GAP ANALYSIS TEMPLATE (V2)

Notes:

The gap analysis template below provides universities with a tool to review and examine their current HDR processes against the Good Practice Framework. Using this template be mindful that Rating column is a drop down menu with the following options:

Yes -Effective strategies are implemented successfully across the faculty.
Yes, but - Good strategies in place, some limitations or some further work needed.
No, but - This area hasn't yet been effectively addressed, but some significant work is being done across the faculty or institution.
No - Effective strategies not developed.

Components	Questions	Rating	Evidence	Recommendations		Exemplars	Person(s) or unit, responsible (delegated responsibility)
				Essential	Desirable		
1. Governance Institutions ensure there is an efficient and effective higher degree by research (HDR) governance framework, which assures and enhances research training quality and reports against internal and external reference points.							
1.1 HDR Committee							
A central HDR committee defined by clear terms of reference provides leadership for the delivery of postgraduate research training across the university, and reports to a higher governing body within the institution. It is responsible for: • Overseeing rules, policies and procedures for candidates; • Monitoring candidate performance; • Promoting quality research training environment and outcomes; and • Overseeing new, and reviewing current HDR programs.	Does the institution regularly audit the central HDR committee for compliance in : · Overseeing rules, policies and procedures for HDR candidates; · Monitoring HDR candidate performance; · Promoting quality research training environment and outcomes; and · Overseeing new, and reviewing current HDR programs?						
	Are these communicated appropriately to stakeholders?						
1.2 Policies							
HDR policies are accessible, explicit, equitable, transparent, clearly communicated and regularly reviewed.	Are there processes for reviewing and approving policies?						
	Are polices and amendments to policies communicated appropriately to stakeholders?						
	Are there mechanisms in place to ensure compliance with policies?						
1.3 Candidate Representation							
The institution has a policy for candidate representation on HDR committees. Guidelines associated with this policy are fair, transparent, consistently applied and publicised.	Is there a policy on HDR candidate representation?						
	Is there a HDR candidate representative on HDR committee(s)?						
	Is this policy communicated appropriately to stakeholders?						
	Is there a review process for candidate representation?						
1.4 Grievance Procedures and Appeals							
Polices and guidelines for resolving HDR complaints, grievances and appeals are: • Explicit, clearly communicated, and are readily available to candidates, supervisors and others on the institution's website and through other media; and • Addressed through formal procedures in a timely manner following principles of natural justice.	Does the institution monitor the number of grievances and appeals?						
	Are there mechanisms to address the areas of concern identified from grievances and appeals?						
1.5 Collaborative Research Support							
The institution has policy on collaborative research projects that is explicit and transparent. Joint research projects, joint badged degrees and cotutelles require partners to agree from the outset on how the research, including the candidate's role will be managed.	Is there a policy on joint research projects?						
	Is there a policy on collaborative research projects that outline support for HDR candidates?						
	Are the policies communicated appropriately to stakeholders?						
	Are there regular reviews that look at the number of candidates participating in the collaborative projects and the types of projects?						
2. Program and Outcomes The institution has HDR programs that require candidates to produce quality research. In the case of doctoral candidates, this must be a significant body of original research and contribution to knowledge.							
2.1 HDR Program Evaluation							

Components	Questions	Rating	Evidence	Recommendations		Exemplars	Person(s) or unit, responsible (delegated responsibility)
				Essential	Desirable		
Research degree programs are evaluated for success in meeting expectations and needs of candidates, employers, discipline groups and the broader community, through: • Completion rates, time to completion, retention rates; • Examination outcomes; • Candidate surveys; • Alignment with the strategic directions of the institution; and • Alignment with the institution's statements on graduate attributes.	Are program reviews conducted?						
	Are reports available with data on: · Completion rates; · Time to completion; and · Retention rates?						
	Is there a regular audit of the program alignment with the strategic directions of the institution?						
	Is there a regular audit of the program alignment with the graduate attributes set by the institution?						
	Are the reports and audits communicated appropriately to stakeholders?						
2.2 Candidate Outcomes							
A graduate of a research degree program will have demonstrated the capacity to: • Design and implement at a high level of originality and quality, either an original research project(s) of significance to a discipline or cross-disciplinary field, or a research based project(s) addressing a important problem or question concerning policy and/or practice in an profession or industry; • Present, using one or more appropriate media, a substantial and intellectually coherent product or products(s) such as a thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards; • Work well with others and contribute beyond the area of their immediate research training as aligned with the graduate attributes; • Disseminate knowledge to the wider community; and • Effectively apply expert knowledge and skills as a scholar or leading practitioner.	Are there processes in place that ensure that HDR candidates can demonstrate: · Design and implement at a high level of originality and quality, either an original research project(s) of significance to a discipline or cross-disciplinary field, or a research based project(s) addressing a important problem or question concerning policy and/or practice in an profession or industry; · Present, using one or more appropriate media, a substantial and intellectually coherent product or products(s) such as a thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards; · Effectively apply expert knowledge and skills as a scholar or leading practitioner?						
	Are processes in place that ensure HDR candidates can disseminate knowledge to the wider community?						
	Are the criteria to demonstrate outcomes communicated to relevant stakeholders?						
	Are the criteria to demonstrate outcomes measured and reported?						
2.3 Coursework and Research Training Skills							
Research degree programs include support for the development of advanced knowledge and research skills through: • Coursework and/or research training program requirements, which are clearly communicated prior to enrolment; • A 'Needs Assessment' for each candidate on appropriate coursework and/or research skills training , prepared at the outset of study and reviewed regularly during candidature; and • Timely, regular and constructive feedback provided to candidates on their ongoing skills development.	Are coursework and/or research training program requirements communicated effectively to candidates?						
	Is a needs analysis conducted for each candidate and is candidate feedback collected on the research training program?						
	Are the results of the needs analysis and the candidate feedback reported to the appropriate stakeholders?						
2.4 Professional Skill Development							
Research candidates are provided with opportunities to develop professional and generic/transferable skills during their research program that are relevant to their individual needs and career aspirations. These opportunities are widely promoted and may be offered by research centres/ laboratories, schools, faculties or by central units. A formal record of successful completion is available through, for example, the maintenance of a portfolio by the candidate or through the provision of certificates for successful completion.	Are reviews conducted on the quality and effectiveness of the professional skills development course?						
	Are there trends in the number of candidates attending professional development?						
	Are there trends in the perceived value of the professional development?						
2.5 Candidate Feedback Mechanisms							
The institution has in place mechanisms to: • Collect, review and, where appropriate, respond to feedback from all stakeholders in HDR training and support; • Regularly survey candidates and provide feedback on the results and any consequent changes; • Provide candidates with the opportunity to give confidential feedback in a safe environment; and • Conduct separate exit surveys for candidates who complete and do not complete.	Are mechanisms in place to obtain feedback on the HDR candidate experience, including research training and the training environment?						
	Are mechanisms in place to evaluate and use this feedback to improve the overall quality of the HDR candidate experience?						
3. Selection and Admission							
The institution ensures that selection and admissions procedures are inclusive, clear and easily accessible, consistently applied and equitable. These requirements ensure successful candidates complete their research in a timely manner. The institution ensures that selection and admissions procedures are easily accessible and clearly, consistently and equitably applied. These requirements ensure successful candidates to complete their research in their proposed field of study in a timely manner.							
3.1 Initial Enquiry							
The institution provides clear, detailed, accurate and easily accessible information to allow applicants to make informed choices at the point of initial enquiry.	Are selection and admission processes clearly communicated to prospective candidates?						

