PL_AC_023 Higher Degree by Research Supervision Policy

<table>
<thead>
<tr>
<th>Policy Category</th>
<th>Academic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document Owner</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>Responsible Officer</td>
<td>Research Director</td>
</tr>
<tr>
<td>Review Date</td>
<td>October 2021</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Related Documents</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Adjunct and Honorary Appointments Policy  (staff only access)</td>
</tr>
<tr>
<td></td>
<td>Adjunct and Honorary Appointments Procedure  (staff only access)</td>
</tr>
<tr>
<td></td>
<td>HDR Thesis Submission and Examination Procedure  (includes Authorship of Research Guidelines)</td>
</tr>
<tr>
<td></td>
<td>Higher Degree by Research Committee Terms of Reference  (staff only access)</td>
</tr>
<tr>
<td></td>
<td>Research Code of Conduct</td>
</tr>
<tr>
<td></td>
<td>Research Higher Degree Courses Policy</td>
</tr>
<tr>
<td></td>
<td>Research Misconduct Procedure</td>
</tr>
<tr>
<td></td>
<td>Research Student Progress Procedure</td>
</tr>
<tr>
<td></td>
<td>Research Data Management Policy</td>
</tr>
<tr>
<td></td>
<td>Sexual Harassment and Sexual Assault Prevention Policy</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Version</th>
<th>Endorsed by</th>
<th>Authorised by</th>
<th>Approved</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>Academic Policy and Appeals Committee Executive Group</td>
<td>Academic Board</td>
<td>14 September 2018</td>
<td>17 September 2018</td>
</tr>
</tbody>
</table>

1. Context

The Tertiary Education Quality and Standards Agency (TEQSA), Higher Education Standards Framework (HESF) provides guidance under Domain 4.2 for Universities to provide quality research training for all higher degree by research (HDR) students. HESF Section 4.2(3) outlines specific requirements for the people who provide the supervision of HDR students to be appropriately research qualified, experienced and active. This policy describes the responsibilities of Torrens University Australia HDR supervisors and defines the criteria for recognition as an HDR supervisor on Torrens University Australia’s Register of Supervisors.

2. Definitions

Candidates: enrolled HDR students.

Graduate Research Coordinator (GRC): a representative from the academic unit hosting graduate research who act in a coordination role and contact point for research candidates within the academic unit. The coordinator is a member of the Higher Degrees by Research Committee.

Head of an academic unit: the head of the relevant academic unit (usually Dean, Associate Dean or Director of a Research Centre).

Higher Degree by Research (HDR): studies for Masters of Philosophy (AQF level 9) and Doctoral degree qualifications (AQF level 10) (TEQSA, 2018).

Higher Degree by Research Committee (HDR Committee): A sub-committee of the Research Committee that oversees all operational matters relating to HDR students and supervision requiring committee approval.

HDR Supervisor Register: a record of persons who meet the criteria and are subsequently appointed to supervise HDR candidates.

Supervisor: a person appointed to assume accountability for guiding an HDR candidate to completion of their higher degree by research (see Table 1 for categories).
Research active staff: academic staff members with an approved workload allocation to actively engage in generating research outcomes (workload allocation is 20% or higher). Refer to the Schedule of Research Outputs for Classification as Research Active.

Research training: a formal course of postgraduate study that leads to the acquisition of advanced skills, techniques and knowledge in the conduct of research, and requires the production of a substantial original research output such as a thesis.

Table 1: Supervision Categories

<table>
<thead>
<tr>
<th>Supervision Categories</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Supervisor</td>
<td>An employee of the University who has primary responsibility for guiding the progress of a designated HDR candidate.</td>
</tr>
<tr>
<td>Co-Supervision</td>
<td></td>
</tr>
<tr>
<td>• Associate Supervisor</td>
<td>An employee of the University who provides support to the HDR candidate and the Principal Supervisor.</td>
</tr>
<tr>
<td>• External Supervisor</td>
<td>A person who provides support to the HDR candidate and the Principal Supervisor but is external to the University and is not an employee of the University.</td>
</tr>
<tr>
<td>• Provisional Principal Supervisor (PPS)</td>
<td>A person who, under the direction of an appropriately experienced mentor, has primary responsibility for guiding the progress of a designated HDR candidate.</td>
</tr>
<tr>
<td>Supervisory Panel</td>
<td>A panel consisting of a combination of supervisory roles with at least two members (including the principal supervisor and at least one co-supervisor) which oversees the planning and execution of the project and preparation and submission of the thesis.</td>
</tr>
</tbody>
</table>

See Section 6 for Eligibility criteria for each category.

