# RESEARCH HIGHER DEGREE SUPERVISION POLICY AND PROCEDURE

## CONTENTS

## 1    PURPOSE

1.1    As a self-accrediting Higher Education Institution, CQUniversity aims to provide an effective and nurturing environment for Research Higher Degree (RHD) candidates. This policy and procedure describes the supervision of RHD students at CQUniversity, with a focus on:

- the roles and responsibilities of supervisors, and achieving excellence in RHD supervision

- providing pathways for academic staff to pursue professional development as a RHD supervisor, and

- ensuring compliance with the Higher Education Framework (Threshold Standards) 2015 (Cwlth), and alignment with national Best Practice Principles for Supervision as described by the Australian Council of Graduate Research.

## 2 SCOPE

2.1 This policy and procedure applies to:

- CQUniversity academic staff who are registered as a RHD supervisor or who aspire to register in the future

- individuals who are not directly employed by CQUniversity but who appear on the Register as external supervisors, and

- line managers of CQUniversity academic staff; research managers and research administrators.

2.2 This policy and procedure applies to all RHD courses, including Masters by Research, Master by Research (Offshore), Doctor of Philosophy, Doctor of Philosophy (Offshore), Doctor of Philosophy (by Portfolio), Doctor of Education and Doctor of Professional Studies; as well as research coursework and preparatory courses such as the Graduate Certificate in Research.

2.3 The policy and procedure may also be used to provide guidance with respect to supervision of:

- Summer Research Scholarship students (who are considered to have a status similar to a RHD candidate for the duration of the Scholarship), and

- Undergraduate Research Honours students; noting that additional School- and course-specific arrangements may apply to such students.

2.4 This document is not intended to cover every specific circumstance that might arise when considering supervision arrangements for RHD candidates. Rather, it provides general direction so that effective supervision panels can be appointed , in regards to educational outcomes, academic support and administrative needs of candidates, supervisors and the University.

## 3 POLICY STATEMENT

3.1 This policy and procedure is written in accordance with the Higher Education Standards Framework (Threshold Standards) 2015, which require that each research higher degree student is supported by continuing supervisory arrangements that include:

- a principal supervisor who holds a Doctoral Degree, or has equivalent research experience, and who is active in research and publishing in, or otherwise making original contributions to, a relevant field or discipline

- at least one associate supervisor with relevant research expertise. This may include external supervisors such as those based in industry or with another university, and

- the principal supervisor is a member of the staff of the Higher Education provider, or has a relevant adjunct appointment, or is otherwise formally contracted and accountable to the provider for supervisory duties.

3.2 Students in the Graduate Certificate in Research may be permitted to enrol with a sole principal supervisor; however the inclusion of at least one associate supervisor is encouraged.

3.3 This policy and procedure also reflects the Australian Council of Graduate Research's Good Practice Principles for Graduate Research Supervision, which notes that supervisory panels "are established to provide guidance to graduate research candidates in the design, conduct and timely completion of the research project, support in publication and dissemination of research findings, and advise on the acquisition of a range of research and other skills as appropriate to the discipline and the background of the candidate."

## 4 PROCEDURE

### Supervisor categories

4.1 CQUniversity recognises five categories of RHD supervisors:

- principal supervisors
- associate supervisors
- mentor supervisors
- Graduate Certificate Research supervisors; and
- external supervisors (either academic or industry).

4.2 A **principal supervisor** has key responsibility for co-ordinating, communicating and managing the candidature as well as overall responsibility for guidance, direction and advancement of the thesis, and ensuring that the candidate is informed about the quality of the thesis. The principal supervisor is also responsible for managing the cohesion and overall effectiveness of the supervisory panel, including monitoring the conduct and contributions being made by associate and/or external supervisors

4.3 An **associate supervisor** provides a support role in the RHD supervision, contributing specialist knowledge to the research area. In some instances, the associate supervisor may also be expected to provide pastoral care where the student is at a distance from the principal supervisor. An associate supervisor may also provide coverage relevant to the principal supervisor's duties, in the event of temporary absence of the principal supervisor.

4.4 **Mentor supervisors** are experienced principal supervisors with a strong track record of success in research training endeavours. In addition to the direct supervision of their own candidates, mentor supervisors will be involved in supporting the professional development of their peer supervisors (known as mentees); as well as providing pastoral care and research support to the candidates of their mentees. Mentor supervisors are also expected to participate in thought leadership and cultural initiatives relating to research training, as developed by the Research Division and Schools from time to time.

