Higher Degree by Research Supervision - Supervisor Registration and Professional Development Procedure

Section 1 - Summary

(1) Victoria University (VU) has a policy relating to the registration of Higher Degrees by Research (HDR) supervisors. These Procedures outline the requirements and processes around the registration of HDR supervisors.

Section 2 - Scope

(2) This Procedure applies to the registration and professional development of all supervisors of HDR candidates at VU.

Section 3 - Policy/Regulation

(3) Higher Degree by Research Supervision Policy

Section 4 - Procedures

Part A - Summary of Roles and Responsibilities

Roles	Responsibilities
HDR Supervisors	Assist HDR candidates to devise, undertake and complete an independent research project within the allotted candidature duration by providing appropriate direction, guidance, feedback and support, including, but not limited to: i. Providing advice on the theoretical basis of the project; ii. Suggesting appropriate reading; iii. Providing guidance on research methods and methodology; iv. Providing guidance on the responsible conduct of research; v. Providing guidance and modelling of research communication in written, spoken and visual genres relevant to the discipline. Generally, assist with planning and conducting the research and preparing the thesis. Provide opportunities for the broad research education of the HDR candidate, and act as a general guide and advisor for the progress of the project and for the HDR candidate's professional and career development. Be available for regular consultation and to provide timely critical feedback (written and verbal) on the thinking, writing and research of the HDR candidate's work. Introduce the HDR candidate to scholarly networks and encourage them to participate in the activities of the research community outside of the actual thesis preparation, including scholarly publishing and conference presenting. Keep up to date in relation to the policies, procedures and guidelines governing the conduct of research and research degrees at VU. Guide, monitor, review and oversee HDR candidates to ensure compliance with external bodies and internal regulations and policies for the conduct of research including ethics and integrity, health and safety, sanction laws, work with foreign organisations and Defence Export Controls.
Associate Director, Research Training (or nominee)	Overall responsibility for all supervisory matters. Resolve matters at a local level wherever possible.

(4) HDR supervisors are appointed to provide guidance and support to their HDR candidate/s in the conduct of their research project and in their development as a professional and ethical researcher.

(5) Section Three of the Australian Code for the Responsible Conduct of Research (2018) is particularly pertinent to HDR supervision, specifically:

a. Responsibility 15: provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct and
b. Responsibility 16: Undertake and promote education and training in responsible research conduct.

(6) The Supervision Guide supplement to the Australian Code for the Responsible Conduct of Research (2018) also specifies that a supervisor’s responsibilities include developing and maintaining a working knowledge of the legal and policy frameworks that underpin responsible conduct of research at the disciplinary, institutional, and national levels.

(7) In line with the Higher Education Standards Framework (Threshold Standards) 2021 (Cth) Standard 4.2.3, each HDR candidate is normally supported by continuing supervisory arrangements, including:

a. 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.
b. At least one associate supervisor with relevant research expertise; and
c. The principal supervisor is a member of staff of the higher education provider, or has a relevant adjunct/honorary appointment, or is otherwise formally contracted and accountable to the provider for supervisory duties. Adjunct and honorary appointments are considered internal supervisors.

(8) Supervision requires regular, ongoing interaction and formal meetings between a designated HDR candidate and their supervisors. Supervision is to be provided from commencement of enrolment to classification (including during any coursework components), other than in periods of approved leave for the supervisors and/or the HDR candidate. Changes to supervisory arrangements for periods of leave:

a. For extended periods of leave of three months or longer, alternative supervisory arrangements must be formally put in place (as outlined in Higher Degrees by Research Supervision Procedure, Clause 14 & 15). Formal supervision meetings should take place at least fortnightly for full-time HDR candidates and monthly for part-time HDR candidates at a location mutually agreed on by all parties. A written record of the meeting with agreed key action items will be taken by the HDR student and shared with the supervisory team.
b. For periods of leave less than three months, by agreement one of the Associate supervisors will normally take over the responsibilities of the Principal Supervisor. If additional supervisory support is needed, while the Principal Supervisor is on leave (of less than three months), the Associate Director, Research Training must be notified to arrange appropriate supervision.

(9) To maximise transparency and ensure a shared understanding of expectations of both the supervisors and HDR candidate, detailed arrangements using the Graduate Research Supervision Agreement about supervisory contact and meetings must be negotiated no later than eight weeks after initial enrolment. This agreement is further formalised at the time of Candidature Confirmation by submission of the Graduate Research Supervision Agreement to the candidature panel. The Supervision Agreement is to be reviewed annually, or when a change of supervision occurs.

(10) Any sexual or romantic relationship that develops between the supervisor and HDR candidate constitutes a conflict of interest. The supervisor can therefore not be part of the supervisory team. It is the responsibility of the supervisor to report any relationship that develops as outlined in the Appropriate Workplace Behaviour Policy Clauses 29-32. A new supervisor must be brought into the supervisory team as soon as possible, through the Changes in Supervision process outlined in Part E.

Part B - Appointment of Supervisors

(11) Researcher Professional Development, Graduate Research School (GRS) will maintain the Supervisor Register.

(12) Every HDR student must have two supervisors from their admission until the completion of their research degree as far as is reasonably possible. This includes any periods of time when the HDR student is undertaking their coursework. HDR students may have more than two supervisors.

(13) Supervisory arrangements are approved on offer of admission by the Institute Associate Director (Research Training) or nominee and formally registered at the time of enrolment. The arrangements must include a nominated Principal Supervisor and at least one Associate Supervisor. All nominated supervisors must be registered as HDR supervisors at Victoria University.

(14) Only supervisors registered at Levels 2 and 3 (see Part C, Clause 59 and Table 1 below) can be appointed to the role of Principal Supervisor to lead the supervisory team for a HDR candidate.