N.B. All HDR supervisors must hold an academic position within the University including an appointment as a permanent or fixed-term employee, an adjunct, or casual position (the casual supervisor is paid an annual fixed rate for supervision).

3. Scope

This policy is designed to provide guidelines for supervisory panels, to ensure all HDR candidates receive quality supervision that meets principles of good practice during their candidature (see Section 4).

The policy applies to all persons with responsibilities for candidates enrolled in the University’s higher degree by research (HDR) courses including:

- university staff members who supervise or seek to supervise HDR candidate/s and people appointed as external supervisors
- university staff members appointed or acting in the role of Graduate Research Coordinator
- staff members of the University’s Research Office
- heads of Academic Units
- HDR candidates.
4. Principles

The Australian Code for the Responsible Conduct of Research, section 4.2(3) of the HESF and the ACGR, Graduate Research Good Practice Principles inform the supervision of HDR students at the University.

The University adheres to the following principles:

- supervisors must hold a relevant qualification as detailed in this policy or have approved equivalent research experience
- supervisors are expected to be research active to ensure a sound understanding of current scholarship and/or professional practice in the discipline
- supervision is appropriately attributed and recognised as a specialised workload-bearing academic function that has educational and research dimensions
- when appointing supervisors, the University considers the expertise of the person, the duration of their appointment, other work tasks and any conflict of interest or privileged relationships
- offers of candidature for HDR courses are dependent upon the availability of appropriate supervision
- supervisors are required to engage with University-nominated professional development opportunities to maintain registration
- supervision is the responsibility of the host Academic Unit (Vertical or Research Centre).

5. Supervision requirements

HESF 2015 section 4.2(3) states that each research candidate is to be supported by continuing supervisory arrangements, including:

- a principal supervisor who holds a doctoral degree (AQF level 10 research qualification), or has equivalent research experience, and who is active in research and publishing, or otherwise making original contributions to a relevant field or discipline
- at least one co-supervisor with relevant research expertise and
- the principal supervisor is a member of the provider’s staff, or has a relevant adjunct appointment, or is otherwise formally contracted and accountable to the provider for supervisory duties.

At Torrens University Australia (University), all HDR candidates are allocated a supervisory panel consisting of a Principal Supervisor and at least one co-supervisor.

Note: All HDR supervisors must hold an academic position within the University including an appointment as a permanent or fixed-term employee, an adjunct, or casual position (the casual supervisor is paid an annual fixed rate for supervision).

6. Supervisory registration

At Torrens University Australia, supervisors must hold an academic position within the University and meet the minimum standards for inclusion on the University’s Register of Supervisors.

- All applicants for inclusion on the Register of Supervisors should hold an AQF level 10 qualification (Doctoral Degree) in a relevant discipline or be able to demonstrate equivalent research experience to the satisfaction of Higher Degree by Research (HDR) Committee. Applicants who do not hold the equivalent or higher qualification required may contribute to supervision as part of a supervisory panel but may not undertake the role of principal supervisor.
• All supervisors must demonstrate a track record of research in a relevant discipline to the candidate’s research topic and be research active according to the University’s definition (See Schedule of Research Outputs for Classification as Research Active).
• All HDR supervisors must attend supervisor training as specified by the University or provide evidence of equivalent prior training.
• Any external supervisor should make a commitment for the ongoing period of candidature.
• University staff members who leave the University during the candidature of an HDR student may remain on the supervisory panel if approved by the HDR Committee.

The Research Office monitors eligibility for admission to the Supervisory Register. The Research Director assesses and approves applications for supervisor registration. A person will be routinely removed from the Supervisor Register when that person:
• is no longer actively affiliated with the University, or
• has not supervised an enrolled candidate for a period of three continuous years.

Applicants must meet the criteria listed below for recognition within a specific category on the Register of Supervisors (see Table 1). The HDR Committee must approve all exceptions.

6.1 Principal Supervisor

The Principal Supervisor must:
• have supervised at least one HDR candidate to successful completion
• have research and/or professional expertise appropriate to the candidate’s research topic
• be currently research active, and
• have agreed in consultation with the candidate to undertake the roles and responsibilities of a Principal Supervisor.