4.5 A **graduate certificate in research supervisor** is a member of academic staff who is not eligible to hold supervision in one of the categories listed above; but who holds a qualification equivalent to masters level (preferably with a minor thesis research component), and can demonstrate recent research activity and expertise in a particular domain area. Such staff may apply to be appointed to the RHD Supervision Register for the sole purpose of supervising Graduate Certificate in Research candidates.

4.6 **External** supervisors are individuals who are not employed by CQUniversity, but are recognised as having particular skills and/or expertise of value to an enrolled RHD candidate. External supervisors may include those from academic backgrounds/institution, or those in business and industry.

4.7 Further information about the roles and responsibilities of supervisors is provided in Appendix A, and further information about the skill sets expected for different categories of supervisors is provided in Appendix B.

4.8 In discharging their duties, all supervisors should be cognisant of the national best-practice principles for Graduate Research Supervision, as published by the Australian Council of Graduate Research; and the University's Code of Conduct for Research, which aligns with the Australian Code for the Responsible Conduct of Research.

### Eligibility for registration

4.9 An individual may be eligible to hold registration as an **associate supervisor** if they satisfy the following criteria:

- are a CQUniversity current staff member (including adjunct positions)
- possess a Level 10 qualification in the Australian Qualifications Framework, or agreed equivalent[1]

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[1] To be conducted with reference to TEQSA Guidance Note 2016 'Determining Equivalence of Professional Experience and Academic Qualifications'

- are able to demonstrate relevant and recent research activity, as indicated by research outcomes and/or outputs within the previous two years, and

- are able to demonstrate currency in professional development, as per the requirements for supervisor training (refer to section 4.54 – 4.61).

4.10 **Graduate certificate in research supervisors** are expected to satisfy all criteria described above, with the exception that the base qualification level may be at Level 9 in the Australian Qualification Framework. It is preferable that such qualification include a research and thesis component.

4.11 An individual may be eligible to hold registration as a **principal supervisor** if they satisfy the following criteria:

- all elements described in section 4.9

- familiarity with, or ability to rapidly acquire familiarity with, the CQUniversity research training environment, and

- demonstration of at least one of the following:
  - at least one successful RHD completion (at any institution)
  - at least three years' experience in research training with demonstration of strong and successful outcomes (for example, as evidenced though a supervisor performance evaluation report), and/or
  - completion of a University-approved training course that provides a pathway to principal supervision duties.

4.12 An individual may be eligible to hold registration as a **mentor supervisor** where they can demonstrate:

- at least five years' experience as a principal supervisor, with at least six months of this at CQUniversity

- a record of timely RHD completions in the previous five years

- a commitment to professional development in research training and the ability to provide mentoring to peers, and

- the endorsement of the Dean of School.

4.13 An individual may be eligible to hold registration as an **external supervisor** if:

- they are not in the direct employ of CQUniversity Australia, and

- they hold particular expertise or skills of relevant to the candidature and/or thesis topic.

It is highly desirable that an external supervisor can demonstrate skills and experience consistent with the descriptive given in section 4.9. However, appointment of individuals of varying backgrounds will be considered on a case by case basis.

4.14 Provided that the eligibility criteria above are met, associate, principal, Graduate Certificate in Research and/or mentor supervisors may reside within any Division, Directorate or business unit of CQUniversity.

4.15 A staff member who is a current RHD candidate of CQUniversity is ineligible to hold registration as a supervisor.

4.16 An individual in an adjunct or honorary role at CQUniversity may only be permitted to act as a principal supervisor in cases of 'teach-out' of existing candidates with whom they already have a supervisory relationship. Unless in exceptional circumstances, adjuncts will not be appointed as a principal supervisor for newly commencing or transferring candidates.

4.17 All CQUniversity-based supervisors must:

- maintain an active and publicly accessible staff profile, containing evidence of the supervisor's research expertise, experience and research activities

- demonstrate active involvement in professional development and/or training activities (refer section 4.54-4.61), and

- subscribe to the research-supervisor's mailing list.

4.18 External supervisors are required to join the research-supervisor's mailing list, to stay abreast of changes in CQUniversity's policies and processes.

