

<b>Version</b>	4.0
<b>Short description</b>	Describes the relationship between HDR candidates and supervisors and outlines the criteria and process for supervisor selection.
<b>Relevant to</b>	HDR supervisors
<b>Authority</b>	Academic Board
<b>Policy owner</b>	Director Higher Degree Research
<b>Responsible office</b>	Research Services
<b>Date approved</b>	6 March 2024
<b>Date effective</b>	1 April 2024
<b>Review due</b>	March 2029
<b>Related Avondale documents</b>	Avondale Research Active Definition HDR Rules of Candidature Research Authorship Policy Intellectual Property Policy Ethical Conduct Principles
<b>Related legislation</b>	Higher Education Standards Framework (Threshold Standards) 2021
<b>Key words</b>	candidate, HDR, higher degree research, research, supervision, supervisor

## 1. PURPOSE

- 1.1 This policy sets out the responsibilities and expectations of Avondale University (Avondale) Higher Degree Research (HDR) supervisors and outlines the criteria and process of selection for supervisors for HDR candidates.

## 2. SCOPE

- 2.1 This document applies to all supervisors of Avondale HDR candidates.

## 3. DEFINITIONS

- 3.1 **Co-supervisor:** an Avondale staff member who is appointed to the HDR candidate's supervisory team to support the Principal Supervisor in the provision of guidance and assistance to the HDR candidate.
- 3.2 **External supervisor:** a specialist in the discipline from outside Avondale who can provide expertise to the supervision of the HDR candidate. An external supervisor is appointed to the HDR candidate's supervisory team to supplement the supervision provided by the Principal Supervisor and Co-supervisor.
- 3.3 **Good Clinical Practice (GCP) Certificate:** awarded after completion of an online training course. All Avondale researchers involved with human research participants in a health-related field are expected to undertake GCP training and maintain current GCP certification. Health research is defined as the "collection and analysis of information to better understand health issues or questions" (Australian Government Department of Health & Aged Care).
- 3.4 **HDR candidate (candidate):** a Higher Degree Research (HDR) student who is enrolled in the Doctor of Philosophy or Master of Philosophy.
- 3.5 **Principal Supervisor:** an Avondale staff member who has been appointed to lead a team of two or more supervisors in the provision of guidance and assistance to a candidate in the undertaking of the relevant degree requirements. The Principal Supervisor has official responsibility for the overall management of candidature from enrolment to final thesis examination and will be allocated higher workload hours than the Co-supervisor.
- 3.6 **Research active:** see Avondale's Research Active Definition

## 4. SELECTION & APPOINTMENT OF SUPERVISORS

- 4.1 Supervisors are appointed by the Deputy Vice-Chancellor Academic after consultation with the Director Higher Degree Research (Director HDR). Supervisory teams are then tabled for noting at Avondale Research Committee.
- 4.2 Two supervisors will be allocated to each candidate – one Principal Supervisor, and one Co-supervisor. Where additional expertise is required, an external supervisor may also be appointed to assist the Avondale supervisory team.
- 4.3 Supervisors will have qualifications, knowledge, research experience, expertise and skills relevant to the type of research they are supervising, including:
  - a) A doctoral degree or equivalent research experience in a relevant discipline.
  - b) Knowledge of contemporary developments in their field, informed by continuing scholarship, research and/or advances in practice.

- c) Skills in contemporary research and research supervision relevant to the candidate.
- 4.4 Supervisory expertise within the team will include capacity to supervise both the topic and the method of the candidate's study.
- 4.5 Supervisors will be research-active according to Avondale's *Research Active Definition*.
- 4.6 Principal Supervisors will be Avondale staff members who have typically supervised at least one HDR candidate to completion.

## 5. SUPERVISOR RIGHTS & RESPONSIBILITIES

Supervisors have the right to expect that candidates will adhere to the responsibilities outlined in the *HDR Rules of Candidature*.

A Principal Supervisor will:

- 5.1 Negotiate roles within the supervisory team at the start of the candidature.
- 5.2 Ensure active involvement and support for the candidate throughout their candidature.
- 5.3 Ensure candidates are aware of Avondale's *Intellectual Property Policy* and *Ethical Conduct Principles*.
- 5.4 Ensure that potential problems are identified and resolved early to prevent a conflict of interest between the candidate, Avondale, the candidate's employer or the candidate's sponsor. Should a conflict of interest occur, the advice of the Research Committee and/or the Human Research Ethics Committee will be sought.
- 5.5 Familiarise candidates with the accepted academic standards for academic and research integrity and copyright laws and ensure that candidates complete Induction/Orientation, the Induction to Research online module and Avondale's Academic Integrity Module (AIM).
- 5.6 Complete Progress Reports as required by Research Services.
- 5.7 Advise the Director Higher Degree Research of academic or research misconduct or unsatisfactory progress.
- 5.8 Assist candidates with obtaining ethical clearance where the research topic involves human subjects by:
  - providing guidance on preparing an ethics application to the Avondale Human Research Ethics Committee (HREC);
  - providing caution if the proposed topic is likely to be restricted by significant confidentiality requirements or embargoes;
  - ensuring the candidate completes Good Clinical Practice (GCP) training and provides a GCP Certificate with their ethics application where appropriate; and
  - ensuring no data are collected until the HREC has approved the project.
- 5.9 Ensure appropriate resources are available to the candidate as required.
- 5.10 Inform the candidate of any planned leave, departure or retirement and assist the Director HDR and the Deputy Vice-Chancellor Academic to make alternative arrangements for supervision.
- 5.11 Mentor co-supervisors who may be less experienced in supervision to develop their supervisory skills.

