

Code of Practice for HDR Candidature

1.0 Purpose

2.0 Scope

3.0 Guidelines

3.1 Candidate Responsibilities | 3.2 Supervisor Responsibilities | 3.3 School/Department Responsibilities | 3.4 Academic Group Responsibilities | 3.5 Institutional Responsibilities | 3.6 Collective Responsibilities

4.0 Definitions

5.0 Information

6.0 Related policy documents and supporting documents

1.0 Purpose

This Code supports the *Higher Degree by Research (HDR) Policy* by describing the responsibilities of higher degree by research (HDR) candidates, their supervisors, respective Schools/Departments, Academic Groups and the University relating to HDR candidature. The Code provides the foundation for a positive and productive HDR candidate and supervisor experience by supporting a mutual understanding of the responsibilities of all parties across the candidature lifecycle and should be read in conjunction with the *Student Charter Framework*, as well as HDR policies and procedures.

2.0 Scope

This Code applies to HDR candidates, their supervisors (including external supervisors) and other staff within the University with responsibilities for HDR candidature.

3.0 Guidelines

The Code should be referenced throughout the various stages of the candidature journey and the responsibilities set out in this document followed unless there is a justifiable operational reason not to. The supervisory team and candidate should discuss and clarify their respective roles, their expectations and responsibilities through the collaborative and iterative completion of the [Expectations in Supervision Questionnaire](#).

3.1 Candidate Responsibilities

Enrolling in an HDR program demands commitment and accountability. By accepting an offer of admission, a candidate agrees to comply with the University's policies and procedures, including maintaining appropriate standards of behaviour and conduct as set out in the *Student Charter Framework* and in compliance with the *Student Conduct, Safety and Wellbeing Policy*. This includes upholding professional and appropriate standards of behaviour towards all persons they interact with in their capacity as a University student whilst undertaking activities related to their HDR candidature.

3.1.1 Before candidature

It is the responsibility of the applicant to:

- Be an informed participant in the selection of the supervisory team. Where possible, applicants are encouraged to [consult prospective supervisors](#) with expertise relevant to the proposed research topic, before submitting an application. Preliminary discussions of this nature assist applicants to focus their intended topic and identify optimal supervision.

3.1.2 Early in candidature

It is the responsibility of the candidate to:

- Within the first month of candidature:
 - complete the **Expectations in Supervision Questionnaire** in collaboration with their supervisory team and ensure that they understand the responsibilities of each of their supervisors, and the time commitments they will make, for the duration of candidature
 - ensure they are aware of the **HDR Convenor** who has School/Department level responsibility for their candidature.
- Within the first six months of candidature, complete:
 - the **Griffith Graduate Research School HDR Orientation Program** and
 - University, Academic Group, School, Department and/or Research Entity orientation activities, including relevant health, safety and wellbeing induction and finance training, as required (see also the **University's training matrix**) .
- Determine and adhere to a regular schedule of meetings and establish and maintain a suitable means for regular contact with the supervisory team. These arrangements may need to be renegotiated as candidature progresses.
- Develop, plan and structure a realistic program of study and research with the assistance and advice of the supervisory team. This will include selection of an appropriate topic that will lead to a quality thesis and a plan of activities that will lead to a timely examination submission.
- If the program of research includes data collection that will involve travel, refer to the University's *Travel Policy* for requirements that will apply to such travel. For international travel, check the **Department of Foreign Affairs and Trade (DFAT)** website for any warning that apply to intended destinations.
- In consultation with the supervisory team, formulate and adhere to a **Research Data Management Plan** for data that is produced or accessed which:
 - Is in accordance with the *Australian Code for the Responsible Conduct of Research* and the University's *Research Data Management Guidelines*;
 - Ensures that all data/primary materials are recorded in a retrievable, durable and appropriately referenced form, and made available to supervisors at any time during candidature so that they are able to confidently confirm progress of the research;
 - Identifies who can publish from the data, metadata for the work and where the data will be stored during candidature and following HDR program completion.
- With the assistance of the supervisory team, develop a research dissemination plan for the research project.
- With the assistance of the supervisory team, obtain all required permissions and permits to undertake the research (i.e. ethical, copyright, biosafety, biosecurity or quarantine-related).
- Notify the supervisory team of any intellectual property issues that may impact the research project.
- Assist the supervisors and the University to; identify their distinctive needs, including needs related to culture, identity and/or disability; and recommend appropriate support measures.

3.1.3 During candidature

It is the responsibility of the candidate to:

Enrolment

- Maintain enrolment and regular attendance patterns or seek approval for **leave of absence** if necessary.
- Ensure that the University has their correct contact details and regularly check their Griffith email account for University correspondence.

Supervision

- Promptly advise their supervisory team of any significant factors (including personal or other difficulties) that may affect timely progress within the HDR program, and initiate any **changes to candidature** as required.
- In collaboration with the supervisory team, revisit the **Expectations in Supervision Questionnaire** at least annually, updating it and the schedule of supervisory meetings as appropriate to accommodate changes in needs and agreed understanding.
- Know who their **HDR Convenor** and **HDR Advocate** is and be aware of the mechanisms that exist for **resolving supervisor-candidate difficulties**. When necessary, candidates have a responsibility to take the initiative to seek appropriate alternative supervision and to **apply for a change of supervisor**.