4.19 A supervisor who is not able to take on new candidates due to workload, conflict of interest or suspension of duties due to behavioural/performance concerns may be listed as 'unavailable' on the Register, until such time as the relevant issue is resolved.

## Registration, induction and resources

4.20 The registration process will be by application to the Dean, School of Graduate Research, who will make a decision in consultation with the relevant Deputy Dean (Research) or other senior management role (for areas outside of the Higher Education Division).

4.21 The Research Division will maintain an appropriate Register of individuals who have approval for one or more supervision categories. The Register will contain the following information:

- name
- school affiliation
- category/ies of approval (associate, principal, mentor, external)
- qualifications held
- applicable field/s of research
- list of current candidates
- statement of outcomes for previous candidates (within the previous five years), and
- a link to an active staff profile, or other research repository, which evidences the individual's relevant research expertise and skills (for example, through publications or attraction of research funding).

4.22 On appointment to the Register:

- CQUniversity-based supervisors will receive an information package and advice regarding an induction session, which should be attended no later than three months after appointment to the Register
- external supervisors will receive an information package, and an invitation to join an induction session where practicable.

4.23 The University has a responsibility to provide supervisors with an appropriate environment, including access to resources, facilities and training opportunities, to enable them to carry out their supervisory roles effectively.

4.24 External supervisors may be granted access to the Research Division Moodle site and other CQUniversity systems and resources, and be able to participate in supervisor training and RHD community events.

4.25 Remuneration will not be offered for external supervisors, except in extraordinary circumstances (such as a lack of supervision continuity for the candidate) and at the discretion of the Dean, School of Graduate Research. Exceptions to this may include external supervisors who are attached to an approved RHD Academy.

4.26 External supervisors (either industry or academic) will usually be retired from the Register at time of their candidate's conferral.

## Appointment of supervisory panels

4.27 A 'supervisory panel' will be the term given to the team of individuals who are appointed to work with a particular RHD candidate. At minimum, a supervisory panel must include:

- a principal supervisor (who shall be in the employ of CQUniversity), and
- at least one associate supervisor (who may be internal or external to the University).

Note: Graduate Certificate in Research students may be eligible to enrol with a sole supervisor.

4.28 The appointment of a supervisory panel will be a joint decision between the relevant School and Research Division, typically through consultation between the Deputy Dean (Research) and Dean, School of Graduate Research, and incorporating line manager approval for each proposed supervisor.

4.29 Appropriate composition of a supervisory panel will be determined with regard to:

- the blend of expertise available across the panel (which may include discipline knowledge and/or methodological techniques)

- available workload allocation for the staff in consideration, and the duration of their appointment

- any conflict of interest or privileged relationships, and

- elements of pastoral care, including (but not limited to), geographic proximity and the need for cross-cultural support.

4.30 Admission to the Register is not a guarantee of a right to supervise, but is rather recognition that the person has the necessary skills and attributes to supervise RHD students. The University reserves the right not to appoint a registered supervisor to the panel of any given candidate.

4.31 To be eligible for appointment to the panel of a particular candidate, a supervisor must hold active registration as well as demonstrate research expertise that is relevant to the proposed field of study. Evidence of relevant and recent research activity will be requested during the admissions process.

## Appointment of mentor supervisors

4.32 A mentor supervisor may be appointed to:

- provide additional support for early career supervisors

- help address concerns about quality and/or consistency in practice by a supervisor, or

- undertake other support activities as suggested by the Dean of School or Dean, School of Graduate Research.

4.33 A mentor supervisor will be eligible to draw on up to $2,000 in professional development support per year of active mentoring; to be expended on activities linked with RHD training. This funding will be available on application to the Research Division, and will not be transferable between calendar years.

## Supervision workload

4.34 The University's Enterprise Agreement sets out key principles for the calculation of workload allocation for RHD supervisors. This includes information about workload for CQUniversity staff undertaking principal and associate supervision roles, noting that:

- a part-time candidate shall attract half the workload allocation of a full-time candidate

- a candidate who is under examination or on leave does not attract EFTSL for workload calculation purposes.

The relative proportion of workload that is allocated across the associate supervisors should be agreed to by all member of the supervisory panel, in writing, and notified to the Research Division.

