

# Higher Degree by Research (HDR) Supervision

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## 1.0 Purpose

This Procedure supports the *Higher Degree by Research Policy* by documenting the requirements and processes for registering, appointing and replacing higher degree by research (HDR) supervisors and supporting supervisor performance and professional development.

## 2.0 Scope

This Procedure applies to all staff, affiliate members of the University and individuals external to the University responsible for the management and supervision of HDR candidates.

## 3.0 Procedure

The professional relationship between a supervisor and their candidate is characterised by mutual respect and trust. The supervision of HDR candidates at Griffith University is to be undertaken in a manner consistent with:

- the [Higher Education Standards Framework \(Threshold Standards\)](#)
- the principles of responsible research conduct and responsibilities of researchers set out in the [Australian Code for the Responsible Conduct of Research](#)
- the provisions of [Supervision: a guide supporting the Australian Code of the Responsible Conduct of Research](#)
- the [ACGR Principles for Respectful Supervisory Relationships](#).

HDR supervisors will engage in appropriate ongoing and refresher training to inform their supervisory practice, including their application of University HDR policy and procedure.

### 3.1 HDR supervisory roles

- 3.1.1 A principal supervisor is an academic employee of the University, who will be responsible for ensuring a candidate is aware of all academic, administrative and regulatory requirements they must meet. A principal supervisor will provide leadership to and coordinate the supervisory team. They will ensure a candidate receives appropriate guidance during their project and support towards successful completion of their thesis and its examination.

- 3.1.2 An associate supervisor is an academic employee of the University or a Professor Emeritus, Adjunct or Academic Title Holder who will work with the principal supervisor to support, guide and advise a candidate in the conduct of their research project drawing on their specific research expertise. Any associate supervisor should be involved as soon as practicable in the development of the candidate's research plan and should maintain a level of communication with the candidate and the principal supervisor/s to allow adequate supervision. An associate supervisor will normally act as a principal supervisor where the principal supervisor is unavailable to supervise for a period (refer to section 3.6).
- 3.1.3 An external supervisor may be appointed in one or more of the following circumstances:
- to provide specialist expertise (industry, research or practice-based) required for a candidate's project
  - where the candidate is undertaking their program at or in partnership with another organisation
  - when the candidate is undertaking their program remotely.
- 3.1.4 A co-principal supervisory arrangement is where supervisors share principal supervision responsibilities within a supervisory team more or less equally. In this arrangement, one co-principal will be the administrative co-principal supervisor, with responsibility for candidature administration and the coordination of the supervisory team. In co-principal supervisory arrangements:
- where the co-principal supervisors are from different Academic Groups, the supervisor from the candidate's host Group will be the administrative co-principal
  - where the arrangement includes a transitional supervisor, the accredited supervisor will be the administrative co-principal and will additionally be responsible for ensuring appropriate mentorship is provided to the transitional co-principal
  - where the arrangement includes a Professor Emeritus, Adjunct appointee or Academic Title Holder, the academic staff member will be the administrative co-principal
  - the administrative co-principal will, in consultation with the supervisory team, determine the division of responsibilities between the co-principal roles and inform the candidate at the outset of the supervisory arrangement.

## **3.2 Register of HDR Supervisors**

- 3.2.1 The Griffith Graduate Research School will maintain a register of HDR supervisors. Inclusion on the register is a requirement to be appointed as a principal, co-principal or associate supervisor.
- 3.2.2 The University recognises two categories of HDR supervisor registration: accredited and transitional. Table One details initial registration requirements for each of these categories.

**Table One: Supervisor Registration Requirements**

	<b>Supervisory activity</b>	<b>Qualification</b>	<b>Professional Development</b>
<b>Accredited</b>	Supervised at least one doctoral candidate to successful completion	Doctoral degree or research experience deemed equivalent <sup>1</sup>	Completed the core component of the University's <b>professional development requirements for initial HDR supervisor registration</b> <sup>2</sup>
<b>Transitional</b>	Not yet supervised a doctoral candidate to successful completion	Doctoral degree or research experience deemed equivalent <sup>1</sup>	Completed the University's <b>professional development requirements for initial HDR supervisor registration</b> <sup>2</sup>

- 3.2.3 Application of an exception to any of the requirements detailed in Table One above must be approved by the Dean (Research) based on evidence of research and supervisory performance and/or capability.
- 3.2.4 An individual may be removed from the register of HDR supervisors where they are no longer an employee of the University, a Professor Emeritus, Adjunct appointee or Academic Title Holder.

### 3.3 Maintenance of registration

- 3.3.1 To maintain their registration, HDR supervisors who are staff members of the University will undertake appropriate professional development as agreed to within their Academic Staff Career Development review, and at least once every two years.
- 3.3.2 Participation in supervisor professional development will be monitored through the Academic Staff Career Development cycle by academic supervisors (as defined in the *Academic Staff Career Development Procedures*), with the academic manager accountable. Failure to meet continuing professional development requirements as set out in 3.3.1 may lead to the suspension of the supervisor's registration, with the supervisor restricted from appointment to new supervisory teams.

