Higher Degree Research Supervision Policy

Section 1 - Background

(1) Australian Catholic University, henceforth 'ACU' or 'the University,' is committed to maintaining a standard of excellence in research supervision and training. As such, the Higher Degree Research Supervision Policy ('the Policy') identifies the responsibilities that lie with Higher Degree Research Supervisors ('supervisors') and Higher Degree Research (HDR) candidates ('candidates') in order to ensure that this standard is maintained and the milestones of candidature are met in a timely manner.

(2) All candidates undertaking HDR have a right to access quality supervision. As such, the Policy acts to provide particular guidance to supervisors and candidates in negotiating the details of research and supervision.

(3) It is the responsibility of all parties mentioned in the Policy to familiarise themselves with the requirements for the responsible conduct of research, as per the Australian Code for the Responsible Conduct of Research 2018 and the Research Code of Conduct at the commencement of any supervisory arrangement and to adhere to these requirements at all times throughout research candidature.

Section 2 - Purpose

(4) This Policy outlines the key principles that govern supervision of higher degree by research candidates and define the University's expectations of candidates, supervisors and supervisory panels for HDR.

Section 3 - Scope

(5) This Policy applies to candidates enrolled in an HDR program and all members of the supervisory team involved in the supervision of HDR candidates. This Policy is to be read in conjunction with the Higher Degree Research Policy, Research Active Definition Policy and the Research Code of Conduct.

Section 4 - Principles

(6) In accordance with Section 10 of the Higher Degree Research Policy, HDR Candidates shall be supported by at least two staff who are accredited ACU supervisors.

Section 5 - Supervisor Roles

(7) The responsibilities of the HDR supervisory team, the Principal Supervisor, the Co-Supervisor and the Associate Supervisors are detailed in Section 10 and Appendices B, C and D of this Policy.

(8) The Principal Supervisor is an ACU staff member who is accredited as an HDR Supervisor (Full) and has been appointed to lead a team of two or more supervisors in the provision of guidance and assistance to a candidate in the

undertaking of relevant degree requirements. The Principal Supervisor is the academic leader of the HDR supervisory team and has official responsibility for the overall management of the Candidate's candidature from enrolment to final thesis examination.

(9) The Co-Supervisor is an ACU staff member who is a member of the HDR candidate's supervisory team to support the Principal Supervisor in the provision of guidance and assistance to the HDR candidate. The co-supervisor may be research active but need not reach the university's 'research active' definition, although they must be an accredited supervisor (Full or Provisional).

(10) The Research Advisor is an ACU staff member who is accredited as an HDR Supervisor (Full) and is appointed to a candidate who is enrolled in the Doctor of Education or Master of Education (Research) for the duration of the candidate's coursework component. The Research Advisor is responsible for fulfilling the duties required by the particular degree of enrolment.

(11) An Associate Supervisor is a specialist in the discipline from outside ACU who can provide expertise to the supervision of the HDR candidate. The Associate Supervisor is appointed to the HDR candidate's supervisory team to supplement the supervision provided by the Principal Supervisor and Co-Supervisor.

(12) An Associate Supervisor (End-user) is a specialist from an end-user (organisation) external to ACU who can provide expertise to the supervision of an HDR candidate and who will directly use or directly benefit from the research. An Associate Supervisor (End-user) supplements the supervision provided by the ACU Principal Supervisor and Co-Supervisor. ACU applies the ARC definition of a research end-user when it appoints an Associate Supervisor (End-user). The definition includes specific exclusions and can be accessed in the Engagement and Impact Assessment 2018-19.

Section 6 - Supervisor Accreditation

(13) There are two levels of accreditation at ACU. Staff may seek accreditation as either an HDR Supervisor (Full) or HDR Supervisor (Provisional).

(14) Staff should discuss their potential application for supervisor status with the Faculty Associate Dean, Research prior to submitting a request for accreditation.

(15) Staff members who wish to apply for accreditation should submit a supervisor accreditation request via the prescribed form in Orion.

(16) Accreditation of all supervisors is approved by the Faculty Associate Dean, Research according to the requirements below.

(17) To be eligible for accreditation as an HDR Supervisor (Full), an ACU staff member must:

a. Have an appointment of at least 0.4 FTE: and
b. Be classified as active in research within the discipline/s in which they will be supervising to the satisfaction of the Faculty Associate Dean, Research as per the Research Active Definition Policy; and
c. Have completed the ACU supervisor training program, a similar program at another higher education institution or provide evidence of relevant professional experience; and
d. Have completed respectful supervisory relationship training at ACU or a similar program at another higher education institution; and
e. Have an appropriate qualification:
    i. Supervisors of a Masters or Doctoral student will normally hold a PhD;
    ii. Supervisors of a professional doctorate will normally hold a PhD, or an equivalent research degree;

iii. Holding a professional doctorate would not normally enable a staff member to be a supervisor of a PhD student, unless it was the accepted practice of the discipline.

