

HIGHER DEGREES BY RESEARCH: POLICY AND PROCEDURES (THE GOLD BOOK)

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PART 2 THE POLICY FRAMEWORK AT UC

Note to users:

Part 2 of the revised Higher degrees by research: policy and procedures (Gold Book) was approved by Academic Board in May 2003. This edition of the Gold Book supersedes the version published in January 1999.

In accordance with Board resolution, this policy took effect on 1 January 2003 for students commencing studies in a course after 1 January 2003 and, unless otherwise indicated or required by University legislation or policy, for continuing students. If you are uncertain about the applicability of any requirements of this policy in a particular situation, please seek advice from the secretary of the University Research Degrees Committee. Contact details are provided below.

Please note:

- 1. From January 2004 the University Higher Degrees Committee is renamed the University Research Degrees Committee and Divisional Higher Degrees Committees become Divisional Research Degrees Committees. While the new names are used below, the former names will appear in many University documents.*
- 2. The newly-established Office of Research and Research Degrees (see 2.4.4) has absorbed the former Research Office as well as Secretariat staff working in the research area. The Research Office will still be referred to in many sources.*
- 3. Administrative forms and guidelines relating to higher degrees by research are provided as appendices to the Gold Book. These appendices, referred to throughout the text as "Appendix x", are being updated progressively. New versions of some documents are available but not yet published on this site. In other cases, appendices to the 1999 edition of the Gold Book may be used until new versions are developed. Advice on administrative forms and guidelines is available from the Research Degrees Officer in the Office of Research and Research Degrees (Imelda Anderson, email Imelda.anderson@canberra.edu.au Phone 02 6201 2142).*

Inquiries relating to this policy should be addressed to Gay Landau, secretary of the University Research Degrees Committee. Email gay.landau@canberra.edu.au Phone 02 6201 5228

2.1 Overview and introduction to Part 2

2.1.1 This Part of the policy sets out the policy framework for higher degrees by research at the University of Canberra. It describes how the national policy framework outlined in Part 1 is put into operation in the University.

2.1.2 Section 2.2 outlines UC **policy objectives** including the strategic objectives of the University and specific objectives for research and research training.

2.1.3 Section 2.3 is an introduction to the overarching **legislative and policy framework** including the *University of Canberra Act 1989*, UC Statutes and Rules and the University's quality assurance framework.

- 2.1.4** The **framework for research and research training** is set out in section **2.4**. Subsections relate to research planning and reporting (including the Research Tactical Plan and Research and Research Training Management Report), policy development and implementation, research organisation and management structure and research administration. The research management structure includes the Pro Vice-Chancellor (Research) and University committees, Divisional Research Institutes and Divisional committees. Research administration is provided through the Office of Research and Research Degrees, Student Administration, the International Office, and administrative staff in the Academic Divisions.
- 2.1.5** The **key elements of UC policy** for research and research training are identified and briefly described in section **2.5**.
- 2.1.6** Section **2.6** sets out the **types of research training places** available at UC for Australian and international students.
- 2.1.7** Section **2.7** deals with **higher degree by research courses** (programs). Information is provided on the different types of research courses (fully described in Part 3), Courses of Study Rules, course accreditation and documentation such as Determinations of Course Particulars, course review and, finally, responsibilities of the course convener.

2.2 Strategic policy objectives

2.2.1 Strategic objectives of the University

UC Strategic Plan for 2003 to 2006

- 2.2.1.1** The vision, mission, values and functions, and strategic objectives of the University of Canberra are set out in the *UC Strategic Plan for 2003 to 2006* approved by the University Council in April 2003.¹

Vision

- 2.2.1.2** The University of Canberra aims to be a leading Australian university for students, professionals and academics who integrate enterprise, innovation and creativity with teaching, learning and research, and focus on the needs of the global, national and regional communities.

¹ *UC Strategic Plan for 2003 to 2006*, adopted by the University Council at meeting No. 87 on 2 April 2003, at http://www.canberra.edu.au/secretariat/strat_plan/stratplan0306.htm

Mission

2.2.1.3 The University seeks to develop an internationally oriented and respected University which educates and serves expert, creative and socially useful professionals, through diverse and flexible learning processes. In its teaching and learning the University aims to instill in its students and staff the competence, knowledge, flair, adaptability, team skills and desire to achieve benefits for themselves and society, in part through lifelong learning and ethical reflection. In its research, enterprise and community service, the University aims to generate and apply knowledge which will serve present and future needs of its region, nation and the global community.

2.2.1.4 The *UC Strategic Plan for 2003 to 2006* includes a statement of the values and functions of the University. The functions of the University are laid down in the *University of Canberra Act 1989*.

2.2.2 Objectives for research and research training

2.2.2.1 As stated in the University Mission, in its research, enterprise and community service the University aims to generate and apply knowledge which will serve present and future needs of its region, nation and the global community.

2.2.2.2 The *UC Strategic Plan for 2003 to 2006* identifies strategic objectives in the key areas of Education; Research and Enterprise; and Outreach to the Communities.

2.2.2.3 The strategic objective for postgraduate education is to provide education that enhances the professions and their professionals. In the area of regional and international partnerships, the University aims to enlarge the cooperative capacities of all students and staff through teaching and research collaboration.

2.2.2.4 Strategic objectives for research and enterprise over the next three years are:

- (a) **Research:** to enhance UC's output, while maintaining a particular focus on the utility and social benefit of the research;
- (b) **Commercialisation:** to harness more fully the commercial potential of the University's research, teaching and administrative knowledge, as an aspect of broadening the University's funding sources;
- (c) **Application:** to harness more fully the University's non-commercial research.

2.2.2.5 The Strategic Plan is complemented by rolling tactical and operational plans which progressively define specific targets in relation to the strategies. The current *Tactical Plan for Research and Research Training Management 2002-2006* (see 2.4.1 below) was developed within the framework of the *University of Canberra Strategic Plan 1999-2003* and specifies strategies and tasks to meet the earlier Plan's objectives. The *Research Tactical Plan* is under review to ensure that strategies match the goals and priorities of the *UC Strategic Plan for 2003 to 2006*.

2.3 Legislative and policy framework

2.3.1 University legislation

2.3.1.1 The University was established by the *University of Canberra Act 1989*.² This Act of the Commonwealth Parliament sets out the powers and functions of the University. The University passed to the jurisdiction of the ACT Government on 1 December 1997.

2.3.1.2 In accordance with the University's power to make subsidiary legislation, University Statutes and Rules³ made under the *University of Canberra Act* have the force of law subject to the constraints of any superior legislation. The Statutes and Rules should be read in conjunction with the University of Canberra Handbook and other sets of procedures issued by the University for specific purposes.

2.3.1.3 The Statutes and Rules have been developed and continue to develop for the purposes of management, governance and discipline of the University. Statutes and Rules of particular relevance to higher degrees by research include:

- (a) the Academic Board Statute;
- (b) Admission Statute and Admission Rules;
- (c) Academic Progress Statute and Academic Progress Rules;
- (d) Granting of Status Statute and Granting of Status Rules;
- (e) Courses and Awards Statute and the Courses of Study (Degrees of Master) Rules and Courses of Study (Degrees of Doctor) Rules (see 2.7.3 below);
- (f) Conferring of Awards Rules made under the Courses and Awards Statute; and
- (g) Fees Statute and Fees Rules.

2.3.2 The quality assurance framework

2.3.2.1 The University has established a Quality Assurance Framework to provide a systematic University-wide approach to quality improvement. The Framework was approved by VCAC in March 2002 and replaces earlier quality processes such as the Divisional Annual Reviews. It is set within the context of the University's stated objectives and monitors the University's performance against its own plans.

2.3.2.2 Elements of the integrated quality assurance system are:

- (a) strategic planning;
- (b) a data analysis and feedback loop that includes a range of input and output indicators;

² *University of Canberra Act 1989* at <http://www.legislation.act.gov.au/a/1989-179/default.asp>

³ *University of Canberra Statutes and Rules* at <http://www.canberra.edu.au/secretariat/legislation/index.html>

- (c) achievement analysis; and
- (d) resource allocation which will include a performance component.