### 3.4 Appointment of the supervisory team

- 3.4.1 The University allocates all candidates a minimum of two, registered supervisors who are staff members of the University, comprising at least one principal supervisor and either a co-principal or associate supervisor.
- 3.4.2 Eligibility requirements for appointment to each supervisory role are set out in Table 2.

<sup>1</sup> The *Guideline on Equivalence to a Doctoral Qualification: HDR Supervisor Registration* provides the framework by which the University assesses comparability of research experience with a doctoral qualification in an application for HDR supervisor registration.

<sup>2</sup> A staff member who is new to the University will have six months from date of initial registration in which to complete the professional development requirements for HDR supervisor registration as applicable to their category of registration.

**Table Two: Supervisory Role Requirements**

Requirements	Supervisory role			
	Principal supervisor	Co-principal supervisor	Associate supervisor	External supervisor
<b>Minimum registration category for <u>doctoral supervision</u></b>	Accredited registration	Transitional registration	Transitional registration	Registration not required
<b>Minimum registration category for <u>masters (research) supervision</u></b>	Transitional registration	Transitional registration	Transitional registration	Registration not required
<b>Research active requirements</b>	Active in research as determined through the <b>Academic Staff Career Development Framework</b>	Active in research as determined through the <b>Academic Staff Career Development Framework</b>	None	None
<b>Expertise requirements</b>	Producing research outputs in a relevant field of research	Producing research outputs in a relevant field of research	Must have expertise relevant to the candidate's research topic	Industry, practice-based or academic expertise relevant to the candidate's research topic
<b>May be a Professor Emeritus, Academic Title Holder or Adjunct appointee</b>	No – except where approved by the Vice-Chancellor in accordance with the <i>Academic Employment Handbook</i> .	Yes – in addition to two academic staff supervisors, including the other co-principal	Yes – in addition to two academic staff supervisors	Yes

3.4.3 The Dean (Research) is responsible for the appointment of principal, co-principal and associate supervisors to a candidate's supervisory team, on the recommendation of the HDR Convenor. In this appointment, consideration will be given to: the eligibility requirements of supervisory roles as set out in Table Two; and the following aspects of the overall composition of the team so that it:

- reflects the range of discipline expertise required for the project, including industry expertise where appropriate
- ensures sufficient supervisory capacity and resources to provide high-quality support
- ensures continuity of supervisory arrangements for the expected duration of candidature.

- 3.4.4 The HDR Convenor is responsible for the appointment of an external supervisor to a supervisory team. Where a candidate's research project is pursued in the context of a formal agreement with a partner organisation, every effort will be made to appoint an external supervisor associated with this organisation.
- 3.4.5 In making a recommendation to the Dean (Research) to appoint a supervisor, the HDR Convenor will, where necessary, consult the Head of Element to confirm supervisory capacity and that the appointment complies with the relevant requirements in Table Two.
- 3.4.6 If it is foreseeable that the principal supervisor or one of the co-principal supervisors will not be available to provide supervision for the normal duration of the HDR program, suitable arrangements for ongoing supervision must be agreed and will be subject to approval by the Dean (Research) before the candidate commences.
- 3.4.7 Application of an exception to the requirements for appointment set out in 3.4.2 and 3.4.3 must demonstrate significant benefit to the provision of supervisory support for the candidate and will be subject to the approval of the Dean (Research).

### **3.5 Supervisor load allocation**

- 3.5.1 Each academic employee supervisor appointed to a supervisory team is, as part of this appointment, allocated a percentage load based on their role and contribution to the supervision of the candidate.
- 3.5.2 The minimum supervisory load that a principal supervisor (including co-principal) will be allocated is 40%. For a team consisting of two co-principal supervisors, an equal load would normally be allocated, however the Dean (Research) may approve a variation of up to 20% between co-principals. Where there is variation in percentage load between co-principal supervisors, the administrative co-principal will be allocated the greater percentage load. For additional guidance on supervisory load allocation, see the [Griffith Graduate Research School](#) website.
- 3.5.3 Any variation to the requirements set out in 3.5.2 will only be approved where the Dean (Research) is satisfied that that such a variation will best support the candidate through the delivery of high-quality, continuous supervision.
- 3.5.4 At point of supervisor appointment and load allocation, or at any stage during a candidature, the Dean (Research), Group HDR Director or Dean (Academic) may request that the supervisory team provide a supervisory plan, detailing the intellectual, practical and administrative responsibilities of each supervisor.

### **3.6 Continuity of supervision and change of supervisor**

- 3.6.1 When a supervisor agrees to be appointed to a supervisory team, they will plan to be available to supervise of the candidate for the duration of candidature.
- 3.6.2 If a supervisor will be unavailable to supervise for a period of less than six weeks, they will consult the candidate on alternative arrangements, which may include increased supervision from another member of the supervisory team.
- 3.6.3 If a supervisor is aware in advance that they will be unavailable for a period of six weeks or more:
- the supervisor will give reasonable notice of this to the candidate, the HDR Convenor and the other members of the supervisory team so that, in consultation with the candidate, a temporary alternative supervisor can be arranged, where required, and
  - the departing supervisor will continue to supervise until the replacement supervisor has been appointed unless the Dean (Research) waives this requirement.