(15) All supervisors must have an Open Researcher and Contributor ID (ORCID) upon registration or change in level.

(16) Proposed changes to supervision arrangements must be discussed with and approved by the Institute Associate Director (Research Training) or nominee for changes to take effect.

(17) The Institute Associate Director (Research Training) or nominee will advise the Manager, Researcher Professional Development in the GRS when a current supervisor is departing from the University's employment, and whether they will be continuing on the supervisory team as an external Associate Supervisor or in an Adjunct/Honorary role. The Research Institute will coordinate any relevant Adjunct/Honorary appointments as required.

(18) The Institute Associate Director (Research Training) or nominee will advise the Manager, Researcher Professional Development when an Adjunct/Honorary or contracted supervisor is no longer able to offer supervision. The Manager, Researcher Professional Development will arrange for the supervisor's registration to be deactivated.

Principal Supervisors

(19) Further to the roles and responsibilities outlined in Part A, the approved Principal Supervisor for a HDR candidate is recognised as the academic leader of the candidate's supervisory team. In addition to academic responsibilities the Principal Supervisor has official responsibility for the overall management of the HDR candidate's candidature from enrolment to final thesis classification, including:

a. ensuring regular meetings occur with the HDR student and the supervisory team (meetings to be organised by either the HDR student or supervisors by agreement);
b. Organising progress milestones in a timely manner (i.e. Candidature confirmation, Mid-candidature and Towards submission);
c. Other progress-related requirements (such as interim progress reports; marginal or unsatisfactory progress processes and timely thesis submissions);
d. Nomination of the membership of the milestone panels (i.e. Candidature confirmation, Mid-candidature and Towards submission);
e. Administrative processes linked to variations in enrolment and leave;
f. Monitoring eligibility to maintain scholarship entitlements, such as regular attendance and timely completion of required work;
g. Nomination of examiners;
h. Review of the thesis prior to submission and classification.

(20) In the temporary absence of the Principal Supervisor, an internal Associate Supervisor may sign off on time-sensitive administrative paperwork. The Associate Director, Research Training or nominee must be advised of this in advance.

(21) Notwithstanding the role of the University Candidature Milestone Reviews, it is the responsibility of the Principal Supervisor to monitor the HDR candidate's progress to ensure they are on track for a timely completion. When appropriate, the Principal Supervisor must notify the Institute Associate Director (Research Training) or nominee if the HDR candidate is not making satisfactory progress in their candidature either at the relevant candidate milestone or outside of this process so the appropriate action can be taken.

(22) A Principal Supervisor must be a doctorally qualified member of staff (or have an adjunct or honorary role with the University) who is engaging in the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, understandings, inventions and applications of this knowledge, demonstrated via publishing in, or otherwise making original contributions to, a relevant field or discipline to the HDR candidate's research.

(23) Research activity for Principal Supervisors can be demonstrated via a number of ways including at least one of the following: a minimum authorship of one published high-quality paper per year during the last three years; one major high-quality scholarly work such as a book or creative performance during the last three years; securing of a patent/invention during the last three years; or securing externally funded grants totalling $45,000 or more during the last three years, in a field or discipline relevant to the HDR applicant/candidate's research.

(24) Final approval of the appointment of a Principal Supervisor or an Associate Supervisor must be made by the Institute Associate Director (Research Training) or nominee.

Associate Supervisors

(25) Associate Supervisors may provide the HDR candidate with access to a broader range of skills and knowledge (disciplinary and/or methodological) and are identified at the time of offer of admission to the degree. They must be registered and appointed at the time of a HDR applicant's admission offer.

(26) An Associate Supervisor would normally have a doctoral qualification. If they do not hold a relevant doctoral qualification, evidence of exceptional relevant research experience must be provided in their application for registration.

(27) An Associate Supervisor is normally a doctorally qualified member of staff (including adjunct/honorary appointments) who is engaging in the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate concepts, methodologies, understandings, inventions and applications of this knowledge, demonstrated via relevant research expertise to the candidate's research.

(28) Research activity for Associate Supervisors can be demonstrated via a number of ways including at least one of the following: a minimum authorship of one published high-quality paper per year during the last three years, one major high-quality scholarly work such as a book or creative performance during the last three years; securing of a patent/invention during the last three years; securing externally funded grants totalling $45,000 across the three years, not necessarily in a field or discipline relevant to the higher degree research applicant/candidate's research.

(29) Completion of a doctoral degree in the previous year to their initial registration is sufficient research activity for initial registration as an Associate Supervisor (Level 1).

(30) Associate Supervisors may be added or removed throughout the duration of candidature as the project becomes more defined; however, a HDR candidate must always have a minimum of two supervisors as far as practicable.

(31) Associate Supervisors will engage with the HDR candidate and Principal Supervisor to allow adequate use of their specialised skills and knowledge. Their involvement in the project and the supervisory team will also facilitate the development of the necessary skills and sufficient experience to meet the criteria to apply for progression to Principal Supervisor if they are Level 1 registered supervisors.

External Associate Supervisors

(32) HDR candidates may have external supervisors, especially where industry or specialist research expertise is not available at VU and required for their research project.

(33) External supervisors are appointed by the Research Institute through the Institute Associate Director (Research Training) or nominee. The process involves contacting supervisor.registration@vu.edu.au to apply for an external e7 staff number. Once received, the external supervisory applicant will complete the online Application for Registration as an External Graduate Research Supervisor form.

(34) External supervisors are usually appointed as Associate Supervisors (Level 1).

(35) External supervisors may be appointed as Associate Supervisors (Level 1) without a doctoral qualification if their research and/or industry expertise is required for the HDR candidate's project.