Resources

- Utilise the **resources, facilities and opportunities** provided by the University and enrolling School/Department to facilitate progress in the research.

Research culture and skills development

- Take advantage of opportunities to become part of the intellectual community by attending and participating in research seminars, meetings and conferences at the local, regional, national or international level, as appropriate.
- Advocate for involvement in, and engage with, professional development activities to support their career goals and progression.

Ethics, Integrity and Safety

- Adhere to ethical practices in research appropriate to the particular discipline, including those required by:
 - The *Australian Code for the Responsible Conduct of Research*
 - The University's *Responsible Conduct of Research Policy*
 - Any requirements specified by the University's Human Research Ethics Committee and Animal Ethics Committee
 - Any requirement specified by the University Biosafety Committee and set out in the *Managing Biosafety and Biosecurity Risks Standard*.
 - Any ethical guidelines specified by a relevant government or funding body.
- Apply the principles of academic integrity (as set out in the University's *Student Academic Integrity Policy*) in all draft work (including thesis chapters) and milestone documentation.
- Uphold safe working practices as applicable to the field of research and adhere to relevant documents within the University's *Safety Management System Framework*, including compiling and recording risk assessment and field work risk assessment as required.

- Ensure that agreement is reached with supervisors and other research collaborators concerning authorship and order of authors of research outputs, including non-traditional research outputs. The minimum requirements for authorship will be in accordance with the *Australian Code for the Responsible Conduct of Research Authorship Guide* and the University's *Research Authorship Procedure*.

Progress and Milestones

- Proceed with the research as planned and plan to submit within the **specified timeframe**.
- Document the progress of work against the research plan agreed to with the supervisory team and present written and other material to the supervisory team with sufficient time to allow for comment, feedback and discussion and to enable continuity of the research project.
- Submit timely and accurate progress reports and, under supervision, complete the requirements of the **candidature milestones** in the **timeframes specified by the University**.
- Promptly advise the supervisory team of any significant factors (including personal or other difficulties) that may affect timely progress within the HDR program, note any **impacts or delays to their project timeline** and, where required:
 - initiate any **changes to candidature (such as leave, change of attendance or an extension request)** as appropriate to address factors affecting progress
 - initiate a request that a **Progress Support Plan (PSP)** be assigned to further support progress in the program.
- Do not make any significant changes to the research topic or direction unless socialised and agreed to by the supervisory team and approved by the appropriate decision-maker set out in the *HDR Academic Decisions Schedule*.

3.1.4 End of candidature

It is the responsibility of the candidate to:

- Ensure sufficient time is allocated for the writing up of the thesis within the planned thesis submission timeframe and that this is included within the Thesis and Candidature Review Milestone (TCRM).
- Produce the thesis for examination in consultation with the supervision panel and in accordance with the University's **requirements for content, style and standard of presentation**.
- Ensure the examination submission is prepared in accordance with the principles set out in the *Student Academic Integrity Policy* and the principles of research integrity as stipulated in the *Australian Code for the Responsible Conduct of Research*, including authorship and the appropriate acknowledgement of others (including **use of generative AI**), plagiarism and research ethics.
- Complete the Notification of Intention to Submit form at least two months before the expected submission of the thesis.
- Make the required thesis declarations, including that the work of the thesis is the candidate's own, except where due reference is made in the text of the thesis, and ensure that **any editorial assistance** (including use of generative AI) in writing the thesis is appropriately acknowledged.
- After examination and under supervision, make any required amendments to the thesis within the specified timeframe.
- Understand the candidate's **copyright and privacy responsibilities and options** regarding publication of the HDR thesis in the **Griffith Research Online** repository and prepare the final, post-examination thesis submission for publication, adhering to copyright requirements.

3.2 Supervisor Responsibilities

HDR candidates will have a minimum of two **registered** Griffith University staff supervisors. Supervisory roles and requirements for appointment to a supervisory team are set out in the *HDR Supervision Procedure*. One supervisor will be appointed **administrative principal (or co-principal) supervisor** with responsibility for:

- Ensuring that any actually, potential or perceived conflicts pertaining to the supervisory team's private interests or personal relationship in relation to another member of the team or the candidate are identified and declared (refer to the [Declaration of Interest SharePoint site](#)) in accordance with the University's policies on *Conflict of Interest*.
- Coordinating the overall supervision of a candidate's program, including ensuring that communications between all members of the supervisory team and the candidate are coordinated and the level of involvement of all supervisors is determined and documented.
- Ensuring other supervisory team members are aware of their responsibilities.
- Taking carriage of the completion of the **Expectations in Supervision Questionnaire** with the candidate and supervisory team within the first month of candidature and revisiting the Questionnaire during candidature at least annually, collaboratively revising as required.
- Ensuring candidates have access to resources to undertake the project in line with the **Minimum Standard of Resources, Facilities and Other Support** ('Minimum Standards') guidelines.
- Discussing resources required for the program with the candidate.
- Ensuring that, where a change in research topic occurs, appropriate supervisory adjustments are negotiated as required in consultation with the candidate and the HDR Convenor.
- Recommender and decision-maker responsibilities (as set out in the *HDR Academic Decisions Schedule*) for candidature milestone assessments, requests for changes to candidature (including leave of absence and extensions) and confirmation that the thesis is ready to submit for successful examination.
- Any sanctions and/or foreign engagement requirements (at point of assessing an application, candidature milestone review and requests to change the thesis topic), using the *Managing Assessment of HDR Applicants: Sanctions and Export Controls Compliance Procedure* and the **University's International Engagement Checking Tool** respectively.

The responsibilities below apply to all members of the supervisory team, depending on the role they have agreed to in the provision of supervision to the candidate and associated level of involvement in the supervision. In undertaking the role, supervisors should be guided by the University's **Principles to Promote Excellence in HDR Supervision** and must adhere to the University's *Conflict of Interest Policy* and *Personal Relationships in the Workplace Policy*.

3.2.1 Before candidature

When approached by an applicant to supervise their research project, the prospective supervisor will assess:

- Whether the applicant's qualifications and capability meet the requirements for entry into the proposed HDR program (consulting with the HDR Convenor as required).
- Whether the applicant possesses relevant foundational knowledge and topic understanding to succeed in the topic proposed.
- Whether the applicant's proposed research is within the supervisor's area of expertise and experience.
- The suitability and scope of the proposed topic for the HDR degree.

- Whether the academic has the capacity to supervise the applicant for the length of candidature proposed based on their current and planned loads, and supervisor registration status.
- Whether the applicant's and supervisor's expectations align with regard to the proposed conduct of the research project and the supervisory relationship.
- The affordability of the proposed research project and other potential resourcing needs.
- Any third-party arrangements that may affect the candidate and the proposed research, including IP arrangements and expectations of research outputs for commercial intent.

3.2.2 Early in candidature

It is the supervisor's responsibility to:

- Ensure the candidate is aware of the *Australian Code of the Responsible Conduct of Research* and the University's *Responsible Conduct of Research Policy*.
- Within the first month of candidature, complete the **Expectations in Supervision Questionnaire** in collaboration with the candidate.
- Establish with the candidate a method of working together throughout the candidature, including the mode and frequency of meetings, schedules for the submission of written work, timing of feedback and email protocols. A standard expectation is that there should be contact between the supervisors and candidate at least once a fortnight even if a formal meeting is not always required.
- Discuss with the candidate and other members of the supervisory team any plans for extended absence (e.g. academic studies program, long service leave) during the candidature and the proposed arrangements for supervision during any such absence.
- Provide initial guidance to the candidate about the nature and responsible conduct of research and the standard of performance expected, including:
 - The choice of research topic and the aims, scope and format of the thesis
 - Planning of the research program
 - Presentation of a research proposal
 - Appropriate literature, sources and other contacts
 - Research methodologies and requisite techniques
 - Data analyses and storage, including electronic, written and other physical materials
- Undertake early assessment of the candidate's work, establish a process to provide regular feedback on academic progress and identify needs for additional support.
- Advise the candidate of appropriate ethical practices (as well as biosafety and biosecurity requirements where relevant to the project) and where required, review the candidate's ethics application, ensuring approval of the appropriate University ethics committee is obtained before the research commences.
- Ensure the candidate is adequately trained in safe working practices relevant to the discipline and adheres to the relevant documents within the University's *Safety Management System Framework*.
- Where applicable, review and approve risk assessment and field work risk assessments for research activity.
- Be aware of the candidate's **HDR Convenor** and **HDR Advocate**.

- Ensure the candidate is aware of the resources and facilities available from the - School/Department and/or Research Entity to support the progression of their research project and as per the **Minimum Standard of Resources, Facilities and Other Support**.
- Discuss the principles of attribution of authorship as set out in the *Research Authorship Procedure* and assist the candidate to develop a research dissemination plan.
- Assist the candidate to formulate a **Research Data Management Plan** for the management and storage of the data developed through the project, in accordance with the *Research Data Management Guidelines*.
- Oversee and engage in ongoing discussions with the candidate from the start of candidature around the development of research and academic skills and career capabilities, including opportunities for industry engagement and internships.

3.2.3 During candidature

It is the supervisor's responsibility to:

Supervision

- In collaboration with the candidate, revisit the **Expectations in Supervision Questionnaire** at least annually and update it and the approach to supervisory contact and meetings as appropriate to accommodate changes in needs.
- Advise (with reasonable notice) the candidate and other members of the supervisory team of any expected absence and the alternative arrangements to be implemented during that absence. Where the supervisor will be unavailable for six weeks or more, also advise the HDR Convenor so that a temporary alternative supervisor can be arranged, where required.
- While a candidate's change of supervisor request is being progressed, continue to supervise the candidate until the replacement supervisor has been appointed (unless the Dean (Research) waives this requirement).
- Follow the **requirements on candidate employment during HDR candidature**, when providing advice to the candidate and negotiating the pattern of research and study.

