

## HDR Supervision and School Assessment Form

The following applicant wishes to be considered as a candidate in UWA's HDR Program.  
Please assess their suitability and provide your recommendation.

### Section 1 Applicant Details

Family name \_\_\_\_\_ Student number \_\_\_\_\_  
 Title \_\_\_\_\_ Given names \_\_\_\_\_ Degree & Code \_\_\_\_\_  
 School \_\_\_\_\_ Start date \_\_\_\_\_  
 Supervisors \_\_\_\_\_

Domestic <input type="checkbox"/> Internat'l <input type="checkbox"/> Full time <input type="checkbox"/> Part time <input type="checkbox"/> Internal <input type="checkbox"/> External <input type="checkbox"/>	<i>International only</i> Sponsored student <input type="checkbox"/> YES <input type="checkbox"/> NO Autonomous sanctions <input type="checkbox"/> YES <input type="checkbox"/> NO Health cover <input type="checkbox"/> Single <input type="checkbox"/> Dual <input type="checkbox"/> Family	Research end user <input type="checkbox"/> Transferring - RP approval req'd <input type="checkbox"/> Agent nominated <input type="checkbox"/>
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### Qualifications

### English

### Recommendation

- an offer made to the applicant     no offer made to the applicant  
 unconditional     meeting ELC     research proposal approved by BGRS  
 conditional upon:     signing Student Deed Poll     sighting original docs     other

### Comments

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HDR Pre-candidature      Name      Date

## Section 2 Supervision

### Register of Supervisors

The [Register of Supervisors](#) of Higher Degree by Research (HDR) students promotes a culture of best practice in supervision and provides clarity around the roles and expectations of supervisors at UWA.

All staff of the university, and all adjunct, honorary and emeritus affiliates, must be on the Register in order to be eligible to be approved as designated supervisors of HDR students.

External supervisors who are not employed by the University and do not hold adjunct, honorary, or emeritus positions are exempt from the register.

The responsibility of supervisors is detailed in the University Policy on Graduate Research Training ([UWA Policy No. UP12/11](#)).

As a guide, the Graduate Research School may approve the following distribution of supervision levels, roles, and percentages for a student's candidature, based on interpretation of the University Policy on Graduate Research Training.

Supervisor Roles	Min %	Max %
The <b>Principal Supervisor</b> provides primary academic leadership in the supervision.	30	80
The <b>Coordinating Supervisor</b> takes primary responsibility for the academic management of the student's candidature and ensuring that all administrative and reporting requirements of the supervision are met. This person must be an employee of UWA.	10	70
The <b>Principal and Coordinating Supervisor</b> provides primary academic leadership in the supervision and takes primary responsibility for the academic management of the student's candidature, ensuring that all administrative and reporting requirements of the supervision are met.	40	80
A <b>Co-supervisor</b> will have specific expertise that is useful to the student's research program and will be available as an independent person from whom the student may seek advice during the course of the candidature. They will also serve as backup for the Principal and/or Coordinating Supervisor. This person need not be an employee of UWA but will be expected otherwise to hold adjunct, emeritus, or honorary status.	10	70
A <b>Co-supervisor-REU</b> is a supervisor that is an Adjunct to the University and is based in industry or government (ie. not based in another University) - REU is a Research End User.		
External supervision is provided by an individual who is not an employee of UWA and does not hold adjunct, emeritus, or honorary research fellow status at UWA. They will have specific expertise of relevance and use to the student's research program.		
<b>External supervisor</b> is an external supervisor based at another University.	10	20
<b>External-ENDUSR</b> is an external supervisor that is based in industry or government.	10	20
(Total external supervision)	0	50
A <b>Mentor</b> is a Level 3 supervisor who is part of the supervisory team and actively guides and assists junior supervisors in the process of supervision.	10	60
<b>Any individual</b>	10	80

Adjunct, emeritus, or honorary research fellows may not be a Coordinating Supervisor but may be a Co-supervisor.