(18) To be eligible for accreditation as an HDR Supervisor (Provisional), an ACU staff member must:

a. Have an appointment of at least 0.4 FTE: and
b. Have completed the ACU supervisor training program, a similar program at another higher education institution or provide evidence of relevant professional experience; and
c. Have completed respectful supervisory relationship training at ACU or a similar program at another higher education institution; and
d. Have an appropriate qualification:
    i. Supervisors of a Masters or Doctoral student will normally hold a PhD;
    ii. Supervisors of a professional doctorate will normally hold a PhD, or an equivalent research degree;
    iii. Holding a professional doctorate would not normally enable a staff member to be a supervisor of a PhD student, unless it was the accepted practice of the discipline.

(19) Staff who are Honorary and Adjunct Appointments may be accredited as HDR Supervisors (Full or Provisional) at ACU with the approval of the Faculty Associate Dean, Research.

(20) Following accreditation as an HDR Supervisor (Full or Provisional), a staff member can be assigned to a role on an ACU HDR candidate's supervisory panel as detailed below.

(21) If an HDR Supervisor (Full or Provisional) no longer meets the requirements for accreditation as stipulated in clause 4 of this Policy, or if they fail to comply with ACU's Policies and Procedures, their accreditation may be reviewed and amended by the Faculty Associate Dean, Research.

Section 7 - Eligibility for Appointment to an HDR Supervisory Team

(22) An ACU staff member who has been accredited as an HDR supervisor (Full) via the prescribed process may be appointed to the role of Principal Supervisor or Co-Supervisor or Research Advisor on an HDR candidate's supervisory team.

(23) An ACU staff member who has been accredited as an HDR Supervisor (Provisional) via the prescribed process may be appointed to the role of Co-Supervisor only.

(24) Non-ACU staff who can provide particular expertise to the supervision of an HDR candidate may be appointed to the role of Associate Supervisor or an Associate Supervisor (End-user) on an HDR candidate's supervisory team.

Section 8 - Composition of the HDR Supervisory Team

(25) A candidate enrolled in a Higher Degree Research program (excluding the Doctor of Education or Master of Education (Research)) will be supervised by a Principal Supervisor and a Co-Supervisor.

(26) A candidate enrolled in the Doctor of Education or the Master of Education (Research) will be supervised by a Research Advisor for the duration of coursework modules. Upon successful completion of the coursework modules, the candidate will be supervised by a Principal Supervisor and a Co-Supervisor.

(27) Where appropriate, additional Co-Supervisors and / or Associate Supervisors and / or Associate Supervisors (End-users) may be appointed to an HDR candidate's supervisory team.

(28) HDR supervisors will be appointed to an HDR supervisory team during the candidate admission assessment process or through the change of supervision process (refer Section 12).

(29) The Faculty Associate Dean, Research is responsible for ensuring that at least one ACU staff member accredited at the level HDR Supervisor (Full) is appointed to each HDR candidate's supervisory team.

(30) The supervisory team must, at all time, include a Principal or Co-supervisor who has supervised at least one (1) HDR candidate to completion. When this is the Co-supervisor, they must also be classified as active in research within the discipline/s they will be supervising in, to the satisfaction of the Faculty Associate Dean, Research.

(31) The Faculty Associate Dean, Research, is responsible for finalising the composition of all HDR supervisory Teams (refer Section 10 of the Higher Degree Research Policy).

Section 9 - Respectful Supervisory Relationships

(32) ACU is committed to providing a safe and respectful environment and expects all staff and students to behave in a manner that is respectful, inclusive and fair at all times (refer ACU's commitment to the Universities Australia: Respect.Now.Always. initiative and the Code of Conduct for Staff).

(33) The University recognises there is an inherent power imbalance in the supervisor-candidate relationship and that the greater power rests with the supervisor.

(34) The University expects supervisors to be cognisant of the inherent power imbalance and for all interactions between any member of the HDR supervisory team and the HDR candidate to be characterised by mutual respect and trust.

(35) The University expects any interactions between any member of the HDR supervisory team and the HDR candidate to adhere to the Universities Australia: Principles for Respectful Supervisory Relationships, the ACU Research Code of Conduct and the Universities Australia: Respect.Now.Always. initiative.

(36) For information on raising concerns regarding supervisory interactions or relationships refer to Sections 13 and 16 of this Policy.

Section 10 - The Role and Responsibilities of the HDR Candidate

(37) The HDR candidate's role is to complete the requirements of their Higher Degree Research Program in a timely manner and in accordance with the University's policies and procedures.

(38) The HDR candidate's responsibilities are outlined in Appendix A.

Section 11 - The Responsibilities of the HDR Supervisory Team

(39) The Principal Supervisor is the academic leader of the HDR supervisory team and has official responsibility for the overall management of the HDR candidate's candidature from enrolment to final thesis examination.

a. The Principal Supervisor's responsibilities are outlined in Appendix B.