2.3.2.3 University plans are classified into three categories:

- (a) the University Strategic Plan;
- (b) rolling five-year University-wide Tactical Plans for key activities (including Research and Research Training Management); and
- (c) annual Operational Plans developed by individual organisational units such as Schools within the framework and targets set by Tactical Plans.

2.3.2.4 The quality processes will be regularly evaluated through Prospective Evaluations at the level of organisational units.

2.4 The framework for research and research training

2.4.1 Research planning and reporting

The Research Tactical Plan

2.4.1.1 The *Tactical Plan for Research and Research Training Management 2002-2006* (Research Tactical Plan <http://www.canberra.edu.au/research/policies/rtp.html>) implements and monitors the University's performance in the areas of research and research training against the objectives of the Strategic Plan. It identifies strategies and tasks, performance indicators, the location of responsibility and targets in relation to each objective. Key performance measures include research publications, grant income, higher degree by research student completions and employment, the quality of research students' experience and supervision, and demand for research products and services from government and non-government agencies.

2.4.1.2 As noted in 2.2.2.5 above, the current *Research Tactical Plan* was developed within the framework of the *University of Canberra Strategic Plan 1999-2003*. The Plan is under review to ensure that strategies match the goals of the *UC Strategic Plan for 2003 to 2006*. Strategic objectives on which the current Research Tactical Plan is based are:

- (a) To create, collect, advance and disseminate knowledge and enquiry in ways which are closely linked with and enrich the University's professional focus and that strengthen the knowledge and intellectual base of the professions.
- (b) To be widely known and highly regarded for high-quality, focussed research that tackles the problems industry, government and the community experience now, or expect that they will experience in the future.

(c) To provide a learning climate in which undergraduate, postgraduate and continuing education programs focus on student needs, are intellectually stimulating, are appropriate to the professions, and develop the capacity for lifelong learning.

2.4.1.3 The *Research Tactical Plan* rests on the University's commitment to the principle that high quality teaching, professional practice and research are inextricably linked. This requires the encouragement of all staff to remain at the cutting edge of their professions and is reflected in the University's mission to generate and apply knowledge which will serve present and future needs of our region, nation and the global community.

2.4.1.4 On the basis of the *Research Tactical Plan*, the Divisional Research Institute (DRI) in each Academic Division assists Areas of Research Strength in the Division to develop annual Operational Plans to achieve improvement and move towards best practice in a number of identified areas.

2.4.1.5 The Divisional Research Institutes report annually to the Pro Vice-Chancellor (Research) on research activities and performance in the Division including implementation of the Tactical Plan. The DRI reports include an executive summary prepared by the DRI and annual reports from each Area of Research Strength affiliated with the DRI.

2.4.1.6 The DRI reports enable the University to monitor its performance against the objectives, strategies and tasks of the *Research Tactical Plan*. The reports also provide information to meet reporting obligations such as the University Annual Report and the *Research and Research Training Management Report* (RRTMR) to DEST. In addition, information may be used to compile promotional material about the University's research profile.

Research and Research Training Management Report

2.4.1.7 As noted in Part 1,⁴ the University is required to submit a *Research and Research Training Management Report* (RRTMR) to DEST each year. The RRTMR provides DEST with information to monitor research and research training performance in the sector. It is also a valuable tool for the University to monitor its own performance.

2.4.2 Research policy development, implementation and monitoring

2.4.2.1 Under the *Academic Board Statute*⁵ the University's Academic Board is responsible to Council for all academic matters relating to the University including "research priorities and activities" and "the monitoring of masters and doctoral degree programmes". Academic Board has established the University Research Committee to advise it on the development and administration of research policy and the University Research Degrees Committee to advise on policy regarding higher degrees by research.

⁴ See Part 1, The national policy context, paragraphs 1.3.2.3-1.3.2.8.

⁵ *Academic Board Statute* at <http://www.canberra.edu.au/secretariat/legislation/statutes/1.html>

2.4.2.2 The organisational structure to develop, implement and monitor policy for research and research training, including responsible committees, is described in 2.4.3 and 2.4.4.

2.4.2.3 Key policies for research and research training are outlined in 2.5.1 and 2.5.2. Major policy documents are linked to the Office of Research and Research Degrees web page at <http://www.canberra.edu.au/research/policies>. The principal statement of UC policy and practice on research training is this document, *Higher degrees by research: policy and procedures* (the Gold Book).

2.4.3 Research organisation and management structure

2.4.3.1 A diagram of the research management structure is at Appendix x. Components of the structure are the University Council, the Vice-Chancellor, Academic Board and the Vice-Chancellor's Advisory Committee (VCAC), the Pro Vice-Chancellor (Research), the University Research Committee and University Research Degrees Committee (URDC). Each Academic Division has a Divisional Research Institute (with an Executive Committee) and a Divisional Research Degrees Committee. Areas of Research Strength are affiliated with each Divisional Research Institute. Links between components of the management structure are shown in the diagram. A brief description of each component is provided below.

2.4.3.2 The University Council is the governing authority of the University and is charged with "the entire management of the University". The primary roles of Council are:

- (a) to appoint the Vice-Chancellor;
- (b) to accept responsibility for external accountability;
- (c) to oversee strategic planning; and
- (d) to review and monitor overall the University's operations.

2.4.3.3 The Vice-Chancellor is the chief executive officer of the University.

Pro Vice-Chancellor (Research)

2.4.3.4 The Pro Vice-Chancellor (Research) is responsible for development, direction and oversight of research and research training at the University within the framework of the University's Strategic Plan. The Pro Vice-Chancellor (Research) prepares the Research Tactical Plan in collaboration with the Research Committee and the URDC, both of which are chaired by the Pro Vice-Chancellor (Research) or her or his nominee. The Pro Vice-Chancellor (Research) provides advice and recommendations to (and receives advice and recommendations from) Academic Board, the Vice-Chancellor and the Vice-Chancellor's Advisory Committee.

Academic Board

2.4.3.5 The Academic Board is responsible to the University Council for all academic matters relating to the University. Responsibilities with respect to research and research training include “research priorities and activities” and “the monitoring of masters and doctoral degree programmes”.⁶ The Board has the power to advise Council on matters relating to education, learning, research or the academic work of the University including “the identification of research objectives and strategies of the University, and the encouragement and development of research within these objectives and strategies”.⁷

2.4.3.6 Academic Board has established a number of committees including the University Research Committee and the University Research Degrees Committee.

University Research Committee

2.4.3.7 The University Research Committee is a committee of Academic Board with the purpose and function of advising Academic Board and VCAC on research policy and practice.

2.4.3.8 The terms of reference of the University Research Committee are:

1. To advise Academic Board and VCAC on the development and administration of research policy within the University.
2. To monitor and review the implementation of research policy within the University and report on its effectiveness.
3. To collaborate with the University Research Degrees Committee and the Pro Vice-Chancellor (Research) in the development and implementation of the University’s *Tactical Plan for Research and Research Training Management* (‘the Research Tactical Plan’), monitor its implementation and regularly review it.
4. To collaborate with the University Research Degrees Committee in the preparation of the University’s *Research and Research Training Management Report* (RRTMR) for the Commonwealth Department of Education, Science & Technology (DEST).
5. To establish, monitor and review the University Areas of Research Strength, hosted by Academic Divisions, especially with regard to performance and the distribution and management of research funds.
6. To develop program (and funding) guidelines for the allocation and management of research funds (including the Institutional Grants Scheme (IGS) and the Research Infrastructure Block Grants (RIBG)), monitor and review the implementation of the guidelines and report on their effectiveness in the context of the University’s *Strategic Plan* and the University’s *Tactical Plan for Research and Research Training Management* (‘the Research Tactical Plan’).
7. To monitor the outcomes of strategic research alliances and partnerships to enable the University to track the success of its research focus and effort on a continuing basis.