Research Culture and Professional Development

- Encourage the candidate to play a full and active role in the intellectual life of the School/Department, Research Entity and University. This is particularly important in the case of part-time candidates and candidates whose work is being conducted away from campus, for example in a joint project with an industry partner.
- Support the candidate to participate in School/Department, Research Entity, Group and University events, such as HDR candidate conferences and Three Minute Thesis competitions, in such a way that develops their communication skills and ability to succinctly explain theoretical propositions, methodologies, results, conclusions and potential impact.
- Facilitate meetings for the candidates with other researchers, industry and community groups in the relevant field and attendance at conferences, as appropriate (within the limit of resources available).
- Discuss career preparation with candidates (e.g. post-doctoral work, research dissemination, on-line thesis availability).
- Encourage and facilitate, where appropriate, the candidate's engagement in relevant local, national and international memberships.

Ethics, Integrity and Safety

- Monitor the conduct of the candidate's research to ensure it is in accordance with the *Australian Code for the Responsible Conduct of Research* and the terms of approval from the relevant University ethics committee, and in compliance with biosafety and biosecurity regulations, where required.
- Monitor the candidate's draft milestone documentation and thesis chapter development to ensure that it accords with the principles of academic integrity as set out in the *Student Academic Integrity Policy*.
- Ensure adherence to the University's *Intellectual Property Policy*.
- Ensure any travel to be undertaken by the candidate for data collection or conference attendance complies with the University's *Travel Policy*.
- Ensure that the candidate records original research data and information in a retrievable, durable and appropriately referenced format and stored safely in accordance with the University's *Research Data Management Guidelines* and *Schedule of Retention Periods for Research Data and Primary Materials*.
- Ensure that agreement is reached with the candidate and other co-contributors concerning authorship of research outputs in alignment with the *Australian Code for the Responsible Conduct of Research Authorship Guide* and the University's *Research Authorship Procedure*.

Progress and Milestones

- Be mindful of the particular requirements and needs of each candidate and ensure appropriate and productive use of the candidate's time.
- Monitor the performance of the candidate relative to the standard required for the degree and against the **set timeframes for the completion of milestones**.
- Ensure that the candidate provides regular written work, interim reports or research results as appropriate and return such work, including draft thesis writing, with appropriate and timely feedback.
- Provide guidance to candidates in preparing for timely and successful **milestone assessments**, including the Early Candidature Milestone, Confirmation of Candidature and the Thesis and Candidature Review Milestone.
- Assist the candidate to disseminate their research during candidature including, for doctoral candidates, meeting the **requirement** to have one output accepted for publication prior to submission of the thesis.
- Contribute to all progress reviews of the candidate, in accordance with the process set out in the *HDR Academic Progress Procedure*.
- Promptly bring inadequate progress or work below the standard expected for the HDR program to the candidate's attention; specifying the problems, suggesting ways of addressing them, and documenting the action taken or advice provided. These discussions may involve the assignment of a **Progress Support Plan (PSP)** to provide enhanced support to assist the candidate to progress satisfactorily.
- Ensure that unsatisfactory progress or delays are addressed promptly and appropriately (e.g. by assigning a **Progress Support Plan (PSP)** to address unsatisfactory progress in accordance with the *HDR Academic Progress Procedure* and/or seeking additional assistance from the HDR Convenor) and only recommend termination of candidature when reasonable attempts have been made to ensure that the candidate has been:

- Clearly warned of shortcomings in performing the research and/or in meeting candidature requirements;
- Advised of ways in which such shortcomings might be remedied; and
- Given an opportunity to respond to these warnings.

3.2.4 End of candidature

It is the responsibility of the supervisor to:

- Actively support the candidate's career preparation through actions such as introductions through research and industry networks and reference provision.
- Discuss possible examiners with the candidate prior to nomination of examiners, noting that the names of selected examiners are not to be disclosed to the candidate during the examination process.
- Select the thesis examiners for approval by the Dean (Research), ensuring that the examiners nominated meet the requirements for appointment set out in the *Appointment of HDR Examiners and Chairperson of Examiners Guidelines*, including:
 - being independent of the conduct of the candidate's research;
 - without any real or perceived conflict of interest with the candidate or any member of the supervisory team.
- Review and evaluate the final draft of the thesis for examination submission to ensure that it is:
 - Presented in a form appropriate to the field of research and meets the University's **thesis preparation requirements**;
 - Adheres to the principles of the *Australian Code of the Responsible Conduct of Research* and complies with the University's academic and research integrity policies, including in matters relating to authorship, plagiarism and research ethics.
- Assist the candidate in the management of any required amendments to the thesis post-examination.

3.3 School/Department Responsibilities

3.3.1 Head of School/Department

The **Head of School/Department** has oversight of:

- The performance of HDR programs within the School/Department.
- The provision of supervision and resources required for the HDR candidate and their research project in accordance with the *HDR Supervision Procedure* and the **Minimum Standard of Resources, Facilities and Other Support**.
- The management of HDR supervision and supervisory performance within the School/Department.