(40) The Co-Supervisor assists the Principal Supervisor in managing the candidate's candidature.

a. The Co-Supervisor's responsibilities are outlined in Appendix C.
b. To ensure clarity, the Co-Supervisor's specific role within each HDR supervisory Team should be negotiated and agreed between the Principal Supervisor, the Co-Supervisor and HDR candidate early in candidature.
c. Following the completion of each candidate milestone, the Principal Supervisor, Co-Supervisor and HDR candidate should discuss and agree any updates required to the Co-Supervisor's role.

(41) The Research Advisor oversees the HDR candidate's completion of the coursework component in the Doctor of Education or Master of Education (Research).

a. The Research Advisor's responsibilities are outlined in Appendix D

(42) The Associate Supervisor provides specialist knowledge to support the HDR supervisory team and the HDR candidate's research.

a. The Associate Supervisor's responsibilities are outlined in Appendix E.

(43) The Associate Supervisor (End-user) provides specialist knowledge to support the HDR supervisory team and the HDR candidate's research.

a. The Associate Supervisor (End-user)'s responsibilities are outlined in Appendix F.

(44) The role of the HDR supervisory team is to provide cohesive advice and assistance to the candidate with regards to any aspect of their candidature.

(45) The HDR supervisory team is expected to:

a. review and discuss with the HDR candidate the policies and procedures governing research candidature at ACU;
b. remain up-to-date in relation to the policies, procedures and guidelines governing the conduct of research and research degrees at ACU, and maintain and uphold those policies and processes;
c. be aware of cultural implications when an HDR candidate's research involves Indigenous Australian issues. The Principal Supervisor will liaise with the Faculty Associate Dean, Research to ensure that an Indigenous Australian Cultural Mentor is included on the HDR supervisory team;
d. maintain a team approach to supervision and ensure appropriate involvement of the candidate and all members of the supervisory team with regards to the development of the candidate's research project;
e. provide tailored guidance to the HDR candidate to facilitate timely progression and completion;
f. support the HDR candidate to make a significant independent contribution within their field of research;
g. maintain regular contact with the candidate, establishing at the beginning of enrolment, the basis on which contact will be made and the expected frequency of the contact;
h. upon completion of each candidate milestone, review, discuss and agree on the frequency of contact with the HDR candidate and make adjustments as required;
i. require written work from the candidate on a pre-arranged and agreed schedule so that their progress can be assessed at regular intervals;
j. provide opportunities for the broad research education of the candidate, and the candidate's professional and career development;
k. provide supervision to the HDR candidate throughout the year;
l. ensure the HDR candidate is provided with accurate information and advice in a timely manner regarding all

aspects of their HDR candidature that fall under the responsibility of the HDR supervisory team.

m. be available to the HDR candidate, including responding to requests and addressing queries in the timeframes agreed between the HDR candidate and the HDR supervisory team;
n. review drafts of the thesis and provide feedback in a timely manner;
o. ensure that any assistance rendered to the candidate is consistent with the Australian Code for the Responsible Conduct of Research 2018 and the Research Code of Conduct;
p. provide ongoing research supervision at a standard meeting with the requirements of this Policy, only withdrawing supervision where alternate supervisory arrangements have been put in place by the University (refer Section 7);
q. assist with identification of appropriate alternate supervision in instances where a change in research focus necessitates a change in supervision arrangement;
r. maintain a professional and respectful relationship with the HDR candidate (refer Section 8);
s. where appropriate, encourage and provide advice to the HDR candidate on the most suitable outlets for publication
t. encourage the HDR candidate to attend seminars conducted by the School / Research Institute or Faculty;
u. introduce the HDR candidate to networks and industry partners beyond the University;
v. participate on the ACU Candidature Milestone Panels in accordance with the Higher Degree Research Policy; and
w. where appropriate, seek to co-author high-quality publications with the candidate.

Section 12 - Supervisor Absence

(46) In accordance with the Higher Degree Research Policy, the University is required to provide an assurance of continuity of expert supervision for the duration of candidature in the field of study.

(47) If the Principal or the Co-Supervisor are to be absent from the University for more than one (1) month, the Principal Supervisor must notify the Faculty Associate Dean, Research as soon as possible.

(48) The Faculty Associate Dean, Research will review the composition of any HDR supervisory teams to which the staff member is currently appointed to ensure the remaining composition is in accordance with Section 7 of this Policy.

(49) If required, the Faculty Associate Dean, Research will oversee completion of a change of supervision request (refer Section 12).

Section 13 - Changes of Supervision

(50) Requests for changes to a candidate's HDR supervisory team should be made using the prescribed process.

Section 14 - Raising and Resolving Concerns

(51) An HDR candidate who has concerns regarding the supervision they are receiving, and who has been unable to resolve the matter through discussions with their HDR supervisory team, is encouraged to contact their Faculty Associate Dean, Research.

a. Where the Faculty Associate Dean, Research is a member of the HDR supervisory team, the HDR candidate is encouraged to contact the Executive Dean of the Faculty.
b. Where the Faculty Associate Dean, Research and the Executive Dean are both members of the HDR supervisory

team, the HDR candidate is encouraged to contact the Pro Vice-Chancellor (Research).