4.35 Any registered supervisor may not exceed 12 EFTSL in active candidate load, or a maximum of 14 RHD candidates in total, unless by joint permission of the Dean, School of Graduate Research and relevant Dean of School (or senior role within the work unit, for supervisors who are not based in Schools). In considering an appropriate workload allocation for an individual supervisor, line managers should take into consideration:

- the appointment type (e.g., academic level and appropriate teaching/research workload category)

- the nature of their supervisory roles (e.g. as mentor, principal, or associate)

- the candidature stage of the supervisor's enrolled students (e.g. whether one or more of the cohort are approaching intensive phases of data collection or thesis drafting), and

- the complexity of existing candidatures (including, but not limited to, distance candidates; candidates who are required to deliver outcomes for industry partners; over-time candidates; and candidates with a history of poor progress or challenging projects).

4.36  A mentor supervisor may not exceed eight mentees. Appropriate workload allocation for this activity should be negotiated with the line manager and/or Dean of School.

4.37  The Research Division will maintain a database of the supervisory profile of the University, including the EFSTL being carried by each supervisor on the Register. This information will be made available to Deans of School, line managers and others by request.

4.38  It is expected that supervisors will review their category and current EFTSL, prior to discussing supervision opportunities with new applicants or transferring candidates.

4.39  The division of responsibilities amongst the supervisory panel is to be negotiated and documented via the RHD Memorandum of Understanding.

## Supervisor conduct

4.40  RHD Supervisors, including external supervisors, are expected to act with the highest standards of conduct and integrity. All activities undertaken as a supervisor must be consistent with the University's Code of Conduct, with particular emphasis on zero tolerance and ensuring freedom from discrimination, harassment and bullying. External supervisors are required to abide by the Code of Conduct when performing duties as a registered CQUniversity RHD supervisor, irrespective of any other Code/s of Conduct that may apply at the institution or business of their substantive appointment.

4.41  Supervisors should be particularly mindful of the power imbalance that exists between candidates and supervisors. Supervisors are expected to actively work to ensure that this is not abused, and that all candidates are provided with an appropriate and supportive professional environment in which to undertake their program of research and study. Supervisors are strongly encouraged to set clear boundaries in their professional relationships with candidates and to communicate these early in candidature.

4.42  All supervisors should be familiar with the Universities Australia Principles for Respectful Supervisory Relationships and conduct.

## Conflicts of interest

4.43  A supervisor may be deemed to have a conflict of interest where they could be influenced, or appear to be influenced, by a private interest or conflict of commitment when carrying out their duties and responsibilities as a supervisor. Refer to the Conflict of Interest Policy and Procedure for further information. It should be noted that supervision of students is recognised within this policy as a high-risk area for conflicts of interest.

4.44  Examples of a conflict of interest may include (but are not limited to) personal, financial or line management relationships existing:

- between the supervisor/s and the candidate

- amongst the supervisory panel, or

- with other relevant parties, including formal and informal readers, reviewers and examiners.

4.45  Information on conflicts of interest will be collected from all members of the supervisory panel, prior to approving a research higher degree admission. Where necessary, these declarations will be accompanied by a statement describing how the conflict of interest will be managed. Where required, this information may be passed to other relevant senior Managers within the University, as described in the Conflict of Interest Policy and Procedure.

4.46  Supervisors have the onus of responsibility to inform the Research Division, through a disclosure to the Dean, School of Graduate Research, where a real, perceived or potential conflict of interest emerges between the members of the supervisory panel and/or the RHD candidate, at any point after admission until conferral of award. Such disclosure can be made privately and in-confidence.

4.47    Supervisors who have an active or emerging conflict of interest may be suspended from supervision duties for one or more of their candidates, until such time that the conflict of interest has been appropriately addressed. Where this occurs, every effort will be made to provide continuity of supervision to the RHD candidate.

4.48    In cases of ongoing conflicts of interest, the Dean, School of Graduate Research will consult with the supervisory panel, candidate, relevant line managers and/or the Deputy Dean (Research) of the relevant School, to identify the best way to manage the conflict of interest. This may take the form of avoiding, reducing, sharing or retaining and monitoring the conflict.

4.49    Relationships of a close personal nature (e.g. involving sexual activities) are not permitted between any member of the supervisory team and their RHD candidate. Where such a relationship exists, the supervisor will be removed from involvement and any decision-making related to the candidate's research.

## Supervisor's availability to candidates

4.50    A supervisor must provide reasonable access to their candidate/s for consultation purposes, irrespective of whether candidates are studying on-campus or in distance mode.

