<table>
<thead>
<tr>
<th>Name of Policy</th>
<th>Higher Degree Research Student Supervision Policy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of Policy</td>
<td>Describes best practice and expectations of supervisors and students with regards to the provision of supervision to Higher Degree Research Students.</td>
</tr>
<tr>
<td>Policy applies to</td>
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</tr>
<tr>
<td></td>
<td>☐ Specific (outline location, campus, organisational unit etc.)</td>
</tr>
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<td>☐ All Staff ☐ All Students ☒ Staff and Students</td>
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<tr>
<td>Policy Status</td>
<td>☐ New Policy ☒ Revision of Existing Policy</td>
</tr>
<tr>
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<tr>
<td>Responsible Officer</td>
<td>Deputy Vice-Chancellor (Research)</td>
</tr>
<tr>
<td>Approval Date</td>
<td>28 November 2018</td>
</tr>
<tr>
<td>Effective Date</td>
<td>2 January 2019</td>
</tr>
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<td>Date of Last Revision</td>
<td>23 May 2018</td>
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<td>Date of Next Policy Review*</td>
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* Unless otherwise indicated, this policy will still apply beyond the review date.
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Related Legislation, Policies, Procedures, Guidelines and Local Protocols

ACU Intellectual Property Policy
Australian Code for the Responsible Conduct of Research,
Guidelines on the Preparation and Presentation of a
Research or Professional Doctoral Thesis for Examination
Policy for the Accreditation of Supervisors
Appointment of Examiners and Examination Process Policy
Higher Degree Research Regulations
1. INTRODUCTION

1.1. Australian Catholic University, henceforth ‘ACU’ or ‘the University,’ is committed to maintaining a standard of excellence in research supervision and training. As such, the Policy for Higher Degree Research Student Supervision (‘the Policy’) identifies the responsibilities that lie with Higher Degree Research Supervisors (‘supervisors’) and Higher Degree Research Students (‘students’) in order to ensure that this standard is maintained and the milestones of candidature are met in a timely manner.

1.2. The Policy is updated on a regular basis with approval by the University Research Committee (URC) and Academic Board, and ratification by the University Senate.

1.3. All students undertaking Higher Degree Research have a right to access quality supervision. As such, the Policy acts to provide particular guidance to supervisors and students in negotiating the details of research and supervision.

1.4. It is the responsibility of all parties mentioned in the Policy to familiarise themselves with the requirements for the responsible conduct of research, as per the Australian Code for the Responsible Conduct of Research and the ACU Research Code of Conduct at the commencement of any supervisory arrangement and to adhere to these requirements at all times throughout research candidature.

2. SUPERVISORY ROLES

The University Research Committee (URC) requires that any supervisor of a Masters or Doctoral student hold qualifications and meet criteria for registration as a supervisor as outlined by various ACU Policies and Guidelines, including the Policy for the Accreditation of Research Supervisors.

2.1. Principal Supervisor

The Principal Supervisor is an appropriately accredited member of staff who has overall responsibility in the guidance and supervision of the student, as well as responsibility for leading the other supervisors that have been assigned to supervise a Higher Degree Research Student. The Principal Supervisor of a Masters or Doctoral student will hold a PhD, as well as meeting the University requirements for appropriate accreditation. Normally, the Principal Supervisor of a professional doctorate will hold a PhD, or an equivalent research degree. Holding a professional doctorate would not normally enable a person to be the Principal Supervisor of a PhD student, unless it was the accepted practice of the discipline.

2.2. Co-Supervisor

The Co-Supervisor is an appropriately accredited member of staff who assists the Principal Supervisor in providing guidance to and supervision of the student.

2.3. Assistant Supervisor

An Assistant Supervisor is a member of staff who is transitioning to research active status and works under the close supervision of the Principal and Co-Supervisor.

2.4. Associate Supervisor

An Associate Supervisor is a specialist from outside ACU who can provide particular expertise to the supervision of a student.
2.5. Research Advisor

A Research Advisor is appointed to students enrolled in the Doctor of Philosophy in Social and Political Thought, Doctor of Education, and Master of Education (Research) in lieu of the standard provision of Principal Supervisor and Co-Supervisor during the first stage of candidature.