Components	Questions	Rating	Evidence	Recommendations		Exemplars	Person(s) or unit, responsible (delegated responsibility)
				Essential	Desirable		
	Is feedback collected on the selection and admission processes?						
	Are selection and admission processes reviewed on a regular basis?						
3.2 Entry Pathways							
Clear information is provided on eligibility and entry pathways into HDR programs for domestic and international candidates, including opportunities for entry outside normal routes and/ or under exceptional circumstances. Distinction is made between recognising prior academic study and/or professional experience for the purpose of determining eligibility and for allowing credit for course requirements. The same evidence of prior experience cannot be used for both course entry and subsequent credit.	Are there clear policy and procedures on entry pathways into the HDR program?						
	Are entry pathways into HRD clearly communicated to relevant stakeholders?						
	Are entry pathways audited regularly?						
3.3 Transfer and Advanced Standing							
The institution has: • Policies and guidelines that allow flexible pathways into and out of different HDR programs including transfer (credit, intellectual property and EFTSL consumed) within and between institutions; • Inter-institution or cross sector agreements about admission standards; and • Transparent processes and criteria for determining eligibility for advanced standing or credit transfer.	Is there a policy or guidelines that allows for advanced standing?						
	Are the candidates who have transferred between HDR degrees meeting the key milestones?						
	Are there transparent processes and criteria for determining eligibility for advanced standing or credit transfer.						
	Does the university participate in inter-institution or cross sector agreement on admission standards?						
	Are these transfers and advanced standing process communicated clearly to relevant stakeholders?						
3.4 Matching Needs, Resources and Supervision							
The institution has transparent processes and determines if an adequate fit exists between a candidate and the institution, the viability of the project, supervision capacity across the disciplines, and adequacy of resources to guide HDR enrolment targets (for example, number of enrolments). Each entering candidate will be provided with: • A suitable supervisor/supervisory team; • Appropriate research and research training infrastructure; and • Adequate financial and any other necessary resources for the proposed research project agreed to with the supervisor/supervisory team, aligning with	Are there mechanisms in place to ensure the adequacy and availability for matching needs, resources and supervision?						
	Are the adequacy and availability of the resources (such as a suitable supervisor/ supervisory team, infrastructure and financial support) for candidates being regularly reviewed and are the changes being implemented?						
3.5 Selection, Approval and Offer							
Selection processes for domestic and international candidates are transparent, consistent, effective, efficient and equitable. Approval and a subsequent offer will indicate the institution believes the match between candidate, supervisor(s) and project (see also 3.4) is likely to lead to the timely completion of a high quality research degree. At the time of selection the institution requires that candidates have English language proficiency at the level of International English Language Testing System (IELTS) as agreed by the institution and provide further support to those candidates whose English is a second language.	Are there mechanisms in place to ensure that selection processes for domestic and international candidates are consistent, effective, efficient and equitable?						
	Are there mechanisms to ensure that candidates meet the English language proficiency required by the university?						
	Are selection approval and offer processed regularly reviewed and reported to the appropriate stakeholders?						
4. Supervision The institution provides HDR candidates with a supervisory team that has an appropriate mix of expertise in the discipline(s) of the candidate´ s research, the relevant research methods, and in supervising successful research degree completions. The supervisory team must mentor and actively assist the candidate, meet the academic and administrative requirements of the institution, tailor their practice to the needs of individual candidates and provide access to appropriate support and pastoral care as required.							
4.1 Supervision Capacity							
The institution ensures that: • There are sufficient experienced supervisors to support all candidates (entering and enrolled), and that alternative supervision is available in the event of staff leaving or becoming unavailable; • Research supervision is formally and transparently recognised in workload formulae; and • Policies and/ or guidelines exist regarding the number of candidates that a member of staff should supervise at any one time.	Are there policies and/or guidelines in place outlining the number of candidates that a member of staff should supervise at any one time?						
	Are there sufficient experienced supervisors to support all candidates?						
	Is supervisory workload factored into the overall workload model?						
	Is supervision capacity regularly reviewed and reported to the appropriate stakeholders?						
4.2 Supervisor Eligibility							
The institution has a system for recording supervisor eligibility, and a policy on the appointment of supervisors that makes reference to: • The skills and experience relevant to supervising projects in a given area;	Is there a system for recording supervisor eligibility?						

