Procedures for the management of Higher Degree by Research Supervision

Purpose

This procedure specifies the management of supervision and the supervision register, as required by Policy RES 18 – Higher Degree by Research Supervision (the policy). The procedures should be read in conjunction with the policy.

Definitions

Academic staff member
A member of academic or research staff or Adjunct of the University.

Adjunct
Any person who is not a member of the University academic staff and who has an honorary academic title conferred under the Honorary Academic Titles Policy (C 16.3).

Associate Dean: Research Education
The management, responsibility and authority for Research Education and related activities, including supervisor eligibility, differs between divisions. The term Associate Dean: Research Education used here refers to the Dean or Associate Dean (or equivalent) holding responsibility for research education, as determined within the management structure of the Division.

Associate Supervisor
A researcher external to the University who has been chosen for the role because of expert knowledge or scholarship in the designated area of research.

Conflict of interest
Any circumstance where a staff member, Adjunct, or HDR student engaged in or supporting research has a real, perceived or potential opportunity to prefer their own interests, or those of any other person or organisation, to those of the University.

Co-Supervisor
An academic staff member who provides support to the Principal Supervisor in guiding the postgraduate research undertaken by the HDR student.

End-user Advisor
A member of a supervisory panel who is not an academic supervisor, and who has been chosen for the role due to their position as an end-user of research, and/or their position in a relevant industry, and/or their capacity to provide expertise relevant to the student's research. End-user advisors will usually be external to the University, or an Adjunct.

Higher Degree (by) Research (HDR)
PhD, Masters by Research, and Professional Doctorate by Research.

HDR student
A student enrolled in one of the University's higher degree by research programs.

Postgraduate research
The research that is conducted as part of the requirements for HDR. It does not include research projects conducted as part of Honours, Graduate Diploma, Professional Doctorate by coursework, or Masters by coursework degrees.

Principal Supervisor
A University academic staff member (including Adjunct) who has prime responsibility for guiding the postgraduate research undertaken by a designated HDR student and for overseeing the progress of that student towards completion of their research degree. Normally, a Principal Supervisor works in the Division

where the student is enrolled.

Privileged relationship
An existing or emerging personal relationship (such as familial or romantic), or a professional line management relationship between:

    a.   supervisors or end-user advisors on the same supervisory panel; or

    b.   a supervisor (or an end-user advisor) and a student.

Register of HDR supervisors
The Register of HDR supervisors ('the Register') identifies academic staff who are currently supervising HDR students and/or who are eligible to supervise at the University of South Australia. It does not include external associate supervisors or advisors.

Relevant Head of School
Refers to the Head of School for the School in which the HDR student is enrolled.

Relevant Pro Vice Chancellor
Refers to the Pro Vice Chancellor for the Division in which the University academic staff member (including Adjunct) is located. If the staff member is located in a unit external to the Divisions, an exemption to the eligibility criteria will be considered by the relevant senior portfolio manager on the recommendation of the Director of the unit.

Supervisor induction program
Supervising@UniSA or other program as specified by the Research Degrees Committee.

Supervisory Panel
The team, usually comprising 3-5 members, who are responsible for providing supervision to a research degree student. The panel must include a minimum of two UniSA supervisors, one of whom will be the principal supervisor. Supervisory panels can also include experts from other disciplines and end-user advisors, as appropriate for the research degree student's discipline and project.

Supervisor professional development
Refers to a range of activities that will include supervisor development specific material. Potential activities include:

- participating in workshops or seminars on supervision including the Supervisor Professional Development Program;

- presenting at, or facilitating, seminars and workshops in the University's support programs for HDR students and supervisors;

- presenting and publishing papers about the pedagogy of supervision;

- participating in conferences or workshops where the pedagogy of doctoral education or the practice of supervision is a focus of the event.

Procedures
1. Criteria for inclusion in the UniSA Register of HDR Supervisors (the Register)

Principal supervisor
1.1   Registration in the Principal Supervisor Section is on the basis that the applicant:

    a.   has a record of supervising at least one HDR student to successful completion of their degree at UniSA or at their previous place of employment as either an Associate, Co- or Principal Supervisor, within the past 5 years; and

    b.   can demonstrate that they are active researchers in their discipline area to the satisfaction of the Associate Dean: Research Education;

    c.   is a University academic staff member (including Adjunct); and

    d.   holds a doctoral degree by research, or can demonstrate evidence of an equivalent record of scholarly achievement; and

e. has undertaken the University's Supervisor Induction; and

f. has undertaken appropriate professional development activities, as agreed within their Performance and Development Plan, within the last three years.

