

## Supervisor and Candidate Agreement

This document is for use by applicants who have been offered a PhD, Masters by Thesis or Professional Doctorate program at SCU and by candidates who are changing supervisory arrangements.

- Completion of this Agreement is a prerequisite for enrolment into candidature. It must be completed and signed by both the Candidate and the Supervisors.
- It must be approved by the Director for Higher Degree Research Training, the Associate Dean (Research) and the Graduate School.
- If circumstances covered by the Agreement change throughout candidature (for example, a change of the Supervisors), the Agreement must be changed. Proposed changes must be accepted by the Graduate School.
- **Candidates must review the Agreement arrangements at the time of Confirmation of Candidature (CoC).**
- All questions must be answered – if a question is not applicable, please mark it N/A.
- Please send the signed form to The Graduate School – [hdrsupport@scu.edu.au](mailto:hdrsupport@scu.edu.au)

**ATTENTION MAC USERS:**

This form will be corrupted if opened in Preview.

Please use Adobe Acrobat Reader to view and complete form.

### This Agreement

This agreement is made in good faith between the Candidate and Supervisors noting:

- If you are a Principal Supervisor or Co-supervisor signing off on this agreement, you are agreeing to supervise this candidate for the duration of their research candidature.
- If you are a Co-supervisor signing off on this agreement, you are agreeing to step up to the position of Principal supervisor in the event that the Principal Supervisor leaves the University.
- If any supervisor wishes to step down from the supervisory team they cannot do so unless they have found a replacement supervisor with the relevant expertise and experience to supervise the candidate and provided that supervisor is willing to take on the supervision of the candidate in question.

Is this SCA a result of a new enrolment or change to supervisory team?

*\*If this is for a change in supervision you will also need to complete a Change to Conditions of enrolment form.*

(i) This agreement is made in good faith between:

Candidate: Signature: Date:

Principal Supervisor: Signature: Date:

Co-Supervisor: Signature: Date:

Third Supervisor: Signature: Date:

(ii) This Agreement is approved by:

Director HDRT: Signature: Date:

Associate Dean:  
(Research) Signature: Date:

Graduate School/  
Dean Graduate School Signature: Date:

## **CONTENTS**

The following areas comprise this Agreement:

**Part 1: Candidate Details**

- Candidate Details

**Part 2: Responsibilities Pertaining to All Parties**

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- Publication with respect to the Candidate's Thesis

**Part 4: Milestone Requirements for Candidature**

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**Part 6: Faculty Responsibilities**

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**Appendix 1:** [National Code of Practice for Providers of Education and Training to Overseas Students](#)

**Appendix 2:** [Policies and Procedures for Intellectual Property, Authorship and Publication Considerations](#)

**PART 1: CANDIDATE DETAILS**

Name:

Student ID:

Faculty:

Course:

Attendance Type:

Location:

Approved Thesis Topic:

Are you an International Candidate?

YES

NO

If so, the Candidate and the Supervisors must be aware of their respective obligations pursuant to the [National Code of Practice for Providers of Education and Training to Overseas Students 2018](#). For details, refer [Appendix 1](#).

If you have answered 'Yes' to this question, please indicate whether you are aware of your obligations as detailed in Appendix 1:

Candidate

YES

NO

Principal Supervisor

YES

NO

Co-Supervisor

YES

NO

Third supervisor

YES

NO

**CANDIDATE DETAILS Cont. (Overseas travel)**

Overseas travel insurance is compulsory and you must refer to the [SCU Insurance website](#) for coverage details.

I acknowledge that if at any time throughout my candidature I am required to travel overseas I will read and comply with University's Corporate Travel Insurance website and understand that certain deductibles, terms and conditions and exclusions apply whilst travelling. I acknowledge that the policy will only provide cover if I meet the eligibility criteria, and if I'm not eligible for cover, I am responsible for making arrangements to purchase my own overseas travel insurance prior to leaving Australia and understand the University insurance policy will not apply.