2.5.1. Students enrolled in the Doctor of Philosophy in Social and Political Thought and Master of Education (Research) will have a Research Advisor for the first year of candidature (or part-time equivalent);

2.5.2. Students enrolled in the Doctor of Education will have a Research Advisor for the first nine months of candidature (or part-time equivalent).

2.5.3. In addition to fulfilling the duties required of all supervisors in accordance with section 3, it is the responsibility of a Research Advisor to fulfil duties as required by the particular degree of enrolment.

3. RESPONSIBILITIES OF ALL SUPERVISORS THROUGHOUT CANDIDATURE

Throughout candidature, it is the responsibility of all supervisors to:

a) maintain and uphold the policies and processes of ACU that pertain to research supervision;
b) maintain a team approach to supervision and ensure close involvement with the student and other supervisors with regards to the development of the student's research project;
c) provide advice and assistance to the student with regards to any aspect of their candidature;
d) ensure the student is provided with accurate information and advice in a timely manner regarding all aspects of his or her candidature that fall under the responsibility of the supervisor, including providing an accurate assessment in a HDR Student Academic Progress Report;
e) be available to the student, including responding to requests and addressing queries in a timely manner;
f) review drafts of the thesis and provide feedback in a timely manner;
g) ensure that any assistance rendered to the student is consistent with the Australian Code for the Responsible Conduct of Research and the ACU Research Code of Conduct;
h) for Co-Supervisors, act as the Principal Supervisor in the absence of the Principal Supervisor as required;
i) provide ongoing research supervision at a standard meeting with the requirements of this Policy, only withdrawing supervision where alternate supervisory arrangements are agreed upon by all involved parties;
j) assist with identification of appropriate alternate supervision in instances where a change in research focus necessitates a change in supervision arrangement;
k) maintain a professional relationship with the student;
l) where appropriate, encourage and provide advice to the student on the most suitable outlets for publication;
m) encourage the student to attend seminars conducted by the School/Research Institute or Faculty;
n) introduce the student to networks and industry partners beyond the University;
o) participate on the Confirmation of Candidature Panel in accordance with the Higher Degree Research Regulations;
p) participate on the Mid-Candidature Review Panel in accordance with the Higher Degree Research Regulations;
q) participate on the Final Year Review Panel in accordance with the *Higher Degree Research Regulations*; and
r) where appropriate, seek to co-author high-quality publications with the student.

### 3.1. RESPONSIBILITIES OF THE PRINCIPAL SUPERVISOR

#### 3.1.1. Responsibilities of the Principal Supervisor from Commencement to Confirmation of Candidature

With regard to the progress of candidature from the time of commencement until Confirmation of Candidature, it is the responsibility of the Principal Supervisor to:

a) consult with the Head of School/Research Institute Director to ensure that any equipment, materials, or support necessary to the conduct of research and which have been approved during the admission process are made available to the student in a timely manner and as soon after commencement as possible;

b) meet with the student and, where possible, other supervisors at or as soon as possible after commencement, to discuss timelines for the progress of candidature, including an appropriate plan for supervision meetings;

c) ensure that all supervisors are consulted on mutually convenient times to meet with the student and are aware of their own responsibilities as laid out by this Policy;

d) inform the student that research involving contact with human participants (including interviews, use of survey instruments or questionnaires, audio/video taping of participants, or access to an individual’s files or records) may not commence until ethics clearance has been obtained in writing from the University Human Research Ethics Committee (HREC);

e) inform the student that research involving animals, recombinant DNA or ionising radiation does not commence without appropriate approval;

f) assist the student to develop a realistic program of study suitable for the purposes of the degree program into which the student has been accepted (including the preparation of a mutually agreed timetable for completing the degree requirements within the maximum period of candidature) that is likely to offer suitable scope for research training, will provide an intellectually rewarding investigation, and could be expected to produce results amenable to the production of an acceptable thesis within the candidature time laid down by the URC;

g) advise the student on appropriate preparations and required components for Confirmation of Candidature;

h) work with the Associate Dean Research to ensure that the Confirmation of Candidature process occurs at the appropriate time for the degree in which the candidate is enrolled;