Components	Questions	Rating	Evidence	Recommendations			
				Essential	Desirable	Exemplars	Person(s) or unit, responsible (delegated responsibility)
• The supervisor's level of research activity; • Relevant qualifications; and • Ongoing involvement in developing and maintaining knowledge and expertise in research degree supervision. The principal supervisor must meet relevant eligibility criteria, coordinate support for the research project, and lead the supervisory team for each candidate. It is expected that other members of the supervisory team would also normally meet relevant eligibility criteria.	Is supervisor eligibility data communicated to the relevant stakeholders?						
	Is there a policy on the appointment of supervisors that makes reference too: • The skills and experience relevant to supervising projects in a • The supervisor' s level of research activity; • Relevant qualifications; and • Ongoing involvement in developing and maintaining knowledge and expertise in research degree supervision?						
	Are eligibility criteria regularly reviewed and reported to the relevant stakeholders?						
4.3 Supervisory Team Compliance							
The supervisory team consists of a principal and one or more supervisors who may have different roles in the supervisory process. The roles are clearly defined and agreed to by the supervisors and the candidate (see also 5.1). The institution has a system for monitoring supervisor performance and managing underperforming supervisors.	Is there a mechanism in place for monitoring supervisor performance and managing underperforming supervisors?						
	Are regular audits carried out showing the proportion of compliant supervisors and action items to ensure that faculties are encouraging supervisor compliance?						
4.4 Supervisor Development and Support							
The institution makes provision for: • Supervisor induction programs for newly appointed supervisors and experienced supervisors new to the institution; • Mentoring in supervision for early career researchers; and • A broad range of HDR supervisor development programs.	Are professional development and mentoring opportunities available for supervisors to improve their practices and is feedback collected on these?						
	Are professional development and mentoring opportunities regularly reviewed and reported to the relevant stakeholders?						
5. Candidature Management The institution provides clear, detailed and accessible information to candidates and supervisors to support them in managing candidate progress and professional development.							
5.1 Supervisor and Candidate Responsibilities							
The entitlements, roles and responsibilities of supervisors and candidates are clearly defined and communicated. Specific provisions are outlined in a candidature agreement signed by each candidate and the principal supervisor (on behalf of the institution).	Is there a supervisors and candidates statement of responsibility to be signed by both parties?						
	Are the statements of responsibility regularly reviewed and updated?						
5.2 Orientation and Induction							
Orientation and induction programs for candidates should provide: • Clear and comprehensive information on expectations, degree requirements, candidate management, and the range of support services available. • Information related to international candidate requirements; and • Clearly articulated responsibility for orientation and induction programs at academic unit and institutional level.	Are inductions held at academic and institutional level?						
	Is data collected on the proportions of candidates attending the inductions?						
	Is feedback collected and reported on the effectiveness of the inductions?						
5.3 Confirmation of Candidature							
Confirmation of candidature requires transparent and demonstrable evidence that the candidate is highly likely to fulfil their degree requirements in the required time. Candidate enrolment will be provisional until confirmation has been successful which occurs within the first year of enrolment. Confirmation requires: • Ethics approval (see also 6.2); • A comprehensive research proposal, including work completed to date, with rigorous assessment of the academic merits; and • An oral presentation to a group including peers and academic staff with both oral and written feedback provided. No candidate will be confirmed until these requirements are fully met. Where candidature is not confirmed, advice is provided about possible alternative academic or other pathways.	Is there transparent information available on the requirements of confirmation of candidature that includes: • Ethics approval (see also 6.2); • A comprehensive research proposal, including work completed to date, with rigorous assessment of the academic merits; and • An oral presentation to a group including peers and academic staff with both oral and written feedback provided?						
	Are there regular reviews conducted that show the number of candidates confirmed on time, the number of candidates not approved and the length of time to confirmation of candidature?						
	Are the results of the regular reviews reported to the relevant stakeholders?						
5.4 Candidate Progression							
Candidate progress is reviewed at least once a year against an agreed project plan. The process should allow for: • Supervisor and candidate access to view each other's input; • Supervisors and candidates to express confidential comments to an independent authority; • Processes to intervene when candidate progress is below expectations. This	Are processes in place to monitor and review candidate progression at least once a year?						

