

Higher Degree Research Supervision Policy

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1. PURPOSE

Australian National Institute of Management and Commerce (IMC) is committed to providing Higher Degree Research (HDR) students with an excellent research training experience. Quality supervision is a key element of that experience. IMC provides students with appropriately qualified and trained supervisors in order to ensure successful learning outcomes and timely completion of higher degree research. The purpose of this policy is to recognise, encourage, support, and develop best practice supervisory practice. In addition, the policy provides guidance to students in negotiating the details of research supervision. The policy outlines supervisory arrangements, the roles and responsibilities of supervisors and the responsibilities of HDR students.

2. SCOPE

This policy applies to students enrolled in Higher Degree Research at IMC and to academic and administrative staff involved with supervision of those students.

3. DEFINITIONS

Candidature means the duration of enrolment in a HDR program at IMC.

Associate Supervisor is a staff member who has been approved for inclusion on the Register of Supervisors, and who in conjunction with the Principal Supervisor is responsible for the guidance and supervision of a HDR student.

Higher Degree Research and Scholarship Committee (HDRSC) is a managerial body responsible for IMC's higher degree research programs delivery and other research and scholarly activities.

Principal Supervisor - A staff member of IMC who meets the requirements of and has been approved for inclusion on the Register of Supervisors as a Principal Supervisor and has primary oversight of a HDR candidate's research.

Higher Degree Research (HDR) are degrees offered by IMC that include Masters' Degree (Research) and Doctor of Philosophy (PhD).

4. PROCEDURES

4.1 Supervisory Arrangements

Provision of Supervisors

Higher Degree Research students at IMC are provided with a designated supervision team of appropriately qualified and trained supervisors for mentoring at all stages of the research process. (See IMC's *Minimum Resources for Higher Degree Research Students Policy* for other provisions including workspace and access to resources). Supervisors are appointed by the Higher Degree Research and Scholarship Committee (HDRSC). Supervision consists of a principal supervisor and at least one associate supervisor. The Principal Supervisor must have previously supervised to successful completion at least one candidate. Associate supervisors who supervise to successful completion at least one candidate can become Principal Supervisors. All Supervisors must be listed on the Register of Higher Degree Research Supervisors which is maintained by the HDRSC. Principal Supervisors must normally be members of IMC Academic staff and must have as a minimum qualification the degree which they are supervising. Further detail on the appointment of higher degree research Supervisors is contained in the IMC *Higher Degree Research Registration and Roles of Supervisors Policy*.

Supervisory Agreements

Once candidates have accepted an offer and enrolled, they must contact the Principal Supervisor and agree on a time for Formal Induction. Both parties must sign off when the induction has occurred and forward detail to the Chair of the HDRSC. The induction process will involve the signing of a contractual agreement between parties and documentation of a regular communication schedule during candidature which involves a minimum of six-monthly progress reports.

4.2 Roles and Responsibilities of Supervisors

A supervisory team will comprise a Principal Supervisor, who contributes at least 60% of the supervision, together with one or more Associate Supervisors.

Principal Supervisors:

- a. Must be registered at the Principal Supervisor Level;
- b. Are the main point of contact for the HDR student academically and administratively;
- c. Meet regularly with the student to discuss progress being made. Meetings will occur no less frequently than once per month, but at important times during the candidature, meetings will be more frequent.
- d. Will provide timely written feedback to the student.
- e. Mentor, as appropriate, the Associate Supervisor(s) in their supervisory role;
- f. Are responsible for ensuring the standard of research is appropriate to the level of the Degree being sought.
- g. Must maintain close consultation with the associate supervisor(s) as well as the candidate, to ensure that research is conducted in accordance with relevant IMC policies including, but not limited to, policies regarding academic misconduct, WHS, appeal processes and intellectual property;
- h. Ensure students are familiar with and adhere to requirements for responsible conduct of research at the commencement of a supervisory arrangement and throughout the period of research candidature. See IMC's *Research Code of Conduct* for details regarding requirements for research conduct.
- i. Shall ensure that the research topic chosen by the candidate is appropriate to the level of the degree and will, if successfully completed, be worthy of publication;
- j. Will, in consultation with associate supervisor(s), advise the candidate on the quality of early drafts of the thesis, and that the thesis presented must be substantially independent work by the candidate; and,
- k. Will report to the HDRSC on the candidate's six-monthly progress. Refer to *Higher Degree*

Research Confirmation of Candidature and Progression Review Policy for procedures involved in progress reports. Should the Principal Supervisor report that the candidate is not making adequate progress to complete on time, the HDRSC may take one of the following courses of action, namely:

- i. invite the student to “show cause”,
- ii. recommend termination,
- iii. recommend downgrading to candidature in a lesser qualification, or
- iv. advise the need for an extension of candidature.