i) participate on the Confirmation of Candidature panel and advise all other supervisors of their required inclusion on the panel;

j) suggest appropriate background reading and advise on the scope of the relevant scholarship/literature review;

k) arrange with the student mutually acceptable set times of appropriate frequency for formal discussions on assigned reading and other aspects of the research, criticism of written work, development of experimental procedures or other data gathering and provide constructive evaluation of the work submitted;

l) direct the student to enrol in courses relevant to the area of research being undertaken as required to provide the student the strongest possible foundation of knowledge to draw upon in conducting research;

m) strongly encourage a work-in-progress presentation to staff and other advanced students thus developing the student's presentation skills and helping the student formulate the research ideas more expeditiously;
n) give any additional assistance needed by overseas students that are relevant to their candidature, especially in respect of advice on problems with language;

o) ensure that the student is familiar with the administrative requirements of enrolment, including the submission of HDR Student Academic Progress Reports by the stated due date;

p) ensure that the field and topic will not be unduly constrained by requirements of confidentiality or questions of possible defamation;

q) discuss arrangements for full-time students who propose to undertake employment during standard business hours to ensure it will not interfere with the progress of candidature; a full-time student is expected to work on their research project for approximately 40 hours per week, and part-time employment will not exceed eight hours in a working week, which is defined as the period between 9am to 5pm, Monday to Friday;

r) ensure that the overall supervisory arrangement is satisfactory; and

s) address potential challenges to the successful continuation and completion of candidature at the earliest time, consulting the Faculty Associate Dean Research or Pro Vice-Chancellor, Research where appropriate and in accordance with this Policy.

3.1.2. Responsibilities of the Principal Supervisor from Confirmation of Candidature to Mid-Candidature Review

With regard to the progress of candidature from Confirmation of Candidature until Mid-Candidature Review, it is the responsibility of the Principal Supervisor to:

a) carefully monitor the progress of the student and discuss the format of the thesis as well as timelines to ensure timely completions;

b) ensure that relevant ethics and safety clearances are obtained as soon as possible after confirmation;

c) request and review drafts of the major sections of the thesis (or the production of journal papers for inclusion in the thesis) as they are prepared and to return these comments to the student with reasonable expedition, and/or discuss the format of the thesis in a timely manner;

d) refer some, but not necessarily all, sections of the thesis to the Co-Supervisor or any Associate Supervisor or to specialist consultants, if and when appropriate;

e) support the student in the preparation for Work-in-Progress activities;

f) complete a detailed, accurate assessment in the HDR Student Academic Progress Report of the student and assess whether the academic progress of the student is satisfactory;

g) identify and propose measures to address any obstacles to the progress of candidature and, in consultation with the student and where necessary, put a plan in place to ensure timely completion;

h) provide guidance to students regarding the quality of journals and publishers in the field, and where relevant provide feedback to the student on any publications emanating from the thesis;

i) advise the student on preparation for the Mid-Candidature Review, ensuring the Review occurs at the appropriate time for the degree in which the candidate is enrolled;

j) participate on the Mid-Candidature Review panel and advise all other supervisors of their required inclusion on the panel;

3.1.3. Responsibilities of the Principal Supervisor from Mid-Candidature Review until Final Year Review

With regard to the progress of candidature from Mid-Candidature Review to Final Year Review, in addition to continuing as in a) to h) above, it is the responsibility of the Principal Supervisor to:

a) advise the student on preparation for the Final Year Review, ensuring the Seminar occurs at the appropriate time for the degree in which the candidate is enrolled;

b) participate on the Final Year Review Panel and advise all other supervisors of their required
inclusion on the panel.

3.1.4 Responsibilities of the Principal Supervisor from Final Year Review to Examination

a) provide comments on the final draft of the thesis prior to it being submitted for examination;
b) ensure that the Co-supervisor reads and comments on the final draft of the thesis;
c) ensure that the student has consulted the relevant guidelines to ensure that the thesis is properly presented and is worthy of examination;
d) ensure that the thesis is, to the best of all supervisors’ knowledge, the work of the student or that reference is made in the text where appropriate;
e) ensure that any assistance received by the student throughout the course of their research has been properly acknowledged;
f) advise the Associate Dean Research of the names of proposed examiners, allowing sufficient time for nominations to be considered and approved by the URC ahead of submission.

