Procedure:

Higher Degree by Research Supervision

Effective: 29 November 2023

Audience: staff and students

Policy category: academic
Policy sub-category: research

Key words:	Supervision, Research, Thesis
Procedure Owner:	Pro Vice Chancellor Research
Responsible Officer:	National Director Research
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Fremantle Broome Sydney

Contents

1. PURPOSE

1.1. This procedure supports the *Policy: Higher Degree by Research Supervision* by stating requirements for supervision of higher degree by research (HDR) students. This procedure should be read alongside that policy.

2. SCOPE

2.1. This procedure covers the composition, registration, and responsibility of higher degree by research (HDR) supervisors.

3. SUPERVISORY TEAM

3.1. Approval of HDR supervisory teams

3.1.1. When an HDR student is admitted, the National Head of School of the School where the HDR student is enrolled will propose the supervisory team for approval by the Pro Vice-Chancellor Research.

3.1.2. The inclusion of each staff member on a supervisory team must be supported by their respective line manager (e.g., National Head of School, Institute Director, Executive Dean) in accordance with the provisions of the *Academic Workload Model.*

3.1.3. Each supervisory team consists of a Principal Supervisor and at least one Associate Supervisor. Minimum supervision load for Principal and Associate Supervisors is 20%. Normally, supervision teams will comprise at least two supervisors based at the University (academic staff member or adjunct).

3.1.4. Principal Supervisors will normally be employed as academic staff members at the University. Adjunct staff members may be considered in accordance with clause 3.1.12.

3.1.5. Associate Supervisors must be employed as academic staff members at the University, or as adjunct staff members.

3.1.6. Persons external to the University can be Associate Supervisors, with appropriate justification and the approval of the National Head of School of the School where the HDR student is enrolled and the Pro Vice-Chancellor Research.

3.1.7. The supervisory team may also include persons external to the University as Advisors, for example, Industry Advisors, or other External Advisors such as, cultural advisors and/or academic advisors at another institution (see section 4.1.3 for eligibility criteria).

3.1.8. There will normally be at least one supervisor on the supervisory team who is an academic staff member in the School where the HDR student is enrolled. In some circumstances (for example, HDR supervisors from Institutes or different Schools), Principal or Associate Supervisors may not be staff members in the same School or Faculty where the HDR student is enrolled.

    3.1.8.1. In such cases, supervisors must adhere to the practices of the School where the HDR student is enrolled and the relevant Faculty, working collaboratively with the National Head of School, Associate Dean Research and Postgraduate Research Coordinator.

3.1.9. Principal and Associate Supervisors must be currently registered as a supervisor of HDR students at the University (see sections 4.1.1 and 4.1.2 for eligibility criteria).

3.1.10. The supervisory team must

    3.1.10.1. have research expertise relevant to the field of research and/or the proposed research methodology of the HDR student's research project, and

    3.1.10.2. have the capacity to supervise for the duration of candidature (see section 3.2).

3.1.11. Research projects that involve working on Indigenous topics, with Indigenous people, and/or with Indigenous data and knowledges must have at least one person on the supervision team who is an Indigenous researcher or who is experienced in Indigenous research.

3.1.12. The Pro Vice-Chancellor Research may approve supervision arrangements outside the above requirements upon request and with appropriate justification.

3.2. Continuity of supervision

3.2.1. A typical supervision load should not exceed three equivalent full-time student loads or five HDR students.

3.2.2. Where the supervision load for a staff member nominated to be a Principal or Associate Supervisor would exceed a typical supervision load if their nomination was approved, an assessment of their capacity to provide continuity of supervision is made by their line manager (e.g. National Head of School, Institute Director, Executive Dean) and a justification provided to the Pro Vice-Chancellor Research. This assessment will consider their:

    3.2.2.1. proposed contribution to the supervisory team,

    3.2.2.2. current academic workload allocation for teaching, research and administrative responsibilities, and

    3.2.2.3. track record of timely HDR student completions.

3.2.3. Where a Principal Supervisor will be absent from the University for more than six consecutive weeks, and the existing supervisory team cannot provide adequate supervision during their absence, the Pro Vice-Chancellor Research will appoint an acting Principal Supervisor on the advice of the National Head of School of the School where the HDR student is enrolled.

    3.2.3.1. In such cases, the Principal Supervisor must contact the Research Office to provide advice on how the HDR students will be supported while they are on extended leave.

3.2.4. The Director of Research Office, under the delegation of Pro Vice-Chancellor Research may approve changes to a supervisory team on the recommendation of the National Head of School of the School where the HDR student is enrolled.

3.2.5. Where the existing supervisory team cannot provide supervision, an alternate supervisory team may be nominated by the Pro Vice-Chancellor Research on the advice of the National Head of School of the School where the HDR student is enrolled.