**CANDIDATE DETAILS cont. (Scholarship details)**

○ Does/will the Candidate hold a scholarship?

YES

NO

○ If YES, please identify the scholarship and state the period (start and end date):

○ If YES, please confirm you have read and will comply by the [Higher Degree Research Scholarships Policy](#).

The below table details the agreed contact and communication between each supervisor and candidate. Please note: It is expected that contact and communication between the supervisor and candidate should be at a minimum as follows:

- Face to face contact (minimum 1hr per month skype, Zoom or in person): once per month;
- Any other form of contact: once a fortnight (excepting periods of leave).

(i) Principal Supervisor and Candidate

	Frequency and duration of contact	Who to initiate this contact (P/S or Candidate)?		
Face-to-Face		P/S	Candidate	Either
Telephone		P/S	Candidate	Either
Email		P/S	Candidate	Either

(ii) Co-Supervisor and Candidate

	Frequency and duration of contact	Who to initiate this contact (Co/S or Candidate)?		
Face-to-Face		Co/S	Candidate	Either
Telephone		Co/S	Candidate	Either
Email		Co/S	Candidate	Either

(iii) Third Supervisor (if any) and Candidate

	Frequency and duration of contact	Who to initiate this contact (Third/S or Candidate)?		
Face-to-Face		Third/S	Candidate	Either
Telephone		Third/S	Candidate	Either
Email		Third/S	Candidate	Either

External Candidates Only

N/A

How often is the Candidate required to make on-campus visits?

Any Additional Contact and Communication please list below.

The key relevant publication and intellectual property points are detailed SCU [Responsible Research Conduct Policy](#).

Both the Candidate and the supervisory team must be familiar with the publication and IP requirements detailed at [Appendix 2](#).

Please indicate that you are aware of the details provided by [Appendix 2](#).

(i)	Candidate	YES
(ii)	Principal Supervisor	YES
(iii)	Co-Supervisor	YES
(iv)	Third Supervisor	YES

#### Ownership of Intellectual Property:

If 'Specific IP Arrangement', please detail: (e.g. This arrangement is pursuant to a Scholarship and the details of the arrangement).

Does the Scholarship have any other impacts on the Thesis? (e.g. Confidentiality agreement, restricted access requirement).

YES NO

If 'Yes', please specify:

Are there any other IP or publication arrangements between the Candidate and the Supervisors?

YES NO

If 'Yes', please specify:

Candidate, In relation to your final thesis submission requirements, please indicate you have read the rules relating to awards relevant to your degree;

[Rule 7 – Masters by Thesis](#) (clause 48, 49, 50, 51 & 52)

[Rule 8 - Professional Doctorate](#) (clause 48, 49, 50, 51 & 52)

[Rule 9 – Doctor of Philosophy](#) (clause 49, 50, 51, 52 & 53)

The Candidate is advised that, in the event he/she would seek to be exempted from this requirement, at the time of submission of the final copies of the Thesis, he/she will be required to apply for such an exemption and to provide reasons. Please refer to [Appendix 2](#) for more detail.

I HAVE READ IT

The Defence Export Controls legislation may impact on your research as a Higher Degrees Research Candidate; you are required to have read and understood your obligations in relation to this legislation.

I acknowledge it is my responsibility to read the Defence Export Controls legislation and comply with my obligations under this legislation.

Please contact the [Office of Research](#) for enquires regarding this legislation. The Defence Export Controls legislation can be found on the [Research website](#).

### **Research publication other than the Candidate's thesis.**

The Candidate and the Supervisors must discuss the following Authorship and Intellectual Property matters, with respect to research publications other than the Candidate's thesis, including acknowledgement of the fact that supervision alone does not entitle a supervisor to be included as an author. The parties have agreed that authorship and intellectual property will be managed consistently with SCU's [Responsible Research Conduct Policy](#).