Associate Supervisors:

- a. Must be registered at either the Principal or Associate Supervisor levels;
- b. Are usually the second point of contact for the HDR student academically and administratively;
- c. Provide support to the Principal Supervisor and the student;
- d. May provide specifically required expertise; and
- e. Provide 40% or less of the supervisory workload.

4.3 Responsibilities of Students

HDR students’ responsibilities in regard to facilitating the supervision process:

- a. Undertake research training at the commencement of a supervisory arrangement, which will include training on requirements for responsible conduct of research and adherence to those requirements throughout the period of research candidature. See *IMCs Research Code of Conduct* for details regarding requirements for research conduct;
- b. Negotiate with supervisors a workload schedule, adhere to the schedule and review as required;
- c. Consult with, and act on advice of supervisors regarding; choice of topic, early drafts of thesis and the standard of research to ensure work is appropriate for the level of degree being sought;
- d. Conduct work independently but maintain communication with supervisors, ensuring they are the main point of contact both academically and administratively;
- e. Submit drafts of work of a standard commensurate with the research being undertaken;
- f. Follow recommendations of supervisors to ensure adequate progress is made to enable confirmation of candidature and six-monthly progress reports. Refer to *Higher Degree Research Confirmation of Candidature and Progression Review Policy*.
- g. In the circumstance where the supervisor regards inadequate progress is being made in order to complete on time, undertake the supervisor’s recommended course of action.

4.4 Conduct

IMC requires that all Higher Degree Research students become familiar with and seek guidance to ensure they meet requirements of guidelines, policies and procedures relating to responsible research. Supervisors must ensure research is conducted in accordance with the *Australian Code* and other relevant legislation.

The *IMC Research Code of Conduct* includes information on essential requirements such as:

- Management of research data and primary materials;
- Publication of research findings;
- Authorship (See also IMC’s *Authorship Policy*);
- Conflict of interest (See also IMC’s *Conflict of Interest Policy*);
- Collaboration;

IMC’s *Research Code of Conduct* also provides detailed information relating to procedures regarding allegations of breaches and research misconduct, investigations and means of appeal.

4.5 Extenuating Circumstances

Periods of Leave – In the case of a Principal Supervisor going on leave (for periods exceeding 2 weeks), an alternative Principal Supervisor will be appointed by the HDRSC where the associate supervisor(s) does not meet the necessary Principal Supervisor criteria.

Resignation/Retirement – In special cases where the Principal Supervisor has left IMC, an alternative Principal Supervisor will be appointed where the associate supervisor(s) does not meet the necessary Principal Supervisor criteria.

Lack of Supervision - If a resignation or retirement of the Principal or Associate Supervisor creates a risk of the student not having adequate supervision, IMC will arrange the appointment of additional supervision. The additional supervision will be from either appropriately qualified staff from IMC or from another educational institution.

4.6 Complaints procedures

Challenges and contentious issues arising in the conduct of the research between the supervisor(s) and the student should be discussed between supervisor and student in the first instance. Where the issue cannot be resolved through discussion, or where one party does not wish to participate in this discussion, the matter should be taken to the relevant Dean. Issues that cannot be resolved by the Dean will be referred to the HDRSC. Students may also refer to *Student Complaints and Appeals Policy and Procedure* for additional information regarding mechanisms to resolve issues.

5. RELATED DOCUMENTS

- (i) *Guidelines on Minimum Resources for Higher Degree Research Students*
- (ii) *Higher Degree Research Registration and Roles of Supervisors Policy*
- (iii) *Code of Conduct for Research*
- (iv) *Higher Degree Research Confirmation of Candidature and Progression Review Policy and Procedure*
- (v) *Conflict of Interest Policy*
- (vi) *Authorship Policy*
- (vii) *Student Complaints and Appeals Policy and Procedure*

6. VERSION CONTROL

Historical Version	Approved by	Approval Date
2020.09	Academic Board	7 September 2020 Replace Research Higher Degree Registration of Supervisors Policy
2017.05	Academic Board	03 May 2017
2015.10	Academic Board	22 October 2015