All members of the supervisory team will:

5.12 Provide guidance, where appropriate, on:

- the nature of research;
- expectations of the candidate and the supervisory team;
- the standard expected for the award;
- the choice of research topic;
- ethical issues relating to the research;
- methodological issues;
- data collection and analysis; and
- possible solutions for any unexpected problems that arise in the research.

5.13 Establish clear expectations for contact and communication at the start of candidature and maintain regular contact with the candidate.

5.14 Require an agreed schedule of candidate work so that progress can be assessed regularly.

5.15 Work with the candidate to ensure they meet candidature milestones, including thesis submission within a timely course completion schedule (see *HDR Rules of Candidature*). If a candidate is not making satisfactory progress, the Principal Supervisor would typically initiate a discussion with the candidate about the risk of receiving an Unsatisfactory grade.

5.16 Provide feedback on submitted drafts of the candidate's work within the agreed timeframe.

5.17 Model expected conduct and behaviour and guide the development of the candidate as a responsible and ethical researcher.

5.18 Monitor the candidate's performance and bring inadequate progress or work that does not meet the expected standard to the candidate's attention.

5.19 Provide general support and encouragement to the candidate.

5.20 Consult the expertise of other scholars and practitioners in the field to inform the candidate's progress, where necessary.

5.21 Encourage the candidate to disseminate their research, including the production of publications and/or creative works (see the *Research Authorship Policy*).

5.22 Ensure candidate contribution is carefully defined where the candidate is carrying out research within a collaborative team. The candidate should develop a thorough understanding of how their contribution fits into the whole project of which it is a part.

## 6. SUPERVISOR TRAINING & PROFESSIONAL LEARNING

6.1 New supervisors must attend at least one HDR Supervisor Induction session.

6.2 All supervisors are expected to regularly engage with research and supervision training events and activities for a minimum of four hours annually.

6.3 Where appropriate, supervisors are expected to have a current GCP Certificate.

6.4 Supervisors are expected to retain research active status as outlined in the *Research Active Definition*.

## 7. ABSENCE OR DEPARTURE & CHANGE OF SUPERVISORS

- 7.1 If a Principal Supervisor is unable to supervise a candidate for an extended period they must inform the Director HDR, who will consult with the Deputy Vice-Chancellor Academic to:
- appoint another member of the supervisory team to act as the candidate's Principal Supervisor for that period; or
  - appoint another Principal Supervisor for that period.
- 7.2 A candidate may request a change of supervisor by submitting a *Request for Change of Supervisor* form to Research Services.
- 7.3 If a change of supervisor is deemed necessary by the Director HDR and Deputy VC Academic, they will work together to appoint an appropriate supervisor.

## 8. SUPERVISION PERFORMANCE

- 8.1 Supervision is monitored through the candidate and supervisor feedback forms in the HDR Progress Report process. Matters of serious concern may be referred to the Deputy VC Academic and/or escalated to the Vice Chancellor by the Director HDR. Examples of such matters may include high student attrition, consistent lack of candidate progress, complaints and grievances, and unsatisfactory candidate examination results.
- 8.2 In cases of serious violation of the *Australian Code of the Responsible Conduct of Research* or other relevant policies, appropriate action will be taken in accordance with *Avondale's Misconduct Procedure (Staff)*.

## 9. GRIEVANCES AND COMPLAINTS

- 9.1 Candidates and supervisors are expected to seek negotiated solutions to any problem prior to initiating a formal complaint.
- 9.2 When grievances cannot be resolved between the supervisory team and candidate, formal resolution can be sought by:
- a) candidates in accordance with the *Complaint Resolution Procedure*; and
  - b) supervisors in accordance with the *Grievance Resolution Procedure (Staff)*.

### Table of amendments

<b>Version Number</b>	4.0	<b>Replaces Version</b>	3.0
<b>Implementation Date</b>	15 March 2024	<b>Scheduled Review Date</b>	March 2029
<b>Approving Body</b>	Academic Board	<b>Approval Date</b>	6 March 2024
<b>Policy Owner</b>	Director HDR	<b>Date first introduced</b>	November 2010
<b>Short description of amendment</b>	Major revision: <ul style="list-style-type: none"><li>• Changed title from <i>Code of Supervisory Practice</i></li><li>• Updates to accommodate recommendations from reaccreditation panel</li><li>• Updates to reflect changes of structure, titles and language</li><li>• Updates to reflect best practice in graduate research supervision</li><li>• Incorporated previous <i>Selection of Supervisors Policy</i></li></ul>		