Adjunct affiliates who are staff of other universities, and external supervisors will not be approved as Principal Supervisors.

Adjunct, emeritus, or honorary research fellows may be approved as Principal Supervisors at the discretion of the Board of the Graduate Research School on the basis of a case provided by the relevant Head of School along with the Registration Application.

At least 50% of supervision is expected to be provided by employee/s of this University.

An external supervisor can only act as Co-supervisor.

### Supervisor Levels

**Level 1** : Co-supervisor; may be Principal and/or Coordinating if mentored by L3 and supported by a Graduate Research Coordinator

**Level 2** : Principal, Coordinating, Co-supervisor

**Level 3** : Principal, Coordinating, Co-supervisor, and Mentor to L1

**Supervisor Practitioner** : Co-supervisor only

### Section 3 Nomination of Supervision

a) List all individuals who have agreed to supervise this applicant

Role	%	Title, Given name, Family name	Staff No.	Status	School

- b) Is the proposed supervision arrangement in accordance with the relevant [rules, policies, and guidelines](#)?  YES  NO
- c) Are there are at least two supervisors from UWA?  YES  NO
- d) Do any supervisors have a conflict of interest ([UWA Policy UP12/32](#)) with the applicant or other supervisors?  YES  NO
- e) Is it likely that all UWA supervisors on this panel will be employed or contracted to the end of the applicant's proposed candidature?  YES  NO
- f) Provide contact details for all adjunct, emeritus, honorary and external supervisors (incl. external affiliation/company; address; email)
- g) External supervisors must provide a curriculum vitae (not just a downloaded list of publications) detailing title, current position, and full mailing address. External supervisor CV attached?  YES  NO
- h) Briefly describe alternative arrangements to be used in the event of any supervisor being unable to continue supervision.

### Section 4 Relevance of Applicant's Qualifications

**This section will be used to determine if the proposed student is a genuine applicant**

Students undertaking a dissertation or thesis as part of a postgraduate course must have acquired adequate research preparation, normally prior to being accepted into the course ([UWA Policy No. UP11/25](#)).

An applicant will be considered to have fulfilled the requirements for admission to the course for a higher degree by research administered by the Graduate Research School when the applicant can demonstrate that they have undertaken supervised individual research in which they have designed and conducted a scholarly investigation in the context of an existing body of knowledge, critically analysed and evaluated the outcome in that context, and communicated the process effectively in writing.

- a) Has the applicant:
- completed an honours course of this University, or an equivalent course as recognised by the relevant faculty or board, at a standard acceptable to the relevant faculty or board
  - completed at an acceptable standard at this or another recognised institution a preliminary course of study prescribed or approved by the relevant faculty or board
  - previously undertaken at this or another recognised institution and at a standard acceptable to the relevant faculty or board work towards a postgraduate degree with a research component
  - provided evidence acceptable to the relevant faculty or board of research preparation gained in the course of an occupation since graduation

b) Is the applicant's academic background relevant to the intended research? Does this include sufficient specialisation such that the applicant will have already developed an understanding and appreciation of a body of knowledge relevant to the intended research?

YES, give details

NO, provide a case for considering the application

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c) Has the applicant provided evidence of scholarly work in at least one of the following forms:

- a supervised research dissertation project completed as a program undertaken after a three year or during a four year bachelor's degree course, carrying the equivalent credit of at least 25 per cent of an annual full-time load and awarded an assessed result at or above distinction level
- a supervised dissertation of at least 25 per cent of an annual full-time load awarded with first class Honours during a three-year Bachelor degree from a highly-ranked university may be considered by the Board of the Graduate Research School
- scholarly papers as sole or primary author, appearing in recognised academic journals or in volumes published by recognised academic publishers
- published research reports prepared for industry, government or business, which adhere to the broad conventions of academic publishing (ie contain an up-to-date review of relevant literature, a description of relevant research methods and an evaluation of results) and which identify the applicant as sole or primary author
- a portfolio of published creative work together with published critical discussion of some or all of that work, or of a comparable body of work by others, and which demonstrates the applicant's development of a scholarly approach to creative work as research investigation

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d) Have you read and evaluated this scholarly work?

