



Supervision of Students Undertaking Research Standards (interim)

1. Introduction

The *Australian Code for the Responsible Conduct of Research (Australian Code)* was substantially revised in 2018 and the *Macquarie University Code for the Responsible Conduct of Research (Macquarie Research Code)* subsequently amended and issued in July 2019.

The *Macquarie Research Code* articulates broad principles and responsibilities which underpin the responsible conduct of research across varied research contexts and disciplines. It is in place to ensure that research being undertaken under the auspices of Macquarie University is conducted with the highest standards of ethics, responsibility and integrity.

The detail provided in the former *Australian Code* and *Macquarie Research Code* about how the principles and responsibilities should be applied to specific elements or stages of the research process (in this case, to Research) is being refined and clarified. This detail will be included in accompanying guides being written by the Australian Research Council (ARC), National Health and Medical Research Council (NHMRC) and Universities Australia. Until each guide is issued and the associated policies and guidance at Macquarie University are adjusted, researchers are expected to refer to the relevant chapter of the former *Macquarie Research Code* (reproduced in section 4).

The *Macquarie University Research Code Complaints, Breaches and Investigation Procedure* describes how deviations from the principles and responsibilities outlined in the *Macquarie Research Code* (including failing to meet these standards) must be reported, assessed, investigated and managed.

2. Purpose

These standards supplement the *Macquarie University Code for the Responsible Conduct of Research (Macquarie Research Code)* and outline the expected standards of supervision of students undertaking research.

3. Scope

- a. These standards apply to anyone who conducts research or research support under the auspices of Macquarie University, as per the *Macquarie Research Code*.
- b. While these standards establish the regular expectations for all Macquarie researchers, additional requirements may be imposed on those involved with external/overseas institutions, external funding bodies or publishers, external collaborators, or where required by local legislation, for example in the case of HDR Candidates subject to cotutelle or joint PhD agreements or researchers with a conjoint appointment.
- c. Researchers may consult with a Research Integrity Advisor (RIA) at any time for advice in relation to the implementation of these standards.

3. Chapter 12. Supervision of Students undertaking Research

Duplicated from the first edition of the *Macquarie University Code for the Responsible Conduct of Research, Part A: Principles and Practices to Encourage Responsible Research Conduct*

1. Supervision of Higher Degree Research Candidates must be carried out in accordance with the [Higher Degree Research Supervision Policy](#) and the [Higher Degree Supervision Procedure](#).
2. The responsibilities of supervisors and students apply to the supervision and conduct of both undergraduate and postgraduate students at Macquarie University.
3. Supervisors must mentor their students with regard to the principles and requirements of *The Macquarie Code* and provide guidance in good research practice.
4. Supervisors must ensure the research methods and outcomes of research under their supervision are appropriate and valid.
5. Supervisors must ensure students receive appropriate acknowledgement for their work, including both publication and intellectual property (see the University's [Intellectual Property Policy](#)).
6. It is the responsibility of supervisors to ensure that a student's project has all necessary ethical and biosafety approvals prior to commencing research. If there is doubt about the need for approval, advice should be sought from Macquarie University Research Ethics and Integrity.
7. It is the responsibility of supervisors to ensure that procedures and training are in place to manage the safety of a student's project.
8. It is the responsibility of the primary supervisor to ensure the student's research data and materials are held with appropriate security and that data and materials are retained within the University for at least five years, or longer if necessary (See section **Error! Reference source not found.**, Research Data, Materials and Records).
9. The preparation, submission and examination of a Higher Degree Research Candidate's thesis must follow the [Higher Degree Research Thesis Preparation, Submission and Examination Policy](#) and the [Higher Degree Research Thesis Preparation, Submission and Examination Procedure](#).
10. The appointment of independent thesis examiners should follow the guidelines set out in the Council of Deans and Directors of Graduate Studies in Australia (DDOGS) Conflict of Interest Guidelines.
11. The establishment of agreements for the supervision of cotutelle and joint-degree PhD candidates, and the conduct of such collaborations, should observe the principles of the [Singapore Statement on Research Integrity](#) and the [Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations](#).

[Note: While Macquarie University endeavours to observe the principles of these statements, any requirements of The Macquarie Research Code take precedence.]

4. Abbreviations

Abbreviation	Definition
NHMRC	National Health and Medical Research Council
ARC	Australian Research Council
Australian Code	<i>Australian Code for the Responsible Conduct of Research 2018</i>
Australian Guide	<i>Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research</i>
Macquarie Research Code	<i>Macquarie University Code for the Responsible Conduct of Research</i>
Macquarie Research Code Procedure	<i>Macquarie University Research Code Complaints, Breaches and Investigation Procedure</i>
RIA	Research Integrity Advisor: A member of Macquarie University staff who has been nominated by the DVC(R) to promote the responsible conduct of research and provide advice to those with concerns or complaints about potential breaches of the <i>Macquarie Research Code</i> . Research Integrity Advisors are people with research experience, wisdom, analytical skills, empathy, knowledge of the University’s policy and management structure, and familiarity with the accepted practices in research.

5. Key related documents

5.1 Macquarie University policies and standards

- a. Macquarie University Code for the Responsible Conduct of Research
- b. Macquarie University Research Code Complaints, Breaches and Investigation Procedure
- c. Authorship Standards
- d. Collaborative Research Standards
- e. Conflict of Interest Policy (and Standards)
- f. Higher Degree Research Supervision Policy
- g. Peer Review Standards
- h. Publication and Dissemination Standards
- i. Research Data Management Standards

5.2 External documents

- a. Australian Code for the Responsible Conduct of Research 2018
- b. Australian Code of Practice for the Care and Use of Animals for Scientific Purposes
- c. Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research
- d. Guidelines for Ethical Research in Australian Indigenous Studies
- e. National Statement on Ethical Conduct in Human Research

6. Commencement and amendment history

6.1	Contact Officer	Research Integrity Office
6.2	Implementation Officer	Director, Research Ethics and Integrity
6.3	Approval Authority / Authorities	Deputy Vice-Chancellor (Research)
6.4	Date of Commencement	July 2019 – Interim standards under review
6.5	Documents Superseded by this document	This document presents chapter 14 of the former <i>Macquarie University Code for the Responsible Conduct of Research</i> 2014 and will be updated following the release of the Guide on Research Supervision expected to be issued by NHMC, ARC and Universities Australia)