



HIGHER DEGREE RESEARCH (HDR) SUPERVISION AND RESOURCES POLICY

Date first approved: 8 June 1990	Date of effect: 8 June 1990	Date last amended: (refer to Version Control Table) 2 February 2019	Date of Next Review: 16 April 2020
First Approved by:	University Council		
Custodian title & e-mail address:	Manager, Graduate Research School graduate-research-school@uow.edu.au		
Author:	Dean of Research		
Responsible Division & Unit:	Graduate Research School Research and Innovation Division		
Supporting documents, procedures & forms:	First Interview Checklist Commencement of Candidature Form Research Proposal Review Guidelines and Form Course Completion and Time Limits for HDR Candidates		
Relevant Legislation & External Documents:	Code of Practice – Research HDR Course Rules IP Intellectual Property Policy Higher Degree Research Academic Complaints Policy Authorship Policy Academic Integrity Policy Close Personal Relationships Guidelines Research Misconduct Policy Higher Education Standards Framework TEQSA Guidance Note – Research and Research Training		
Audience:	Public		

Submit your feedback on this policy document using the [Policy Feedback Facility](#).



Contents

1	Purpose of Policy	3
2	Definitions.....	3
3	Application & Scope.....	3
4	Responsibilities of the University	4
5	Responsibilities of the Faculties and Academic Units	4
6	Supervisor Roles and Eligibility	5
7	Capacity to Supervise and Maximum Supervisory Loads	6
8	Appointing Supervisors.....	6
9	Responsibilities of Supervisors	7
10	Changes to Supervisory Arrangements during Candidature	8
11	Supervisor Leave.....	8
12	Responsibilities of HDR Candidates.....	9
13	Minimum Infrastructure and Resources for HDR Candidates	9
14	Authorship.....	10
15	Complaints Procedures.....	10
16	Version Control and Change History	11



1 Purpose of Policy

1. The purpose of this Policy is to outline good practices that support the highest quality Higher Degree Research (HDR) candidature experience and outcomes and to ensure the University's policies and processes relating to HDR supervision and resources are compliant with the Higher Education Standards Framework on research training.
2. Research training at UOW involves the active participation of both HDR candidates and their supervisors. The responsibility to ensure that research and research training undertaken by HDR candidates is conducted in the most beneficial, efficient and effective manner is shared by candidates, supervisors, HPS, the GRS and University leaders such as the ADRs and the DoR. All parties are expected to work together towards completion of the candidate thesis within the time frame of two/four EFTSL years for Research Master/Doctorate degrees.

2 Definitions

Word/Term	Definition
Academic Unit	Academic units which manage HDR candidates are the UOW Schools and AIIM Research Institutes
Associate Dean-Research (ADR)	Has responsibility for HDR students and research training within their Faculty/AIIM
Dean of Research (DoR)	Has overall responsibility for HDR candidates and research training at UOW
Graduate Research School (GRS)	The Graduate Research School (GRS) is the administrative unit within RAID that has responsibility for the administration and management of HDR graduates
Head of Postgraduate Studies (HPS)	Heads of Postgraduate Studies (HPS) oversee management of the HDR candidature of Higher Degree Research (HDR) students within UOW academic units.
HDR candidate	A student enrolled in a Doctorate or Research Masters at UOW and whose body of work is incomplete or is under examination
Principal, Co- and Associate Supervisor	The various supervisor roles and classifications, as defined in the policy

3 Application & Scope

1. This policy applies to the guidance and supervision of onshore candidates enrolled in Master and Doctorate by Research degrees.
2. This policy does not apply to HDR students enrolled at offshore campuses including the University of Wollongong in Dubai, which has its own policy governing HDR supervision and resources.



4 Responsibilities of the University

1. The primary responsibility of the University is to provide a framework of policies and procedures within which HDR and research supervision and training are carried out efficiently and effectively. Within this framework the University has the following responsibilities:
 - a. To specify clear minimum entry standards for each level of award.
 - b. To adhere to the Higher Education Standards Framework on Research Training.
 - c. To take measures to protect the intellectual property arising from the work of HDR candidates in accordance with the University's IP Intellectual Property Policy.
 - d. To administer annual reporting requirements and monitor their effectiveness.
 - e. To administer the examination process for HDR theses.
 - f. To provide training and mentoring opportunities to assist academic staff in improving their understanding and skill in the supervision of HDR candidates.
 - g. To provide training to HDR candidates to improve their research and employment skills.
 - h. To provide procedures by which either the HDR candidate or the supervisor may make representations as appropriate should significant difficulties arise (see Higher Degree Research Academic Complaints Policy).
 - i. To inform HDR candidates of the relevant UOW policies at enrolment.
 - j. To inform supervisors of the relevant UOW policies at the start of their employment.