YES  NO

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e) I attest this scholarly work as comparable to a UWA Bachelor Degree with Honours at:

H1  H2A  H2B

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f) Describe how you concluded this assessment (e.g. with reference to the applicant's understanding of the relevant literature, demonstration of independent thought, adoption of appropriate techniques, and presentation of results, accompanied by adequate exposition).

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g) Describe how you have communicated with the applicant (e.g. email, in person, interview, phone, Skype, Zoom).  
NB: approval is conditional on meaningful communication between applicant and supervisor.

## Section 5 Research Interest

a) Provide a summary of the research project discussed and agreed with the applicant.

b) To allocate the enrolment unit accurately, provide up to three broad key words that best describe this research project.

(i)

(ii)

(iii)

c) Identify the most applicable research field:

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Agricultural Economics, Plant, Soil Science                        | <input type="checkbox"/> Dentistry - Clinical              | <input type="checkbox"/> Human and Social Geography       |
| <input type="checkbox"/> Animal Science   | <input type="checkbox"/> Dentistry - Paraclinical Sciences | <input type="checkbox"/> Law                              |
| <input type="checkbox"/> Architecture, Landscape and Visual Arts                            | <input type="checkbox"/> Dentistry - Public Health         | <input type="checkbox"/> Mathematics                      |
| <input type="checkbox"/> Arts, Humanities and Social Sciences                               | <input type="checkbox"/> Economics and Commerce            | <input type="checkbox"/> Medicine - Biological Sciences   |
| <input type="checkbox"/> Biological and Physical Sciences (including Astronomy and Physics) | <input type="checkbox"/> Engineering                       | <input type="checkbox"/> Medicine - Clinical              |
| <input type="checkbox"/> Computer Science   | <input type="checkbox"/> Education                         | <input type="checkbox"/> Medicine - Paraclinical Sciences |
| <input type="checkbox"/> Dentistry - Biological Sciences                                    | <input type="checkbox"/> Geology and Physical Geography    | <input type="checkbox"/> Medicine - Public Health         |
|   | <input type="checkbox"/> Human and Behavioural Sciences    | <input type="checkbox"/> Paramedical                      |

d) Research classification and codes:

The ABS has now released the 2020 ANZSRC. The [2020 FOR & SEO codes](#) can be found on the UWA Information Governance web-page (Pheme log-in required).

FoR (6 digits)	
2020	%
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SEO (6 digits)	
2020	%
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Type of Activity (ToA)
<input type="checkbox"/> Pure Basic Research
<input type="checkbox"/> Strategic Basic Research
<input type="checkbox"/> Experimental Research
<input type="checkbox"/> Applied Research

## Section 6 Facilities and Resources

- a) What are the anticipated **TOTAL costs** (excluding stipend) of this student's research including fieldwork? \$
- How much will Supervisor/s provide and what is the source of this funding? \$
- BU/PG Funding Body
- Centrally funded support provision (PhD \$1.5k x 3yrs max; MPhil \$1.5k x 2yrs max) \$
- How much is available from external sources?
- Funding Body *Attach funding agreement or budget page* \$

- b) Is the student's research subject to an obligation to any party other than the student with respect to **Intellectual Property** that the student has produced or may produce during their HDR candidature?  YES  NO
- Such obligations may include confidentiality, the need to seek permission to publish, the requirement to publish, the requirement to provide data/IP, or the assignment of IP rights.
- Will a specific contribution of funds, resources, facilities or apparatus administered **by UWA**, which is designated for the purpose of creating IP, be made available to the student?  YES  NO
- Will a specific contribution of funds, resources, facilities or apparatus administered **by an external party** (ie: employer, funder, industry), which is designated for the purpose of creating IP, be made available to the student?  YES  NO
- If YES, agreement must be reached with the student as to the ownership of any resulting IP and that agreement must be in writing. If that agreement is not attached, or the student is not a signatory to that agreement, the student's offer will be made subject to signing a [Student Deed Poll](#) prior to enrolment. Please discuss this requirement with the student.