⁶ See *Academic Board Statute* paragraph 7 at <http://www.canberra.edu.au/secretariat/legislation/statutes/1.html>

⁷ See *Academic Board Statute* paragraph 8 at <http://www.canberra.edu.au/secretariat/legislation/statutes/1.html>

8. To assist Academic Board to meet its responsibilities to inform the Divisions regarding the implementation of approved policy and procedures.
9. To foster research activities, scholarship and an institutional culture conducive to research, scholarly and other creative activities (such as the University's obligations as a signatory to the Talloires Declaration).
10. To advise Academic Board and VCAC on any other matters referred to the Committee by Academic Board or VCAC.

2.4.3.9 Membership of the University Research Committee comprises:

- (a) Pro Vice-Chancellor (Research) or nominee as Chair
- (b) Vice-Chancellor (ex officio)
- (c) Directors of Divisional Research Institutes or nominees (3 members)
- (d) A research-active member nominated by members of each Divisional Research Institute (3 members)
- (e) A member elected by Academic Board
- (f) A higher degree by research student representative.

2.4.3.10 The Committee may co-opt members with specific expertise.

2.4.3.11 Full terms of reference for the Research Committee (purpose and function, terms of reference, membership, method of appointment, alternates, period of office, secretariat arrangements, links, quorum, schedule of meetings and notes) are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/UResCtt.html

University Research Degrees Committee

2.4.3.12 The University Research Degrees Committee (URDC) (formerly known as the University Higher Degrees Committee or UHDC) is a committee of Academic Board. Its purpose and function is to advise Academic Board and the Vice-Chancellor's Advisory Committee on policy regarding higher degrees by research.

2.4.3.13 The terms of reference of the URDC are:

1. To advise Academic Board and VCAC on the development and administration of higher degrees by research policy and practice within the University.
2. To monitor and review the implementation of higher degrees by research policy and practice within the University and report on its effectiveness.
3. To develop guidelines for the management of higher degrees by research within the University.
4. To develop guidelines for the admission of students to the University's higher degree by research courses consistent with University regulations and Academic Board policy and guidelines, and monitor and review their implementation.

5. To develop guidelines for the assessment and examination of higher degree theses consistent with University regulations and Academic Board policy and guidelines and oversee their implementation and management.
6. To collaborate with the University Research Committee and the Pro Vice-Chancellor (Research) in the development and implementation of the University's *Tactical Plan for Research and Research Training Management* ('the Research Tactical Plan'), monitor its implementation and regularly review it.
7. To collaborate with the University Research Committee in the preparation of the University's *Research and Research Training Management Report* (RRTMR) for the Commonwealth Department of Education, Science & Technology (DEST).
8. To assist Academic Board to meet its responsibilities to inform the Divisions regarding the implementation of approved policy and procedures.
9. To advise the University Education Committee on educational policy as it pertains to higher degrees by research.
10. To advise Academic Board and VCAC on any other matters referred to the Committee by Academic Board or VCAC.

2.4.3.14 Membership of the URDC comprises:

- (a) Pro Vice-Chancellor (Research) or nominee as Chair
- (b) Chairs of Divisional Research Degrees Committees (3 members)
- (c) A research-active member nominated by members of each Divisional Research Institute (3 members)
- (d) A member elected by Academic Board
- (e) Director of CELTS or nominee
- (f) Research Education Program Convener (see 2.5.2.6)
- (g) A higher degree by research student representative.

2.4.3.15 The Committee may co-opt members with specific expertise.

2.4.3.16 Full terms of reference for the URDC (purpose and function, terms of reference, membership, method of appointment, alternates, period of office, secretariat arrangements, links, quorum, schedule of meetings and notes) are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/UHDCtt.html

Roles of other university committees

2.4.3.17 In addition to the University Research Committee and the URDC, other University committees may have a role with respect to higher degrees by research.

2.4.3.18 The Vice-Chancellor's Advisory Committee (VCAC) considers strategic policy issues and provides advice to the Vice-Chancellor. Members of VCAC include the Vice-

Chancellor and Deputy Vice-Chancellor, Pro Vice-Chancellors of the Academic Divisions, Executive Directors of the Administrative Divisions and the Chair of Academic Board. VCAC considers policy proposals and initiatives with significant strategic or resource implications for the University.

2.4.3.19 The Academic Programs Committee is a committee of VCAC with responsibilities in relation to courses that include assessing the strategic and resource implications of new course proposals. The Committee considers course proposals after they are developed in the Academic Divisions and arranges for proposals to be submitted to Academic Board for approval.

2.4.3.20 The Scholarships and Prizes Committee is a committee of Academic Board which advises Academic Board and VCAC on scholarships and prizes policy and practice. Functions of the Committee include advising on the development and revision of relevant policy including recommendations on the need for new scholarships, monitoring the program, and developing guidelines for processes used to allocate scholarships and prizes. The Postgraduate Scholarships Selection Subcommittee of the Scholarships and Prizes Committee awards research scholarships such as Australian Postgraduate Awards. Terms of reference are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/US&PCtt.html

2.4.3.21 The University Education Committee advises Academic Board and VCAC on education policy and practice. This broad role encompasses educational policy at all levels within the University including future educational directions, policies for quality assurance of educational practices, and the policy framework for the University academic program and for different types of courses.

2.4.3.22 As part of its responsibilities the University Education Committee may consider issues that affect research training such as direction or balance in the academic program, relationships between research and coursework degrees or course development processes. The University Education Committee works cooperatively with the URDC and other committees as required.

2.4.3.23 Terms of reference for the University Education Committee are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/UEducCtt.html

Divisional Research Institutes

2.4.3.24 Academic Board has established a Divisional Research Institute (DRI) in each Academic Division. Membership of the DRI is defined as all research-active staff in the Division. Through an executive committee the Divisional Research Institute provides a coordinating point for research leadership, support, training, infrastructure, funding recommendations, management, accountability and reporting within the Division.

2.4.3.25 The DRI Executive has the following terms of reference:

1. To co-ordinate and oversee the implementation of the *Tactical Plan for Research and Research Training Management* ('the Research Tactical Plan') at the Divisional level including the development of operational plans which address the needs and priorities of the Division.
2. To advise the Pro Vice-Chancellor (Division) with respect to the distribution of funding for research activities and the creation of a supportive research training environment within the Division in the context of funding guidelines developed by the University Research Committee.
3. To encourage, support and promote research within the Division including collaboration with other Divisions and research partners outside the University.
4. To review research strengths within the Division and advise the University Research Committee on any review or revision of the University Areas of Research Strength hosted by the Division.
5. To monitor the quality of the research and research training environment within the Division.
6. To report to the Pro Vice-Chancellor (Research) and the Divisional Executive on research activities and the performance of Areas of Research Strength within the Division (including the provision of appropriate statistical data) for University and external planning and reporting purposes.
7. To advise the University Research Degrees Committee, the University Research Committee and the Divisional Executive on any other matters referred to the Institute by those bodies.

2.4.3.26 The DRI Executive is constituted as follows:

- (a) Director of the Divisional Research Institute appointed by the Divisional Pro Vice-Chancellor
- (b) Chair of the Divisional Research Degrees Committee
- (c) A member selected from each University Area of Research Strength in the Division
- (d) A research-active member nominated by the DRI membership
- (e) A higher degree by research student representative.

2.4.3.27 The DRI Director is a member of the Divisional Executive and is responsible to the Pro Vice-Chancellor (Division) for all matters relating to research and higher degree by research candidates within the Division. The Director also keeps the Heads of School briefed at all times on research and research student matters in their respective Schools.

2.4.3.28 Full terms of reference for the DRI Executive are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/DRIExec.html

Divisional Research Degrees Committees

2.4.3.29 Academic Board established the Divisional Research Degrees Committee (DRDC) (formerly known as the Divisional Higher Degrees Committee or DHDC) in each Academic Division to advise the Pro Vice-Chancellor (Division), the Divisional Research Institute (and its Executive) and the URDC on policy and practice within the Division regarding higher degrees by research. The DRDC coordinates and oversees the Division's responsibilities for the administration of research degrees offered through the Division.