4.51    The periodicity of meetings and expectations for formal or informal contact should be discussed and documented via the RHD Memorandum of Understanding. Where circumstances necessitate a change to the schedule, alternative arrangements should be sought to meet the mutual needs of the supervisor and candidate.

4.52    Where a supervisor has a planned or unplanned absence from their normal duties for an extended period (for example, more than three weeks), arrangements must be such that the candidate is not disadvantaged. This is especially important in the case of the principal supervisor's absence, for which an alternative signatory should be identified (typically, an associate supervisor) so as not to impede the candidate's progress. Preferably, a CQUniversity staff member should be nominated to take on the supervision role in absentia for the principal; so that internal administrative processes can continue to be actioned.

4.53    A supervisor is not required to be available, make contact with, and/or provide academic or other types of guidance or advice to a candidate who is on a leave of absence, nor whilst the staff member is on approved University leave.

## Supervisor training and professional development

4.54    All internal CQUniversity supervisors are expected to undertake regular professional development activities, which may take the form of:

- formal supervisor training offered by the Research Division and/or Schools; either in face-to-face, online or videoconference delivery modes
- information sessions on RHD policy updates
- school-based RHD symposia and other research seminars as available from time to time
- sessions and events relevant to the University's RHD community (e.g. the 3MT competition) wherever possible, and
- professional development offered elsewhere in the University, such as first responder training .

4.55    All internal supervisors must demonstrate currency with the minimum requirements of University-wide professional development, including zero tolerance and corporate induction. Where this has lapsed, the supervisor may be temporarily suspended from duties until this has been undertaken.

4.56    It is an expectation that all CQUniversity supervisors participate in the Effective Supervision Program (ESP) at least once every two years. The ESP is an online series of modules exploring key themes in RHD supervision in the Australian and international context.

4.57 Supervisors with lapsed training may be:

- directed to undertake training

- have restrictions placed on the allocation of commencing candidates, and/or

- asked to work under the direction of a mentor supervisor until such time as training currency is demonstrated.

4.58 The Research Division will make available an Accelerate Program, designed specifically to cater for associate supervisors who wish to transition into principal supervision. Entry into this program will be by endorsement of the relevant Dean of School. A call for applications for the Accelerate Program will be made at least once per year.

4.59 Mentor supervisors will be encouraged to attend specialised ad hoc professional development sessions and/or Research Training Retreats as arranged by the Research Division from time to time.

4.60 External supervisors will be eligible to access CQUniversity supervisor training by application to the Dean, School of Graduate Research. Training would ordinarily be made available free of charge, however, the University cannot guarantee funding support to cover travel costs.

4.61 The Research Division will maintain a record of attendance at supervisor training and professional development events, and make this available to supervisors and/or their line managers on an annual basis.

## Evaluation of supervisor performance

4.62 Processes outlined in this section are in line with the Evaluation of Teaching Policy and Procedure. Evaluating supervisory performance is an essential part of the quality assurance for RHDs across the University. Evaluation outcomes can be used to inform future enhancement of practice, and to indicate areas that may be addressed through tailored training.

4.63 Informal supervisor performance evaluations should form an important and ongoing component of the performance review process

4.64 Formal supervisor performance evaluations may occur by self-nomination, or by request of the Dean of School and/or Dean, School of Graduate Research.

4.65 The Dean of School or Deputy Dean (Research) and Dean, School of Graduate Research have joint responsibility for implementing supervisor evaluations within their School or other academic unit. A formal or informal supervisor performance evaluation may combine the following information:

- active candidate load (and mentoring load, where this applies) as well as the number of successful/timely completions

- supervisor self-reflection (of not more than 500 words)

- candidate supervisor evaluation and/or satisfaction measures (e.g. this may be formal or informal, such as testimonials)

- peer-evaluation (including from co-supervisors, mentor and/or the relevant Deputy Dean (Research))

- supporting information made available by the Research Division; including timeliness with administrative requirements, and Register of any formal complaints, and

- a record of training and professional development undertaken within the evaluation period.

4.66 Supervisor performance evaluations will be facilitated by an electronic process, using an appropriate reporting template. The Research Division will provide support to facilitate timely and streamlined reporting.

4.67 Testimonials from candidates may be gathered directly by the Research Division or School, rather than through the supervisor. It is acknowledged that collecting information from candidates may be difficult or sensitive, particularly where small sample sizes prevent anonymity of the respondents. Reports on candidate satisfaction/supervisor evaluation may not be requested in these circumstances.