4. SUPERVISOR ELIGIBILITY AND REGISTRATION

4.1. HDR supervisor eligibility

4.1.1. To be eligible for registration as a Principal Supervisor of HDR students, a person must:

4.1.1.1. be currently employed by the University as a staff member in an academic appointment,

4.1.1.2. hold a doctoral degree or have been assessed as having a combination of qualifications and/or research experience equivalent to holding a doctoral degree in accordance with the *Procedure: Qualifications and Equivalence of Experience for Staff Teaching or Supervising Higher Education Programs*,

4.1.1.3. be research active with evidence that in the past three years they have produced high quality ERA-reportable research outputs and/or secured significant HERDC-reportable research income where the University is an Administering Institution (grant, industry, or donor),

4.1.1.4. have completed the mandatory section of HDR supervisor training at UNDA within the previous three years, and

4.1.1.5. have supervised at least one HDR student to successful completion.

4.1.2. To be eligible for registration as an Associate Supervisor of HDR students, a person must:

4.1.2.1. be currently employed by the University either as a staff member in an academic appointment, an adjunct staff member or an approved person external to the University (in exceptional circumstances),

4.1.2.2. hold a doctoral degree or have been assessed as having a combination of qualifications and/or research experience equivalent to holding a doctoral degree,

4.1.2.3. be research active with evidence that in the past three years they have produced high quality ERA-reportable research outputs and/or secured significant HERDC-reportable research income where the University is an Administering Institution (grant, industry, or donor), and

4.1.2.4. have completed the mandatory section of HDR supervisor training at UNDA within the previous three years.

4.1.3. To be eligible for registration as an External or Industry Advisor, a person must:

4.1.3.1. not be currently employed by the University either as a staff member in an academic appointment or as an adjunct staff member, and

4.1.3.2. have broad and deep understanding and competence in terms of knowledge and skill through education and/or professional experience in a particular field or industry.

4.2. HDR supervisor registration

4.2.1. The Pro Vice-Chancellor Research will approve staff for registration as an HDR student supervisor on the recommendation of their line manager (e.g. National Head of School, Institute Director, Executive Dean) in consultation with the Associate Dean Research.

4.2.2. The Research Office will maintain the register that records details of HDR supervisors approved for registration.

4.2.3. The categories of registration as a HDR supervisor or advisor are:

4.2.3.1. Category 1 - able to be a Principal or Associate Supervisor (refer to 4.1.1),

4.2.3.2. Category 2 - able to be an Associate Supervisor (refer to 4.1.2),

4.2.3.3. Category 3 – External Advisor who is an academic or person external to the University and able to provide expert advice, and

4.2.3.4. Category 4 – Industry Advisor who is an industry-based person external to the University and able to provide expert advice.

4.2.4. Registration for categories 1 and 2 is valid for three years from the time the supervisor completes the HDR supervisor training as defined above. The registration lapses automatically after this time, and supervisors must complete training on time to maintain the registration.

4.2.5. Registration for categories 3 and 4 requires External and Industry Advisors to agree that they will abide with the *Policy: Higher Degree by Research Supervision* and *Procedure: Higher Degree by Research Supervision*.

4.2.6. The Pro Vice-Chancellor Research may approve registration of supervisors outside the above requirements upon request and with appropriate justification.

4.2.7. De-registration may occur:

4.2.7.1. when the supervisor does not complete the HDR supervisor training as defined above by the registration expiry date,

4.2.7.2. when the supervisor leaves the University, or

4.2.7.3. in the case of supervisor misconduct or performance issues, as requested by the National Head of School of the School where the HDR student is enrolled.

5. ROLES AND RESPONSIBILITIES

5.1. All supervisors must:

5.1.1. provide relevant knowledge and research expertise for the HDR student's project to assist with progress, thesis examination preparation and review, and timely completion,

5.1.2. ensure that HDR student research and research training are conducted in accordance with the *Code of Conduct: Research* and all other relevant University regulations, policies and procedures,

5.1.3. ensure that HDR students, demonstrate development of research and transferable skills with graduate attributes relevant to learning outcomes as stated in the applicable program requirements document, and

5.1.4. maintain their supervisor registration and develop their supervision skills on an ongoing basis by participating in university supervision training programs and practicing supervision.

5.2. Principal Supervisors, in addition to the responsibilities in 6.1 above, are responsible for:

5.2.1. providing primary academic oversight for an HDR student's research project to completion,

5.2.2. coordinating the supervisory team and guiding Associate Supervisors, and

5.2.3. ensuring that the HDR student

5.2.3.1. understands their rights and responsibilities as stated in university regulations, policies and procedures, and

5.2.3.2. receives advance notice of any period of supervisor absence during candidature and that suitable alternative supervisory arrangements are made.