2.4.3.30 The DRDC is closely linked to both the DRI and the URDC, administering the research training activities of the Division as part of the DRI and contributing to University-wide policy development, implementation and quality assurance through the DRDC Chair's membership of the URDC.

2.4.3.31 The terms of reference of the DRDC include core functions approved by Academic Board and additional functions that may be determined by the relevant Academic Division. The core terms of reference are:

1. To advise the Pro Vice-Chancellor (Division) and the Divisional Research Institute Executive on postgraduate and graduate studies policy issues (especially regarding higher degrees by research).
2. To coordinate and oversee the Division's responsibilities for the administration of higher degrees (including doctoral and masters by research courses) offered through the Division.
3. To coordinate and oversee the admission of students to (and progression through) higher degree by research courses managed by the Division, including the student's assignment to a University Area of Research Strength hosted by the Division, student assessment and examination, within guidelines developed by the University Research Degrees Committee.
4. To maintain links with the University Research Degrees Committee especially to advise the University Research Degrees Committee when new policy or procedures may be needed.
5. To consider and make recommendations on matters referred to it by the University Research Degrees Committee, the Pro Vice-Chancellor (Division), the Divisional Executive, the Divisional Research Institute (or its Executive) or the Divisional Forum.

2.4.3.32 Membership of the DRDC comprises:

- (a) A nominee of the Pro Vice-Chancellor (Division) as Chair
- (b) A course convener from each type of higher degree by research program offered by the Division - PhD, professional doctorate by research and masters by research (total 3 members)
- (c) A representative of the Divisional Business Team

- (d) Director of CELTS or nominee
- (e) A higher degree by research student representative.

2.4.3.33 The Divisional Pro Vice-Chancellor appoints the Chair of the DRDC. A Deputy Chair may also be selected. The Committee may co-opt members with specific expertise.

2.4.3.34 Full terms of reference of the DRDC (purpose and function, terms of reference, membership, method of appointment, alternates, period of office, secretariat arrangements, links, quorum, schedule of meetings and notes) are at http://www.canberra.edu.au/secretariat/committees/terms_of_ref/DHDC.html

2.4.4 Research administration

2.4.4.1 Administrative support for the various committees, academic staff involved in research and research training and research students is provided centrally and within each Academic Division. Staff in the Office of Research and Research Degrees, Student Administration, the International Office and the Divisions are involved.

Office of Research and Research Degrees

2.4.4.2 The Office of Research and Research Degrees (ORRD) provides support for the Pro Vice-Chancellor (Research), the University Research Committee and URDC and coordinates research and research training activities throughout the University. Responsibilities of ORRD include:

- (a) development and maintenance of policy related to research and higher degrees by research under the guidance of the Pro Vice-Chancellor (Research) and the University Research Committee and University Research Degrees Committee as relevant committees of Academic Board;
- (b) provision of secretariat functions for the University Research Committee, University Research Degrees Committee and Animal Ethics Committee, and working groups associated with those committees (the Committee for Ethics in Human Research is served by a staff member in the Secretariat);
- (c) provision of advice to academic and administrative staff in the Divisions on matters related to the responsibilities of the Office;
- (d) data collection and preparation of reports (in conjunction with staff in other areas as required) to fulfil external and University-wide reporting obligations in regard to research; and
- (e) liaison with administrative officers located in the Academic Divisions, Student Administration and the International Office to facilitate and coordinate the management of research and higher degree by research programs across the University, and to examine the implications associated with implementation of policy proposed by either the URDC or the University Research Committee.

2.4.4.3 Staff in the Office of Research and Research Degrees include the following:

- (a) the Director;
- (b) an administrative officer who acts as secretary to the University Research Committee, provides support to the Director and Pro Vice-Chancellor (Research) with policy development and implementation for research (including research priorities, research activities of staff, funding and research grants, research contracts, research alliances and partnerships and research promotion), and advises and supports the Directors of Divisional Research Institutes, academic and administrative staff in the Divisions on policy implementation and administration matters;
- (c) an administrative officer who compiles the Research Publications Data Collection for DEST, coordinates grant applications from academic staff to major funding agencies, prepares the fortnightly Research Grants Bulletin and acts as secretary to the Animal Ethics Committee;
- (d) an administrative officer who acts as secretary to the URDC, provides support to the Director and Pro Vice-Chancellor (Research) with policy development and implementation for higher degrees by research, and advises and supports chairs and secretaries of Divisional Research Degrees Committees on policy implementation, interpretation and administration matters;
- (e) an administrative officer who administers the implementation of higher degree by research policy, assists students and staff with administrative procedures, maintains databases for management of the research degree programs in consultation with staff responsible for the Student Information System, reports data to enable the Pro Vice-Chancellor (Research) and URDC to monitor research candidates and programs (including the RTS), and liaises with Student Administration, Divisional staff and research students as required; and
- (f) an academic staff member who holds a part-time appointment as Research Education Program convener – see 2.5.2.6.

2.4.4.4 An administrative officer in the Secretariat acts as secretary to the Committee for Ethics in Human Research and advises staff and students on ethical approval of research involving human participants. This member of staff is kept informed and participates in ORRD discussions as required.

Student Administration

2.4.4.5 Staff in Student Administration are responsible for administrative procedures related to admission and enrolment of research students, including initial collation and review of applications, coordinating the admission process, processing leaves of absence, course withdrawals, graduation etc. The Research Degrees Admissions Officer in the Admissions Office carries out most of these functions.

2.4.4.6 The Scholarships Officer in Student Administration manages and coordinates all matters relating to scholarships, including postgraduate research scholarships, and acts as secretary to the Scholarships and Prizes Committee.

International Office

2.4.4.7 Staff in the International Office advise prospective applicants for higher degree by research places from outside Australia, particularly in regard to legal requirements and conditions for international students and services offered by the University; accept and process applications for admission as set out in Part 5 (Admission); and manage and support international students throughout their candidature as required.

Administrative staff in the Academic Divisions

2.4.4.8 Research administration in the Academic Divisions is provided by support staff for the Divisional Research Institute and Divisional Research Degrees Committee.

2.4.4.9 Administrative support for the DRI is normally provided through the office of the DRI Director. Functions include management of research funding, coordination and support for Areas of Research Strength in the Division, tasks associated with implementation of the Research Tactical Plan, and data collection and reporting to meet Divisional, University and external requirements.

2.4.4.10 The secretary of the DRDC performs administrative functions related to Committee responsibilities including implementation of University policy and management of admission, progress and examination matters for higher degree by research candidates. The DRDC secretary supports and advises research candidates in the Division and liaises with staff in Student Administration, the Office of Research and Research Degrees and the International Office as required. The secretary of the DRDC also provides support and advice to course conveners and supervisors of higher degree by research candidates in the Division.

2.5 Key elements of UC policy for research and research training

2.5.1 Research policy

2.5.1.1 University policy for research has been characterised by selectivity and concentration of research focus and research training activities to match available resources and needs. The emphasis of the research effort is on application of knowledge to known or anticipated problems, with a significant proportion of the University's research focussed on the needs of the community, the professions or industry. Working collaboratively and in partnership with other organisations is encouraged where possible. Key elements of policy to sustain this approach include:

- (a) support for a limited number of well-defined University Areas of Research Strength on the basis of discipline themes and performance;
- (b) maintenance of Divisional Research Institutes in the Academic Divisions to coordinate and support research and research training in the Division;
- (c) financial support and incentives for research including internal research grant schemes;
- (d) identification and encouragement of research-active staff through the Active Researcher Classification Scheme;
- (e) policies and guidelines including guidelines for research conduct; and
- (f) other mechanisms, policies and practices referred to below.

Areas of Research Strength

2.5.1.2 In 2001, the University consolidated its research effort into Areas of Research Strength (ARS) on the basis of discipline themes and performance as measured by research income, publications and higher degree by research student completions. The University Areas of Research Strength are hosted by and managed within the Academic Divisions through the Divisional Research Institutes.

2.5.1.3 The establishment of Areas of Research Strength affirmed and built upon University policy which has always been to concentrate its limited resources to ensure a quality research environment in areas with active and productive research staff and students. Existing research centres and emerging research groups were incorporated into the new structure.