5 Responsibilities of the Faculties and Academic Units

1. The primary responsibility of the Faculty and Academic Unit within which the candidate is enrolled is to provide suitable academic infrastructure and funding for the research to be undertaken and successfully completed. HDR candidates are enrolled and managed within the Faculties and AIIM, under the jurisdiction of the HPS and ADRs.
2. The HPS and ADRs have the following responsibilities.
 - a. To ensure that the HDR candidate meets the minimum requirements set down by the University for admission to candidature and is capable of undertaking the proposed project.
 - b. To ensure that the proposed research project is appropriate for the award and to the discipline area.
 - c. To implement the Research Proposal Review and Probation assessment processes (when needed) for HDR candidates within the Academic Units for which they have responsibility.
 - d. To foster a supportive environment for HDR candidates.
 - e. To ensure that procedures are in place to select the most appropriate supervisor(s) for the research project.
 - f. To ensure that high quality supervision is provided continuously throughout the research period.



- g. To ensure compliance with all University's policies relevant to HDR candidature.
- h. To ensure knowledge of and compliance with all University codes and policies relevant to HDR candidature, HDR course rules including Workplace Health and Safety, Bio-Safety, Research Misconduct, Code of Practice – Research, Human Research Ethics and Animal Ethics.
- i. To consult with HDR candidates with regards to resource changes during the decision making process and prior to changes being implemented.

6 Supervisor Roles and Eligibility

1. All HDR Candidates must have a supervisory team comprising a Principal supervisor and at least one additional supervisor. The supervisory team normally requires a Co-supervisor. However if an Associate supervisor is included who is external to UOW then the team may be supplemented by an Associate supervisor who is internal. Additional Co- or external Associate supervisors beyond this minimum requirement are also acceptable. Some typical supervisory teams are:
 - a. Principal and Co- Supervisors
 - b. Principal, Co- and Associate (external) Supervisors
 - c. Principal and Associate (one internal and at least one external) Supervisors
2. Due to the shorter duration of their thesis MRes candidates only require a Principal supervisor and an internal or Associate Supervisor.

Principal Supervisors

3. A Principal supervisor will take the lead in terms of the HDR candidate project direction and execution. They normally also take responsibility for the administrative aspects and liaise with the GRS, as appropriate. Principal supervisors must satisfy the following criteria.
 - a. Hold an academic appointment at UOW.
 - b. Have tenure that exceeds the expected duration of the candidature.
 - c. Hold a doctoral degree qualification.
 - d. Satisfy the UOW research active definition.
 - e. Have a record of successful HDR supervision leading to timely candidate completion (doctoral degrees and MPhil only).
 - f. Complete appropriate professional development opportunities, related to HDR supervision, as required by UOW policies.

Co- supervisors

4. Co-supervisors also play a key role in the direction and execution of the project. Co-supervisors are internal to UOW and may be UOW academic staff members or hold a UOW Honorary or Visiting Fellow appointment.

Associate Supervisors

5. Associate Supervisors may be internal (satisfying the criteria for appointment as Co-supervisor) or external to UOW. Internal Associate supervisors only take a consultative role rather than act in a



direct supervisory capacity. However, external Associate Supervisors can play an active role in the project, similar in scope to the role of a Co-supervisor.