### **Authorship attribution of research outputs.**

- A. Provide a statement (as specific as is possible) on the person(s) who will be listed as the author or co-authors on the research outputs deriving from HDR project.**

*As an example only, such a statement may read:*

"The authors of the research outputs deriving from this HDR project will be the candidate the Principal Supervisor, the Co-Supervisor, the External Supervisor and any other researcher subject to all of the authorship team conforming to the authorship requirements specified by SCU's [Responsible Research Conduct Policy](#)".

- B. Provide a statement (as specific as is possible) on the order of the authors on the research outputs deriving from HDR project.**

*As an example only, such a statement may read:*

"The Candidate will be the first-named and corresponding author of all of the research outputs deriving from this HDR project and will be responsible for deciding the subsequent ordering of co-authors according to the degree of their contribution to the research output. If, after a period of 2 years after graduation or withdrawal from candidature, the candidate has not published and/or has lost touch with the supervisors, the supervisors may publish from the data collected during candidature. The candidate will still be listed as an author on the resulting publications."

- C. I the candidate, agree to comply with the:**

[Australian Code for the Responsible Conduct of Research, 2018](#)

Yes

**(i) Requirements for Confirmation of Candidature (CoC).**

PhD candidates will be required to complete a CoC between six and nine months full time equivalent.

Masters by Thesis candidates will be required to complete a CoC within six months full-time equivalent.

Professional Doctorate candidates will be required to complete a CoC within six months full-time equivalent once enrolled in the Professional Doctorate Thesis Unit.

**The Candidate undertakes to complete the following tasks to confirm his/her candidature:**

- |   |            |            |
|---|------------|------------|
| • Attend Higher Degrees Research Orientation;   |            | <b>YES</b> |
| • Write a research proposal containing literature review, research design, proposed methods and action plan and submit to Faculty Confirmation Committee; |            | <b>YES</b> |
| • Provide evidence that an ethics application has been completed for submission;  | <b>N/A</b> | <b>YES</b> |
| • Make a formal presentation to Faculty Confirmation Committee.   |            | <b>YES</b> |
| • Complete <a href="#">Research Integrity Training</a>  |            | <b>YES</b> |
| • Review of the current Supervisor Candidate Agreement (SCA form) at Confirmation of Candidature by all parties.  |            | <b>YES</b> |

**(ii) In - Candidature review:**

- |   |  |            |
|---|--|------------|
| • PhD candidates must complete an in-candidature review 12 months full time equivalent after CoC;                   |  | <b>YES</b> |
| • Master by Thesis and Professional Doctorate candidates must complete an in-candidature review 9 months after COC. |  | <b>YES</b> |

**(iii) Any other requirements:**

- |  |  |            |
|--|--|------------|
| • Any other requirements, including coursework, approved or determined by the Dean, Graduate School. |  | <b>YES</b> |
|--|--|------------|

**(iv) The Candidate undertakes to (tick which apply):**

- |  |            |            |
|--|------------|------------|
| • Review Higher Degrees Research Student Handbook on the Graduate School website;  |            | <b>YES</b> |
| • Submit to the Graduate School a completed progress report every six months;  |            | <b>YES</b> |
| • Apply for appropriate internal and external approvals or permits to do fieldwork;  | <b>N/A</b> | <b>YES</b> |
| • Abide by appropriate work practices and Workplace Health & Safety (WH&S) requirements;   |            | <b>YES</b> |
| • Abide by the Text-Matching Software Policy and Procedures;   |            | <b>YES</b> |
| • As applicable, submit a human and/or animal ethics application;  | <b>N/A</b> | <b>YES</b> |
| • Submit further human and/or animal ethics applications if the research project changes from that initially approved by the SCU Ethics Committee; | <b>N/A</b> | <b>YES</b> |
| • Other (please specify).  |            |            |

If you have not answered 'Yes' to any of these questions, please state the reason/s.

It is the responsibility of the Candidate to notify the Graduate School [hdrsupport@scu.edu.au](mailto:hdrsupport@scu.edu.au) in writing of any changes to their contact details throughout your candidature.