2.5.1.4 Each Area of Research Strength is coordinated by a management group with representation from major research activities in the area of research strength. The management group is responsible for:

- (a) ensuring that an active dialogue is established within the research strength that will enable the development of further research opportunities;
- (b) reporting to the DRI on matters related to the management of the Research Tactical Plan and particularly on quality of research supervision and support provided to emerging researchers;
- (c) encouraging, assisting and supporting staff, including adjuncts and associate staff, and postgraduate students to initiate, conduct and complete quality research projects; and
- (d) providing an annual report to the DRI which includes statistical data with respect to performance of the research strength and quality of the research environment.

2.5.1.5 The operations and performance of the Areas of Research Strength are regularly reviewed.

Divisional Research Institutes

2.5.1.6 A Divisional Research Institute (DRI) has been established in each Academic Division with an executive committee to provide coordination and support for research and research training within the Division. The structure and functions of the DRI are described in 2.4.3.24-2.4.3.28.

Financial support and incentives for research

2.5.1.7 Government funds provided to the University for research under schemes such as the Research Training Scheme, Institutional Grants Scheme and Research Infrastructure Block Grants Scheme are channelled to Areas of Research Strength through the Divisional Research Institute in each Academic Division. A proportion of the allocation may be retained centrally to support administrative infrastructure, strategic development and/or University-wide initiatives such as internal research grants schemes.

2.5.1.8 The University operates two internal research grants schemes for academic staff: the University Research Grants Scheme and the Collaborative Research Grants Scheme.

2.5.1.9 The University Research Grants Scheme is open to all members of academic staff seeking funds to undertake research. Guidelines and application forms are available at http://www.canberra.edu.au/research/grants/uc_urg_intro.html The objectives of the scheme are to:

- (a) support, on a competitive basis, quality research projects of modest financial cost carried out by researchers with a track record that is sufficient to demonstrate their competence in the field of research;
- (b) support newer researchers showing clear evidence of high research capacity;
- (c) support pilot projects that can lead to external research grant applications; and
- (d) give applicants experience in developing project proposals and submitting formal applications of the type required by external granting bodies.

2.5.1.10 The University Industry Collaborative Research Grants Scheme focuses on collaboration with industry, government agencies and other research institutions with the aim of encouraging greater responsiveness within the University to the research and development needs of the broader community. Guidelines and application forms are available at http://www.canberra.edu.au/research/grants/uc_collab_intro.html The objectives of the scheme are to:

- (a) develop industry-oriented research opportunities;
- (b) develop strategic alliances between the University and industry leading to development of larger proposals such as would be supported by an ARC Linkage Grant, R&D START Grant, Rural R&D Corporation funding etc;
- (c) provide University researchers with an opportunity to network with industry and to undertake collaborative research of benefit to both parties;

- (d) provide support for University researchers and opportunities for industry groups to bring advanced knowledge and technology to bear on problems and opportunities for the mutual benefit of all partners; and
- (e) extend funding support offered by the University Research Grants Scheme as a means of improving effectiveness of networks.

2.5.1.11 Incentives for staff are provided through the allocation of resources on the basis of performance outcomes.

2.5.1.12 The Office of Research and Research Degrees prepares a fortnightly Research Grants Bulletin that provides details of research activities on and around campus and lists research funding opportunities available to staff. The bulletin is published electronically at http://www.canberra.edu.au/research/bulletins/bulletins_index.html and in the University newspaper *Monitor*. The Research@Canberra website⁸ provides links to external funding agencies such as the Australian Research Council (see Part 1).

Active Researcher Classification Scheme

2.5.1.13 The Active Researcher Classification Scheme (ARCS) facilitates the identification of staff active in research and research supervision, as part of the approach to defining Areas of Research Strength in the University. Areas of Research Strength are asked to report the numbers of active researchers in the ARS as an aspect of performance.

2.5.1.14 The Active Researcher Classification Scheme distinguishes five levels of classification with defined criteria for each level. Members of academic staff identify their appropriate level in accordance with the criteria. The number of academic staff at each level is an indicator of performance of the ARS.

2.5.1.15 Staff who are active in research would normally be expected to maintain or advance their Active Researcher Classification status within or between levels every five years.

2.5.1.16 The Active Researcher Classification Scheme was developed by the University Research Committee through discussion with academic staff in the Divisions and endorsed by Academic Board in May 2002. The Board noted that the scheme was subject to further development and approved amendments in October 2002 and May 2003. Guidelines for the Active Researcher Classification Scheme (*Active researcher classification scheme: arts, humanities and social sciences and science and technology*) are at http://www.canberra.edu.au/research/policies/resrchr_clas.html

2.5.1.17 The Active Researcher Classification Scheme is linked to the process for registration of supervisors of higher degree by research students (see 2.5.2 below and Part 4 on Supervision). To be registered as a supervisor of UC research students, a staff member (or non-UC staff member where applicable) must be Researcher Level 2 or above.

⁸ Research@Canberra website <http://www.canberra.edu.au/corporate/research/>

Guidelines for research conduct and research ethics

2.5.1.18 Research at the University of Canberra is conducted in accordance with the *Joint NHMRC/AVCC Statement and guidelines on research practice*.⁹

2.5.1.19 University of Canberra *Guidelines for responsible practice in research and dealing with problems of research misconduct* are based on the NHMRC/AVCC statement and guidelines. The UC Guidelines consist of two parts:

- (a) Part 1, the code of conduct, deals with general principles and guidelines for good practice and specific ethical considerations relating to retention of data, publication and authorship, the role of research supervisors and disclosure of conflict of interest.
- (b) Part 2, the procedures for dealing with allegations of misconduct, deals with creating a research environment that minimises the incidence of misconduct, the definition of types of misconduct in research, and procedures for dealing with allegations of research misconduct that as far as possible protect all interested parties.

2.5.1.20 The *Guidelines for responsible practice in research* are at <http://www.canberra.edu.au/secretariat/respprac.html>

2.5.1.21 In accordance with the *Guidelines on responsible practice in research*, each Academic Division has nominated Advisers on Research Integrity to whom staff and students can turn for advice. The names and contact details of these members of academic staff are published on the Office of Research and Research Degrees web page.

2.5.1.22 As an institution conducting research involving human participants, the University is required by the NHMRC *National statement on ethical conduct in research involving humans* to maintain a human research ethics committee. The Committee for Ethics in Human Research (CEHR) is constituted and operates according to national guidelines.

2.5.1.23 The CEHR assesses and approves (or rejects) all research projects by staff and students involving humans that require ethical clearance. Guidance is offered to applicants if changes to projects are required. The CEHR also monitors the progress of research approved by the Committee by reviewing projects at least annually. An additional function is to raise and maintain awareness in the University community of ethical issues in research involving human participants. The Committee reports annually to the NHMRC through the Australian Health Ethics Committee and to the Vice-Chancellor and Council. The timetable for CEHR meetings, application form and the Human Ethics Manual prepared by the Committee as a resource are included in the *Human ethics kit – Information for researchers and supervisors* at http://www.canberra.edu.au/secretariat/ethics/human_ethics/manual.html

2.5.1.24 The University maintains an Animal Ethics Committee to consider, approve and oversee research projects involving vertebrate animals. The animal ethics committee operates

⁹ *Joint NHMRC/AVCC Statement and guidelines on research practice* at <http://www.avcc.edu.au/news/public%5Fstatements/publications/grespra.htm>

under the *ACT Animal Welfare Act 1992*.¹⁰ University research conforms with the *Australian code of practice for the care and use of animals for scientific purposes*¹¹ and takes account of advice from the Australian and New Zealand Council for the Care of Animals in Research and Teaching (ANZCCART).¹² University guidelines, application forms and annual review forms for laboratory experiments and field survey projects involving animals are available at http://www.canberra.edu.au/research/ethics/forms/ethics_forms.html

Intellectual property

2.5.1.25 Issues of intellectual property in relation to research are addressed in the University's *Policy on intellectual property* at http://www.canberra.edu.au/secretariat/ip_plcy.html. The policy is under review.