7 Capacity to Supervise and Maximum Supervisory Loads

1. UOW academic staff are subject to limits on their HDR supervisory loads. Professors and Associate Professors (Level D and above) can supervise a HDR load of up to 15 EFTSL at any one time, while other academic staff (Level C or below) can supervise a HDR load of up to 10 EFTSL at any one time.
2. Additional details are:
 - a. Supervisory limits include HDR load associated with both principal and co-supervisor roles with no pro-rata allocations. Examples: A full time HDR student will contribute 1.0 EFTSL towards the annual loads of all the Principal and Co-supervisors. A part-time HDR student counts 0.5 EFTSL towards the loads of all supervisors.
 - b. PhD(I), MPhil, MRes and Professional Doctorate students also enrol in coursework or research training subjects, for part of their studies. The EFTSL associated with non-thesis subjects are excluded from the calculation of HDR supervisory loads.
 - c. Distinguished Professors often lead large research groups of academic staff and HDR students. Due to their special circumstances they can negotiate their own individual maximum supervisory loads with the DoR.
 - d. Associate supervisory roles do not count towards the supervisory limits.
3. To ensure effective and efficient supervision of new HDR candidates the capacity of a proposed supervisor should be considered by the HPS and ADR. Relevant criteria include:
 - a. The time available for new supervisions, taking into account teaching, research, current (HDR, Honours and Coursework Masters) supervisory load and administrative responsibilities.
 - b. Disciplinary differences, relating to appropriate HDR supervisory loads
 - c. The supervisors track record of past supervision and successful timely completions any other workplace performance issues.
4. In cases where the HPS and ADR have concerns relating to the appointment of a supervisor they should consult with the DoR, who can veto a proposed supervisory appointment or vary the supervisory limit on a member of the academic staff.

8 Appointing Supervisors

1. The HPS, in consultation with the ADR have the responsibility for appointing supervisors after consulting potential supervisors and the Unit leadership.
2. Supervisors must not supervise HDR candidates with whom they have a close personal relationship, as this could give rise to undue advantage or disadvantage. Supervisors, both actual and potential, must advise their Head of Unit of any such relationship (refer to the Close Personal Relationships Guidelines and Conflict of Interest Policy).
3. Early career researchers, who do not have a record of successful completions and/or have an appointment shorter than the candidature duration may be appointed as Principal supervisor, if



they satisfy the other criteria. For HDR degrees other than the MRes, a co-supervisor must be appointed who does satisfy all the criteria for Principal supervisor.

4. If an existing Principal supervisor ceases employment at UOW, then they may continue as Principal supervisor of their existing students. They need to hold a Honorary or Visiting fellow appointment at UOW, and be able to demonstrate a capacity to continue to supervise effectively. Also each candidate must have a co-supervisor who does satisfy all the criteria for Principal supervisor.
5. The appointment of Principal supervisors who do not satisfy the standard criteria, such as in points 4 and 5 above or other special circumstances, must be approved by the DoR, who will consult the relevant HPS and ADR.

9 Responsibilities of Supervisors

1. The primary responsibility of the supervisor is to supervise and guide the HDR student through the process of researching and writing their HDR thesis and through the subsequent thesis examination process. This supervision and guidance includes providing advice and instruction, support and mentoring, review and criticism to enable the candidate to complete the research and produce a thesis to the best of the candidate's ability.
2. Supervisors will be responsible to the HPS and to the ADR for the supervision of HDR candidates in their charge.
3. Specific responsibilities include:
 - a. To advise HDR candidates of their procedural and substantive rights and responsibilities contained in this Policy at their first meeting or within a month of this meeting (see First Interview Checklist).
 - b. To negotiate an agreement/contract of work to be done and schedules to be adhered to, and which is to be reviewed regularly (see Commencement of Candidature Form).
 - c. To identify any deficiencies in a HDR candidate's research experience and to suggest appropriate remedial studies or programmes to improve research skills.
 - d. To support HDR candidates in developing a formal thesis proposal for review within the first year of research.
 - e. To maintain regular contact with the HDR candidate and to ensure that a reasonable timetable is set to permit the degree to be completed on time.
 - f. To provide appropriate, helpful, and explanatory feedback to the HDR candidate on any agreed submissions, to return such feedback in reasonable time, and to assist candidates to develop solutions as problems are identified.
 - g. To monitor carefully the performance of the HDR candidate relative to the work agreement and the standard required for the award, and to ensure that the candidate is made aware of whatever the supervisor may regard as inadequate progress or work below the standard generally expected.
 - h. To complete progress reports as scheduled by current University policy, including the assessment of any required written material in sufficient time to allow for comments and discussions before proceeding to the next stage (see Progress Review and Probation Guidelines in the HDR Handbook).