6.2 Provisional Principal Supervisor

The Provisional Principal Supervisor (PPS) category is intended primarily for disciplines in the process of developing supervisory capacity. The PPS will contribute disciplinary expertise while the mentor, an experienced Principal Supervisor, offers supervisory mentorship.

6.3 Associate Supervisor

The Associate Supervisor must:
• preferably be a member of the Academic Unit in which the candidate is enrolled
• have research and/or professional expertise appropriate to the candidate’s research topic
• be currently research active, and
• agree to be mentored by a registered Principal Supervisor.

6.4 External Supervisor

The External Supervisor must have an equivalent or higher degree to the degree being supervised. This requirement may be waived where the external supervisor is from an industry partner or has the specific expertise of benefit to the HDR candidate’s project. The External Supervisor will agree to work in consultation with the registered Principal Supervisor.
7. Responsibilities

7.1 University responsibilities
The University’s main responsibility is to provide an appropriate research training policy framework relating to supervision and research training including:

- provision of policies and procedures supporting supervision and research training
- adherence to the Higher Education Standards Framework (HESF) on Research Training (Domain 4.2)
- maintenance of a Register of Supervisors
- progressions reporting and review mechanisms throughout the candidature
- ongoing professional development opportunities for academic staff about supervisory practice
- development opportunities HDR candidates about research and professional skills development
- providing mechanisms for dispute resolution by which either the HDR candidate or the supervisor may make representations as appropriate, should significant difficulties arise.

7.2 Responsibilities of the Academic Units
The Academic Unit must provide a supportive research training environment to assist HDR candidates in the completion of their degree. Supervision is the responsibility of the host Academic Unit (Faculty or Research Centre). Academic units are expected to:

- review an HDR applicant’s research proposal and nominate a potential supervisory panel
- periodically review supervisory appointments and ensure that there are at least two registered supervisors providing supervision for the duration of each candidature
- provide candidates with facilities such as desks, computer access and necessary resourcing for the conduct of the research project
- determine coursework or alternative development activities required by individual candidates, after consultation with the relevant research supervisors
- appoint a Graduate Research Coordinator (GRC) who will act in a coordination role and contact point for research candidates within the Academic Unit, sit on the HDR Committee, and who will identify potential issues or problems as early as possible to notify the HDR Committee
- adhere to the University’s policies and procedures supporting research, supervision and research training including recognition of supervisory responsibilities in workload calculations.

7.3 Supervisory panel responsibilities
The supervisory panel is responsible for assisting the HDR candidate with:

- designing a sound research proposal, a comprehensive research plan and monitoring candidate performance in the conduct of the research relative to meeting the agreed thesis milestones and timely completion of progression reports (as per Research Student Progress Procedure)
- monitoring the standard of work required for the HDR course
- ensuring the research progresses at a pace that is achievable within the allowed timeframes and that it makes a substantial contribution to new knowledge within the discipline
- developing a publication and conference plan for dissemination of research findings
- providing advice on the acquisition of a range of research and other skills as appropriate to the discipline and the background of the candidate
- ensuring that the HDR candidate has a comprehensive understanding of their responsibilities and the expectations of the supervisory panel
- advising the candidate promptly of unsatisfactory progress about any aspect of the research activity, the agreed milestones or deadlines, or any issue considered to interfere with satisfactory completion of the research degree
7.4 Candidate responsibilities

The primary responsibility for the active engagement with and completion of the research is the responsibility of the HDR candidate. Candidates are expected to:

- work semi-independently on the conduct of research
- adhere to norms for research as defined by the relevant discipline methodology
- select an appropriate methodology and relate their project to the body of existing research literature and outputs
- arrange supervisory panel meetings, strive to meet milestones and submit progress reports
- be familiar with the Australian Code for the Responsible Conduct of Research
- appreciate the ethical implications and requirements of their research project
- establish networks in their field and generally become well socialised to international norms and approaches to research within their discipline
- complete HDR Orientation (within three months of commencement) and any further nominated training activities
- adhere to the University’s policies and procedures supporting research and research training.

8. Supervisory relationship

Candidates should, in consultation with their supervisory panel, develop a candidate/supervisor agreement which is reviewed regularly or at a minimum at each progression report meeting. HDR candidates should keep a record of each meeting to distribute to the supervision panel.