5.3. Associate Supervisors, in addition to 6.1 above, will:

    5.3.1. ensure continuity of supervision during any period of absence of the Principal supervisor, and

    5.3.2. work with the Principal Supervisor to ensure that the HDR student understands their rights and responsibilities as stated in university regulations, policies and procedures.

5.4. National Heads of School will:

    5.4.1. oversee the academic progress of candidates and changes to their research proposals and supervisory teams,

    5.4.2. manage processes for nomination of HDR student supervisory teams, and

    5.4.3. ensure adequate continuing supervision when any member of the supervisory team is absent for an extended period

5.5. Line managers will:

    5.5.1. monitor and approve staff workloads associated with HDR student supervision within the provisions of the *Academic Workload Model.*

5.6. Postgraduate Research Coordinators will:

    5.6.1. assist the Associate Dean Research by managing HDR matters within the National School or Faculty, providing regular updates over the lifecycle of HDR candidature, and

    5.6.2. act as a point of contact for prospective HDR student enquiries

5.7. Associate Deans Research will make recommendations to the Pro-Vice Chancellor, Research about:

    5.7.1. HDR student supervisory teams,

5.8. The Research Office is responsible for:

    5.8.1. managing the implementation of the policy and procedures relating to supervision of HDR students,

    5.8.2. ensuring that supervisors are provided with information about University policies and procedures relating to research and research degree supervision,

    5.8.3. maintaining the register that records details of HDR supervisors approved for registration, and

    5.8.4. coordinating the approval of nomination or change of supervisors.

  5.9. The National Director Research Office will:

    5.9.1. ensure the University is compliant with higher education sector standards and government reporting, and

    5.9.2. approve changes to supervisory teams.

5.10. The Pro Vice-Chancellor Research will:

    5.10.1. appoint HDR student supervisory teams.

6. RELATED DOCUMENTS

6.1. This procedure should be read in conjunction with any relevant regulations, codes, policies and

procedures including the following:

6.1.1. *Policy: Higher Degree by Research Supervision*

6.1.2. *Procedure: Higher Degree by Research Candidature*

6.1.3. *Code of Conduct: Research*

6.1.4. *Code of Conduct: Students*

6.1.5. *Employee Code of Conduct and Ethical Behaviour*

6.1.6. *Policy: Ethics Approval for Research Involving Human Participants*

6.1.7. *Procedure: Nomination of Thesis Examiners for a Higher Degree by Research*

6.1.8. *Policy: Research Data Management*

6.1.9. *Policy: Intellectual Property*

6.1.10. *Policy: Student Appeals*

6.1.11. *Procedure: Student Grievance*

6.1.12. *Procedure: Intervention Strategy*

6.1.13. *Policy: Adjunct, Clinical Academic and Visiting Appointments*

6.1.14. *Policy: Sexual Assault and Sexual Harassment*

6.1.15. *Procedure: Disclosing Sexual Assault and Sexual Harassment*

6.1.16. *Guideline: Format and Presentation of a Research Proposal for a Higher Degree by Research*

6.1.17. *Guideline: Presentation and Submission of Research Theses*

6.1.18. *Guideline: Thesis by Publication*

6.1.19. *General Regulations*

6.1.20. *Policy: Admission and Credit*

6.1.21. *Procedure: Admission*

6.1.22. *Australian Code for the Responsible Conduct of Research 2018*

6.1.23. *Supervision: A guide supporting the Australian Code for the Responsible Conduct of Research*

6.1.24. *Australian Graduate Research Good Practice Principles*

6.1.25. *Education Services for Overseas Students Act 2000*

6.1.26. *National Code of Practice for Providers of Education and Training to Overseas Students 2018*

6.1.27. *Australian Council of Graduate Research Conflict of Interest Guidelines*

6.1.28. *National Health and Medical Research Council Conflict of Interest Guide*

6.1.29. *Universities Australia Principles for Respectful Supervisory Relationships*

7. DEFINITIONS

7.1. For the purpose of this procedure, the definitions outlined in the *Policy: Higher degree by Research (HDR) Supervision* apply.

7.2. The following additional definitions apply to this procedure:

Principal Supervisor means an HDR student supervisor with the responsibilities stated in clauses 5.1 and 2.2.

Associate Supervisor means an HDR student supervisor with the responsibilities stated in

clauses 5.1 and 5.3.

External Advisor means an academic or person external to the University with the responsibilities stated in clause 4.1.3

Industry Advisor means an industry specialist external to the University with the responsibilities stated in clause 4.1.3

Version	Date of approval	Approved by	Amendment
1	29 November 2023	Vice Chancellor	New procedure replacing the *Procedure: Supervision and Candidacy Process for Higher Degree by Research (HDR) Students* and the rescinded *Research Regulations*.