(52) An HDR supervisory team member who has concerns regarding the supervision being provided to the candidate or who has concerns regarding other matters within the HDR supervisory team, and who has been unable to resolve the matter through discussions with their HDR supervisory team, is encouraged to contact their Faculty Associate Dean, Research.

(53) If the matter of concern relates to assault or harassment, the HDR candidate or HDR supervisory team member should refer to the Student Prevention and Response to Sexual Harm or Gender-Based Violence Procedure and the Staff Sexual Misconduct Policy.

(54) If the matter of concern in sections 14.1 or 14.2 is related to the conduct or integrity of Research, the HDR candidate or the HDR supervisory team member should be guided by the instructions within the Research Code of Conduct and the associated Research Complaints and Investigations Procedure.

(55) The HDR candidate and the HDR supervisory team member may also contact a Research Integrity Advisor for guidance.

Section 15 - Ongoing Professional Development for HDR Supervisors

(56) HDR supervisors (Full and Provisional) are expected to develop their supervision skills through participation in University training programs, supervision training programs and through the practice of supervision.

Section 16 - Authorship

(57) It is the responsibility of HDR candidates and HDR supervisors to adhere to the Australian Code for the Responsible Conduct of Research 2018 and to the ACU Authorship policy and to any related research policies including those of funding bodies such as the Australian Research Council and the National Health and Medical Research Council. Where research data is sourced from external providers, author attribution for this data is to be consistent with provider requirements.

(58) The HDR candidate and the HDR supervisory team should, as early in the candidature as possible, discuss and agree on authorship matters including but not limited to authorship attribution including authorship order, publications and acknowledgment during, and after, the candidature (refer Research Authorship Policy).

(59) Any agreements between the HDR candidate and HDR supervisory team or individual supervisors regarding authorship matters should be documented.

(60) There should be open and mutual recognition of the HDR candidate's and the supervisor's contribution on all published work arising from the project, as outlined in the Research Authorship Policy.

Section 17 - Conflict of Interest

(61) It is the responsibility of all parties mentioned in this Policy to declare, as soon as is practicable, any conflict of interest that might impact upon the quality of supervision that a higher degree research candidate receives (refer Section 14 of the Research Code of Conduct).

(62) Conflicts of interest include a romantic or sexual relationship between an HDR supervisor and their HDR

candidate. Such relationships are never appropriate and must be declared. All other conflicts of interest should be declared and managed in accordance with the Declaration of Interest Policy - Staff and Affiliates.

(63) Any such conflicts of interest are to be addressed with reference to the requirements of this Policy, and in accordance with other relevant policies and guidelines pertaining to research candidature.

Section 18 - Appendices

Appendix A: Higher Degree Research Candidate Responsibilities

Responsibilities of the Higher Degree Research Candidate throughout Candidature

(64) Throughout candidature, it is the responsibility of the HDR candidate to:

a. adhere to the Australian Code for the Responsible Conduct of Research 2018, the Research Code of Conduct, the Higher Degree Research Policy, and the University's HDR policies and procedures;
b. take initiative in making regular contact with the HDR supervisory team and to ask for appropriate support when required;
c. discuss with the HDR supervisory team the inclusion of an Indigenous Australian Cultural Mentor should the proposed research involve Indigenous Australian issues;
d. respond in a timely manner to contact and feedback provided by the HDR supervisory team;
e. maintain a professional relationship with the members of the HDR supervisory team – refer clauses (23) to (27) and (54) to (56) of this Policy;
f. discuss and agree on a frequency and schedule of meetings with the HDR supervisory team that will ensure regular and consistent contact;
g. following completion of each formal milestone, review and discuss the frequency and schedule of meetings with the HDR supervisory team and make adjustments where relevant;
h. submit data outputs or drafts of written work to the HDR supervisory team in accordance with the agreed timeframes in advance of scheduled meetings;
i. undertake research training activities, as requested by the HDR supervisory team;
j. adhere to agreed timelines for progress and completion;
k. achieve any other agreed goals;
l. advise the HDR Supervisory Team in advance of planned leave in accordance with appropriate approval processes where leave does not fall within the four-week annual entitlement;
m. where appropriate, complete an HDR Student Annual Academic Progress Report, adhering to stated deadlines;
n. discuss any concerns relating to supervision arrangements with the ADR as soon as is practicable after concerns arise – refer clauses (44) to (48) of this Policy;
o. as soon as practicable, inform the HDR supervisory team of any factors that might affect the progress of research, so that appropriate measures might be taken as necessary;
p. consult with the HDR supervisory team prior to the dissemination of research findings;
q. review and discuss with the HDR supervisory team matters relating to authorship and ensure agreements are documented – refer clause (49) of this Policy;
r. when undertaking research in collaboration with an external or partner organisation, see that the applicable ethics policies of both ACU and the other institution are observed, ensuring appropriate intellectual property and confidentiality provisions are in place according to University policies and procedures;
s. for candidates enrolled on a full-time basis, consult with the HDR supervisory team prior to accepting offers of employment to ensure workload will not impede the progress of research and that it complies with the University's employment guidelines for higher degree research candidates; and

t. be aware of the University's Student and Public Complaints Policy and Student and Public Complaints Procedure and ensure that appropriate solutions are sought via negotiation prior to recourse.