- c) Is this funded by a Research End User (REU)?  YES  NO
- IE: any external entity, not a university or directly affiliated with a university; e.g. industry partner, business, government or non-government or community organisation.
- If YES, specify the name and address of the REU & attach funding details

- d) Does the student's research involve fieldwork or other off-campus activities?  YES  NO
- If YES, have you read UWA's [off-campus and fieldwork planning](#) policies and procedures?  YES  NO
- If YES, is the student's research hosted by a REU?  YES  NO

- e) Research using animals or human participants or their data, whether carried out on campus, off-campus, or overseas, requires ethics approval from the UWA Animal Ethics Committee (AEC) or Human Research Ethics Committee (HREC).
- Does the student's research involve animals or human participants or their data?  YES  NO
- Please specify:  Animal  Human  Animal & Human
- Does this student's project already have UWA ethics approval?  YES  NO
- Provide UWA approval number/s
- If ethics are not in place, when do you expect to apply for approval from a UWA ethics committee?
- Will this student's project be subject to a current project with ethics approval already in place?  YES  NO
- Provide project details and approval/s
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- f) Is statistical advice available to the student within the School?  N/A  YES  NO
- If NO, how will it be obtained?
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- g) Will the student be enrolled in a joint/double-badged PhD program?  YES  NO
- If YES, provide the name of the program:
- 
- h) Will the student or supervisors be working mainly from home or other institution, rather than attending campus in person or is the student applying for external enrolment?  YES  NO
- If YES, attach [remote supervision plan](#).
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- i) Is there any other information relevant to this application?

## Section 7 International Students (only)

### Autonomous Sanctions

United Nations and/or Australian autonomous sanctions are in force in relation to the following countries: Myanmar (formerly Burma), North Korea, the Former Federal Republic of Yugoslavia, Iran, Libya, Syria, Zimbabwe, Russia/Ukraine, Crimea, Sevastopol, Central African Republic, Democratic Republic of the Congo, Guinea-Bissau, Iraq, Lebanon, Mali, Somalia, South Sudan, Sudan, and Yemen. For applicants from these countries, an Autonomous Sanctions Compliance Assessment Form must be completed and attached (<https://www.research.uwa.edu.au/staff/sanctions>).

Further information: [sanctions@uwa.edu.au](mailto:sanctions@uwa.edu.au).

- a) Is the applicant from one of the above countries?  YES  NO

### Scholarship for International Research Fees (SIRF)

- b) Does the School or Faculty wish to recommend the applicant for a centrally funded Scholarship for International Research Fees (SIRF) or UWA China Scholarship (China SIRF)?  YES  NO
- c) Does the School or Faculty intend to provide a living allowance/stipend with the SIRF/China SIRF?  YES  NO

### Sponsored Students

- d) Has the applicant been identified as an International Sponsored Student?  YES  NO
- If YES, consider the following issues when making a recommendation. International Sponsored Students have varying sponsorship cover and it is sometimes difficult to ascertain sponsorship duration. The University provides an offer and Confirmation of Enrolment (CoE – to apply for student visa) for 4 years duration to complete a PhD. In some cases, students are provided with sponsorship for less than this period, e.g. **Iran** – standard term: 3 years' duration, extension is rarely negotiated; **Indonesia** – standard term: 3 years' duration, extension is on a case-by-case basis; **Malaysia** – standard term: 3 years' duration, extension possible but on a case-by-case basis. International Sponsored Students are required to sign a condition of offer that they will be responsible for any shortfall in fees if sponsorship is not for the full duration of their candidature.
- e) Provide sponsorship terms (length, extension and consequences to student in the event completion can not be finalised within the sponsored timeframe, restrictions, etc.).
- f) If sponsorship ceases prior to completion, will the School/Faculty subsidise fees until completion?  YES  NO
- Further information: Debra Basanovic, ext 1785 or David Connell, ext 4794