Components	Questions	Rating	Evidence	Recommendations			
				Essential	Desirable	Exemplars	Person(s) or unit, responsible (delegated responsibility)
may include the provision of additional support, or alternative academic pathways and where appropriate, a managed exit; and • Effective processes to respond immediately when supervision is below expectation (see also dimension 4).	Are there mechanisms in place to report on the number of Progress Reviews conducted within the required timeline and the review has been deemed satisfactory?						
5.5 Variations to Candidature Opportunities to alter candidature arrangements are available and clearly communicated to candidates. Policy explicitly details the circumstances under which a candidate can withdraw from the program, suspend candidature, amend study load and transfer between courses.	Is there a policy that details the circumstances for variation to candidature?						
	Is the policy and opportunities to alter candidature arrangements clearly communicated to the relevant stakeholders?						
	Are annual reviews of the variations to candidature carried out identifying any trends and/or areas of concern and attention?						
6. Responsible Conduct of Research Research training is supported by academic structures, policies and practices that require, facilitate and promote responsible research and integrity that aligns with the general principles of the Australian Code for Responsible Research[1].							
6.1 Responsible Research and Academic Integrity							
Policies and procedures clearly outline the institutional and candidate responsibilities to comply with the Australian Code for Responsible Research, which include: • Management of research data and primary materials; • Supervision of research candidates; • Publication and dissemination of research findings; • Authorship; • Peer Review; • Conflict of interest; and • Collaborative research across institutions and with industry partners.	Are there policies and procedures that clearly outline the institutional and candidate responsibilities to comply with the *Australian Code for Responsible Research*?						
	Are the policies and procedures communicated appropriately to the relevant stakeholders?						
	Have there been incidents of reported breaches of the academic integrity policy?						
	Are the policies and procedures regularly reviewed to align with any university or any changes to the *Australian Code for Responsible Conduct*?						
6.2 Ethics							
Candidates and supervisors are expected to conduct their academic affairs with honesty, respect, fairness and responsibility, and are made aware of principles regarding ethical behaviour. There is a mechanism in place to ensure all projects requiring ethical approval (including specific procedures for animal and human experimentation) are identified and approved before data collection commences. Regular workshops, other opportunities and resources are made available on ethical behaviour and the process for obtaining ethics approval for research projects.	Are there mechanisms in place to ensure all projects requiring ethical approval (including specific procedures for animal and human research) are identified and approved before data collection commences?						
	Are the policies and procedures communicated appropriately to the relevant stakeholders?						
	Are reports prepared on the proportions of academic staff and candidates who have attended training programs dealing with ethics?						
	Have there been incidents of reported breaches of the ethics policy?						
6.3 Intellectual Property							
Prior to commencement, candidates and supervisors are made aware of: • The institution's policy relating to the management of intellectual property; • Any shared intellectual property arrangements with external partners; and • Advice and support on the translation of research innovations into new products. Independent legal advice on the assignment of intellectual property through a third party is made available to candidates and paid for by the institution.	Are there mechanisms to inform candidates and supervisors on: • The institution's policy relating to the management of intellectual property; • Any shared intellectual property arrangements with external partners; and • Advice and support on the translation of research innovations into new products?						
	Is candidate feedback collected on the satisfaction of support provided on the management of intellectual property and commercialisation issues?						
	Are reports available on the number of projects involving intellectual property and are areas of growth identified from these?						
7. Candidate Support The institution ensures that candidates have access to required resources which enable timely completion of a quality degree including appropriate physical, financial, administrative, academic, counselling and disability support services. The institution is committed to providing a research environment for research candidates that is engaging, culturally sensitive, locally and globally relevant and support diversity.							
7.1 Scholarships							
Policies and procedures for the allocation of domestic and international scholarships/stipends are transparent, and include clearly defined criteria and information of all scholarship conditions.	Are there policies and procedures for the allocation of domestic and international scholarships/stipends?						

Components	Questions	Rating	Evidence	Recommendations			
				Essential	Desirable	Exemplars	Person(s) or unit, responsible (delegated responsibility)
	Are scholarship conditions regularly reviewed to ensure alignment with government or institution policy changes?						
	Are reports prepared on the number of candidates supported by scholarships at APA equivalent or above; time to completion of scholarship holders compared to non-scholarship; and time to withdrawal of scholarship holders compared to non-scholarship holders?						
	Is information on scholarship/stipend policies and procedures communicated to the relevant stakeholders?						
7.2 Research Culture and Engagement							
A dynamic and inclusive research culture exists within academic units and across the institution, including formal and informal activities and opportunities for engagement with other researchers, academic peers, industry and candidate support areas (see also 7.6).	Are there opportunities for HDR candidates to be involved in activities that promote research culture?						
	Are regular surveys (including PREQ) conducted on the levels of satisfaction with the research culture and intellectual climate?						
	Are the results of the surveys reported to relevant stakeholders?						
7.3 Resources and Infrastructure							
The institution has a policy for resources that is transparent and available to candidates. These include basic infrastructure and other resources needed to support candidates in various modes (full time, part time, remote and off campus). It is the responsibility of the academic unit to confirm, track and review that resources required for timely completion are available for the duration of the research project. Candidates cannot commence until resource requirement commitment is made.	Is there a policy for resources to be provided to candidates?						
	Are adequate resources and facilities provided to candidates to assist them throughout their candidature? (access to desk, computer, lab/specialist equipment, meeting rooms, social spaces etc)?						
	Is there a dedicated budget at University/Faculty/School level for HDR resources?						
	Are the faculties required to review and report on the resource requirements for the candidates?						
7.4 Travel Support							
Academic conferences, field work and mobility (see also 8.5) are important development opportunities for candidates. The institution should provide funding for : • Academic conferences (domestic and international) and research engagement which is managed in a fair and equitable manner across the institution; and • Domestic off campus and distance candidates to travel to and from campuses (if applicable and appropriate).	Is travel support provided to HDR candidates?						
	Is feedback collected from HDR candidates on the academic outcomes from their travel ?						
	Is travel support regularly reviewed and adjusted to meet the requirements of the candidate?						
7.5 Pastoral Care							
The institution is committed to providing appropriate levels of pastoral support for all candidates and promoting health and wellbeing, which include counselling, peer support, and spiritual needs. The institution provides clear information and advice to all candidates on personal support services available on campus (see also 7.6) as well as supporting Postgraduate Associations in the role of supporting candidates experiencing academic or personal difficulties.	Is there accessible information on pastoral care for HDR candidates?						
	Is feedback regularly collected, reviewed and presented to the relevant committees on pastoral care matters?						
	Does the institution provide support for Postgraduate Associations?						
7.6 Support Services for Diversity							
The institution provides support services for diverse groups. These include (but are not limited to) indigenous, international, and off campus candidates, and those with a disability. Clear and accessible information is available on support services and includes, but not restricted to: • Resource information and advice; • Liaising with supervisors; • Library services; • Access to aids, software and equipment, English language programs; and • Interpreting services.	Are there support services for diversity?						
	Is clear and accessible information available on the support services?						
	Is feedback regularly collected and reviewed on support services for diversity?						
7.7 Post Thesis Submission Support							
An appropriate level of post thesis submission support is available for candidates. This may include publication support, desk and library access, career counsellors and other institution services. The institution has a policy on the placement of all theses in institutions' open access repositories.	Is there a policy on the placement of all theses in the institutions' access repositories?						
	Is feedback regularly collected and reviewed on post thesis submission support?						