## Restriction of duties and/or removal from the register

4.68 Removal of registration, re-registration to a different category, or restriction of supervisory duties may be actioned where it can be clearly demonstrated that a supervisor:

- has engaged in poor supervision practice

- has had an unsatisfactory performance evaluation, and/or

- where the staff member is deemed to be research-inactive, as appropriate for their discipline, for a period of two years or longer.

4.69 Examples of, and evidence for, poor practice in RHD supervision may include (but are not limited to):

- instances of research misconduct or behavioural misconduct, as defined in relevant policy

- persistently and repeatedly failing to comply with administrative requirements (related to supervision) in a timely manner

- failure to provide feedback to candidates in a timely manner

- failure to properly advise candidate/s of necessary actions with regard to risk management, ethics and other clearances and permissions

- repeated instances of approving candidate/s submissions for internal or external review where work is not of satisfactory quality (e.g. for Ethics or Risk clearances, Confirmation of Candidature, Examination or Thesis Revisions)

- a pattern of candidate and/or co-supervisor complaints that are substantiated, or

- a pattern of candidatures that are over-time, withdrawn or terminated, in the absence of a reasonable explanation for this.

4.70 Where a supervisor has demonstrated one or more of the conditions listed above, a formal warning will be issued by the Dean, School of Graduate Research, in consultation with the relevant Dean of School. The supervisor will be provided with a specified time period in which to address the matter. Relevant support (for example, training, mentoring, counselling or other measures) will be made available from the Research Division and the relevant School, to assist the supervisor to address any deficiencies.

4.71 Where matters of poor performance have not been satisfactorily addressed with the specified time period, the supervisor may be restricted from participating in supervision panels for any newly commencing candidates.

4.72 Serious and/or sustained cases of poor practice may result in removal from the Register. However, removal from the Register will not occur until the supervisor has been clearly advised of the issue, provided with counselling/training, and given the opportunity to address it.

4.73 Where the performance issue is serious and relates to a principal supervisor, re-allocation to the supervisor to the associate category may occur immediately, to avoid adverse impact on the candidate's wellbeing and progress.

4.74 Academics who have been removed from the Register, or placed under restricted duties, will be required to successfully complete appropriate training before being eligible for any reinstatement. Such reinstatement may be sought by application to the Dean, School of Graduate Research, who will consider the request in consultation with the Dean of School or Deputy Dean (Research).

4.75 Removal from the Register, or other actions relating to poor supervisory conduct, is not to be interpreted as 'unsatisfactory performance', as this is a separate issue dealt with under the Enterprise Agreement. Rather, issues of poor supervisory conduct should inform ongoing performance review discussions with the relevant line manager.

## Resignation of a supervisor

4.76 Where practicable, all members of the supervisory panel, as well as the candidate, should be consulted prior to a resignation being actioned.

4.77    Resignation from a supervision panel may be permitted where:

- the candidate's topic has changed substantially, such that the supervisor's expertise area no longer matches with the proposed area of study, or

- the supervisor experiences a change in role or availability (e.g. takes up a new role within the University, transfers to another institution).

4.78    At times, circumstances can arise whereby a breakdown between the candidate and/or supervisor/s prevents a productive and/or cooperative working relationship. In this case, supervisors are expected to work with the candidate and/or other supervisors to resolve the issue in the first instance. Where an issue is persistent, formal notification must be made to either the Dean, School of Graduate Research or relevant Deputy Dean (Research), such that alternative supervisory arrangements can be made, at no detriment to the candidate or previous supervisor/s.

## Supervisor's rights

4.79    A supervisor has the right to:

- refuse to accept supervision of, or to withdraw supervision from, a particular candidate, where a valid reason can be provided

- refuse to supervise a candidate who is on leave of absence

- request that the candidate present written work in an agreed format, within a reasonable timeframe

- request that the candidate attend regular meetings in a mutually agreed mode (e.g. face-to-face), and

- request that the candidate provide access to research datasets for the purpose of verifying the quality and/or origin of the material.

4.80    A supervisor may not require a candidate to:

- undertake paid or unpaid work of academic or any other nature, or

- publish work with the supervisor's name as primary author, unless this is fair and justifiable according to the Assignment of Authorship Policy.