Responsibilities of the Higher Degree Research Candidate from Commencement to Confirmation of Candidature

(65) Regarding the progress of candidature from the time of commencement until Confirmation of Candidature, it is the responsibility of the HDR candidate to:

a. ensure that enrolment details, including contact details, are correct upon commencement;
b. ensure that an adequate amount of time is devoted to research and, where appropriate, discuss proposed employment with the HDR supervisory team to ensure it will not interfere with the progress of candidature;
c. attend any meetings scheduled by the HDR supervisory team and partake in discussions to develop a realistic program of study suitable for the purposes of the degree program into which the candidate has been accepted (including the preparation of a mutually agreed timetable for completing the degree requirements within the maximum period of candidature);
d. negotiate and agree to mode of contact noting that the HDR candidate and the HDR supervisory team may be located on different ACU campuses;
e. reach an agreement with the HDR supervisory team as soon as possible after commencement and before Confirmation of Candidature that the scope of the research is achievable within the constraints of accessible resources;
f. attend training workshops and seminars as requested by the HDR supervisory team;
g. where appropriate, complete an HDR Student Annual Academic Progress Report adhering to stated deadlines; and
h. discuss the requirements for Confirmation of Candidature with the HDR supervisory team to ensure that all components are included, and that confirmation takes place in accordance with the requirements of the Higher Degree Research Policy.

Responsibilities of the Higher Degree Research Candidate from Confirmation of Candidature to Mid-Candidature Review

(66) Regarding the progress of candidature from Confirmation of Candidature until Mid-Candidature Review, it is the responsibility of the HDR candidate to:

a. discuss the format of the thesis with the HDR supervisory team as well as timelines to ensure timely completion;
b. ensure that relevant ethics and safety clearances are obtained as soon as possible after confirmation;
c. submit drafts of the major sections of the thesis (or journal papers for inclusion in the thesis) for review as requested by the HDR supervisory team;
d. discuss the requirements for Mid-Candidature Review with the HDR supervisory team to ensure that all components are included and that the Review takes place in accordance with the requirements of the Higher Degree Research Policy;
e. plan for, and participate in, progress seminars as directed by the HDR supervisory team;
f. where appropriate, complete an HDR Student Annual Academic Progress Report, adhering to stated deadlines; and
g. discuss any obstacles to the progress of candidature with the HDR supervisory team as early as possible and develop a plan to ensure timely completion.

Responsibilities of the Higher Degree Research Candidate from Mid-Candidature Review to Final Year Review

(67) Regarding the progress of candidature from Mid-Candidature Review until Final Year Review, it is the responsibility of the HDR candidate to:

a. discuss any obstacles to the progress of candidature with the HDR supervisory team as early as possible and develop a plan to ensure timely completion;
b. prepare for and carry out the Final Year Review, discussing any concerns with the HDR supervisory team at the earliest time to ensure the Review occurs in accordance with the requirements of the Higher Degree Research Policy.
c. submit drafts of the major sections of the thesis (or journal papers for inclusion in the thesis) for review as requested by the HDR supervisory team;
d. discuss the requirements for Final Year Review with the HDR supervisory team to ensure that all components are included and that the Review takes place in accordance with the requirements of the Higher Degree Research Policy;
e. plan for, and participate in, progress seminars as directed by the HDR supervisory team; and
f. where appropriate, complete an HDR Student Annual Academic Progress Report, adhering to stated deadlines.

Responsibilities of the Higher Degree Research Candidate from Final Year Review to Examination

(68) Regarding the progress of candidature from Final Year Review until examination, it is the responsibility of the HDR candidate to:

a. review the report of the Final Year Review Panel and undertake any required further work on the thesis, seeking guidance from the HDR supervisory team as necessary;
b. in the instance where the Final Year Review panel has recommended changes be made, re-present the written submission and/or presentation once the recommended changes have been made to the satisfaction of the HDR supervisory team, and within the timeframes specified in the Higher Degree Research Policy;
c. submit drafts and revisions of the major sections of the thesis (or journal papers for inclusion in the thesis) for review as requested by the HDR supervisory team.