Components	Questions	Rating	Evidence	Recommendations			
				Essential	Desirable	Exemplars	Person(s) or unit, responsible (delegated responsibility)
8. Employability Skills Development The institution supports candidate's awareness of their employability, and supports candidates to be competitive and successful in both academic and non academic careers. The institution works with the candidate to determine short, medium and long-term goals that assist the candidate with employability skills and their broader development as a researcher. Attention to career development needs to be given during candidature, and also after submission of thesis for examination.							
8.1 Curriculum Vitae and Portfolio							
Candidates have access to processes and support mechanisms to help build their Curriculum Vitae as well as professional and academic portfolios.	Does the institution have a system to support CV and portfolio development?						
	Is the support for creating a CV and portfolio current?						
8.2 Career Development							
Candidates are provided with relevant opportunities, information and advice about careers in academia, business, industry, Government and non-profit sectors. Skill gaps and career development plans are regularly discussed during candidature to help support HDR employability. The supervisor has responsibility to ensure that the candidate is aware of and has access to opportunities for enhancing their development as a researcher and their future employability. Candidates should be made aware that they are responsible for managing and pursuing their career options.	Is there any targeted career development support provided to assess the career needs of, and promote career opportunities for, HDR candidates?						
	Do career services, HDR unit/personnel and faculties collaborate to provide this support?						
	Does the institution collect feedback on employer requirements from industry?						
8.3 Networking							
Processes exist that encourage candidates to network with potential employers including industry, Government and community, and alumni and other academics, to enhance their career opportunities. The institution maintains a database of potential employers and former HDR alumni willing to engage with current and intending research candidates.	Are there processes that encourage candidates to network with potential employers including industry, Government and community, and alumni and other academics, to enhance their career opportunities?						
	Does the institution collect information on the number of alumni and employers invited to present and discuss career opportunities to HDR candidates?						
	Is feedback collected on the effectiveness of presentations of alumni and employers?						
8.4 Interdisciplinary Awareness							
The institution provides interdisciplinary seminars and events, as well as clear and easily accessible guidelines to help enrich and extend the candidate's research training experience beyond their discipline. Interdisciplinary research projects are supported with appropriate funding, supervision and examination (see also 2.1).	Are interdisciplinary seminars and events being held?						
	Does the institution have interdisciplinary guidelines to extend a candidates research training experience?						
8.5 Mobility and International Awareness							
Candidates are encouraged to engage with, and experience different cultures and environments through collaborative partnerships (see also 1.5), formal or informal cotutelles or conjoint arrangements, and/or academic travel including international and national conference participation.	Are there processes in place to encourage candidates to experience different cultures and environments to support their research?						
	Is information collected on the proportion of candidates participate in mobility?						
9. Examination Work submitted for examination meets international standards and the examination processes ensures successful candidates merit the award of the degree.							
9.1 Pre Submission Review							
HDR theses are reviewed in a manner determined by the institution prior to being submitted for examination to ensure that theses meet appropriate institutional standards.	Are pre-submission reviews conducted and an assessment grade of HDR cohort collected?						
	Are the assessment grades ranked?						
9.2 Appointment of Examiners							
Examiners must be recognised as international experts in the field or discipline of the thesis. Examiners must be external, independent and hold a degree at the level they are examining or higher, unless there are exceptional circumstances that are approved by the appropriate institution committee.	Is there a policy regarding the criteria for the appointment of examiners?						
	Is there a mechanism for ensuring that the examiners who are appointed meet the institution's criteria?						
	Is there a regular quality assurance check for the appointment of examiners?						
9.3 Examination of Thesis							