(36) It may be necessary or desirable to appoint an external supervisor outside Australia where a HDR candidate:

a. Is conducting extended fieldwork overseas (for a year or more);
b. Has changed residence to another country for the remainder of their research degree;
c. Is enrolled in a research degree at VU in partnership with an overseas university or industry or professional organisation;

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d. Is an international HDR candidate required to return home for visa, personal or health reasons, but who needs to continue their studies.

(37) External supervision arrangements are reviewed via the milestones process and overseen and approved by the Institute Associate Director (Research Training) or nominee.

(38) All external supervisors must be registered according to the provisions in Part C below and officially appointed to be a member of the designated supervisory team for a particular HDR candidate.

(39) External supervisors will:

a. Be required to participate in an induction to Supervision at VU which must be completed within one month following provisional registration approval; and,
b. Have access to the University and Institute training and development programs, for example, seminars, workshops and other Research Institute research activities and events, however, it is recognised that participation may be dependent on the availability of the external supervisor at the time programs are offered.

(40) External supervisors who do not already hold a staff appointment will normally be issued with an (e7) identification number to provide access to the online Supervisor Registration application form, along with access to VU Library and online research and supervision support services and resources. The Researcher Professional Development team, GRS will organise this staff number prior to application (see Clause 50). If the external supervisor has a previous registration at VU, the Researcher Professional Development team, GRS will organise for their e7 number to be reactivated.

Remuneration of External Supervisors

(41) External supervisors are not remunerated. Their involvement in contributing to research at VU is seen as part of their own professional outreach and collaboration with the University in research. They are encouraged to maximise their involvement in VU's research community and to access VU's researcher development and research support resources as part of their professional relationship with the University and their Research Institute.

(42) An external supervisor may be appointed as a sessional staff member where an Institute Associate Director (Research Training) in a Research Institute believes that remuneration is warranted by the nature of the supervisor's engagement. Under these specific circumstances, a sessional contract will be drawn up under the current VU employment policies. Such employment is managed by the Research Institute under the terms and conditions of related University policies and negotiated at the Research Institute level.

(43) Any remuneration will reflect the level of supervisory contribution in relation to the Research Institute’s agreed supervisory workload allowances and will be pro-rata depending on the agreed split of supervisor responsibilities and the actual ongoing level of involvement maintained by the external supervisor. The level of remuneration may be varied from year to year throughout the duration of candidature.

(44) Any supervisor appointed under Clauses (42) and (43) will be considered administratively to be an internal supervisor of the university. They will therefore be required to undertake the required ongoing supervisor training and development as outlined in Table One below, and in Clauses (68) and (69).

(45) For shared programs or those offered via an agreed shared teaching arrangement with an overseas university, the remuneration arrangements for supervisors from the partner university will normally be negotiated as part of the business arrangements between the parties when the program is established. In such cases remuneration of supervisors falls outside the scope of Clauses (41) - (43) above.

Adjunct and Honorary Appointments and Supervisory Roles

(46) The Associate Director, Research Training or nominee will inform the GRS when a current supervisor is departing from the University's employment and whether they will be continuing on the supervisory team as an adjunct or honorary appointment or as an external Associate Supervisor. The supervisor concerned may continue on the supervisory team, as an external Associate Supervisor or as a Principal Supervisor under Clause (47). The Institute Associate Director (Research Training) or nominee will also advise whether an Adjunct/Honorary or contracted supervisor is no longer able to offer supervision.

(47) In certain circumstances, a departing Principal Supervisor may be approved to continue to act as an External Principal Supervisor with an adjunct/honorary appointment. This can occur when:

a. The Institute Associate Director (Research Training) or nominee, after consultation with the HDR candidate and supervisor, concludes that this is in the best interests of the HDR candidate; and,
b. The arrangements negotiated with the supervisor satisfy the Institute Associate Director (Research Training) or nominee and the Executive Director, Research Institute, that the supervisor is able to continue to provide their Principal Supervisory responsibilities. (NB: the Institute Associate Director (Research Training) or nominee and Executive Director, Research Institute or nominee are required to approve the proposed conditions of adjunct appointment, including where agreed, any remuneration of the external supervisor).
c. Appointments are made in accordance with the Honorary, Adjunct and Visiting Appointments Policy.

(48) In the circumstances described in Clauses (46) and (47) above, normally at least one of the HDR candidate's Associate Supervisors must be a paid member of staff of the University, and the Institute Associate Director (Research Training) or nominee will be expected to oversee the supervisory arrangements. Under exceptional circumstances, when a Principal Supervisor has departed, and the Associate Supervisors are all external to the University, the Executive Director of the relevant Research Institute can confirm in writing to the Institute Associate Director (Research Training) or nominee and to the Dean, Graduate Research or nominee, that the Principal Supervisor can be an adjunct/honorary appointment.

Part C - Registration of Supervisors

New Registration Process

(49) All individuals providing supervision to HDR candidates must be registered with VU. To be considered for registration the applicant must meet the requirements under the TEQSA Higher Education Standards Framework (Threshold Standards) 2021 (Cth), Standard 4.2 for registration as a supervisor of research training.

(50) Applicants seeking to be a registered supervisor must complete the online Supervisor Registration Form, including all required information and attachments (e.g. a current brief CV with evidence of relevant qualifications and their research, details of previous HDR supervisions, ORCID ID, research training and professional development in supervision). External applicants must first contact Researcher Professional Development via email at Supervisor.Registration@vu.edu.au to indicate their intention to apply and nominate the relevant HDR candidate or applicant they would be supervising. Researcher Professional Development will organise for the external applicant to receive an external staff number which will enable them to apply through the online application form. Currently enrolled VU HDR candidates are not permitted to register to supervise HDR candidates at VU.