3.1.5 Responsibilities of the Principal Supervisor at Examination

With regard to submission, it is the responsibility of the Principal Supervisor to:

a) maintain confidentiality with regard to the examination process in accordance with the Appointment of Examiners and Examination Process Policy;
b) provide advice to the student on the outcome of examination only once advised to do so;
c) discuss the outcome of examination with the student and, where necessary, advise on an approach and timeline for enacting any required amendments to the thesis;
d) Support the student in enacting any required amendments to the thesis as directed by the URC.

4. RESPONSIBILITIES OF THE HIGHER DEGREE RESEARCH STUDENT

4.1. Responsibilities of the Higher Degree Research Student throughout Candidature

Throughout candidature, it is the responsibility of the student to:

a) adhere to the Australian Code for the Responsible Conduct of Research and the ACU Research Code of Conduct;
b) take initiative in making regular contact with supervisors and to ask for appropriate support when required;
c) when research involves Indigenous Australian issues take initiative in ensuring that a Indigenous Australian Cultural Mentor is included on the supervisory panel;
d) respond to contact and feedback provided by the supervisors;
e) maintain a professional working relationship with supervisors;
f) discuss and agree on a frequency and schedule of meetings with supervisors that will ensure regular and consistent contact;
g) submit data outputs or drafts of written work to supervisors as agreed;
h) participate in Work-in-Progress activities, as required;
i) undertake research training activities, as requested by the supervisors;
j) adhere to agreed timelines for progress and completion;
k) achieve any other agreed goals;
l) inform and negotiate supervisors of planned leave in accordance with appropriate approval processes where leave does not fall within the four-week annual entitlement;
m) complete HDR Student Academic Progress Reports, adhering to stated deadlines;
n) discuss any concerns relating to supervision arrangements with supervisors, National Head of School/Research Institute Director, or Associate Dean Research as soon as is practicable after concerns arise;

o) as soon as practicable, inform the Principal Supervisor of any factors that might affect the progress of research, so that appropriate measures might be taken as necessary;

p) consult with the Principal Supervisor prior to the dissemination of research findings;

q) when undertaking research in collaboration with an external or partner organisation, see that the applicable ethics policies of both ACU and the other institution are observed, ensuring appropriate intellectual property and confidentiality provisions are in place according to University policies and procedures;

r) for students enrolled on a full-time basis, consult with the Principal Supervisor prior to accepting offers of employment to ensure workload will not impede the progress of research and that it complies with the University’s employment guidelines for higher degree research students;

s) be aware of the University’s student Complaint Management Policy and Procedures but ensure that appropriate solutions are sought via negotiation prior to recourse; and

t) maintain a professional relationship with all members of the supervisory team.

4.2. Responsibilities of the Higher Degree Research Student from Commencement to Confirmation of Candidature

With regard to the progress of candidature from the time of commencement until Confirmation of Candidature, it is the responsibility of the student to:

a) ensure that enrolment details, including contact details, are correct upon commencement;

b) ensure that an adequate amount of time is devoted to research and, where appropriate, discuss proposed employment with the Principal Supervisor to ensure it will not interfere with the progress of candidature;

c) attend any meetings scheduled by the Principal Supervisor and partake in discussions to develop a realistic program of study suitable for the purposes of the degree program into which the student has been accepted (including the preparation of a mutually agreed timetable for completing the degree requirements within the maximum period of candidature);

d) negotiate and agree to mode of contact where a supervisor is located at a different campus to the student’s campus of enrolment; and

e) reach an agreement with the Principal Supervisor as soon as possible after commencement and before Confirmation of Candidature that the scope of the research is achievable within the constraints of accessible resources;

f) attend training workshops and seminars as requested by the supervisors;

g) complete HDR Student Academic Progress Reports, reporting Work-in-Progress activities;

h) discuss the requirements for Confirmation of Candidature with the Principal Supervisor to ensure that all components are included and that confirmation takes place at a time appropriate to the degree in which the student is enrolled.