Agreed maximum response times for the candidate to obtain written feedback. (e.g. within 10 working days)

Candidate's Need	P/Supervisor	Co-Supervisor	Third Supervisor
Feedback on written work			
Feedback on thesis draft			
Reply to phone or email message			

### Principal Supervisor Check list to complete.

#### Confirmation of Candidature.

The Principal Supervisor undertakes to participate as follows in the Faculty Confirmation Committee Assessment about whether to confirm candidature:

- To ensure the CoC guidelines are provided to the candidate prior to the submission of the research proposal and formal presentation. **YES**
- To conduct the Confirmation process in accordance with the CoC Guidelines. **YES**
- To give written feedback on the paper and the presentation to the Candidate. **YES**
- To liaise with the Director Higher Degrees Research Training in accordance with the CoC Guidelines. **YES**
- Review SCA at the time of CoC to ensure the details of this agreement are current. If they are not in agreement a new SCA will be required to be completed. **YES**

#### In-candidature review

- Conduct an In-candidature review 12 months post Confirmation of Candidature. **YES**
- Master by Thesis and Professional Doctorate candidates must complete an in-candidature review 9 months after CoC. **YES**

#### Examination Responsibilities.

The Principal Supervisor undertakes to:

- Contact potential examiners at least two months prior to the thesis submission date. **YES**
- Submit examiners' CVs and Submission of Recommended Examiners form to the Graduate School at least two months prior to the thesis submission date. **YES**

### Information to Candidate by Principal Supervisor.

The Candidate has been informed of the following:

- |       |  |            |            |
|-------|--|------------|------------|
| (i)   | National Statement on Ethical Conduct in Human Research;                                   | <b>N/A</b> | <b>YES</b> |
| (ii)  | Requirement to submit to the Graduate School a completed progress report every six months; |            | <b>YES</b> |
| (iii) | Requirement to attend Higher Degrees Research Orientation;                                 |            | <b>YES</b> |
| (iv)  | Availability of conference funding;  |            | <b>YES</b> |
| (v)   | Work practices in relation to laboratory work;   |            | <b>YES</b> |
| (vi)  | WH&S requirements in relation to fieldwork, equipment & facilities;                        |            | <b>YES</b> |
| (vii) | Other (specify).   |            |            |



## HDR END-USER INDUSTRY ENGAGEMENT

The Australian Government Department of Education and Training has revised its reporting requirements for all Higher Education Providers. As of 1 January 2022, Southern Cross University will now be required to only report on three Industry Engagement activities, as follows;

1. PhD or Master research students that are [Jointly supervised by a research end-user](#). i.e Industry supervisor that is external to academia.
2. PhD students who undertake a [Research internship](#) with a research end-user that was agreed within 18 months of course commencement for a full-time student or within 36 month for part-time student.
3. PhD students who undertake a [Research internship](#) with a research end-user any time **after** 18 month full-time or 36 month part-time of your course commencement.

Industry Engagement will become an essential part of your candidature. By undertaking an Industry internship or being Jointly supervised by an industry supervisor will not only start to drive early engagement between industry and yourself as research students, it will strengthen the links between the latest research and industry innovation that you are directly involved in. Not to mention making you more employable through skills development and experience after completion of your PhD.

Whether you're an artist, a scientist, a health professional or involved in business and law, you should be looking for ways to engage with industry whilst you are a student.

**Please refer to Important Terms and Definitions on next page.**

## JOINTLY SUPERVISED BY A RESEARCH END-USER

<b>Do you have an Industry Supervisor?</b>	<b>Yes</b>	<b>No</b>
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Jointly supervised with at least one supervisor from a research end-user organisation (Industry Supervisor). Must be officially approved and named on your Supervisor Candidate Agreement form.