(51) Online applications are submitted to Researcher Professional Development, GRS, who will forward the application to the relevant Research Institute for review by the Institute Associate Director (Research Training) or nominee. The Institute Associate Director (Research Training) will be asked to make a recommendation on the application, with the following options available:

a. Register at a designated level (see Table 1 below);or
b. Not to register. In cases where an application is unsuccessful, the applicant will be advised by the Institute Associate Director (Research Training) or nominee of the reason/s for their registration application not being supported. This will include feedback to assist them in undertaking relevant professional and researcher development to be able to meet the requirements in a future application.

(52) All new supervisors (internal or external) who are approved for a first-time registration at VU will be provisionally approved until they complete the relevant Supervisor Induction. This induction must be completed within one (1) month of the Institute Associate Director (Research Training) provisional approval of their registration. Researcher Professional Development will enrol provisional new supervisors in the relevant Supervisor Induction program and provide instructions via email.

(53) Once a new applicant has completed the Supevisor Induction, the Dean, Graduate Research will approve registration.

(54) When a new application is approved by the Dean, Graduate Research, the person is added to the Supervision Register with the designated supervisory registration level by the Researcher Professional Development team, GRS, and the applicant is informed of the outcome of their application. At this point, the newly registered supervisor can formally commence supervision.

Upgrade of Supervisor Registration Level

(55) A person seeking to upgrade their supervisor registration level must complete the online Supervisor Registration Form indicating that the application is to upgrade their registration level, including all required information and attachments (e.g. a current brief CV with evidence of supervisor experience, details of HDR supervision completions, relevant qualifications and their research, ORCID ID, research training and professional development in supervision).

(56) Online applications are submitted to Researcher Professional Development, GRS, who will forward the application to the relevant Research Institute for review by the Institute Associate Director (Research Training) or nominee. The Institute Associate Director (Research Training) will be asked to approve the application, with the following options available:

a. Approval of upgrade to a designated level (see Table 1 below); or,
b. Not to approve. In cases where an application is unsuccessful, the applicant will be advised by the Institute Associate Director (Research Training) or nominee of the reason/s for their registration application not being supported. This will include feedback to assist them in undertaking relevant professional and researcher development to be able to meet the requirements in a future application.

(57) When an upgrade is approved by the Institute Associate Director (Research Training) or nominee, the supervisor’s record is updated on the Supervision Register and relevant VU databases by the Researcher Professional Development team, and the applicant is informed of the outcome of their application.

(58) For a Review of an Application to Register or an Upgrade Outcome – see clauses (82) to (87).

Supervisor Registration Levels

(59) Supervisor registration level guidelines stipulate the role that a supervisor may be permitted in a supervisory team, as well as the maximum EFT load of HDR candidates that the supervisor is normally qualified to supervise (see Table 1 below). The specific supervisory role of the supervisor for any given HDR student or candidate is distinct from their registration level. For example, for any given HDR student or candidate, a supervisor who is registered as a Principal Supervisor (either Level 2 or 3) can have a role as either a Principal Supervisor or an Associate Supervisor, depending on their role in the HDR student or candidate's project.

(60) Progression of Registration from one level to the next is not automatic. To be considered for an upgrade the supervisor must complete the online Supervisor Registration form and provide documentation to demonstrate that they have fulfilled the requirements for the level proposed.

(61) An upgrade to a supervisory level may occur as a result of the bi-annual Administrative Review of Supervisor Registration (see Clauses 74 to 81). An Associate Director, Research Training or nominee may invite a registered supervisor to upgrade from Level 1 to Level 2, or Level 2 to Level 3. An Associate Director, Research Training or nominee may also direct the Manager, Researcher Professional Development to process an upgrade from a Level 2 (Principal Supervisor) to a Level 3 (Experienced Principal Supervisor).

(62) For progression from Level 1 (Associate Supervisor) to Level 2 (Principal Supervisor) all initial supervisor development must have been completed. In addition, satisfactory completion of the 'Step Up to Principal' supervisor development program is required. The program is usually expected to be completed in the year prior to the formal application for the upgrade but must be completed no later than 12 months following the upgrade to Level 2 being approved. Failure to complete the 'Step Up' program within this timeframe will lead to registration reverting to Level 1 (Associate Supervisor).

(63) All new Level 2 supervisors are recommended to have a designated mentor Level 2 or 3 supervisor until they have supervised at least one Candidate to completion, usually as an Associate Supervisor. This arrangement will be organised by the Supervisor's Research Institute.

(64) The research activity minimum expectations will change over time in line with amendments to University policy on research activity.

Table 1 - Supervisory Levels

Requirements to Qualify for Registration at the Designated Level	Level 1 Associate Supervisor	Level 2 Principal Supervisor	Level 3 Experienced Principal Supervisor
Description of level	Able to act as Associate Supervisor for both Master and Doctoral Candidates	Able to act as a Principal Supervisor for a limited number of Candidates	An experienced Principal Supervisor
Academic qualification level	AQF Level 10 or equivalent OR extensive research experience (as determined officially by Institute Associate Director (Research Training) or nominee)	AQF Level 10 or equivalent (as determined officially by Institute Associate Director (Research Training) or nominee)	AQF Level 10 or equivalent (as determined officially by Institute Associate Director (Research Training) or nominee)