- i. To provide timely and accurate feedback on the progress of the HDR candidate in relation to the milestones established for the award by the Faculty, as required by the University and scholarship authorities.
- j. To advise the Head of Postgraduate Studies of the names and credentials of suitable examiners.
- k. To advise the HDR candidate as to when and whether the thesis is suitable, in form and content, for submission.
- l. To undertake professional development opportunities, to improve their HDR supervisory skills, as required by University policy.
- m. To ensure knowledge of and compliance with all University codes and policies relevant to HDR candidature, including Workplace Health and Safety, Bio-Safety, Research Misconduct, Code of Practice HDR Course Rules – Research, Human Research Ethics and Animal Ethics.

10 Changes to Supervisory Arrangements during Candidature

1. Supervisory changes must be approved by the HPS. If disagreements arise then they should consult with the ADR.
2. Where a principal supervisor is going on extended leave or ceasing employment at the University, the student should discuss new supervisory arrangements with the current supervisor, the HPS, and any potential supervisors as soon as possible to avoid any gaps in supervision. Note that during any periods of Study leave Principal supervisors are expected to continue supervision of their students (see 11.3 below).
3. In situations where disagreement emerges between the student and supervisor, the student should speak to the Supervisor in the first instance. If the matter is not resolved the student has the right to pursue the matter further and should consult the Higher Degree Research Academic Complaints Policy and the HPS or ADR as appropriate. If after following the correct procedures, the supervision is deemed inadequate, or the relationship has irretrievably broken down the student may seek to change supervisors without fear of penalty or persecution.
4. Any changes in supervision must be sent to the GRS to record on the student's academic record.

11 Supervisor Leave

1. Supervisors should ensure that HDR candidates have accurate information about any planned leave during the candidature and about the arrangements to be made to provide for supervision during leave. Before going on leave, the supervisor should meet with the candidate to discuss supervision arrangements during the period of leave.
2. The supervisor is responsible for:
 - a. documenting the discussion with the student, which must detail any agreed changes to supervision arrangements; and
 - b. providing details of the agreed changes to the GRS to record on the students' academic record.
3. The Co-supervisor/Associate supervisor will normally take over the primary responsibility for supervision in the Principal supervisor's leave.



4. During periods of Study leave Principal and Co-supervisors are expected to maintain supervision of their students, using electronic means, if necessary.
5. Continuity of supervision must be maintained throughout the candidature.

12 Responsibilities of HDR Candidates

1. The primary responsibility for carrying out research and writing the thesis rests with the HDR candidate. Specific responsibilities include:
 - a. To become familiar with the procedural and substantive rights and responsibilities of HDR candidates at the University of Wollongong and the requirements outlined in the First Interview Checklist (First formal meeting between Supervisor(s) and HDR Candidate).
 - b. To negotiate an agreement/contract of work to be done and schedules to be adhered to with the supervisor(s), which is to be reviewed regularly during the course of the candidature.
 - c. To discuss with the supervisor(s) the most useful type of help required for successful completion of the degree.
 - d. To undertake appropriate remedial work identified by the supervisor(s) should this be necessary;
 - e. To complete and present the Research Proposal Review within the defined timeline.
 - f. To maintain regular contact with the supervisor(s) and to ensure that a reasonable timetable of meetings and submitted work is agreed and maintained.
 - g. To present required written material in sufficient time to allow for comments and discussions before scheduled meetings.
 - h. To complete their HDR degree within maximum course completion times.
 - i. To negotiate with the supervisor(s) appropriate ways of documenting meetings including agreed actions arising from supervision sessions.
 - j. To complete annual progress reports as required.
 - k. To comply with any obligations entered into as part of a scholarship, Intellectual Property, Confidentiality or other formal contract or agreement.
 - l. To submit a thesis which meets the University's requirements on presentation and content (see Higher Degree Research Rules).
 - m. To comply with University policies on plagiarism, authorship and with the Code of Practice – Research.

13 Minimum Infrastructure and Resources for HDR Candidates

2. The Academic unit must provide adequate and equitable access to space, facilities and resources for all HDR candidates (whether full-time or part-time). The resources available will depend on the Faculty and Academic Unit. HDR students must be consulted and advised prior to any changes in infrastructure and equipment or other resources, where that change will affect their ongoing research. HDR student feedback and concerns must be addressed by the academic unit in question.



