Procedure: Higher degree by research – supervision

Purpose

This document provides support to the Higher Degree by Research: Supervision Policy and outlines typical processes undertaken during HDR candidature including:

- Roles and Responsibilities of members of supervisory panels
- Appointment of Panels and Absences

Procedure

1.   This procedure is drafted in conjunction with the Research Awards Rules.

Composition of panel

2.   A supervisory panel comprises a Chair of Panel, Primary Supervisor, and other Associate Supervisors.

3.   The Chair of Panel and Primary Supervisor may be the same person.

4.   A Supervisory Panel is a minimum of three members for a PhD candidate or professional doctorate candidate and at least two members for an MPhil.

Chair of panel

5.   The Chair of Panel is responsible for coordinating administrative aspects of a candidate's program including overseeing that appropriate support and resources are provided to candidates, calling meetings of the supervisory panel, and ensuring that the conduct of candidature is aligned with the University's Research Awards Rules and HDR Policy Framework.

6.   The Chair of Panel:

a. holds a Doctor of Philosophy or a combination of qualifications and professional experience that the Delegated Authority considers equivalent; and

b. is a member of the academic staff of the University employed by the University full-time or part-time on at least a 50% basis or, if the Delegated

Authority approves in writing in the particular circumstances of the case, an Emeritus Professor of the University.

7.   With the approval of the Associate Dean a Delegated Authority may appoint a Chair of Panel who does not meet these requirements, including an individual external to the University, where it provides significant benefit to the supervisory panel, such as specialist expertise or relevant external knowledge.

Primary supervisor

8.   The role of the Primary Supervisor is to provide primary academic oversight of the major research aspects of a candidate's program. The Primary Supervisor monitors the quality of a candidate's work, identifies relevant skills training that may be required by the candidate for successful candidature, identifies relevant ethics approvals that may be required and assists the candidate with submission of ethics applications, and carries primary responsibility in supporting the completion of candidature within the University's timeframes.

9.   The Primary Supervisor:

   a. holds a Doctor of Philosophy or a combination of qualifications and professional experience that the Delegated Authority considers equivalent; and

   b. is a member of the academic staff of the University employed by the University full-time or part-time on at least a 50% basis or, if the Delegated Authority approves in writing in the particular circumstances of the case, an Emeritus Professor of the University; and

   c. is actively carrying out research and publishing in a relevant discipline area.

10.   With the approval of the Associate Dean a Delegated Authority may appoint a Primary Supervisor who does not meet these requirements, including an individual external to the University, where it provides significant benefit to the supervisory panel, such as specialist expertise or relevant external knowledge.

11.   An individual cannot be the Primary Supervisor for more than six students unless the Delegated Authority has given explicit approval for a higher number having regard to disciplinary norms of collaborative research approaches and the demonstrated completions of the individual.

12.   If a Primary Supervisor is absent from the University for four weeks or more, another member of the panel for that candidate normally assumes the responsibility of Primary Supervisor for the specified period.

Associate supervisor

13.   The role of an Associate Supervisor is to provide additional advice and

expertise for a candidate with regards to their research. Support is provided through communications throughout the year at agreed timeframes, including attending panel meetings at least twice a year, and during relevant milestone considerations. The level of support provided is variable depending on the stage of candidature and the agreed needs of the candidate.

14. An individual appointed as an Associate Supervisor:

   a. holds full or adjunct academic status in the University: or

   b. is an Emeritus Professor or Emeritus Fellow of the University; or

   c. holds a recognised honorary academic status in the University.

15. With the approval of the Associate Dean a Delegated Authority may appoint a person as an Associate Supervisor who does not meet these requirements, including an individual external to the University, where it provides significant benefit to the supervisory panel, such as specialist expertise or relevant external knowledge.

Appointment of panel and absences

16. The appointment of a supervisory panel is undertaken by the Delegated Authority, with regard to the eligibility requirements for individual roles and the following aspects of the overall composition of the panel:

   a. Appropriate disciplinary and interdisciplinary expertise

   b. Ensuring appropriate experience on the panel through demonstrated success in previous HDR completions

   c. Continuity of supervisory arrangements for the duration of the expected candidature; and

   d. Assisting early career academics to develop their supervisory skillset.

17. An individual who does not satisfy the criteria to hold the relevant position on a supervisory panel may only do so if the appointment is approved by the both the Delegated Authority and Associate Dean.

18. The Delegated Authority does not normally appoint a member of the panel, whether or not that member meets the criteria specified or is requesting an exemption, where:

   a. The individual has not been awarded a PhD, whether or not they are studying towards one; or

   b. The Delegated Authority is aware that individual is currently the subject of an investigation for research misconduct or disciplinary matter; or

c. The Delegated Authority is aware of a conflict or perceived conflict of interest between the individual and the candidate or another appointed panel member; or

d. There are known issues with supervisory capability that are not resolved; or

e. The individual has a fixed term appointment that may result in a negative impact on their ability to perform the required responsibilities over the course of the student's candidature, and this is not mitigated by other members of the panel.

19.   Prior to the appointment of a Chair of Panel or Primary Supervisor, the Delegated Authority holds responsibility for overseeing candidature.

20.   A Chair of Panel is appointed within one month of a candidate commencing unless an exception is approved by the Delegated Authority.

21.   A full panel is appointed within three months of a candidate commencing unless an exception is approved by the Delegated Authority.

22.   In instances of unplanned inability to supervise for more than four weeks or for an indefinite period, departure of the staff member from the University, or a breakdown in the supervisory relationship, a revised panel is appointed within 20 working days of the Delegated Authority becoming aware of the matter, or within an alternate timeframe as reasonably determined by the Delegated Authority.

23.   In the event of a change to the student's panel, whether through departure of a staff member or other change, the Delegated Authority ensures that the candidate either has a Primary Supervisor or Chair at all times, or the Delegated Authority or nominee acts as a provisional Primary Supervisor. This ensures that undue disruption to candidature does not occur.

24.   A person in a supervisory role who is aware they will be unable to perform their responsibilities for more than four weeks informs the Chair of Panel, within 10 working days of becoming aware.

25.   A Chair of Panel who is aware they will be unable to perform their responsibilities for more than four weeks informs the Delegated Authority, within 10 working days of becoming aware.

Document information

Title	Higher degree by research - supervision
Document Type	Procedure
Document Number	ANUP_012813
Version	1
Purpose	This document provides support to the Higher Degree by Research: Supervision Policy and outlines typical processes undertaken during HDR candidature.
Audience	Students-Graduate-Coursework, Staff-Academic-Research
Category	Academic
Topic	Students
Subtopic	Higher Research Degrees
Effective Date	1 Jan 2016
Review Date	1 Jan 2019
Responsible Officer	Dean, Higher Degree Research (dean.hdr@anu.edu.au)
Approved By	Deputy Vice-Chancellor (Research and Innovation) (dvc.research@anu.edu.au)
Contact Area	Office of the Dean, Higher Degree Research (dean.hdr@anu.edu.au)
Authority	Research Awards Rule 2017
Printed On	25 Jun 2019

Please ensure you have the latest version of this document from the Policy Library website before referencing this.