## Section 8 DECLARATION –by Coordinating supervisor

I have discussed this application with the candidate and recommend admission to candidature for the degree indicated below. To the best of my knowledge at this time, the Coordinating and Principal supervisors will be available to supervise this candidate from the proposed commencement date specified until the degree is complete.

The Coordinating supervisor must have a [Callista account and access to staffConnect](#).

### Coordinating supervisor

Name:

Date:

.....  
(sign or insert electronic signature above)

*Joint schools, if applicable*

### Coordinating supervisor

Name:

Date:

.....  
(sign or insert electronic signature above)

*Joint schools, if applicable*

What is the % split of completion between the 2 schools?

% split:

School:

% split:

School:

## Section 9 DECLARATION –by Graduate Research Coordinator

I certify that the School can provide appropriate supervision, equipment, facilities, funding, and resources for the degree indicated below. I recommend for approval the proposed research, enrolment type, and start date.

I recommend this applicant be:  **APPROVED**  **NOT APPROVED**

### PhD

- Doctor of Philosophy  
 Doctor of Philosophy (joint-double-badged)

### Master's degrees

- Master of Advanced Social Work (research)  
 Master of Architecture (Design) (research)  
 Master of Arts (Creative Writing)  
 Master of Curatorial Studies in Fine Arts (research)  
 Master of Education  
 Master of Educational Leadership  
 Master of Fine Arts (research)  
 Master of Forensic Science (research)  
 Master of Music (research)  
 Master of Philosophy  
 Master of Research

### Postgraduate combined courses

- PhD & Master of Clinical Audiology  
 PhD & Master of Clinical Neuropsychology  
 PhD & Master of Clinical Psychology  
 PhD & Master of Forensic Science  
 PhD & Master of Industrial & Organisational Psychology  
 PhD & Master of Infectious Diseases

### Doctorates

- Doctor of Architecture (Design)  
 Doctor of Education  
 Doctor of Juridical Science  
 Doctor of Musical Arts  
 Doctor of Podiatry

a) Have you confirmed (via Socrates, HoS, HRBP, etc.) that all UWA supervisors are likely to be employed or contracted to the end of the applicant's proposed candidature?  YES  NO

b) Briefly describe alternative arrangements to be used in the event of any supervisor, but in particular the Principal and/or Coordinating supervisor/s, being absent through illness, sabbatical, parental, emergency, or other leave of six weeks or more, or being unable to continue supervision through to the end of candidature.

c) If a remote supervision plan is attached, is the plan feasible for the agreed period & does the School recommend enrolment?

d) The Principal and/or Coordinating supervisor is a L1 supervisor. I am supportive of the appropriateness of the L3 supervisor on the supervision panel, to provide active and meaningful guidance and assistance.  YES  NO

**Comments**

**Graduate Research Coordinator**

Name:

Date:

.....  
(sign or insert electronic signature above)

*Joint schools, if applicable*

**Graduate Research Coordinator**

Name:

Date:

.....  
(sign or insert electronic signature above)

**Section 10 Graduate Research School (office use only)**

Supervisor	Supervisor Registered	Register Check Level
1.		
2.		
3.		
4.		
5.		

**APPROVED**

**NOT APPROVED**

**INFORMATION REQUIRED**

**Confirmation of Candidature milestone required** *(transferring students only)*

**Comments**

**Graduate Research School**

Name:

Date:

.....  
(sign or insert electronic signature above)