Requirements to Qualify for Registration at the Designated Level	Level 1 Associate Supervisor	Level 2 Principal Supervisor	Level 3 Experienced Principal Supervisor
Research activity	At least one of the following: a minimum authorship of one published high-quality paper per year during the last three years, one major scholarly work such as a book or creative performance during the last three years; securing of a patent/invention during the last three years; securing externally funded grants totalling $45,000 across the three years, not necessarily in a field or discipline relevant to the higher degree research applicant/candidate's research. OR For new doctoral graduates, completion of their degrees in the year previous to their initial registration.	At least one of the following: a minimum authorship of one high-quality published paper per year during the last three years, one major scholarly work such as a book or creative performance during the last three years; securing of a patent/invention during the last three years; securing externally funded grants totaling $45,000 across the three years, in a field or discipline relevant to the higher degree research applicant/candidate's research.	At least one of the following: a minimum authorship of one high-quality published paper per year during the last three years, one major scholarly work such as a book or creative performance during the last three years; securing of a patent/invention during the last three years; securing externally funded grants totalling $45,000 across the three years, in a field or discipline relevant to the higher degree research applicant/candidate's research.
Supervisory experience	No previous graduate research supervisory experience, although desirable to have experience with undergraduate, honours or Master's minor thesis projects.	At least 3 years' experience as a graduate research supervisor with evidence of positive appraisal of performance (eg. Candidate feedback on supervision).	At least 5 years' experience as a graduate research supervisor with evidence of positive appraisal of performance (eg. Candidate feedback on supervision) and at least two timely completions.
Supervisory professional development	Supervisor Induction is required before initial registration can be finalised. All registered internal supervisors at VU are required to undertake a minimum of one hour of supervisor development training or activity each year.	Must have completed initial supervisor development training under Level 1; record of engagement in other supervisory skills development. Must complete 'Step Up to Principal' program by the end of the first year of being upgraded. All registered internal supervisors at VU are required to undertake a minimum of one hour of supervisor development training or activity each year.	Must have completed initial supervisor development training and mandatory minimum one hour of supervisor development training each year (see Level 1 and 2 requirements); record of engagement in and contributions to other supervisory skills development (including evidence of leadership in developing others). All registered internal supervisors at VU are required to undertake a minimum of one hour of supervisor development training or activity each year.

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Requirements to Qualify for Registration at the Designated Level	Level 1 Associate Supervisor	Level 2 Principal Supervisor	Level 3 Experienced Principal Supervisor
Supervisory load expectations	Normally a maximum supervision load no greater than 3.0 EFT, all in the role of Associate Supervisor for Candidates. Normally an Associate Supervisor would have a minimum of 25% of the EFT associated with a Candidate if there are only two supervisors. Variations to this agreement must be agreed and approved by the relevant Associate Director, Research Training or nominee.	Normally a maximum supervisory load of 4.0 EFT with normally no more than 2.0 EFT as a Principal Supervisor for Candidates. Normally a Principal Supervisor will have a load of between 50% and 75% with the Associate Supervisor having a minimum of 25% load. Variations to this agreement must be agreed and approved by the relevant Associate Director, Research Training or nominee.	The potential to have a supervisory load up to the University maximum (6.0 EFT), although the normal recommended maximum supervisory load is 4.0 EFT. Normally a Principal Supervisor will have a load of between 50% and 75% with the Associate Supervisor having a minimum of 25% load. Variations to this agreement must be agreed and approved by the relevant Associate Director, Research Training or nominee.

Limits on Supervision

(65) The limits on supervisory load, linked to the level of supervisor registration, have been developed to support the delivery of timely and effective supervision as part of a balanced academic workload. These suggested maximums are summarised in Table 1 above. Supervisor loads will be reviewed annually by the Institute Associate Director (Research Training) or nominee. In exceptional circumstances a supervisor may be permitted to exceed the maximum load. However, the case for exceeding the permitted maximum supervisory load will need to be endorsed by the Institute Associate Director (Research Training) or nominee and a rationale provided to the Dean, Graduate Research for consideration and, if deemed appropriate, for approval.

(66) The limits on supervisory load may be restricted by the Institute Associate Director (Research Training) or nominee, or the Dean, Graduate Research or nominee, if a supervisor has failed to meet the criteria outlined in this Procedure.

(67) The maximum supervisory load for an individual supervisor registered as Level 3 Principal Supervisor, who has a strong record of successful completions is 6.0 (six) EFT. However, these maximums would normally only be supported where the Principal Supervisor is working in a research-intensive or research-only environment within the University.

Supervisor Development

(68) All new supervisors must complete the required Supervisor Induction training before their supervisor registration is finalised.

(69) All internal supervisors (including Adjunct/Honorary appointments) are required to develop supervisory skills, contribute to the development of others, and maintain current knowledge of supervisory practice and an awareness of VU research and research training policies through attendance at a minimum of one hour of supervisor training and development (in person, online real-time or self-paced) every year from their anniversary date or re-registration date. Supervisors are expected to check the GRS Researcher Professional Development calendar, VU Collaborate and/or email bulletins regularly to determine when these programs will be offered. Experienced supervisors may meet this mandatory annual training requirement through the provision of supervisory practice training and development. E.g. participation on a panel at a Supervisor’s Forum or other seminar, etc. Evidence of supervisor training undertaken at other universities or organisations may be submitted to the Manager, Researcher Professional Development for consideration as proof they have met the annual development activity.

(70) Researcher Professional Development will send an automatic reminder to internal supervisors who do not have training recorded within the twelve-month period from their last recorded training. This reminder will occur nine (9) months following the last recorded training event, and again at 11 months. Under exceptional circumstances, supervisors will have up to six additional months to meet the training requirements. Failure to do so will result in the supervisor being recommended for registration review as outlined in Clause (91) to (98) below.

(71) All external supervisors are required to undertake the Supervisor Induction program as part of the registration process. All external supervisors are encouraged to engage in supervisory skill development or activities appropriate to their role. External supervisors will have access to the VU Supervisor Development Program (see also Clause 48). External supervisors may also provide evidence of supervisor training undertaken at other universities or organisations.