Co-Supervisor

1.2 Registration in the Co-Supervisor Section is on the basis that the applicant:

a. is a University academic staff member (including Adjunct); and

b. holds a doctoral degree by research, or can demonstrate evidence of an equivalent record of scholarly achievement; and

c. has undertaken the University's Supervisor Induction; and

d. has undertaken appropriate professional development activities, as agreed within their Performance and Development Plan, within the last three years.

2. Exemption to registration criteria

Exemptions may be granted in the following cases with the relevant Pro Vice Chancellor reporting the exemptions to Student & Academic Services. Student & Academic Services will maintain a record of the granted exemptions and provide it to Research Degrees Committee monthly:

a. **Early Career Researcher (ECR)**: The relevant Pro Vice Chancellor may grant an exemption where the ECR has not met all of the registration criteria for joining the Register as a Co-Supervisor but where there is clear evidence of the research capability of the ECR (e.g. through the holding of a competitive Research Fellowship and a track record of publications or other research outputs which would be eligible for inclusion in a national research assessment exercise).

b. **Other cases**: The relevant Pro Vice Chancellor may grant an exemption where an academic staff member who is not an ECR has not met all of the registration criteria for joining the Register as a Principal or Co-Supervisor, but where there is clear evidence of the research capability of the academic staff member, and the capability to successfully supervise HDR students.

3. Admission to the UniSA Register of Current HDR supervisors

When a prospective, new or current HDR student nominates a supervisor, the relevant Associate Dean: Research Education will determine whether the nominee meets the criteria to supervise according to the membership criteria for the relevant section of the Register. When the nominee meets the criteria, they can be admitted to the relevant section of the Register.

4. Remaining on the Register of HDR supervisors

4.1 A supervisor who no longer meets one or more criteria for registration will remain listed in the Register section where they commenced supervision of the HDR student/s only for the duration of candidature. They will only be able to supervise a new HDR student when they meet the criteria for the relevant section of the Register.

4.2 Members of the Register are normally expected to undertake appropriate supervisor professional development activities, as agreed within their Performance and Development Plan, at least once every three years. Divisions will monitor participation in supervisor professional development activities annually. Non-participation in supervisor professional development activities may lead to removal from the Register.

5. Appeals against exclusion

An academic staff member who wishes to appeal against a decision not to approve their registration or against their deregistration on the basis of not meeting membership criteria should submit an appeal in writing to the Dean of Graduate Studies, whose decision will be final. If the appeal is not upheld, an academic staff member may re-apply for registration at any time they consider that the conditions for membership have been met.

6. Report to determine membership of the Register

6.1 A report containing information on each criterion for inclusion in the UniSA Register of HDR

Supervisors and the academic staff currently supervising, and/or eligible to supervise in each category of supervision will be made available to the Associate Deans: Research Education, for the purposes of determining membership of the Register.

6.2 Associate Deans: Research Education will advise Student and Academic Services of staff who should be added to, or removed from the Register, and the appropriate level of supervision for each staff member biannually, or as changes occur.

6.3 Relevant data are made available to relevant staff to facilitate the process of assigning academic staff to supervisor panels.

6.4 The Associate Deans: Research Education are responsible for ensuring that academic staff members in their area are aware of the criteria for admission to each section of the Register and the type of supervision they may undertake for new HDR student/s.

7. Appointment of supervisors

7.1 When a prospective, new or current HDR student nominates a supervisor, the Associate Dean: Research Education will determine whether the nominee meets the required Register membership criteria.

7.2 Divisions/Schools/Institutes will determine whether the nominated supervision arrangement is appropriate in accordance with the policy and the Academic Regulations (particularly section 7), paying due consideration to workload implications. Early formation of supervisory panels is encouraged.

7.3 An HDR Supervisor will be appointed when there is a reasonable expectation that they will continue to satisfy the criteria for membership of the Register and where panel membership can provide ongoing supervision for the duration of candidature.