## Candidate's rights

4.81    A candidate has the right to:

- expect timely responses from the supervision panel, and support across the administrative, pastoral care, research and professional development spheres for the duration of their candidature

- lodge a confidential report with the Research Division in order to have concerns about supervision addressed

- request that alternative or supplementary supervisors be appointed, if relevant expertise is available from within the Register, and/or

- request assistance in transitioning the candidature to another institution, if appropriate Supervision can no longer be provided within the University.

4.82    A candidate may not make unreasonable demands on members of their supervisory panel in regards to the provision of feedback on multiple thesis/chapter drafts, short turnaround times, or providing support that is outside of the scope of supervision and best sought from other areas of the University (for example, the Student Experience Directorate or International and Services Division).

4.83    A candidate has the responsibility to report concerns about RHD supervision practices in a timely fashion, particularly where such behaviours are impeding academic progress in their degree.

4.84    Candidates should be familiar with the Universities Australia Principles for Respectful Supervisory Relationships.

### Research authorship

4.85    A supervisor must have demonstrated input consistent with the Vancouver Protocol, as described in the Assignment of Authorship Policy, to warrant inclusion as an author. Participation in the supervision panel is not, of itself, sufficient to claim authorship on research outputs belonging to a RHD candidate.

4.86    Where a candidate has not actioned their right to publish from the thesis content for an extended period post-conferral, supervisors may seek to initiate the publications process. However, manuscript drafting and assignment of authorship must be consistent with the directions provided in the Assignment of Authorship Policy.

### Celebrating success

4.87    An Award for Excellence in RHD Supervision will be available annually, as per the Awards for Excellence in Research Higher Degrees Supervision Procedure.

### Request for review or appeal

4.88    A supervisor, or other member of academic staff, who has reasonable grounds for dissatisfaction with any formal decision made under this policy and procedure (including removal from the Register), may lodge an appeal by written request to the Dean, School of Graduate Research, within 28 days of date of issue of the decision.

4.89    If the supervisor can demonstrate that the process was not followed or that new evidence is available, they may lodge a further internal appeal with the Deputy Vice-Chancellor (Research).

4.90    In considering requests for review or appeal, the Dean, School of Graduate Research will consult with the Dean and Deputy Dean (Research) of the relevant School.

## 5    RESPONSIBILITIES

### Compliance, monitoring and review

5.1    The Dean, School of Graduate Research is responsible for monitoring, implementing and ensuring compliance with this policy and procedure.

5.2    RHD supervisors are responsible for maintaining up-to-date registration with the Research Division, regular interaction with the Research Division Moodle site, and for engaging with information and events as promulgated through the research-supervisor's mailman listing from time to time.

### Reporting

5.3    Regular reporting on the University's RHD supervision profile, quality metrics and professional development opportunities will be presented through the Research Higher Degrees Committee. This information may also be circulated informally to other relevant committees and groups within the Higher Education Division, International and Services Division, and Research Division.

### Records management

5.4    Staff must maintain all records relevant to administering this policy and procedure in a recognised University recordkeeping system.

## 6    DEFINITIONS

6.1    Terms not defined in this document may be in the University glossary.

### Terms and definitions

**Equivalent full time student load (EFTSL):** 1 EFTSL is equivalent to one year of full-time study.

Research Higher Degree Supervision Policy and Procedure                                          Effective Date: 06/04/2020
Reference Number/Code: 3084                                                                                          Page 12 of 15

Once PRINTED, this is an UNCONTROLLED DOCUMENT. Refer to Policy Portal for latest version
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# 7    RELATED LEGISLATION AND DOCUMENTS

Assignment of Authorship Policy

Australian Code for the Responsible Conduct of Research

Australian Council of Graduate Research Best Practice Principles

Awards for Excellence in Research Higher Degrees Supervision Procedure

Code of Conduct

Code of Conduct for Research

Conflict of Interest Policy and Procedure

Doctor of Philosophy by Portfolio Course Rules Policy and Procedure

Evaluation of Teaching Policy and Procedure

Graduate Certificate in Research Course Rules Policy and Procedure

Higher Education Framework (Threshold Standards) 2015 (Cwlth)

