## Exceptions

Special exemption from the above requirements may be granted by the Chair of the Research Panel where a compelling case has been made by a potential supervisor supported by the head of the relevant school

## Guidelines for Postgraduate Research Supervision

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

### 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.

## 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 recommends 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 one Associate Supervisor.

Following are definitions and roles of participants in the supervision process:

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

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

While the final responsibility for the supervision of a candidate rests with the supervisor, supervision may also involve at least one associate supervisor. 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 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.

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.

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.

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.

An academic who has not had extensive supervisory experience would normally be appointed to a position of associate supervisor rather than that of supervisor.

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.

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.

Part-time employees of the University may be appointed as Supervisors if they can satisfy the conditions as detailed in these Rules.

External Supervisors may be appointed where the University does not have the discipline expertise. See External Supervision Agreement

### **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.

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.

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.

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.

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)

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.

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.

### **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.

In consultation with the Research Degrees & Scholarships Office and the HOS within the Faculty/IAS, the supervisor should:

- 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;
- 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;
- Establish a schedule of meetings of the supervisor and the candidate;
- Monitor the status of the candidate's progress and provide Interim and Annual reports to the DVC(R); and Advise the Faculty/IAS of the continuing resource needs of the candidate, including access to resources, eg funds, rooms, vehicles;
- Recommend appropriate grant-giving bodies and provide guidance in the completion of grant applications, including the supply of referees' reports; and
- Provide advice on the selection of examiners.

### **Responsibilities of the Candidate**

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:

- 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;
- The provision of Interim and Annual reports, detailing comments on progress and on any difficulties encountered, to the DVC(R);
- A responsibility to inform the supervisor of critical problems as they arise;
- 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; and
- The decision, in consultation with the supervisor, as to when the thesis is ready for submission.

### **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:



- Ensuring that there are adequate resources available for the research projects they recommend;
- Recognising supervision of higher degree by research candidates and Professional Doctorate candidates as a teaching load borne by staff within the Faculty/IAS;
- Encouraging a research culture within the Faculty/IAS in which individual and group research is supported and valued;
- Facilitating and actively encouraging the development of supervisory skills; and
- Considering and recommending with regard to the appointment of supervisors and associate supervisors

## ESSENTIAL SUPPORTING INFORMATION

Internal

External

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1.01	22 Mar 2006	Research Branch	References to amenities fees removed in line with Federal legislation
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2.00	07 Dec 2007	Academic Board	Included 'Honours Equivalence' document as Appendix and amended process wording.
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