3. All HDR candidates are entitled to access to appropriate research infrastructure, including labs and equipment where necessary. As a minimum they should have access to:
 - a. Shared office or desk space; Generally full-time students will have sole use of a desk while part-time students will have access to shared use of a desk which can be booked by such students, on a short-term basis, as required.
 - b. A lockable filing cabinet and bookshelf facilities. Units with significant numbers of part-time and off-campus students should arrange to have filing cabinets and lockers which can be booked by such students, on a short-term basis, as required.
 - c. An e-mail account and on-campus Internet access. Units should provide access to specialist computing facilities and software, appropriate to the project requirements of the individual student. It is expected that all students own their own laptop.
 - d. Access to reasonable levels of office supplies, printing and photocopying. Access to the internal phone network and to unit tea rooms and other shared facilities.
 - e. Access to all library services including journal databases, interlibrary loans and document delivery.
 - f. With regard to safety and security, after hours office and laboratory access.
 - g. Access to a range of remedial and professional development opportunities; Where possible, units should offer suitably qualified HDR candidates the opportunity to tutor, demonstrate or engage in other professional development activities.
 - h. Representation in relevant forums at school, faculty and University levels.
 - i. Access to University support and counselling services.

14 Authorship

1. Agreement should be reached between the HDR candidate and the supervisor concerning authorship of publications and acknowledgment during and after the candidature. The HDR candidate's and the supervisor's contribution on all published work arising from the project must be acknowledged (see the Authorship Policy and related Procedures).

15 Complaints Procedures

1. Any problems or any disagreements encountered during the candidature that cannot be immediately or easily resolved between the HDR candidate and the supervisor should be dealt with in accordance with the Higher Degree Research Student Academic Complaints Policy.



16 Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	8 June 1990	University Council	First Version
2	8 December 1995	University Council	Amendments to regulate close personal relationships between candidates and supervisors
3	10 December 1999	University Council	Revised Code of Practice adopted
4	18 October 2000	Academic Senate	Amendment to section 9.
5	20 April 2001	University Council	Amendment to section 2.9 on adoption of a new Masters by Research Course Model
6	9 September 2001	Academic Senate	Amendments to section 2.9
7	Autumn Session 2003	Academic Senate	Amendments to sections 11 – 13 relating to Thesis Examination Appeals
8	28 July 2004	Academic Senate	Revised Code of Practice adopted
9	17 August 2007	University Council	Section 5.1.8 added to reflect Graduate Qualities Policy
10	5 February 2009	Deputy Vice-Chancellor (Academic)	Migrated to UOW Procedure Template as per Policy Directory Refresh
11	10 June 2010	Deputy Vice-Chancellor (Research)	Clause (r) added to Appendix A.
12	27 Sept 2010	Deputy Vice-Chancellor (Research)	Clause (s) added to Appendix A.
13	23 March 2011	Senior Manager, Policy & Governance	Updated to reflect title changes
14	7 December 2012	University Council	Review and update including time limits, resource requirements, supervisory roles and new name for policy: Code of Practice Supervision becomes Higher Degree Research Supervision and Resources Policy
15	23 Jan 2013	Vice-Principal	Updated to reflect change from OHS to WHS.



		(Administration)	
16	Autumn Session 2015	University Council	Amendments to reflect the implementation of the new Coursework Student Academic Complaints Policy, which replaces the previous Academic Grievance Policy (Coursework and Honours Students).
17	19 June 2015	University Council	<p>Criteria for Principal supervisors updated to reflect the requirements of the HESF, new UOW policies, the aim to maximize on-time HDR completions and also the need for ongoing professional development for supervisors.</p> <p>Criteria for Co-Supervisors and Associate Supervisors made more flexible - can be either UOW academic staff or external academics.</p> <p>The option now exists for Early Career Researchers to become Principal Supervisors and for departing UOW academic staff to retain the principal supervision of their existing students.</p> <p>Now explicit that past supervisory and workplace performance of academic staff is a criterion when appointing supervisors for new students.</p> <p>Refresh of the nomenclature for faculty roles and titles.</p>
18	16 June 2017	University Council	Scheduled review and update, including establishment of supervisory load limits.
19	7 February 2019	Vice-Chancellor	Minor amendment to confirm dual supervisor requirements for MRes students.