Responsibilities of the Higher Degree Research Candidate at Examination

(69) Regarding examination, it is the responsibility of the HDR candidate to:

a. submit the final thesis to the supervisors in a timely manner to allow review by the HDR supervisory team prior to submission for examination;
b. seek clarification from the HDR supervisory team about any questions relating to the Preparation and Presentation of a Higher Degree Research Thesis for Examination Guideline to ensure that the thesis is properly presented and is worthy of examination;
c. where the thesis is based on conjointly published or unpublished work, state both the extent and the nature of the contributions of an HDR supervisory team member and co-authors;
d. state both the extent and the nature of any assistance received throughout the course of the HDR candidate's research (refer clause 10.3 of the Preparation and Presentation of a Higher Degree Research Thesis for Examination Guideline);
e. discuss the outcome of examination with the HDR supervisory team and, where necessary, agree an approach and timeline for fulfilling any required amendments to the thesis.

Appendix B: Responsibilities of the Principal Supervisor

(70) All members of the HDR supervisory team are expected to fulfil the responsibilities outlined in clauses (30) to (38) of this Policy.

(71) As the academic leader of the HDR supervisory team with official responsibility for the overall management of the candidature, the Principal Supervisor has additional specific responsibilities:

Responsibilities of the Principal Supervisor throughout candidature

(72) Throughout candidature it is the Principal Supervisor's responsibility to:

a. remain up to date in relation to the policies, procedures and guidelines governing the conduct of research and research degrees at ACU, and maintain and uphold those policies and processes;
b. as appropriate, ensure Associate Supervisors and Associate Supervisors (End-users) are appraised of the relevant policies, procedures and guidelines governing the conduct of research and research degrees at ACU.
c. notify the HDR supervisory team, the HDR candidate and the ADR if, at any point during candidature, the Principal or the Co-Supervisor are to be absent from the University for more than one (1) month. Notification must occur as soon as possible;
d. work with the ADR to ensure that where the HDR candidate's research involves Indigenous Australian issues, an Indigenous Australian Cultural Mentor is included on the HDR supervisory team;
e. coordinate feedback provided by the HDR supervisory team to the HDR candidate to ensure the candidate is receiving a cohesive and consistent response;
f. seek guidance from the ADR as appropriate to resolve matters of conflict or concern.

Responsibilities of the Principal Supervisor from Commencement to Confirmation of Candidature

(73) Regarding the progress of candidature from the time of commencement until Confirmation of Candidature, it is the responsibility of the Principal Supervisor to:

a. consult with the Head of School / Institute Director to ensure that any equipment, materials, or support necessary to the conduct of research and which have been approved during the admission process are made available to the candidate in a timely manner and as soon after commencement as possible;
b. meet with the candidate and, where possible, other supervisors at or as soon as possible after commencement, to discuss timelines for the progress of candidature, including an appropriate plan for supervision meetings;
c. review and discuss all relevant HDR policies and procedures with the HDR candidate and the HDR supervisory team to ensure clarity and understanding;
d. review and discuss with the HDR candidate and the HDR supervisory team, matters relating to authorship – refer clause (47) of this Policy.
e. support and encourage the HDR candidate to plan for a timely completion and assist them in developing a timeline (such as a Gannt chart) for their HDR candidature journey;
f. ensure that all supervisors are consulted on mutually convenient times to meet with the candidate and are aware of their own responsibilities as laid out by this Policy;
g. inform the candidate that research involving contact with human participants (including interviews, use of survey instruments or questionnaires, audio/video taping of participants, or access to an individual's files or records) may not commence until ethics clearance has been obtained in writing from the Human Research Ethics Committee (HREC);
h. inform the candidate of the compliance requirements for their research and ensure that research does not commence without appropriate approval;
i. assist the candidate to develop a realistic program of study suitable for the purposes of the degree program

into which the candidate has been accepted (including the preparation of a mutually agreed timetable for completing the degree requirements within the maximum period of candidature) that is likely to offer suitable scope for research training, will provide an intellectually rewarding investigation, and could be expected to produce results amenable to the production of an acceptable thesis within the candidature time laid down by the URC;

j. suggest appropriate background reading and advise on the scope of the relevant scholarship/literature review;
k. arrange with the candidate mutually acceptable set times of appropriate frequency for formal discussions on assigned reading and other aspects of the research, criticism of written work, development of experimental procedures or other data gathering and provide constructive evaluation of the work submitted;
l. direct the candidate to enrol in courses relevant to the area of research being undertaken as required to provide the candidate the strongest possible foundation of knowledge to draw upon in conducting research;
m. strongly encourage the HDR candidate to undertake presentations to staff and other advanced candidates thus developing the candidate's presentation skills and helping the candidate formulate the research ideas more expeditiously;
n. where appropriate provide additional guidance to international candidates as relevant to their candidature;
o. ensure that the HDR candidate is familiar with the administrative requirements of enrolment;
p. ensure that the HDR candidate's proposed field and topic will not be unduly constrained by requirements of confidentiality or questions of possible defamation;
q. discuss arrangements for full-time candidates who propose to undertake employment during standard business hours to ensure it will not interfere with the progress of candidature; a full-time candidate is expected to work on their research project for approximately 40 hours per week;
r. address potential challenges to the successful continuation and completion of candidature at the earliest time, consulting the ADR or PVCR where appropriate and in accordance with this Policy;
s. advise the candidate on appropriate preparations and required components for Confirmation of Candidature in accordance with the Higher Degree Research Policy;
t. assist the ADR to ensure that the Confirmation of Candidature process occurs in accordance with the Higher Degree Research Policy; and
u. participate on the Confirmation of Candidature panel and where appropriate, advise the other HDR supervisory team members of their required participation on the panel.