3.6.4 Candidates may apply for a change to supervisory arrangements at any time by:

- following the process set out on the [Supervision Changes](#) webpage, and
- lodging an online request via myGriffith.

3.6.5 The HDR Convenor will assist a candidate, where required, to arrange a change of supervisor. A HDR Convenor may, in consultation with the candidate, nominate alternative supervisory arrangements for approval by the Dean (Research) where:

- a principal or co-principal supervisor is unavailable for a period of six weeks or more and no alternative arrangements have been made, or
- the supervisory team cease to comply with this Procedure.

While a candidate is arranging an alternative supervisor, they may be granted up to 12 months special leave of absence unless their candidature has not yet been confirmed: confirmation may be postponed for no more than six months.

3.6.6 When supervisory teams are changed, considerations must be given to any changes required to ethics approvals, data management, authorship plans and acknowledgements, and similar arrangements.

### 3.7 Review of supervision performance

3.7.1 The Academic Staff Career Development (ASCD) annual cycle enables reflection on individual's HDR supervisor performance to recognise achievements, provide enabling support and facilitate skills development. Academic managers are responsible for ensuring that HDR supervision is included in performance and career development conversations and for reviewing HDR supervisory performance in accordance with delegated authorities set out in the *Academic Staff Career Development Procedures*. The [Principles to Promote Excellence in HDR Supervision at Griffith University](#) provide guidance on supervisory best practice and the *Code of Practice for the Supervision of Higher Degree Research Candidates* sets out supervisor responsibilities.

3.7.2 The academic manager will raise concerns about an individual's HDR supervisory performance with the individual as soon as practicable after they are identified, consulting with the relevant HDR Convenor, Group HDR Director, Dean (Research) or Dean (Academic) as appropriate, in this process. Intervention strategies to address concerns with supervisory practice may include:

- the supervisor completing relevant developmental activities to redress the issue/s identified
- provision of a mentor
- review of supervision commitments
- temporary restriction of supervisory duties until the basis for the application of the intervention strategy has been resolved
- suspension of supervisor registration.

### 3.8 Conflict of Interest

3.8.1 HDR supervisors must ensure that any conflicts between their personal or private interests and their duties are promptly identified and managed appropriately. Actual, perceived or potential conflicts of interest between supervisors and/or the candidate must be disclosed and managed in accordance with the *Conflict of Interest Policy*. This includes conflicts of interest arising from personal relationships as defined in the *Personal Relationships in the Workplace Policy*.



## 4.0 Definitions

**Academic Managers** are defined in the *Academic Employment Handbook*.

**Adjunct appointees** are affiliate members of the University and not employed as staff of the University in this capacity. Appointment is granted to a person in accordance with the University's *Adjunct, Honorary and Visiting Appointments Policy and Procedure*.

**Affiliates** refer to those persons upon whom the University has conferred the title Professor Emeritus, Adjunct appointees and Academic Title Holders, as affiliate members of the University who are not employed as staff in this capacity.

**Dean (Research)** means the academic staff member who reports to the Pro Vice Chancellor of the Group and is responsible for providing leadership for research within the Group, including foster high quality research training programs.

**HDR Convenor** means the academic staff member who reports to the Head of School who is responsible for managing and supporting research education and training within the School.

The **HDR Director** means the academic staff member who reports to the Dean (Research) of the Group and whose duties may involve deputising for and supporting the Dean (Research) in undertaking responsibilities for research training within the Group.

## 5.0 Information

Title	HDR Supervision Procedure
Document number	2023/0000460
Purpose	This Procedure supports the Higher Degree Research Policy by documenting the requirements and processes for registering, appointing and replacing higher degree by research (HDR) supervisors and supporting supervisor performance and professional development.
Audience	Staff
Category	Academic
Subcategory	Research
Approval date	June 2023
Effective date	1 July 2023
Review date	2026
Policy advisor	Dean, Griffith Graduate Research School
Approving authority	Deputy Vice Chancellor (Research)

## 6.0 Related Policy Documents and Supporting Documents

Legislation	<p>Australian Code for the Responsible Conduct of Research (2018)</p> <p>Supervision: a guide supporting the Australian Code of the Responsible Conduct of Research 2018</p> <p>Higher Education Standards Framework (Threshold Standards) 2021</p> <p>Guidance Note: Research and Research Training</p>
Policy	<p>Academic Titles Policy</p> <p>Adjunct, Honorary and Visiting Appointments Policy and Procedure</p> <p>Conflict of Interest Policy</p> <p>Higher Degree by Research Policy</p> <p>Personal Relationships in the Workplace Policy</p> <p>Responsible Conduct of Research Policy</p> <p>Code of Practice for the Supervision of Higher Degree Research Candidates</p>
Procedure	<p>Academic Employment Handbook</p> <p>Academic Staff Career Development Procedure</p> <p>Equivalence to a Doctoral Qualification: HDR Supervisor Registration Guideline</p>
Local protocol	N/A
Form	Appoint/Change Supervisor online form