Maintaining the Supervisor Register in response to a staffing change

(72) The Institute Associate Director (Research Training) or nominee, will advise Researcher Professional Development, GRS of staffing changes, including approval of an adjunct/honorary appointment if a staff member departs the University. Researcher Professional Development will follow up any required changes to supervisor registration. Changes may include:

a. Change of supervisor status (e.g. to external supervisor);
b. Deactivation of supervisor registration in good standing.

(73) To ensure that the Supervisor Register is up-to-date and accurate, the Researcher Professional Development team will review and update the supervisor listings on a bi-annual basis, with the Institute Associate Director (Research Training)'s or nominees, to consider staffing changes.

Bi-Annual Administrative Review of Supervisor Registration

(74) Each two years the Researcher Professional Development team will undertake an administrative review of all supervisors who have been on the register at their designated level for three or more years. This is in addition to minor changes which occur in the ongoing administration of supervisor registration records (e.g. Clause 72 above).

(75) The Researcher Professional Development team will review each supervisor’s registration considering the following:

a. Active research engagement - evidence of ongoing contributions to and outcomes from research in their field, such as grants, publications, or other relevant reportable research outcomes, including their MORA score and Research Fellowship status;
b. Supervisor development programs attended - attendance at internal and/or external programs;
c. Personal record of supervision in the last three years: highest level of supervision, supervisory role, current EFSTL being supervised, completions during the last three years (including timely and non-timely);
d. Other applicable information including, but not limited to, HDR student or candidate USP nominations, withdrawals, change of supervision, and timely milestone completions;
e. Employment status with the University.

(76) The Researcher Professional Development team may contact supervisors during the review to clarify or request additional information.

(77) Following the administrative review, the Manager, Researcher Professional Development will make one of the following recommendations to the relevant Institute Associate Director (Research Training) or nominee, for each supervisor:

a. Continued registration;
b. Conditional registration (e.g. training, limitation of students, level);
c. Upgrade to higher level (with requisite training if required);
d. Registration to be reviewed by the Institute Associate Director (Research Training) or nominee; or
e. Registration deactivated in good standing.

(78) The Institute Associate Director (Research Training) or nominee, will review the recommendations from the Manager, Researcher Professional Development and advise the Manager, Researcher Professional Development of the outcome of their review. The outcomes will be one of the following:

a. Continued registration confirmed;
b. Conditional re-registration stipulating conditions to be met within a designated timeframe. Registration after this period will only continue if the condition/s have been met;
c. Endorsed for upgrade to a higher level (including notification of any training to be undertaken);
d. Change in supervisor level stipulating the reasons for the change in level and any conditions to be met to upgrade in future;
e. Registration deactivated in good standing.

(79) Upon confirmation from the Institute Associate Director (Research Training) or nominee, Researcher Professional Development will advise supervisors via email of the outcome of the review and update the Supervision Register and relevant VU databases.

(80) The Manager, Researcher Professional Development will inform the Dean, Graduate Research of the outcomes of the Bi-Annual Administrative Review.

(81) A supervisor whose registration has been deactivated in good standing may apply for registration in the future (through completing the Application for Registration or Upgrade as a Graduate Research Supervisor form) should their circumstances change and they can provide evidence of capacity to supervise at the required level. Such an application would require the supervisor to undertake the Supervisor Induction training, in addition to any training advised by the Institute Associate Director (Research Training) or nominee, or the Associate Dean or Dean, Graduate Research.

Review of Supervisor Registration Decision Outcomes

(82) If under Clause 54 (1), Clause 56 (b), or Clause 78 an application is not approved or a supervisor has their supervision status changed because of an Bi-annual Administrative Review, an applicant will have the option to apply, with relevant evidence, for a review of their application outcome on the following grounds:

a. Procedural fairness;
b. Prejudice or bias in the application or upgrade process;
c. Special circumstances that have not been considered in the application or upgrade process (e.g. diversity, inclusion or equity grounds);
d. That evidence in the original application was not considered; and/or,
e. Additional evidence is available that was not taken into consideration in the bi-annual registration review process.

(83) Requests for review must be made within 20 working days from when the decision was conveyed to the applicant/supervisor.

(84) A review of the registration application outcome can be requested by submitting in writing, to the Researcher

Professional Development team, a statement regarding the grounds for the review and evidence that is to be considered.

(85) The review will be undertaken by:

a. The Associate Dean, Graduate Research, or nominee, if the application was not approved at the Associate Director level; or,
b. The Dean, Graduate Research, or nominee if the application was not approved at the Associate Dean level; or,
c. The DVC (Research and Impact), or nominee, if the application was not approved by the Associate Dean or Dean, Graduate Research.

(86) The Reviewer will consider all the relevant evidence provided by the applicant and provide an outcome within 20 working days of the request for a review being lodged. The Reviewer may seek further information from relevant parties before making their decision. The decision may be that:

a. The original decision to not approve the application is upheld;
b. The original decision is overturned and the application is approved;
c. The original decision is overturned and the application is approved, subject to conditions set by the Reviewer. These conditions may include, but are not limited to, supervisory training or mentoring.

(87) The decision of the Reviewer in reviewing a supervisor registration application outcome is final.

Part D - Managing Concerns, Disagreements and Conflicts

(88) If an issue, concern, disagreement or conflict arises within or between the supervisory team and the HDR candidate, in the first instance efforts should be made to resolve this directly between the HDR candidate and supervisory team. An informal meeting ideally will take place at the earliest opportunity between the HDR candidate and all supervisors to ensure that the HDR candidate and/or supervisors have a clear and consistent understanding of what is expected of them.