7.4 The supervisor, in addition to the criteria outlined in Section 1 of these Guidelines, should also have either methodological or discipline expertise related to the student's research.

7.5 Where the Principal Supervisor is an Adjunct of the University, the relevant Associate Dean: Research Education will ensure that a written agreement is completed and signed by the Adjunct Principal Supervisor, internal Co-Supervisors, and the HDR student.

7.6 The agreement will include a statement that the Principal Supervisor agrees to take on the responsibility of working within the University's policies, codes and guidelines.

The agreement is to be submitted to Student and Academic Services with the Research Induction Plan for a commencing HDR student, or with the notification of changing supervisory arrangements for a continuing HDR student.

8. Appointment of supervisors external to the University

8.1 Persons nominated for inclusion in supervisory panels who are not academic staff, nor Adjuncts, of the University may be appointed as external associate supervisors.

8.2 External associate supervisors will usually be researchers, who may work in other academic institutions or research organisations, in Australia or overseas.

8.3 External associate supervisors can be added to a student's supervisory panel through submission of the appropriate form (recommendation or change of supervisor form). External associate supervisors do not require an exemption to be appointed.

8.4 External associate supervisors are not included on the Register. Reports on involvement of external associate supervisors will be made available to relevant staff.

8.5 When the University has signed a Dual Award or Jointly Badged PhD Agreement in accordance with RES-19 PhD Program Collaboration Policy, a researcher who is an academic member of staff at the Partner Institution and meets their criteria to be a supervisor may be

appointed as an external Principal or Co-Supervisor. Supervisory arrangements for each PhD student admitted to a Dual Award or Jointly Badged PhD program are detailed in the Research Student Schedule and are approved by the Dean of Graduate Studies at the time of admission of the student to the program. Student and Academic Services will maintain a record of external Principal and Co-Supervisors.

9. Appointment of End-user Advisors

9.1   End-user advisors are not necessarily researchers. They provide advice and expertise together with access to resources and research settings which are complementary to those provided by the University and its supervisors. Their role is thus complementary to that of a student's academic supervisors.

9.2   End-user advisors will usually be external to the University or adjuncts. Where appropriate, end-user advisors may occasionally be academic staff.

9.3   End-user advisors can be added to a student's supervisory panel through submission of the appropriate form (recommendation or change of supervisor form). End-user advisors do not require an exemption to be appointed.

9.4   End-user advisors are not included on the Register. Online reports on involvement of end-user advisors will be developed and made available to relevant staff.

10. Privileged Relationships

10.1   Privileged relationships can pose conflicts of interest which must be managed.

10.2   Any privileged relationship must be disclosed to the relevant Head of School at the time of panel formation, or as soon as practicable for emerging relationships.

10.3   **Privileged relationships between supervisors on the same supervisory panel**:

   a.   Where the privileged relationship is between supervisors, an additional supervisor, who is not under the line management of the other supervisors, is required on the panel.

   b.   Where the relevant Head of School determines that there is a conflict of interest on the supervisory panel due to a privileged relationship, a management plan for the supervisors engaged in the privileged relationship is required.

          A copy of the management plan will be retained in the supervisors' personnel files, and should be reviewed annually.

   c.   Where the relevant Head of School determines there is no conflict of interest between the supervisors (or end-user advisors), a management plan is not required.

   d.   The relevant Head of School will communicate all disclosures, including those that do not result in the development of a management plan, to the HDR student, the supervisory panel and the relevant Associate Dean: Research Education.

          A copy of the correspondence will be retained on the HDR student's record in Student and Academic Services.

   e.   Where the relevant Head of School does not believe that the conflict of interest can be managed in the best interests of the student, different supervisory arrangements will be made. If any party wishes to dispute this decision, they may appeal to the Dean of Graduate Studies.

   f.   Where the relevant Head of School has a conflict of interest (with the exception of a line management relationship) with the responsibilities outlined under Section 10, Privileged Relationships, the role will be delegated to the relevant Associate Dean: Research Education.

10.4   **Privileged relationships between supervisors and HDR students**:

a.   Where the privileged relationship is between a supervisor and a student, the relationship shall be disclosed and managed in accordance with the Code of good practice: Relationships between staff and students and associated University policies.