Components	Questions	Rating	Evidence	Recommendations			
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The institution has a policy and guidelines on the examination of theses. The examination process requires: • Declaration regarding conflict of interest from the examiners (as per the DDOGS Good Practice Guidelines); • Transparency throughout the process, with clear communication to all stakeholders involved; • Appropriate and clear guidance is provided to examiners, including guidance in the examination of theses presented in different modes; • Timely outcomes; • Explicit and accessible examination criteria; • Explicit processes for managing divergent examination outcomes and allowing opportunity for appeal; and • Procedures that ensure the candidate is kept informed of examination progress and any unavoidable delays.	Is there a policy and guidelines on the examination of theses?						
	Is there an audit on the examination process that ensures that the examination process is in accordance with the policy or guidelines?						
	Are data available and reported on time to submission and candidate satisfaction with the examination process?						
9.4 Conferral of Award							
The senior committee responsible for HDR academic governance determines award of research degrees based on examination results and advice from examiners. Conferral certifies that the candidate has met the AQF and institution requirements for the award of the degree.	Is there information available on the processes for conferral of Award?						
	Are data collected and reported showing the length of time between submission, examination result and conferral?						
	Is there a regular quality check of the Conferral of Award processes?						

GAP ANALYSIS RESOURCE DOCUMENT

The GPF is supported with a six-point quality assurance checklist, derived from the Objectives, Approc can be used for each component, to examine and compare current HDR processes and measures fo Assurance Checklist comprises of the following three areas and sample questions that represent thes

Deployment:

• Are adequate policies, procedures or strategies in place in support of each component?

• Do the communications associated with this/each component have the appropriate level of clarity ar

Results:

• Is there sufficient evidence gathered on the activities and outcomes associated with each componer

• Is there adequate reporting of the activities and outcomes associated with this component against b

Improvement:

• Is there regular review of strategies, activities and outcomes associated each component?

• Is there regular reporting of relevant review and improvement efforts, of follow-up activities and on tl

The following table shows which parts of the checklist have been used for each component.

Six Point Scale

Components	Deploy
	Pols + Procs
1. Governance Institutions ensure there is an efficient and effective higher degree by research (HDR) governance fra quality and reports against internal and external reference points.	
1.1 HDR Committee	
A central HDR committee defined by clear terms of reference provides leadership for the delivery of postgraduate research training across the university, and reports to a higher governing body within the institution. It is responsible for: • Overseeing rules, policies and procedures for candidates; • Monitoring candidate performance; • Promoting quality research training environment and outcomes; and • Overseeing new, and reviewing current HDR programs.	
1.2 Policies	
HDR policies are accessible, explicit, equitable, transparent, clearly communicated and regularly reviewed.	✔
1.3 Candidate Representation	
The institution has a policy for candidate representation on HDR committees. Guidelines associated with this policy are fair, transparent, consistently applied and publicised.	✔

1.4 Grievance Procedures and Appeals	
Polices and guidelines for resolving HDR complaints, grievances and appeals are: • Explicit, clearly communicated, and are readily available to candidates, supervisors and others on the institution's website and through other media; and • Addressed through formal procedures in a timely manner following principles of natural justice.	
1.5 Collaborative Research Support	
The institution has policy on collaborative research projects that is explicit and transparent. Joint research projects, joint badged degrees and cotutelles require partners to agree from the outset on how the research, including the candidate's role will be managed.	✔

2. Program and Outcomes

The institution has HDR programs that require candidates to produce quality research. In the case of original research and contribution to knowledge.

2.1 HDR Program Evaluation	
Research degree programs are evaluated for success in meeting expectations and needs of candidates, employers, discipline groups and the broader community, through: • Completion rates, time to completion, retention rates; • Examination outcomes; • Candidate surveys; • Alignment with the strategic directions of the institution; and	
2.2 Candidate Outcomes	
A graduate of a research degree program will have demonstrated the capacity to: • Design and implement at a high level of originality and quality, either an original research project(s) of significance to a discipline or cross-disciplinary field, or a research based project(s) addressing a important problem or question concerning policy and/or practice in an profession or industry; • Present, using one or more appropriate media, a substantial and intellectually coherent product or products(s) such as a thesis, dissertation and artefacts, or exegesis and portfolio of creative works and/or performance, for submission to external examination against international standards; • Work well with others and contribute beyond the area of their immediate research training as aligned with the graduate attributes; • Disseminate knowledge to the wider community; and • Effectively apply expert knowledge and skills as a scholar or leading practitioner.	✔
2.3 Coursework and Research Training Skills	
Research degree programs include support for the development of advanced knowledge and research skills through:	

• Coursework and/or research training program requirements, which are clearly communicated prior to enrolment; • A 'Needs Assessment' for each candidate on appropriate coursework and/or research skills training , prepared at the outset of study and reviewed regularly during candidature; and • Timely, regular and constructive feedback provided to candidates on their ongoing skills development.	

2.4 Professional Skill Development

Research candidates are provided with opportunities to develop professional and generic/transferable skills during their research program that are relevant to their individual needs and career aspirations.	

2.5 Candidate Feedback Mechanisms

The institution has in place mechanisms to: • Collect, review and, where appropriate, respond to feedback from all stakeholders in HDR training and support; • Regularly survey candidates and provide feedback on the results and any consequent changes; • Provide candidates with the opportunity to give confidential feedback in a safe environment; and • Conduct separate exit surveys for candidates who complete and do not complete.	✔

3. Selection and Admission

The institution ensures that selection and admissions procedures are inclusive, cl and equitable. These requirements ensure successful candidates complete their rese that selection and admissions procedures are easily accessible and clearly, consis ensure successful candidates to complete their research in their proposed field of

3.1 Initial Enquiry

The institution provides clear, detailed, accurate and easily accessible information to allow applicants to make informed choices at the point of initial enquiry.	