The Head of School/Department is responsible for:

- Ensuring that HDR supervision is included in performance and career development conversations.
- Ensuring that HDR supervisor participation in ongoing professional development is monitored through the Academic Staff Career Development review cycle.

- Reporting annually, through the Dean (Research), to the Board of Graduate Research on the School/Department's compliance with the **Minimum Standard of Resources, Facilities and Other Support**.
- Annually reviewing **HDR Candidate Experience Survey** feedback relevant to their School/Department in line with their responsibility for building high quality research training programs.

The Head of School/Department will nominate a senior academic staff member with a track record of excellent HDR supervisory practice to the Dean (Research) for appointment as the School/Department's **Higher Degree by Research (HDR) Convenor**. Where a HDR Convenor has been appointed, the Head of School/Department will ensure that the duties and responsibilities of the position are properly defined in response to local HDR management needs. It is intended that adequate resources are provided to assist in the performance of those duties and that appropriate recognition is given to the workload these duties entail.

3.3.2 Higher Degree by Research (HDR) Convenor

The HDR Convenor is the designated authority for the management of HDR candidature within the School/Department. As set out in the *HDR Academic Decisions Schedule*, the HDR Convenor is a recommender or decision-maker for decisions across the candidature lifecycle, including admission to an HDR program, candidature progression and variations to HDR candidate enrolment conditions and candidature. Additionally, the HDR Convenor is responsible for assisting the Head of School/Department to annually review the **HDR Candidate Experience Survey** feedback to determine local-level strategies required to respond to identified areas for improvement.

The HDR Convenor is an active member of the Academic Group's HDR Convenor Committee/Forum and may be a member of the School/Department Executive (or an invitee to committee meetings) to ensure representation of higher degrees by research and research training.

The HDR Convenor will facilitate a selection process and appoint HDR candidates to represent the School/Department's candidate cohort on the University's **HDR Candidate Representative Consultative Committee** and relevant School/Department committees.

Before candidature

It is the responsibility of the HDR Convenor to:

- Provide advice to applicants to an HDR program on:
 - potential supervisors, through knowledge of the capacity and expertise of academic staff within the School/Department.
 - the requirements, criteria and process for applying for admission and scholarship.
- Assess applications in a timely manner:
 - Against the entry requirements for the HDR program and the criteria for scholarship consideration, where applicable.
 - To ensure that the proposed research project is appropriate in level and scope for the degree.
 - To ensure the project is feasible in terms of provision of expert supervision, facilities, resources and funding for the expected duration of the candidature (see the **Minimum Standard of Resources, Facilities and Other Support**).
- Confirm that the supervisory team recommended to the Dean (Research) for approval is compliant with the requirements for **appointment and supervisory load allocation** set out in the *HDR Supervision Procedure*, consulting with the Head of School/Department as required to confirm supervisory capacity and that research active requirements are met, where applicable.

- Where an applicant is from a country subject to Australian Sanctions, assess the sanctions risk of the applicant in accordance with the *Managing Assessment of HDR Applicants: Sanctions and Export Controls Compliance Procedure*.

Early in candidature

It is the responsibility of the HDR Convenor to:

- Ensure that candidates and supervisors are advised of the resources, facilities and other support available from the School/Department in compliance with the **Minimum Standard of Resources, Facilities and Other Support**.
- Organise and/or deliver School/Department-level HDR program orientation requirements and activities, and provide information which may include, but is not limited to:
 - School/Department arrangements to access facilities and resources, including access to research funding and the process for candidates to provide feedback to the School/Department regarding any issues around the provision of resources and access to facilities.
 - Training in health and safety procedures, finance, environmental protection and any technical matters relating to the discipline, as applicable.
 - Information on opportunities to engage in the School/Department and University research community.
 - Introduction of Academic Group **HDR Advocates** and advice on School/Department and Group mechanisms for **raising and resolving issues during candidature**, in line with the University's *Complaints Policy and Procedure*.

During candidature

It is the responsibility of the HDR Convenor to:

- Take reasonable endeavours to ensure candidates maintain two **registered**, University staff supervisors for the duration of their candidature, including assisting the candidate to request a **change to their supervisory team** to ensure continuity should a supervisor be unable to perform their role for an extended period or leave the University.
- Assist the Head of School/Department to monitor supervisor workloads to ensure supervisors have sufficient time for the adequate supervision of their candidates.
- Provide advice to candidates and supervisors on candidature requirements (such as **milestones**) and **candidature changes** (such as change of supervisor, leave, study away).
- Chair the:
 - Early **Candidature Milestone** review meeting or seminar and coordinate the provision of feedback;
 - **Confirmation of Candidature** seminar and facilitate the Confirmation process;
 - **Thesis and Candidature Review** seminar and coordinate the provision of feedback to the candidate.
- Monitor the general progress of candidates within the School/Department and support candidates and their supervisors to take prompt and appropriate action when candidature has identified as being at risk. Where appropriate, request the assignment of a **Progress Support Plan** (PSP) to provide enhanced support to assist the candidate to progress satisfactorily.
- Where a Progress Support Plan (PSP) has been approved;