(89) If there is still no resolution after this meeting, or if the HDR student does not want to meet with any or all of their supervisory team, then the HDR student or supervisor(s) has the right to ask for a meeting with the relevant Institute Associate Director (Research Training) or nominee, in accordance with Higher Degrees by Research Supervision Procedure, Part G, Clause 13 (d) and Part H, Clause 17. In such cases, the nominee cannot be a member of the supervisory team.

(90) Failing resolution after a further meeting with the relevant Institute Associate Director (Research Training) or nominee, then the HDR candidate may request a change in the persons providing supervision (see Part F below). Similarly, one or more supervisors may elect not to continue to be a supervisor for the HDR candidate, or there may be a mutual agreement to cease the arrangement. Such requests will be subject to the availability of adequate replacement supervision (refer to Higher Degrees by Research Supervision Procedure), and only after receiving the endorsement of the appropriate Institute Associate Director (Research Training) or nominee. If the Institute Associate Director (Research Training) is supervising the HDR candidate, then the responsibility will fall to the appropriate alternative Institute Associate Director (Research Training) or Executive Director (or nominee) for that Research Institute.

Part E - Supervisor Registration Review

(91) A review of a supervisor's registration may be initiated at any time when a Institute Associate Director (Research Training) or Dean, Graduate Research is made aware of concerns about the suitability of a supervisor to remain registered.

(92) Any individual may raise concerns about HDR supervision under this Procedure including but not limited to a HDR candidate, another member of a HDR candidate's supervisory team or a staff member. These concerns would normally be submitted to the Institute Associate Director (Research Training). See Clause (94) for examples.

(93) The Institute Associate Director (Research Training) or nominee will make confidential enquiries regarding the concerns raised with relevant parties, including but not limited to the supervisor, HDR candidates, and other members of the HDR candidates' supervisory team.

(94) Such concerns could include, but are not limited to, responsibilities outlined in Part A (table) or failure to comply with a supervision related request from the Institute Associate Director (Research Training) or nominee.

(95) The Institute Associate Director (Research Training) will work with the supervisor and relevant parties to resolve the issue at the local level with or without corrective actions.

(96) If the issue is unable to be resolved at the local level, or if the issue raised needs to be dealt with under another University Policy, the Institute Associate Director (Research Training) will advise the Associate Dean, Graduate Research. The Associate Dean, Graduate Research may further attempt to resolve the matter but may also refer the matter to other relevant institutional processes, including but not limited to the Research Integrity Policy, Research Integrity - Guide to the Management of Potential Breaches of the Australian Code Procedure; Appropriate Workplace Behaviour Policy, Complaints Procedure (Staff), Bullying Prevention and Management Policy, Complaints Procedure (Student and Public) or Student Misconduct Regulations 2019.

(97) If the matter has been managed via another relevant University policy or procedure, the outcome for the supervisor's registration status will be reported to the Dean, Graduate Research who will inform the supervisor, the Institute Associate Director (Research Training), and the Manager, Researcher Professional Development in writing. The outcome for the supervisor's registration may include but is not limited to:

a. That the supervisor maintain their supervisor registration status (with or without conditions);
b. That the supervisor remains as a registered supervisor with some restrictions to their level (with or without conditions);
c. That the supervisor remains as a registered supervisor but with a downgrade in their supervisory level (with or without conditions); or
d. That the supervisor is deregistered as a supervisor of HDR candidates (including any conditions and/or time limits on applying for re-registration).

(98) If the issue is unable to be resolved at the local level or through another University policy, the Associate Dean or Dean, Graduate Research may invoke the Formal Supervisor Registration Review process as outlined in the following clauses (99) - (121).

Grounds for Formal Supervisor Registration Review

(99) A Formal Supervisor Registration Review may be initiated under the following circumstances:

a. Not fulfilling the duties outlined in Part A of Supervisor Responsibilities
b. Not responding to invitations to, or attending, regular meetings with HDR candidates and other supervisory team members as stipulated in the Supervision Agreement
c. Failure to communicate with HDR candidates and/or supervisory team members in a timely manner and/or appropriate way as stipulated in the Supervision Agreement
d. Failure to include HDR candidates and/or supervisory team members in relevant correspondence.
e. Repeatedly not providing feedback to HDR candidates within an agreed timeframe outlined in the Supervision Agreement

f. Failure to comply with the training and development requirements for supervisors.
g. Failure to comply with a supervision related request from the Associate Director, Research Training or nominee or the Associate Dean, or Dean, Graduate Research.
h. Failure to arrange suitable formal or informal backfill supervision if on leave for longer than one month (must have a change of supervisor form submitted if away for three months)
i. Withdrawal of supervision from a HDR candidate without following due process as outlined in Clauses (125-129 below) re Change in Supervision
j. Consistent HDR candidate thesis submissions over timely duration
k. Consistent poor outcomes for HDR candidates – including but not limited to a high number of deferred outcomes, withdrawal of candidates, etc.

(100) Where the relevant Associate Director, Research Training or nominee supports the commencement of a Formal Supervisor Registration Review they must inform the Associate Dean, Graduate Research and provide in writing the basis of the Formal Supervisor Registration Review recommendation (see clause 99).

(101) When the Associate Dean, Graduate Research receives notification in writing, they will collate evidence (e.g. supervisory load, candidature milestone or submission outcomes, email/letter correspondence). The Associate Dean, Graduate Research or nominee may seek further clarification/documentation from the supervisor prior to formalising the Formal Supervisor Registration Review.

(102) If it is determined that the Formal Supervisor Registration Review proceed, the Manager, Researcher Professional Development, GRS will send a written notice to the supervisor who is the subject of an active Formal Supervisor Registration review. This notice will be sent by email to the registered supervisor's University email account.

(103) The written notification will include the time and date of the Hearing, which will be scheduled no less than 15 University business days from the date of notification.