Responsibilities of the Principal Supervisor from Confirmation of Candidature to Mid-Candidature Review

(74) Regarding the progress of candidature from Confirmation of Candidature until Mid-Candidature Review, it is the responsibility of the Principal Supervisor to:

a. carefully monitor the progress of the HDR candidate and discuss the format of the thesis as well as timelines to ensure a timely completion;
b. ensure that relevant ethics and safety clearances are obtained as soon as possible after confirmation;
c. request and review drafts of the major sections of the thesis (or the production of journal papers for inclusion in the thesis) as they are prepared and to return these comments to the candidate with reasonable expedition, and/or discuss the format of the thesis in a timely manner;
d. as required, refer relevant sections of the thesis to HDR supervisory team members for review and feedback;
e. coordinate delivery of the above feedback to the HDR candidate to ensure the candidate is receiving a cohesive and consistent response;
f. where appropriate, complete a detailed, accurate assessment in the HDR Student Annual Academic Progress Report and advise whether the academic progress of the HDR candidate is satisfactory;
g. identify and propose measures to address any obstacles to the progress of candidature and, in consultation with the HDR candidate and the HDR supervisory team put a plan in place to ensure timely completion;

h. provide guidance to the HDR candidate regarding the quality of journals and publishers in the field, and where relevant provide feedback to the candidate on any publications emanating from the thesis;
i. advise the candidate on appropriate preparations and required components for the Mid-Candidature Review in accordance with the Higher Degree Research Policy;
j. assist the ADR to ensure that the Mid-Candidature Review process occurs in accordance with the Higher Degree Research Policy; and
k. participate on the Mid-Candidature Review panel and where appropriate, advise the other HDR supervisory team members of their required participation on the panel.

Responsibilities of the Principal Supervisor from Mid-Candidature Review until Final Year Review

(75) Regarding the progress of candidature from Mid-Candidature Review to Final Year Review, it is the responsibility of the Principal Supervisor to:

a. carefully monitor the progress of the HDR candidate and, in collaboration with both the HDR candidate and the HDR supervisory team, review and adjust timelines to ensure a timely completion;
b. request and review drafts of the major sections of the thesis (or the production of journal papers for inclusion in the thesis) as they are prepared and to return these comments to the candidate with reasonable expedition, and/or discuss the format of the thesis in a timely manner;
c. as required, refer relevant sections of the thesis to HDR supervisory team members for review and feedback;
d. coordinate delivery of the above feedback to the HDR candidate to ensure the candidate is receiving a cohesive and consistent response;
e. where appropriate, complete a detailed, accurate assessment in the HDR Student Annual Academic Progress Report and advise whether the academic progress of the HDR candidate is satisfactory;
f. identify and propose measures to address any obstacles to the progress of candidature and, in consultation with the HDR candidate and the HDR supervisory team put a plan in place to ensure timely completion;
g. provide guidance to the HDR candidate regarding the quality of journals and publishers in the field, and where relevant provide feedback to the candidate on any publications emanating from the thesis;
h. advise the candidate on appropriate preparations and required components for the Final-Year Review in accordance with the Higher Degree Research Policy;
i. assist the ADR to ensure that the Final-Year Review process occurs in accordance with the Higher Degree Research Policy; and
j. participate on the Final-Year Review panel and where appropriate, advise the other HDR supervisory team members of their required participation on the panel.

Responsibilities of the Principal Supervisor from Final Year Review to submission for Examination

(76) With regard to the progress of candidature from Final-Year Review to Submission for Examination, it is the responsibility of the Principal Supervisor to:

a. carefully monitor the progress of the HDR candidate and, in collaboration with both the HDR candidate and the HDR supervisory team, review and adjust timelines to ensure a timely completion;
b. provide comments on the final draft of the thesis in a timely manner prior to it being submitted for examination;
c. ensure that the Co-Supervisor reads and comments on the final draft of the thesis;
d. ensure that the HDR candidate has consulted the relevant guidelines to ensure that the thesis is properly presented and is worthy of examination;
e. ensure that the thesis is, to the best of all supervisors' knowledge, the work of the candidate or that reference is made in the text where appropriate;
f. ensure that any assistance received by the HDR candidate throughout the course of their research has been

properly acknowledged; and

g. advise the ADR of the names of proposed examiners, allowing sufficient time for nominations to be considered and approved by the URC ahead of submission.