- chair a meeting of the candidate and their supervisors to develop and agree on the arrangements for the PSP period; and
- assess the progress at the end of the PSP period in order to make a recommendation on the outcome to the Dean (Research).
- Consider formal concerns about a candidate's safety and wellbeing, in accordance with the *Student General Conduct Procedure*, and determine if the matter should be managed under the Fitness to Study assessment process.
- Where required, undertake a Fitness to Study assessment in accordance with the *Student General Conduct Procedure* and decide on and communicate the outcome.
- Encourage candidates to participate in the research culture of the School/Department by providing opportunities for candidates to present their work and network with academic staff and other candidates.
- Encourage candidate association with University Research Entities and access to training and workshops provided by the Griffith Graduate School and other University training providers.

End of candidature

It is the responsibility of the HDR Convenor to:

- Provide advice to candidates and supervisors on the requirements for **the preparation and submission** of the thesis.
- Review the thesis examiners selected by the supervisor, recommending those selections that meet the requirements for appointment (set out in the *Appointment of HDR Examiners and Chairperson of Examiners Guidelines*) to the Dean (Research) for approval.
- Ensure candidates retain access to School/Department resources and facilities as required in the period following thesis submission and prior to conferral of award.

3.4 Academic Group Responsibilities

The **Dean (Research)** reports to the Group Pro Vice Chancellor and is responsible for fostering high quality HDR programs and assuring and enhancing the experience of HDR candidates and their supervisors. As set out in the *HDR Academic Decisions Schedule*, the Dean (Research) makes decisions about: masters (research) program admission; appointment of, and changes to, the supervisory team; confirmation of candidature and candidate progression, HDR program transfer, Progress Support Plan assessment; extension to maximum submission date and scholarship tenure; submission of the thesis; and appointment of the thesis examiners. The Dean (Research) makes recommendations to the Dean GGRS on doctoral program admission.

The Pro Vice Chancellor will appoint an **HDR Director** whose role is to deputise for and support the Dean (Research) in the execution of the Dean's responsibilities with regard to research training. Specific decision-making accountabilities are determined by the Dean (Research) and subject to the approval of the Pro Vice Chancellor.

The Dean (Research) (or HDR Director as their nominee) will:

- Report annually to the Board of Graduate Research on Group and School/Department compliance with the **Minimum Standard of Resources, Facilities and Other Support**.
- Ensure there are local processes for the regular review and monitoring of the performance of Group HDR programs in compliance with the *Program and Course Review Procedure*.
- Disseminate relevant and deidentified data from the annual HDR Candidate Experience Survey to Heads of School/Department and HDR Convenors; review HDR Candidate Experience Survey feedback relevant to the Group and determine and implement strategies and actions to respond to

areas for improvement raised; and report annually to the Board of Graduate Research on issues raised and initiatives undertaken or proposed.

- Provides guidance, leadership and training to School/Department HDR Convenors, including:
 - convening regular HDR Convenor Committee meetings;
 - disseminating relevant information and decisions from the Board of Graduate Research on research training performances, areas of risk and policy and procedural changes to the HDR Convenors.
- Consider requests for transitional or accredited supervisor registration where there has been a case made for exception to any of the requirements for registration, on the basis of evidence provided of research and supervisory performance and/or capability.
- Promote a Group culture of supervisory excellence.
- Promote a positive research culture within the Group to the benefit of HDR candidates:
 - which ensures candidates are recognised as members of the research community; and
 - has at its foundation a commitment to diversity and inclusion.
- Ensure that the University's policies and procedures that govern research training are appropriately applied within the Group and develop local level procedures and guidance where required to support research training performance and an excellent candidature experience.
- Liaise with School/Department HDR candidate representatives, ensuring effective communication between the Group and its HDR candidate cohort.

3.4.1 Before candidature

When approving an application for entry to an HDR program, the Dean (Research) must be satisfied that:

- The applicant meets the entry requirements for the program (and where applicable, meets the eligibility requirements for scholarship consideration as per the HDR Scholarship Procedure).
- The proposed supervisory team meet the eligibility requirements for **appointment**, as specified in the *HDR Supervision Procedure*.
- The School/Department of enrolment is appropriate for the research project proposed and there is an appropriate fit between the applicant, research environment, available resources and supervision.
- High quality supervision can be maintained through the expected duration of candidature.
- Where the applicant is from a country subject to Australian Sanctions, the applicant has been assessed for sanctions risk in accordance with the *Managing Assessment of HDR Applicants: Sanctions and Export Controls Compliance Procedure*.

3.4.2 During candidature

It is the responsibility of the Dean (Research) to:

- Monitor progress of candidates within the Group via University reporting processes (i.e. candidature milestones, progress reporting)
- Where candidature is identified through regular monitoring as being at risk, take appropriate follow-up action which may include the assignment of a **Progress Support Plan (PSP)** to provide enhanced support to assist the candidate to progress satisfactorily.
- Receive concerns relating to alleged breaches of academic integrity by HDR candidates.