2.5.1.26 The *Policy on intellectual property* aims to clarify the rights and obligations of the University, its staff and its students with respect to intellectual property. The policy seeks to strike an equitable and workable balance between the rights of originators and the interests of the University, covering such matters as ownership of IP and use by non-owners, commercial exploitation and patenting and dispute resolution. An additional objective is to facilitate where appropriate the commercialisation of IP created by the University's staff and students.

2.5.1.27 Information on authorship, copyright and intellectual property in higher degree by research theses is provided in section 7.3.5 of the Gold Book. University policy is based on the statement of AVCC principles in "Practice for maintaining and monitoring academic quality and standards in higher degrees".¹³ Particular attention is paid to intellectual property considerations where the research is subject to contractual arrangements that involve commercial or industrial interests.

2.5.1.28 Further information on copyright (including legal requirements, guidelines and procedures, links to relevant external sites, answers to frequently asked questions and forms) is available on the UC Copyright site <http://www.canberra.edu.au/secretariat/copyright/index.html>

Additional policies and guidelines

2.5.1.29 Policies and guidelines relating to research at UC are available on or through the Research@Canberra web page at <http://www.canberra.edu.au/research/index.html>. References in addition to those mentioned above include:

¹⁰ *ACT Animal Welfare Act 1992* at http://austlii.edu.au/au/legis/act/consol_act/awa1992128/

¹¹ *Australian code of practice for the care and use of animals for scientific purposes* at <http://www.health.gov.au/nhmrc/research/awc/code.htm>

¹² See www.adelaide.edu.au/ANZCCART

¹³ "Practice for maintaining and monitoring academic quality and standards in higher degrees" in AVCC *Universities and their students: principles for the provision of education by Australian universities* at http://www.avcc.edu.au/policies_activities/teaching_learning/guidelines_codes/index.htm

- (a) The Research Publications Return site links documents providing information necessary for preparing the UC Publications Return to DEST. It contains forms in downloadable formats to assist authors in completing their returns.
<http://www.canberra.edu.au/research/publications/publications.html>
- (b) The Research Codes site on the Office of Research and Research Degrees web page provides links to the Australian Research Council (ARC) and Australian Bureau of Statistics (ABS) sites containing information on socioeconomic objective (SEO) codes and research field codes (Field of Research Classification Codes (FORCS)).
<http://www.canberra.edu.au/research/grants/codes.html>
- (c) The *Administrative procedural guidelines for externally funded research* provide guidance to University staff involved in the administration of externally funded research and consultancy projects, to ensure that the University meets its obligations to funding bodies and complies with audit requirements.
http://www.canberra.edu.au/secretariat/research/admin_guidelines.html
- (d) *Research staff: guidelines for employment* have been prepared for researchers applying for a research grant who need to employ staff on the research project. The guidelines assist in choosing the appropriate level at which to employ staff and provide information in relation to the appointment process, appropriate salary range and salary-related costs such as superannuation.
<http://www.canberra.edu.au/research/policies/resasst.html>
- (e) The *Adjunct and visiting appointments policy* defines terms and sets out the process, criteria and conditions for these types of appointment.
<http://www.canberra.edu.au/hr/policies/Adjunct.html>
- (f) The *Outside work policy* sets out the rationale, benefits and procedures required for staff to undertake outside employment, including consultancy.
<http://www.canberra.edu.au/hr/policies/outsidework.html>

2.5.2 Research training policy

Vision statement for graduates of higher degree by research programs

2.5.2.1 The University of Canberra has developed a vision statement for graduates of its higher degree by research programs:

Graduates of postgraduate research programs at the University of Canberra will possess advanced skills in inquiry, communication and organisation. Research graduates will be able to reflect critically and take a creative approach to issues in and beyond their field of research expertise. They will have a positive attitude to the acquisition and advancement of knowledge, continue to learn and provide leadership in their professions. They will practise ethically and exert a beneficial influence on society.

2.5.2.2 To realise its vision for research graduates the University has designed an integrated Research Education Program. The skills and attributes encapsulated in the vision statement for research graduates are the learning outcomes of the Research Education Program.

Research Education Program

2.5.2.3 The Research Education Program at the University of Canberra assists candidates enrolled in higher degree by research programs to meet academic requirements for the relevant degree and at the same time to acquire generic skills and attributes in accordance with University policy. It is recognised that the specificity of a research project and the skills and attributes gained during conduct of the research are inextricably linked. It is also recognised that research students bring to their studies a diversity of academic expertise, workplace skills and personal and professional experience. The Research Education Program offers a personalised approach to research education based on these premises.

2.5.2.4 The foundation of the Research Education Program is the concept of the personal learning plan. The Learning Plan provides flexibility through an individualised program that builds on capacities and skills candidates already possess. While taking into account the personal needs and research objectives of each candidate the Research Education Program supports the development of generic capacities that will prepare the candidate for professional or academic life on completion of the research degree.

2.5.2.5 The components of the Research Education Program¹⁴ are:

- (a) the personal Learning Plan developed by each higher degree by research candidate at the outset of candidature;
- (b) the learning outcomes in each candidate's Learning Plan, in the six key learning areas UC has identified in postgraduate research education, that are designed to ensure achievement of the research objectives and acquisition of generic skills;
- (c) the program of activities in the Learning Plan that enables candidates to meet their defined learning outcomes (to be incorporated in formal coursework Research Education subjects from 2005); and
- (d) assessment of progress and achievement of the Learning Plan as the focus for each candidate's annual review of progress.

2.5.2.6 The University has appointed a member of academic staff as the Research Education Program convener. The convener reports to the Pro Vice-Chancellor (Research) and is a member of the University Research Degrees Committee. Responsibilities of the position include:

- (a) development and coordination of the Research Education Program across the University;

¹⁴ Essential elements of the Research Education Program, including the vision statement, key learning areas and personal learning plans, were proposed by the Working Party on Postgraduate Generic Skills and Research Training and accepted by Academic Board at meeting 02/4 on 24 June 2002.

- (b) convening the Research Education subjects (in 2005, 2-credit-point coursework subjects will be introduced in each full-time equivalent year of candidature for masters and doctoral by research programs); and
- (c) quality assurance for Program delivery and implementation.

Key learning areas

2.5.2.7 The University has identified six key learning areas of postgraduate research education:¹⁵

Knowledge: To be able to conceptualise, acquire, apply, integrate, extend and contextualise knowledge.

Inquiry: To be able to develop advanced approaches and techniques for defining, investigating and resolving research questions.

Communication: To be able to identify, analyse, evaluate and communicate information and knowledge, using appropriate oral, visual and written mediums.

Organisation: To be able to develop advanced strategies to lead the planning, management and implementation of a project.

Creativity: To use original approaches to produce works that critique and extend current forms of knowledge and understanding.

Ethical practice: To respect, understand and apply ethical practices personally and professionally.

2.5.2.8 Learning outcomes in each key learning area are identified in the University policy statement on generic skills for postgraduate research students. Specific outcomes within each area relate to the attributes of *conceptualisation and understanding; application; and reflection*.

Generic skills

2.5.2.9 The policy statement *Generic skills and attributes of University of Canberra graduates from higher degree by research programs* specifies outcomes for each key learning area of postgraduate research education (2.5.2.7). The University is committed to ensuring as far as possible that all graduates of higher degree by research programs develop these skills and attributes through their Research Education Program.

2.5.2.10 The statement of *Generic skills and attributes of University of Canberra graduates from higher degree by research programs* was approved by Council at meeting No. 85 on 4 December 2002. It complements the policy statement on *Generic skills and attributes of University of Canberra graduates from undergraduate and postgraduate coursework programs*, and is available at http://www.canberra.edu.au/secretariat/council/generic_HDR.html

¹⁵ See *Key learning areas in the UC postgraduate research context* in the CELTS series “Ideas for supervising postgraduate students” under the heading “Resources” on the CELTS web site at <http://www.canberra.edu.au/celts/>

Learning Plans

2.5.2.11 From 2003, each newly enrolled candidate in a higher degree by research program at UC is required to develop a personal Learning Plan. The Plan is prepared soon after enrolment in consultation with the chair and members of the candidate's supervisory panel. As indicated above, the Learning Plan provides an individual learning program designed to ensure achievement of the candidate's research objectives and acquisition of generic skills through the Research Education Program.