Research Higher Degree Course Rules Policy and Procedure

Research Higher Degree (Offshore) Course Rules Policy and Procedure

Research Higher Degree Examination Policy and Procedure

Universities Australia

# 8    FEEDBACK

8.1    Feedback about this document can be emailed to policy@cqu.edu.au.

# 9    APPROVAL AND REVIEW DETAILS

| Approval and Review | Details |
|---|---|
| Approval Authority | Research Higher Degrees Committee |
| Advisory Committee to Approval Authority | N/A |
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| Notes | This document consolidates and expires the existing Postgraduate Research Studies and Supervision Procedures, Supervision of Research Higher Degree Candidates Procedures, Agreeing the Roles and Responsibilities Within a Research Higher Degree Supervisory Team Procedures and Registration as a Supervisor at CQUniversity Procedures (20/12/2016). |

# 10   APPENDICES

## Appendix A:  Roles and responsibilities across a supervisory panel

10.1   A supervisory panel should provide four key areas of guidance to the candidate: administrative, pastoral, research and professional development.

10.2   **Administrative** responsibility will generally be undertaken by the principal supervisor and includes:

- management of on-time confirmation of candidature

- timely discussion and completion of progress reports for candidates

- timely management of all paperwork associated with candidature; including but not limited to, nomination of examiners and revisions to thesis, and

- oversight of academic progress, including guidance through the program of research as well as assistance with fulfilling requirements of research coursework units.

10.3   **Pastoral** responsibility should be led by the principal supervisor, with support from the associate supervisor (particularly in cases where the associate is co-located with the candidate and the principal supervisor is not). Pastoral responsibility includes:

- Guidance for the management of a candidate's personal issues, acknowledging that this should focus on advising a candidate to seek professional counselling from those qualified to provide it; and/or taking leave of absence to manage their candidature timelines, and

- regular contact to gauge the well-being of the candidate.

10.4   **Research** responsibility should be distributed amongst all supervisors, by negotiation. This includes:

- oversight of the academic/intellectual/ethical requirements of the project

- selection and planning of a suitable and manageable research topic, and

- providing skills and training required for research activity and facilitating access to facilities, funding, and research materials.

10.5   **Professional development** should be distributed amongst all the supervisors, by negotiation. This includes guidance and feedback on and, where appropriate, assistance with the acquisition of skills for the:

- production of a preliminary research proposal

- writing of thesis and production of publications, and

- production of oral presentations.

10.6   The above areas are indicative and the particular needs of each candidate, together with contextual information about the supervisory panel (e.g. their physical location) should be considered when identifying roles and responsibilities across the panel.

10.7   As part of the usual activities of a research higher degree, supervisors should ensure that they regularly conduct informal assessment and/or review that provides candidates with formative feedback on their academic, and which is able to identify needs for additional support

10.8   Supervisors should also be aware of, and confident in referring candidates to, the various academic and other support measures available within the University.

## Appendix B: Supervisory skill sets

10.9 An **associate supervisor** and/or **graduate certificate in research supervisor** should be able to demonstrate skills with respect to:

- understanding the Australian research training system within an international context

- an appreciation of the 'teaching role' of the supervisor

- understanding the various mechanisms used to determine the suitability of an applicant for admission into a research higher degree

- awareness of their own supervision style, and how this can be tailored to meet the needs of each candidate and to complement others on the supervisory panel

- understanding of the specific needs and expectations of different candidates

- awareness of the need to actively assist candidates with writing, including confidence in referring candidates to academic guidance and support services available within the University

- providing timely and effective feedback

- a working knowledge of CQUniversity's policy and procedures relevant to research higher degrees, research preparatory courses and research coursework requirements, as well as the obligations of RHD supervisors in providing an effective research training environment.

10.10 A **principal supervisor** should be able to demonstrate all of skills expected of an associate supervisor, plus:

- understanding of the different roles of members of the supervisory panel, peers and others

- an appreciation of the need to record and monitor progress in accordance with institutional guidelines

- an appreciation of the importance and scope of their role in offering personal, professional and career support to candidates

- knowledge of variations in thesis examination across systems, institutions and disciplines, and ability to assist candidates in understanding the requirements for examination at their institution

10.11 A **mentor supervisor** should be able to demonstrate all of the skills expected of a principal supervisor, plus an ability to:

- reflect on their own learning and development as a supervisor, and

- identify learning opportunities for cohort development of supervisors through appropriate mentoring models

10.12 Depending on their nature as an academic or industry-based individual, an **external supervisor** should be able to demonstrate a similar level of skills as an associate supervisor, but with particular expertise in the discipline area and/or professional practice context.