**If yes, please provide the Industry supervisors name, title and organisation.**

## RESEARCH INTERNSHIP

<b>Are you or have you undertaken a Research Internship?</b>	<b>Yes</b>	<b>No</b>
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**If Yes,**

<b>Was it within 18 months full-time (36 months part-time) of your PhD commencement to candidature?</b>	<b>Yes</b>	<b>No</b>
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### DETAILS OF YOUR RESEARCH INTERNSHIP

**PhD candidature commencement date:**

**Name of the industry and address of where you undertook your internship:**

**Start and end date of your Industry internship:**

<b>Have you submitted the written agreement to the Graduate School?</b>	<b>Yes</b>	<b>No</b>
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## IMPORTANT TERMS AND DEFINITIONS

### What is a Research end-user.

A research end-user is defined as an individual, community or organisation external to academia that will directly use or directly benefit from the output, outcome or results of the research.

Examples of end-users include businesses, governments, non-governmental organisations, communities and community organisations.

Specific exclusions of research end-user are other higher education providers, Organisations that are affiliates, controlled entities or subsidiaries (such as Medical Research Institutes) of a higher education provider, equivalents (international or domestic) of the above exclusions.

### Research internship undertaken with a research end-user.

A research internship should be undertaken;

- within 18 months from the commencement date of the student's HDR if the student is undertaking a full-time student load (36 months from the commencement date for a part-time student load).

A written agreement is required and must detail the Research & Development (R&D) activities to be undertaken and the duration of the internship.

The internship must be for a minimum of 3 calendar months in duration, and at least 60 [full-time equivalent \(FTE\) days of engagement](#).

An eligible internship must be related to the student's area of research.

A research internship can be either paid or unpaid, and can form part of an enrolment or be undertaken during a HDR period of suspension and can be undertaken any time throughout your candidature.

For further information on Research end-user or Industry internships please see [FAQ](#)

**PART 7: THE FACULTY'S RESPONSIBILITIES**

(i) Please indicate which of the following items the Faculty will provide for the candidate.

Access to a Hot Desk.	YES	NO
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Access to office telephone	YES	NO
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Reasonable postage	YES	NO
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Reasonable stationery supplies	YES	NO
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Other (specify):

If 'No' to any of the above, please give the reasons:

**PART 8: FUNDING ARRANGEMENTS**

(i) The following funding arrangements are hereby agreed:

Faculty funds made available to all research candidates @  
per annum for a maximum of four years.

OR

Other funding arrangements – please specify.

**PLEASE ENSURE ALL QUESTIONS HAVE BEEN ANSWERED AND ALL  
SIGNATURES PROVIDED.**

Please save the form as a .pdf and send the fully completed form to:

[hdrsupport@scu.edu.au](mailto:hdrsupport@scu.edu.au)

## APPENDIX 1

### National Code of Practice for Providers of Education and Training to Overseas Students 2018

The National Code of Practice for Providers of Education and Training to Overseas Students 2018 (National Code 2018) supports the National Strategy for International Education 2025 to advance Australia as a global leader in education, training and research.

The National Code is a legislative instrument made under the Education Services for Overseas Students Act 2000 and sets nationally consistent standards to support providers to deliver quality education and training to overseas students.

The National Code 2018 commenced on 1 January 2018. Education providers must comply with the National Code to maintain their registration to provide education services to overseas students.

#### National Code 2018 Factsheets

[General Factsheet](#)

[Standard 1: Marketing information and practices](#)

[Standard 2: Recruitment of an overseas student](#)

[Standard 3: Formalisation of enrolment and written agreements](#)

[Standard 4: Education Agents](#)

[Standard 5: Younger overseas students](#)

[Standard 6: Overseas student support services](#)

[Standard 7: Overseas student transfers](#)

[Standard 8: Overseas student visa requirements](#)

[Standard 9: Deferring, suspending or cancelling the overseas student's enrolment](#)

[Standard 10: Complaints and appeals](#)

[Standard 11: Additional requirements](#)

The National Code 2018 factsheets will continue to be updated to reflect questions from the sector.