- Manage, investigate and provide an outcome on a less serious matter with regard to a breach of academic integrity, in accordance with the *Student Breaches of Academic Integrity Procedure*.
- Receive allegations of HDR candidate misconduct in a professional placement or WIL context and investigate and provide a decision on the outcome in accordance with the *Student General Conduct Procedure*.
- Consider requests for changes to the supervisory team to ensure compliance with the requirements set out in the *HDR Supervision Procedure*.

3.5 Institutional Responsibilities

3.5.1 Griffith University

The University is responsible for:

- Ensuring that policies and procedures relating to HDR candidature are developed, implemented, monitored and regularly reviewed.
- Establishing and maintaining a research culture consistent with the *Australian Code for the Responsible Conduct of Research*.
- The institutional responsibilities set out in the *Student Charter Framework*.

3.5.2 Griffith Graduate Research School

The Dean, **Griffith Graduate Research School** provides leadership of the University's HDR performance and oversees the governance of research training. In accordance with the HDR Academic Decisions Schedule, the Dean GGRS makes decisions on: doctoral program admission; admission of applicants from sanctioned countries, HDR thesis examination outcome and downgrade or termination of candidature.

The Dean, GGRS leads the Griffith Graduate Research School, guiding the operational priorities and management of GGRS staff and business functions through the line management of the Director, Griffith Graduate Research School, including the provision of coordinated, central administrative support for the HDR candidature lifecycle.

The Dean, GGRS chairs the **Board of Graduate Research (BGR) and its subcommittees** (HDR Candidate Representative Consultative Committee and HDR Scholarship Committee, ensuring that these committees undertake their functions as set out in the **Board of Graduate Research Constitution**, **HDR Candidate Representative Consultative Committee** and **HDR Scholarship Committee**, respectively).

It is the responsibility of the Dean, GGRS to:

- Ensure that the development and review of University HDR policies, procedures and guidelines supports research training performance and an excellent HDR candidate experience and ensure that HDR policies and procedures are consistently applied.
- Foster a positive research training culture within the University, for the benefit of all HDR candidates and their supervisors, founded on a commitment to diversity and inclusion.
- Ensure all candidates are provided with a **University-wide orientation program** that includes information about:
 - University policies and procedures relevant to HDR candidates, including complaints procedures;
 - Expectations and responsibilities of supervisors and candidates;
 - HDR candidature requirements, including milestones;

- Research ethics, integrity and conduct;
- Academic integrity;
- Intellectual property;
- Support services and independent advice; and
- General Health and Safety training
- Ensure the researcher, professional and career development for HDR candidate and supervisors is coordinated and integrated and that all candidates have access to a **program of workshops and professional development opportunities** designed to:
 - assist candidates with each stage of the research program; and
 - provide them with transferable skills and allow for the development of capabilities that will enable them to be competitive for, and successful in, academic and non-academic careers.
- Ensure candidate awareness of opportunities to experience diverse research environments through collaboration, partnerships, **internships** and national and international conference presentation.
- Ensure the provision of a **formal program of professional development for new HDR supervisors** as a requirement of initial registration as a supervisor.
- Ensure the provision of a **program of professional development offerings** for HDR supervisors to support effective supervision.
- Monitor the performance, and lead regular reviews, of the University's Doctor of Philosophy, and Master of Philosophy programs in accordance with the *Program and Course Review Procedure*.

3.6 Collective Responsibilities

3.6.1 Grievances and complaints

Issues or complaints as defined within scope of the *Student Complaints Policy* will be handled in accordance with the policy's Complaints Handling Principles. In the first instance, candidates are encouraged, if appropriate and possible, to try to resolve their issue or complaint informally with the relevant person or area if they are comfortable to do so. Candidates and supervisors are expected to seek negotiated solutions to any problems, where possible, prior to initiating a formal complaint.

Disclosures and formal reports of matters that constitute serious misconduct regarding bullying, discrimination, harassment and/or sexual harm are managed under the *Student Reports of Bullying, Harassment, Discrimination and Sexual Harm Procedure*.

The *Student Review and Appeals Policy* details the grounds upon which a review of a decision about HDR admission, candidature progression or examination can be requested. The *Student Review and Appeals Procedure* specifies the HDR candidature decisions for which a review may be requested and the process for requesting a review.

3.6.2 Respectful relationships

The University expects supervision to be conducted in accordance with the [Principles for Respectful Supervisory Relationships](#), developed jointly by Universities Australia, the National Tertiary Education Union, the Council of Australian Postgraduate Associations and the Australian Council of Graduate Research. The *Principles* recognise that there is a power imbalance in the candidate supervisor relationship and that the greater power rests with the supervisor. A sexual or romantic relationship between a supervisor and their HDR candidate is not acceptable. If such a relationship occurs, the response will involve removal of the supervisor from the supervisory team, where:

- The supervisor will immediately inform the Head of Element; and

- The Head of Element will take all reasonable steps to ensure that the candidate is provided with appropriate alternative supervisory arrangements.