Responsibilities of the Principal Supervisor during the Examination process

(77) Regarding the examination process, it is the responsibility of the Principal Supervisor to:

a. maintain confidentiality in accordance with the Appointment of Examiners and Examination Policy;
b. provide advice to the HDR candidate on the outcome of examination only once advised to do so;
c. discuss the outcome of examination with the HDR candidate and the HDR supervisory team and, where necessary, advise on an approach and timeline for enacting any required amendments to the thesis; and
d. Support the HDR candidate in enacting any required amendments to the thesis as directed by the URC.

Appendix C: Responsibilities of the Co-Supervisor

(78) Members of the HDR supervisory team are expected to fulfill the responsibilities outlined in clauses (30) to (38) of this Policy.

(79) The Co-Supervisor's role is to support and assist the Principal Supervisor in the management of the HDR candidate's candidature. The Co-Supervisor has additional specific responsibilities and is expected to:

a. remain up to date in relation to the policies, procedures and guidelines governing the conduct of research and research degrees at ACU, and maintain and uphold those policies and processes;
b. discuss expectations for the role of Co-Supervisor role with the Principal Supervisor and the HDR candidate, and agree specific parameters for the role within the HDR candidate's supervisory team;
c. after each candidate milestone completion review and discuss the previously set parameters with the HDR candidate and the Principal Supervisor, and as appropriate, agree any required changes;
d. attend and participate in meetings between the HDR candidate and the HDR supervisory team as agreed;
e. attend and participate in HDR supervisory team meetings as requested by the Principal Supervisor;
f. attend and participate in all HDR candidate milestones in accordance with the Higher Degree Research Policy;
g. review and comment on the HDR candidate's written material as requested by the Principal Supervisor;
h. as required, assist the Principal Supervisor in the coordination of HDR supervisory team feedback to the HDR candidate to ensure the candidate is receiving a cohesive and consistent response;
i. read the final draft of the HDR candidate's thesis and provide comments in a timely manner prior to it being submitted for examination; and
j. notify the Principal Supervisor as soon as possible if, at any point during candidature, the Co-Supervisor is to be absent from the University for more than one (1) month.

Appendix D: Responsibilities of the Research Advisor

(80) Members of the HDR supervisory team are expected to fulfill the responsibilities outlined in clauses (30) to (38) of this policy.

(81) The Research Advisor's role is to support the HDR candidate in the timely completion of the coursework module component of the Doctor of Education or Master of Education (Research) program with specific responsibilities to:

a. remain up to date in relation to the policies, procedures and guidelines governing the conduct of research and research degrees at ACU, and maintain and uphold those policies and processes;
b. discuss expectations for the role of Research Advisor with the HDR candidate, and agree on specific parameters

for the role;

c. read the HDR candidate's coursework submissions and provide comments in a timely manner; and
d. fulfil duties as required by the particular degree of enrolment.

Appendix E: Responsibilities of the Associate Supervisor

(82) Members of the HDR supervisory team are expected to fulfill the responsibilities outlined in clauses (30) to (38) of this policy.

(83) The Associate Supervisor's specific responsibilities are to:

a. work under the guidance and direction of the Principal Supervisor;
b. provide discipline expertise to the HDR supervisory team and the HDR candidate to support the HDR candidate's research, as appropriate and as requested;
c. attend and participate in meetings between the HDR candidate and the HDR supervisory team as agreed;
d. attend and participate in HDR supervisory team meetings as requested by the Principal Supervisor; and
e. review and comment on the HDR candidate's written material as requested by the Principal Supervisor.

Appendix F: Responsibilities of the Associate Supervisor (End-user)

(84) Members of the HDR supervisory team are expected to fulfill the responsibilities outlined in clauses (30) to (38) of this policy.

(85) The Associate Supervisor (End-user)'s specific responsibilities are to:

a. work under the guidance and direction of the Principal Supervisor;
b. provide expertise to the HDR supervisory team and the HDR candidate to support the HDR candidate's research to facilitate knowledge translation, as appropriate and as requested;
c. attend and participate in meetings between the HDR candidate and the HDR supervisory team as agreed;
d. attend and participate in HDR supervisory team meetings as requested by the Principal Supervisor; and
e. review and comment on the HDR candidate's written material as requested by the Principal Supervisor.

Section 19 - Review

(86) Unless otherwise indicated, this Policy will still apply beyond the review date.

Section 20 - Associated Information

(87) For related legislation, policies, procedures and guidelines and any supporting resources please refer to the Associated Information tab.

Status and Details

Status	Current
Effective Date	16th March 2026
Review Date	16th March 2028
Approval Authority	Governance Officer
Approval Date	10th March 2026
Expiry Date	Not Applicable
Responsible Executive	Abid Khan Deputy Vice-Chancellor (Research and Enterprise)
Responsible Manager	Michelle Lopez Director, Graduate Research School
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