2.5.2.12 The Learning Plan identifies activities to be undertaken by the candidate in his or her Research Education Program. These activities will include but not be limited to relevant activities in the annual program offered by the University, Division, School and/or research group as well as seminars, workshops etc offered in conjunction with other ACT universities and professional organisations.

2.5.2.13 Each candidate's Learning Plan is regularly reviewed. Achievement of the Learning Plan is formally assessed each year in the candidate's annual review of progress.

2.5.2.14 Policy and practice relating to learning plans are set out in section 6.4.2. Further information is available in the CELTS publication *Developing a personal learning plan* (in the series "Gold guides for postgraduate supervisors") at <http://www.canberra.edu.au/celts/resources/ideas/pgsupervisors/learningplan.htm>

Supervisor registration

2.5.2.15 To maintain and enhance the quality of postgraduate research education, the University has developed a system for the registration of supervisors of higher degree by research students. Registration is designed to provide quality assurance for research supervision at the University by:

- (a) ensuring effective supervisory practice within the University;
- (b) assisting appointees with little supervisory experience; and
- (c) providing supervisory development for academic staff.

2.5.2.16 The registration process balances the need for minimum standards with meeting the professional development needs of new and existing supervisors. Criteria for registration are based on qualifications, research experience, and training or professional development and are linked to the University's Active Researcher Classification Scheme.

2.5.2.17 Policy and practice relating to supervisor registration are set out in section 4.3. Relevant forms and additional information are at Appendix x. The registration scheme was introduced in 2003 with a twelve-month transition period to enable existing supervisors to meet requirements. Implementation should be complete in semester 1 2004.

The Gold Book and policy principles

2.5.2.18 *Higher degrees by research: policy and procedures* (the Gold Book) is the comprehensive policy statement on research training and higher degrees by research at the University of Canberra. The Gold Book provides information on all aspects of masters by research, professional doctorates by research and the PhD program and sets out requirements for candidates undertaking those programs. It includes appendices and references to related policies and guidelines. The Gold Book is on UC Online at <http://www.canberra.edu.au/secretariat/goldbook/index.html>

2.5.2.19 The Gold Book is prepared by the University Research Degrees Committee and approved by Academic Board.

2.5.2.20 The Gold Book was first published in this form in 1994. Annual updates were issued until January 1999. With Academic Board endorsement the URDC initiated a complete review of the policy in 2000. Parts of the new edition were approved progressively in 2002, for implementation from the beginning of 2003. Administrative forms and guidelines made available as appendices to the Gold Book are being updated progressively.

2.5.2.21 In preparing the 2002 Gold Book, the University Research Degrees Committee found it useful to identify principles underlying practice in key policy areas:

- (a) Principles relating to *Supervision* are set out in section 4.2.
- (b) Principles relating to *Admission* are set out in section 5.2.
- (c) Principles relating to *Progress* are set out in section 6.2.
- (d) Principles relating to *Examination and completion* are set out in section 7.2.

Additional policies and guidelines

2.5.2.22 University policies and guidelines relating to research training are cited throughout this document and its appendices. Sources in addition to those mentioned above include:

- (a) *Courses of Study (Degrees of Doctor) Rules and Courses of Study (Degrees of Master) Rules* – see 2.7.3 below
- (b) Australian Higher Degree by Research Admission and Australian Postgraduate Research Scholarships Domestic Students Application Form
http://www.canberra.edu.au/study/docs/UC_int_undergrad_form.pdf
- (c) Application for Admission for Full Fee-Paying International Students
http://www.canberra.edu.au/study/docs/UC_int_postgrad_guide.pdf
- (d) Scholarships for Postgraduate Research Students (information and links to scholarship guidelines on the UC Scholarships and Prizes web page)
http://www.canberra.edu.au/stuadmin/scholarships/sch_research.html
- (e) *UC Policy on quality assurance for offshore teaching*
http://www.canberra.edu.au/secretariat/offshore_pol.pdf

- (f) *Student grievance resolution procedures*
http://www.canberra.edu.au/secretariat/studgriev_proc.html
- (g) *UC Guidelines for offering professional doctorates* (1994) – available from the Office of Research and Research Degrees
- (h) Guidelines and information issued by the Divisions such as the Division of Communication and Education *Suggested roles and responsibilities for supervisory panel members: final draft*
<http://www.canberra.edu.au/uc/gradcomedu/suppanelresp.htm>

2.6 Research training places at UC

2.6.1 Types of research training places for domestic and international students

2.6.1.1 Subject to availability the University of Canberra offers a range of research training places to domestic and international students:

- (a) Commonwealth-funded places for domestic students through the Research Training Scheme;
- (b) places for domestic students funded by scholarships from the Government, the University or other sources;
- (c) full fee-paying places for domestic students;
- (d) full fee-paying places for international students; and
- (e) places for international students funded by scholarships from the Government, the University or other sources.

Places for domestic students

2.6.1.2 The Commonwealth Government funds a limited number of higher degree by research places in each higher education institution under the Research Training Scheme (RTS). Each RTS place carries a HECS-exemption for the duration of the research program. The University allocates these places to applicants through a competitive selection process. The Research Training Scheme is outlined at 1.3.3.¹⁶ The admission process at UC is described in Part 5, particularly 5.5.4.

2.6.1.3 Domestic students may be eligible for scholarships or sponsorship from various sources. Further information is available from the Postgraduate Research Scholarships web page at http://www.canberra.edu.au/stuadmin/scholarships/sch_research.html or the Scholarships Office in Student Administration:

- (a) The Commonwealth Government offers scholarships including Australian Postgraduate Awards. Recipients of these awards also hold RTS places (see 1.3.4 and

¹⁶ See also DEST *Research Training Scheme Guidelines* at <http://www.dest.gov.au/highered/research/rts.htm>

relevant sections of Part 5). The University Scholarships and Prizes Committee manages the selection process for these scholarships.

- (b) The University offers a range of scholarships for both domestic and international students, many of which are new for 2004. These include the Vice-Chancellor's Scholarships, UC Scholarships, the W J Weeden Postgraduate Research Scholarship, UC Completion and Top-up Scholarships and scholarships in specific discipline areas.
- (c) Through the Academic Divisions the University offers UC Chancellor's Postgraduate Scholarships for Domestic Students, which provide candidates with a full or half fee-waiver for one semester or longer to a maximum of the duration of the research degree – see the web site referred to above and section 5.5.5 of this document.
- (d) The Division of Communication and Education together with the Society of St Vincent de Paul and the University fund the UC - St Vincent de Paul Society Scholarship for Postgraduate Indigenous Students, for study in a higher degree by research course in the field of education. Indigenous students enrolled in other postgraduate research degrees may also be considered for this award.
- (e) Scholarships or sponsorship may be available from other organisations or employers.

2.6.1.4 Since 2002¹⁷ the University has accepted full fee-paying domestic students for higher degrees by research. Fee levels vary and depend on whether the program is classified by DEST as a high cost or low cost course. Advice on fees is available from the HECS, PELS and Fees Office in Student Administration.

Places for international students

2.6.1.5 The University offers full fee-paying places in higher degree by research programs to suitably qualified international students – see 1.3.5 and Part 5.

2.6.1.6 International students of outstanding ability may apply for an International Postgraduate Research Scholarship (IPRS). The Australian Government funds IPRS and makes an allocation to each university for internal award to applicants. The Scholarships and Prizes Committee manages the selection process at the University. Further information is available from the Postgraduate Research Scholarships web page at http://www.canberra.edu.au/stuadmin/scholarships/sch_research.html or the Scholarships Office in Student Administration.