4.3. Responsibilities of the Higher Degree Research Student from Confirmation of Candidature to Mid-Candidature Review

With regard to the progress of candidature from Confirmation of Candidature until Mid-Candidature Review, it is the responsibility of the student to:

a) discuss the format of the thesis with supervisors as well as timelines to ensure timely completions;
b) ensure that relevant ethics and safety clearances are obtained as soon as possible after confirmation;
c) submit drafts of the major sections of the thesis (or journal papers for inclusion in the thesis) for review as requested by the supervisors;
d) discuss the requirements for Mid-Candidature Review with the Principal Supervisor to ensure that all components are included and that the Review takes place at a time appropriate to the degree in which the student is enrolled;
e) plan for and participate in progress seminars as directed by the Principal Supervisor;
f) complete HDR Student Academic Progress Reports, as required;
g) discuss any obstacles to the progress of candidature with the Principal Supervisor as early as possible and develop a plan to ensure timely completion;
h) prepare for and carry out the Final Year Review Seminar, discussing any concerns with the Principal Supervisor at the earliest time to ensure the Seminar occurs at the appropriate time for the degree in which the candidate is enrolled.

4.4. Responsibilities of the Higher Degree Research Student from Mid-Candidature Review to Final Year Review
   a) discuss any obstacles to the progress of candidature with the Principal Supervisor as early as possible and develop a plan to ensure timely completion;
b) prepare for and carry out the Final Year Review, discussing any concerns with the Principal Supervisor at the earliest time to ensure the Review occurs at the appropriate time for the degree in which the candidate is enrolled.
c) submit drafts of the major sections of the thesis (or journal papers for inclusion in the thesis) for review as requested by the supervisors;
d) discuss the requirements for Final Year Review with the Principal Supervisor to ensure that all components are included and that the Review takes place at a time appropriate to the degree in which the student is enrolled;
e) plan for and participate in progress seminars as directed by the Principal Supervisor.

4.5 Responsibilities of the Higher Degree Research Student from Final Year Review to Examination
   With regard to the progress of candidature from Final Year Review until examination, it is the responsibility of the student to:
   a) review the report of the Final Year Review Panel and undertake any required further work on the thesis, seeking guidance from supervisors as necessary;
b) in the instance where the Final Year Review panel have recommended changes be made, re-present the written submission and/or presentation once the recommended changes have been made to the satisfaction of the Principal Supervisor, and within the timeframes specified in the Higher Degree Research Regulations.

4.6 Responsibilities of the Higher Degree Research Student at Examination
   With regard to examination, it is the responsibility of the student to:
   a) submit the final thesis to the supervisors in a timely manner for final review;
b) seek clarification from supervisors about any questions relating to the Guidelines on the Preparation and Presentation of a Research or Professional Doctoral Thesis for Examination to ensure that the thesis is properly presented and is worthy of examination;
c) state both the extent and the nature of the contributions of the supervisor and the co-authors where the thesis is based on conjointly published or unpublished work;
d) state both the extent and the nature of any assistance received throughout the course of their research;
e) discuss the outcome of examination with the Principal Supervisor and, where necessary, an approach and timeline for fulfilling any required amendments to the thesis.

5. CONFLICT OF INTEREST

It is the responsibility of all parties mentioned in this Policy to, as soon as is practicable, declare any conflict of interest that might impact upon the quality of supervision that a higher degree research student receives. Any such conflicts of interest are to be addressed with reference to the requirements of this Policy, and in accordance with other relevant policies and guidelines pertaining to research candidature.
### APPENDIX A: SUMMARY OF PURSUANCE OF CANDIDATURE TIMELINES

#### Duration of candidature

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<th>Year</th>
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<th>5</th>
<th>6</th>
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#### Milestones timeline Months (Full-time)

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#### Milestones timeline Months (Part-time)

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**Legend:**
- CoC = Confirmation of Candidature
- MCR = Mid-Candidature Review
- FYR = Final Year Review
- APR = HDR Student Academic Progress Report
### Candidature timeline *Years (full-time)*

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<th>APR</th>
<th>MCR</th>
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### Candidature timeline *Years (part-time)*

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