If a situation arises where either the HDR candidate or a supervisor feels that a change in the supervision panel is in the best course of action, then either party may request a change in supervision. Refer to the HDR Supervision Procedure for the procedure for requesting changes to supervisory arrangements or for addressing complaints impacting on the supervisory relationship.

A person must not be appointed nor remain as a supervisor or co-supervisor of a candidate if that appointment or its continuation gives rise to a situation in which the candidate feels harassed, bullied, intimidated, humiliated, ignored or isolated as described in the University’s Student Conduct and Staff Fair Treatment policies as well as the Sexual Harassment and Sexual Assault Prevention Policy.

9. Schedule for the minimum threshold of research experience

Refer to appendix 1 of this policy.

10. Acknowledgements

Candidature policies and procedures from a range of Australian universities were reviewed, and related policy documents from the following universities are gratefully acknowledged:

- Edith Cowan University
- Federation University
11. References


APPENDIX 1: Schedule of Research Outputs for classification as Research Active

1. Introduction

A Torrens University Australia staff member is considered to meet the threshold of research activity for the purposes of eligibility to the Register of Supervisors if they can demonstrate that they have, in the three (3) years prior to their application for admission or re-admission, amassed a total of at least **4 output points** from the table below (at least 50% of points must be derived from Categories 1 and/or 2 and/or 3). Please note this is a minimum. These category measures are aligned to the Torrens University Strategic Research Plan (2018-2023).

2. Context

The Tertiary Education Quality and Standards Agency (TEQSA), Higher Education Standards Framework (HESF) 2015 replaced the Higher Education Standards Framework 2011 for regulatory purposes on 1 January 2017. Research and Research training standards are encompassed in Domain 4.1-4.2. The HESF require research training to occur in an environment of research/scholarly/creative activity (such as on-going projects within a community of scholars, leading to research publications in relevant fields) with adequate resources and with competent continuing supervisory arrangements as specified by the Standards. Section 4.2(3) defines the standards for continuing supervisory arrangements for HDR candidates including 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. The HESF require that HDR supervisors must be ‘research active’. This schedule provides an objective definition of research active for eligibility for the research supervisor register.

N.B It is the responsibility of all Academic Units to monitor the relevance of the research outputs to the area of supervision.
3. Research Outputs Schedule

*Please ensure description of outputs are included in your CV submitted with your application.

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Points per</th>
<th>My Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Points for meeting the requirements of ERA and LEAF Guidelines:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Research Book</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chapter in Research Book</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refereed Q1 Journal Article (regardless of author position)</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refereed Journal Article (regardless of author position)</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refereed Conference Papers</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refereed Conference Abstract or Poster</td>
<td>0.5</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Equivalent designs or creative works</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Major exhibition/performance of creative works</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>ERA 2018 Submission Guidelines</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Points for meeting the requirements of HERDC:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Award of a Category 1 research grant (i.e. from a scheme listed on the Australian Competitive Grants Register as either Lead or Co-investigator)</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Award of Category 2, 3, or 4 research grants of total value greater than $10,000 as either lead or co-investigator:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Less than $100,000 total</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Greater than $100,000 total</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>2018 HERDC Specifications</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Points for research training</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Supervised to successful completion, as a co-supervisor, a research higher degree student</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Supervised to successful completion, as principal supervisor, a research higher degree student</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Points for Scholarship</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Membership of editorial board(s); regardless of number</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Refereeing of papers (regardless of number)</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Points for Industry Collaboration</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>For Industry Partnerships see Category 3 grants above</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Individuals may submit an engagement narrative as per <strong>Appendix F EI 2018 Submission Guidelines</strong></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Appendix F EI 2018 Submission Guidelines</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

TOTAL POINTS

4. Exemptions

Staff who believe they are able to demonstrate that they qualify for admission to the Register of Supervisors but are unable to meet the requirements as specified above may make an application for exemption to the Director of Research under the provisions listed below:

- New staff who have been employed for less than three years may negotiate their level of research achievement.
- Qualifying research Outputs for staff employed by the University for less than five years will include
recognised Outputs produced and reported at another institution.

- Early Career Researchers, appointed at level A or B, and who have been awarded their PhD within the past three years.

5. Acknowledgements
The research outputs have been determined by reference to Excellence in Research Australia (ERA 2018) specifications as well as benchmarking against other Australian Universities. In particular we would like to acknowledge Federation University who inspired the table format of the schedule.