2.6.1.7 The University offers a range of scholarships for both domestic and international students, many of which are new for 2004. These include the Vice-Chancellor's Scholarships, UC Scholarships, the W J Weeden Postgraduate Research Scholarship, and UC Completion and Top-up Scholarships. Details are provided on the web site at http://www.canberra.edu.au/stuadmin/scholarships/sch_research.html.

¹⁷ In August 2001 the University Council agreed to support the introduction from 2002 of fee payment for domestic students undertaking higher degrees by research who are not able to take up Commonwealth funded or employer funded places (Resolution C77/13 at meeting No. 77 on 1 August 2001).

2.6.1.8 Through the Academic Divisions the University offers UC Chancellor's Postgraduate Scholarships for International Students, which provide candidates with a full or half fee-waiver for one semester or longer to a maximum of the duration of the research degree – see the web site referred to above and section 5.5.5 of this document.

2.7 Higher degree by research courses (programs)

2.7.1 Introduction

2.7.1.1 The *Courses and Awards Statute* lists degrees that may be awarded by the University of Canberra. University courses are accredited in accordance with Courses of Study Rules made under the *Courses and Awards Statute* that specify requirements for each level of course. Academic Board accredits individual courses under delegated authority from the University Council. The course accreditation document for each course includes a Determination of Course Particulars. Each course is allocated a course code. Admission requirements and other details of the Course Particulars are specified in the University Handbook.

2.7.1.2 This section sets out information on higher degree by research courses in accordance with the framework outlined above. It also provides information on course review and the role of course convener.

2.7.1.3 In University practice, and in this policy, the term “program” is used in preference to “course” in relation to higher degrees by research. It should be noted that University legislation employs the term “course” for all levels of course including higher degrees by research.

2.7.2 Types of research courses (programs)

2.7.2.1 The University of Canberra offers three types of research programs: doctor of philosophy (PhD), professional doctorate by research and masters by research. Programs of these types meet the DEST definition of a research course (see 1.2.2). The characteristics of each type of program are set out in detail in Part 3.

2.7.2.2 Higher degree by research programs at UC are offered within University Areas of Research Strength.

2.7.2.3 As described in Part 3, the PhD is a single University-wide course with designated specialisations or study areas in each Academic Division to which doctoral candidates are attached. The specialisations are described in the University Handbook and indicate the fields of study in which PhD programs are offered.

2.7.2.4 Professional doctorate by research programs are offered in each Division in academic areas recognised as having particular professional expertise in which the professional doctorate is accepted as the appropriate form of doctoral degree. In most cases the PhD program is not available in the same discipline area as a professional doctorate program.

2.7.2.5 Masters by research courses are offered in a number of discipline areas in the Academic Divisions. Some courses are by research and thesis only and others include a coursework component. (From 2005, when Research Education subjects will be introduced, there will be a minimum of four credit points of coursework in all masters by research programs.)

2.7.3 Courses of Study Rules

2.7.3.1 The *Courses of Study (Degrees of Doctor) Rules* and *Courses of Study (Degrees of Master) Rules* made under the *Courses and Awards Statute* set out requirements for doctoral and masters courses respectively. Matters addressed in the Courses of Study Rules for each type or level of degree are:

- (a) Citation, commencement and interpretation;
- (b) Courses provided by the University (ie courses specified in the Schedule attached to the Rules, with the proviso that Academic Board may determine not to provide a specified course in any year or years);
- (c) Entries in the register (ie details to be provided for each course in the Determination of Course Particulars in the register – see 2.7.4.4);
- (d) Descriptions of units (subjects);
- (e) Admission;
- (f) Study program;
- (g) Enrolment;
- (h) Meeting of academic requirements;
- (i) Qualification for award;
- (j) Passes in units (subjects) and successful completion of other requirements;
- (k) Application of course changes to students;
- (l) Maximum period of study to be calculated backwards from time of completion;
- (m) Variation of academic requirements;
- (n) Delegation by the University Research Degrees Committee; and
- (o) Transitional arrangements.

2.7.3.2 The schedule attached to the Courses of Study Rules for each type or level of degree specifies courses provided by the University to which the Rules apply.

2.7.4 Course accreditation

2.7.4.1 The process for accreditation of courses at UC is set out in the *Procedures for the introduction and accreditation of new courses, course and subject change*.¹⁸

2.7.4.2 Additional information on the development of course proposals and accreditation of research courses (programs) is provided in Part 3 of this document:

- (a) Section 3.2.3 sets out the process of approval for new specialisations or study areas within the PhD program.
- (b) Section 3.3.3 describes the process for developing new professional doctorate by research programs. The Divisional Education Committee is responsible for considering course proposals at Divisional level before submission to the VCAC Academic Programs Committee, which considers strategic and resource implications then forwards proposals to Academic Board for approval. In the case of professional doctorate by research proposals, the course proponent has a responsibility to ensure that the Divisional Education Committee has access to advice from the DRDC and Director of the Divisional Research Institute on issues covered by the Gold Book and the *Research Tactical Plan*. Such issues could include academic content appropriate to the degree or alignment with research priorities including an Area of Research Strength.
- (c) Section 3.4.3 for masters by research programs refers to section 3.3.3, as procedures for accreditation of professional doctorate and masters by research are the same.

Course accreditation document and Determination of Course Particulars

2.7.4.3 At the time of accreditation Academic Board is provided with a full description of the proposed course including any new subjects. Documentation is kept on a Registry file after the course is accredited.

2.7.4.4 The course accreditation document includes the Determination of Course Particulars (DCP) prepared in accordance with Rule 6(1) of the relevant Courses of Study Rules. The secretary of the Academic Programs Committee maintains a register of DCPs accessible to staff and students. Contents of the DCP include:

- (a) the course and award name (specifying if necessary whether the course is by research or coursework), award abbreviation and course code;
- (b) academic requirements of the course (titles and levels of the unit or units comprising the course, number of credit points assigned to each unit etc);
- (c) admission requirements for the course;
- (d) course duration including maximum period of study;

¹⁸ *Procedures for the introduction and accreditation of new courses, course and subject change* at <http://www.canberra.edu.au/uc/policies/acad/coursacc.html>

- (e) information on other requirements as needed (eg bridging arrangements, credit (advanced standing), subsumability); and
- (f) details of accreditation of the course by Academic Board.

University Handbook

2.7.4.5 The University Handbook publishes details of each course offered by the University in a particular year setting out such matters as admission, credit (advanced standing), academic requirements and contact details for the course convener. The course description in the Handbook is based on and should be consistent with the DCP.

2.7.5 Course review

2.7.5.1 The School or Division in which an academic program is offered may choose to review the program at any time. It is expected that courses are regularly reviewed. Academic Board may initiate formal review of higher degree by research programs. (The PhD program, for example, was reviewed five years after its introduction.)

2.7.6 Responsibilities of the course convener

2.7.6.1 Each higher degree by research program has a course convener to provide coordination and act as the contact point for staff, applicants for admission and candidates enrolled in the program. The convener will advise on requirements for the course and will be familiar with characteristics of the type of research program as set out in Part 3 of this policy.

2.7.6.2 The course convener is responsible for ensuring that the program is delivered in accordance with the Determination of Course Particulars. At the appropriate time of year the convener will check the course entry for the University Handbook to ensure that information is up to date and consistent with the DCP. If changes to course particulars are required for any reason the course convener will initiate the process for amendments to be considered.

2.7.6.3 The chair of a candidate's supervisory panel is responsible to the course convener and the DRDC for the supervision of candidates in her or his charge.

2.7.6.4 The course convener's responsibilities in relation to admission, progress and examination of candidates in the relevant research program include:

- (a) playing a major part in assessing applications for admission to the program and making a recommendation to the DRDC on whether an application should be accepted or rejected (see Part 5);
- (b) monitoring the progress and supervision of candidates in the course, advising on specific requirements for course proposals etc, assisting to resolve concerns raised by supervisors or candidates, arranging alternate supervision if necessary and liaising with the DRDC on progress and supervision matters (see Part 6); and

(c) providing advice on thesis requirements in the discipline if required (Part 7).