3.2 Entry Pathways

Clear information is provided on eligibility and entry pathways into HDR programs for domestic and international candidates, including opportunities for entry outside normal routes and/ or under exceptional circumstances.	✔

3.3 Transfer and Advanced Standing

The institution has: • Policies and guidelines that allow flexible pathways into and out of different HDR programs including transfer (credit, intellectual property and EFTSL consumed) within and between institutions; • Inter-institution or cross sector agreements about admission standards; and • Transparent processes and criteria for determining eligibility for advanced standing or credit transfer.	✔

3.4 Matching Needs, Resources and Supervision

The institution has transparent processes and determines if an adequate fit exists between a student and the institution, the viability of the project, supervision capacity across the disciplines, and adequacy of resources to guide HDR enrolment targets (for example, number of enrolments). Each entering candidate will be provided with: • A suitable supervisor/supervisory team; • Appropriate research and research training infrastructure; and • Adequate financial and any other necessary resources for the proposed research project agreed to with the supervisor/supervisory team, aligning with institutional policy.	✔

3.5 Selection, Approval and Offer

Selection processes for domestic and international candidates are transparent, consistent, effective, efficient and equitable. Approval and a subsequent offer will indicate the institution believes the match between candidate, supervisor(s) and project (see also 3.4) is likely to lead to the timely completion of a high quality research degree. At the time of selection the institution requires that candidates have English language proficiency at the level of International English Language Testing System (IELTS) as agreed by the institution and provide further support to those candidates whose English is a second language.	✔

4. Supervision

The institution provides HDR candidates with a supervisory team that has an approp the candidate’s research, the relevant research methods, and in supervising succe supervisory team must mentor and actively assist the candidate, meet the academic institution, tailor their practice to the needs of individual candidates and provi care as required.

4.1 Supervision Capacity

The institution ensures that: • There are sufficient experienced supervisors to support all candidates (entering and enrolled), and that alternative supervision is available in the event of staff leaving or becoming unavailable; • Research supervision is formally and transparently recognised in workload formulae; and • Policies and/ or guidelines exist regarding the number of candidates that a member of staff should supervise at any one time.	✔

4.2 Supervisor Eligibility

The institution has a system for recording supervisor eligibility, and a policy on the appointment of supervisors that makes reference to: • The skills and experience relevant to supervising projects in a given area;	

• The skills and experience relevant to supervising projects in a given area; • The supervisor's level of research activity; • Relevant qualifications; and • Ongoing involvement in developing and maintaining knowledge and expertise in research degree supervision. The principal supervisor must meet relevant eligibility criteria, coordinate support for the research project, and lead the supervisory team for each candidate. It is expected that other members of the supervisory team would also normally meet relevant eligibility criteria.	✔
4.3 Supervisory Team Compliance	
The supervisory team consists of a principal and one or more supervisors who may have different roles in the supervisory process. The roles are clearly defined and agreed to by the supervisors and the candidate (see also 5.1). The institution has a system for monitoring supervisor performance and managing underperforming supervisors.	✔
4.4 Supervisor Development and Support	
The institution makes provision for: • Supervisor induction programs for newly appointed supervisors and experienced supervisors new to the institution; • Mentoring in supervision for early career researchers; and • A broad range of HDR supervisor development programs.	
5. Candidature Management The institution provides clear, detailed and accessible information to candidates	
5.1 Supervisor and Candidate Responsibilities	
The entitlements, roles and responsibilities of supervisors and candidates are clearly defined and communicated. Specific provisions are outlined in a candidature agreement signed by each candidate and the principal supervisor (on behalf of the institution).	✔
5.2 Orientation and Induction	
Orientation and induction programs for candidates should provide: • Clear and comprehensive information on expectations, degree requirements, candidate management, and the range of support services available. • Information related to international candidate requirements; and • Clearly articulated responsibility for orientation and induction programs at academic unit and institutional level.	
5.3 Confirmation of Candidature	
Confirmation of candidature requires transparent and demonstrable evidence that the candidate is highly likely to fulfil their degree requirements in the required time. Candidate enrolment will be provisional until confirmation has been successful which occurs within the first year of enrolment. Confirmation requires:	

• Ethics approval (see also 6.2); • A comprehensive research proposal, including work completed to date, with rigorous assessment of the academic merits; and • An oral presentation to a group including peers and academic staff with both oral and written feedback provided. No candidate will be confirmed until these requirements are fully met. Where candidature is not confirmed, advice is provided about possible alternative academic or other pathways.	✔
5.4 Candidate Progression	
Candidate progress is reviewed at least once a year against an agreed project plan. The process should allow for: • Supervisor and candidate access to view each other's input; • Supervisors and candidates to express confidential comments to an independent authority; • Processes to intervene when candidate progress is below expectations. This may include the provision of additional support, or alternative academic pathways and where appropriate, a managed exit; and • Effective processes to respond immediately when supervision is below expectation (see also dimension 4).	✔
5.5 Variations to Candidature	
Opportunities to alter candidature arrangements are available and clearly communicated to candidates. Policy explicitly details the circumstances under which a candidate can withdraw from the program, suspend candidature, amend study load and transfer between courses.	✔
6. Responsible Conduct of Research	
Research training is supported by academic structures, policies and practices that research and integrity that aligns with the general principles of the Australian C	
6.1 Responsible Research and Academic Integrity	
Policies and procedures clearly outline the institutional and candidate responsibilities to comply with the Australian Code for Responsible Research, which include: • Management of research data and primary materials; • Supervision of research candidates; • Publication and dissemination of research findings; • Authorship; • Peer Review; • Conflict of interest; and • Collaborative research across institutions and with industry partners.	✔
6.2 Ethics	
Candidates and supervisors are expected to conduct their academic affairs with honesty, respect, fairness and responsibility, and are made aware of principles regarding ethical behaviour. There is a mechanism in place to ensure all projects requiring ethical approval	✔