The Department of Education and Training provides general information and assistance to registered providers and overseas students on the National Code and the Education Services for Overseas Students Act 2000.

However, such information or assistance should not be relied on as legal advice or as a substitute for legal advice. Overseas students and education providers should seek independent legal advice as appropriate.

The National Code fact sheets are designed to give registered providers practical guidance in day to day operations. Registered providers should note that compliance will be measured against the requirements of the National Code, not against the fact sheets.

In the event the Candidate or any of the Faculty staff consider the Candidate is experiencing difficulties, the Candidate, the Principal Supervisor, the DHDRT and, as applicable, a representative from the Graduate School must meet to discuss the matter and develop an appropriate management plan.

## APPENDIX 2

### Relevant Key Points for Intellectual Property, Authorship and Publication Considerations

The following SCU documents pertain to this section and the Candidate and the Supervisors ought to be familiar with these documents in their entirety;

[SCU Rule 7 - Masters by Thesis Awards](#),  
[SCU Rule 9 - Doctor of Philosophy Award](#),  
[SCU Rule 8 Professional Doctorate](#); and,  
[SCU's Research Responsible Conduct Policy](#)

The key relevant points from these documents are as follows.

#### INTELLECTUAL PROPERTY

##### [Intellectual Property Rights Policy](#)

- IP rights pertain to all works created pursuant to the research project;
- Assignment of IP rights is not a condition of enrolment at SCU ([paragraph 15](#));
- Consent in any Moral Rights is not a condition of enrolment at SCU ([paragraph 15](#));
- Notwithstanding paragraph 15, SCU may require a student to assign, licence or grant certain rights in respect of his or her IP Rights and/or to give certain consents in relation to his or Moral Rights ([paragraph 16](#));
- If the student is required to assign, licence or grant certain of his or her IP rights, then the head of the research project must advise the student in advance of the project ([paragraph 17](#)).

#### SCU Rules

- These SCU Rules pertain to a **thesis** created pursuant to a PhD, Masters by Thesis or Professional Doctorate course
- Thesis Copies to be deposited with the University:
  - (i) One unbound copy for Masters by Thesis ([Rule 7 Part J, paragraph 48](#)), Doctor of Philosophy ([Rule 9 – Part J paragraph 49](#)) and Professional Doctorate ([Rule 8 – Part J paragraph 48](#)).

#### Notes:

- The Library will make this copy available for consultation, loan and/or copying unless an individual exempted has been approved by the Dean Graduate School (and such an exemption shall be for a period not normally exceeding two years). Each user or recipient of any such copy shall be required to undertake in writing that he/she will respect the author's rights under law with respect to copyright (see [Rule 7, paragraph 50](#), [Rule 9, paragraph 51](#) and [Rule 8 paragraph 50](#)).
- If a candidate considers his or her thesis contains restricted information, he or she may apply to restrict access to the thesis, either in whole or in part, at the time the thesis is lodged (see [Rule 7 paragraph 51](#), [Rule 9 paragraph 52](#) and [Rule 8 paragraph 51](#)).
- If a candidate considers his or her these contains confidential information, the candidate may place that information in an appendix to the thesis and the copy deposited in the Library shall have a notation, authorised by the Dean Graduate School, indicating which parts of the thesis are not included because they contain confidential information and informing the reader to contact the candidate for further information ([Rule 7 paragraph 52](#), [Rule 9 paragraph 53](#) and [Rule 8 Paragraph 52](#)).
- A digital copy for the purpose of inclusion on the insert database for open online access (refer Rules 7 paragraph 49 and Rule 9, paragraph 50 and Rule 8 paragraph 50).
- SCU's [Responsible Research Conduct Policy](#); [SCU's Responsible Research Conduct Procedures - Higher Degree Researchers \(Students\)](#)

#### AUTHORSHIP, PUBLICATION AND DISSEMINATION OF RESEARCH FINDINGS

Please see the [Research Authorship And Publications Policy](#) and the [Research Authorship And Publications Procedures](#)