4.0 Definitions

Academic Group is the highest and largest element in the academic structure of the University. There are four academic groups: Arts, Education and Law, Griffith Business School, Griffith Health and Griffith Sciences.

Candidate is a student enrolled in an HDR program of the University.

Confirmation of candidature is a milestone within the first 12 months of candidature (FTE), with the purpose of determining whether the research project indicates a strong likelihood to result in a high quality thesis completed within the duration of candidature.

Data Management Plan (DMP): is a plan that documents how researchers plan to collect, store, secure and share their research data.

Element is an academic unit of the University, comprising a School, Department or Research Centre/Institute.

Higher Degree by Research (HDR) refers to a Research Masters or Research Doctorate where a:

- Research Masters means a Level 9 qualification as described in the Australian Quality Framework (AQF) and where a minimum of two-thirds of the program of learning is for research, research training and independent study;
- Research Doctorate means a Level 10 qualification as described in the AQF and where a minimum of two years of the program of learning, and typically two-thirds of the qualification, is research.

An **HDR thesis** may consist of:

- A text with conventional chapters;
- A text containing a combination of peer-reviewed publications (including articles undergoing peer-review or revision) and conventional chapters;
- A text containing peer-reviewed publications (including articles undergoing peer-review or revision);
- Creative, visual or professional practice products (e.g. musical manuscript, audiovisual materials, models, designs,, computer software, digital material or other non-written material) together with an exegesis.

Milestone a formal process for the review of the academic progress of an HDR candidate, scheduled at a specific point in candidature.

Program is an approved course of study leading to an award of the University. An HDR candidate is admitted to an HDR program, and on successful completion of all program requirements is awarded the degree to which the program relates.

Research, as defined by the [Australian Research Council](#), is the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies or understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

Research data are facts, observations or experiences on which an argument, theory or test is based. Research data may be:

- Numerical, descriptive or visual;
- Durable records derived from primary materials such as assays, test results, transcripts, laboratory and field notes, visual diaries, journals, audio and visual recordings, oral history sound files, performance recordings, archival data and metadata, websites, photographs, and images;

- Raw or analysed, experimental or observational;
- Other documents or media containing information associated with the research process;
- Digital and non-digital.

Satisfactory academic progress is where a candidate continues to satisfactorily complete required HDR milestones and key research events for their candidature by the due dates and it is expected that they will submit their thesis for examination by the maximum program duration.

Unsatisfactory academic progress is where a candidate does not meet the requirements of satisfactory progress.

5.0 Information

Title	Code of Practice for HDR Candidature Guidelines
Document number	2024/0000070
Purpose	This Code supports the <i>Higher Degree by Research (HDR) Policy</i> by describing the responsibilities of higher degree by research (HDR) candidates, their supervisors, respective Schools/Departments, Academic Groups and the University relating to HDR candidature. The Code provides the foundation for a positive and productive HDR candidate experience by supporting a mutual understanding of the responsibilities of all parties across the candidature lifecycle and should be read in conjunction with the <i>Student Charter Framework</i> , as well as HDR policies and procedures.
Audience	Public
Category	Academic
Subcategory	Research
UN Sustainable Development Goals (SDGs)	This document aligns with Sustainable Development Goal/s: 4: Quality Education
Approval date	11 September 2024
Effective date	11 September 2024
Review date	2029

Policy advisor Senior Policy and Analytics Officer, Griffith Graduate Research School

Approving authority Deputy Vice Chancellor (Research)

6.0 Related Policy Documents and Supporting Documents

Legislation Higher Education Standards Framework (Threshold Standards) 2021
Australian Code for the Responsible Conduct of Research 2018

Policy Higher Degree by Research Policy
Conflict of Interest Policy
Intellectual Property Policy
Responsible Conduct of Research Policy
Safety Management System Framework
Student Academic Integrity Policy
Student Charter Framework
Student Complaints Policy
Student Conduct, Safety and Wellbeing Policy
Travel Policy

Procedures Academic Staff Career Development Procedures
Appointment of HDR Examiners and Chairperson of Examiners
Guidelines
Research Authorship Procedure
HDR Admission Procedure
HDR Enrolment and Variations to Candidature Procedure
HDR Academic Progress Procedure
HDR Examination Procedure
HDR Supervision Procedure
HDR Academic Decisions Schedule
Managing Assessment of HDR Applicants: Sanctions and Export
Controls Compliance Procedure
Managing Biosafety and Biosecurity Risks Standard
Program and Course Review Procedure
Research Data Management Guidelines
Research Integrity Breach Investigation Procedure

Schedule of Retention Periods for Research Data and Primary Materials

Student Breaches of Academic Integrity Procedure

Student Complaints Procedure

Student Reports of Bullying, Harassment, Discrimination and Sexual
Harm Procedure

Local Protocol

HDR Candidate Experience Survey: Local Protocol