6.3 Intellectual Property	
Prior to commencement, candidates and supervisors are made aware of: • The institution's policy relating to the management of intellectual property; • Any shared intellectual property arrangements with external partners; and • Advice and support on the translation of research innovations into new products. Independent legal advice on the assignment of intellectual property through a third party is made available to candidates and paid for by the institution.	✔

7. Candidate Support

The institution ensures that HDR candidates have access to required resources whic including appropriate physical, financial, administrative, academic, counselling a is committed to providing a research environment for research candidates that is e globally relevant and supportive of diversity.

7.1 Scholarships	
Policies and procedures for the allocation of domestic and international scholarships/stipends are transparent, and include clearly defined criteria and information of all scholarship conditions.	✔

7.2 Research Culture and Engagement	
A dynamic and inclusive research culture exists within academic units and across the institution, including formal and informal activities and opportunities for engagement with other researchers, academic peers, industry and candidate support areas (see also 7.6).	

7.3 Resources and Infrastructure	
The institution has a policy for resources that is transparent and available to candidates. These include basic infrastructure and other resources needed to support candidates in various modes (full time, part time, remote and off campus). It is the responsibility of the academic unit to confirm, track and review that resources required for timely completion are available for the duration of the research project. Candidates cannot commence until resource requirement commitment is made.	✔

7.4 Travel Support	
Academic conferences, field work and mobility (see also 8.5) are important development opportunities for candidates. The institution should provide funding for : • Academic conferences (domestic and international) and research engagement which is managed in a fair and equitable manner across the institution; and • Domestic off campus and distance candidates to travel to and from campuses (if	✔

7.5 Pastoral Care	
The institution is committed to providing appropriate levels of pastoral support for all candidates and promoting health and wellbeing, which include counselling, peer support, and spiritual needs.	✔

7.6 Support Services for Diversity	
The institution provides support services for diverse groups. These include (but are not limited to) indigenous, international, and off campus candidates, and those with a	

not limited to) Indigenous, international, and off campus candidates, and those with a disability. Clear and accessible information is available on support services and includes, but not restricted to: • Resource information and advice; • Liaising with supervisors; • Library services; • Access to aids, software and equipment, English language programs; and • Interpreting services.	✔
7.7 Post Thesis Submission Support	
An appropriate level of post thesis submission support is available for candidates. This may include publication support, desk and library access, career counsellors and other institution services. The institution has a policy on the placement of all theses in institutions' open access repositories.	✔
8. Employability Skills Development The institution supports candidate's awareness of their employability, and suppo in both academic and non academic careers. The institution works with the candidat that assist the candidate with employability skills and their broader development needs to be given during candidature, and also after submissio	
8.1 Curriculum Vitae and Portfolio	
Candidates have access to processes and support mechanisms to help build their Curriculum Vitae as well as professional and academic portfolios.	✔
8.2 Career Development	
Candidates are provided with relevant opportunities, information and advice about careers in academia, business, industry, Government and non-profit sectors. Skill gaps and career development plans are regularly discussed during candidature to help support HDR employability. The supervisor has responsibility to ensure that the candidate is aware of and has access to opportunities for enhancing their development as a researcher and their future employability. Candidates should be made aware that they are responsible for managing and pursuing their career options.	
8.3 Networking	
Processes exist that encourage candidates to network with potential employers including industry, Government and community, and alumni and other academics, to enhance their career opportunities.	✔
8.4 Interdisciplinary Awareness	
The institution provides interdisciplinary seminars and events, as well as clear and easily accessible guidelines to help enrich and extend the candidate's research	
8.5 Mobility and International Awareness	
Candidates are encouraged to engage with, and experience different cultures and environments through collaborative partnerships (see also 1.5), formal or informal	✔
9. Examination	

Work submitted for examination meets international standards and the examination p award of the degree.	
9.1 Pre Submission Review	
HDR theses are reviewed in a manner determined by the institution prior to being submitted for examination to ensure that theses meet appropriate institutional standards.	
9.2 Appointment of Examiners	
Examiners must be recognised as international experts in the field or discipline of the thesis. Examiners must be external, independent and hold a degree at the level they are examining or higher, unless there are exceptional circumstances that are approved by the appropriate institution committee.	✔
9.3 Examination of Thesis	
The institution has a policy and guidelines on the examination of theses. The examination process requires: • Declaration regarding conflict of interest from the examiners (as per the DDOGS Good Practice Guidelines); • Transparency throughout the process, with clear communication to all stakeholders involved; • Appropriate and clear guidance is provided to examiners, including guidance in the examination of theses presented in different modes; • Timely outcomes; • Explicit and accessible examination criteria; • Explicit processes for managing divergent examination outcomes and allowing opportunity for appeal; and • Procedures that ensure the candidate is kept informed of examination progress and any unavoidable delays.	✔
9.4 Conferral of Award	
The senior committee responsible for HDR academic governance determines award of research degrees based on examination results and advice from examiners. Conferral certifies that the candidate has met the AQF and institution requirements for the award of the degree.	✔

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