(104) If the supervisor wishes to attend the Hearing, they must respond in writing to the Manager, Researcher Professional Development within 5 University business days from the date of notification.

(105) If the supervisor does not respond to the notice within five University business days from the date of notification, the Associate Dean, Graduate Research will discuss the recommended determination with the Panel members and seek an outcome. The Manager, Graduate Research, with the authorisation from the Associate Dean, Graduate Research, will advise the supervisor of the outcome of the review.

(106) The Panel for a Hearing shall be comprised of:

a. The Associate Dean, Graduate Research or nominee to act as the Chair of the Panel;
b. The Executive Director, from the Supervisor's Research Institute;
c. the relevant Associate Director, Research Training or nominee from the Supervisor's Research Institute; and
d. An Associate Director from the other Research Institute.

(107) The Panel will be supported by the GRS to take minutes and provide other necessary administrative support.

(108) The supervisor is encouraged to submit a written statement (no more than three pages) addressed to the Chair of the Panel at least five working days prior to the Panel Hearing. The statement should describe any extenuating circumstances and include supporting documentation. This could include but is not limited to: previous supervision history, supporting statements from associate supervisors or HDR candidates past and present, medical or other documentation etc.

(109) The supervisor may bring a support person or advocate to the Panel Hearing. Such a person will be an observer only and will not participate in discussions.

(110) All persons attending a Hearing will be subject to the orders and direction of the Chair of the Panel.

(111) In the event that any person required to attend a Panel Hearing is unable to attend in person, because of illness, absence abroad/interstate or other compelling reasons, they may participate via telephone or teleconference and/or nominate a representative to attend the Hearing on their behalf.

(112) Whether a supervisor requested a Panel Hearing or not, or attends or does not attend the Panel Hearing, the Panel will make a decision regarding the supervisor's ongoing registration as a supervisor of the University. The Panel will take into account previous supervision history, and information provided by the Institute Associate Director (Research Training) and/or Associate Dean, Graduate Research, that have led to the Formal Supervisor Registration Panel Review nomination.

(113) With reference to clause (112), the Panel may make one of the four following recommendations to the Supervisor:

a. Unconditional continued registration as a supervisor confirmed;
b. Conditional supervisor registration stipulating conditions to be met within a designated timeframe. Registration after this period will only continue if the condition/s have been met. Conditions may include but are not limited to: compulsory additional training to be undertaken within a designated timeframe; restrictions to the number of HDR candidates that can be supervised; a restriction on any new HDR candidates accepted for this supervisor;
c. Change in supervisor level stipulating the reasons for the change in level and any conditions to be met to upgrade in future;
d. Deregistration as a HDR Supervisor at VU stipulating the reasons for this and any conditions to be met for the supervisor to re-register in future.

(114) The supervisor will be advised of the outcome of the Panel Hearing at its conclusion in writing within five University business days.

(115) A record of each individual Panel Hearing and outcomes will be retained on the Supervisor's official file maintained by the Graduate Research School.

(116) A summary of all Panel Hearings and outcomes in each calendar year will be prepared by the Manager, Researcher Professional Development for the Associate Dean, Graduate Research for presentation in the following year of the Annual Supervisor Registration and Development report to the Research and Research Training Committee of the Academic Board.

(117) GRS is responsible for all notifications and ensuring that any supervisor registration changes are recorded on all University systems.

(118) Appeals process: a staff member facing deregistration will have access to the appeals process outlined below.

Appeals Against Registration Review Decisions

(119) Supervisors who wish to appeal the outcome of the registration review decision, may only do so only on the following grounds:

a. procedural fairness in the registration process;
b. evidence of prejudice or bias in the registration process.

(120) A Supervisor Registration Appeals Panel (SRAP) will be formed comprising:

a. Deputy Vice-Chancellor, Research & Impact or nominee (Chair);
b. Dean, Graduate Research (or nominee);
c. Executive Director of the other Research Institute who was not a part of the original Review Panel.

(121) The decision of the SRAP is final and binding and there is no further avenue for appeal within Victoria University.

Part F - Changes in Supervision

Absence of Supervisors

(122) If one member of the supervisory team is absent from their duties through approved leave for three months or less, the remaining member of the supervisory team is expected to maintain supervisory oversight and minimise disruption for the HDR candidate.

(123) If all members of a supervisory team are expected to be simultaneously absent from the University and not able to provide supervision, then the Institute Associate Director (Research Training) or nominee must be informed by the Principal Supervisor, so that an Acting Principal Supervisor can be appointed for the duration of the period. Under such circumstances, Institute Associate Director (Research Training) or nominee may discuss leave with the HDR candidate if deemed appropriate.

(124) When a Principal Supervisor is expected to be absent and unable to provide supervision for an extended period (more than three months), then an Acting Principal Supervisor must be formally appointed. Normally, this would be one of the Associate Supervisors who has relevant experience. In these circumstances the Institute Associate Director (Research Training) or nominee will consider appointing another experienced supervisor to the team to provide support.

Changes to the Supervisory Team

(125) Changes to the supervisory team will be discussed with the Institute Associate Director (Research Training) or nominee before a change is approved. Reasons for change in the supervisory team can include:

a. Additional supervisor/s may be appointed to assist with a particular aspect of the research;
b. The research topic may change and this may result in the appointment of an alternative supervisor/s;
c. The initial supervisor/s may no longer be able to supervise the research for a number of reasons, including their leave or employment arrangements;
d. A replacement or change in the level of appointment of a supervisor;
e. The candidate wishes to change supervisors. The candidate may or may not provide specific reasons for the request for a change in supervisory team on the Change in Supervision form. However, they will need to specify their reasons to the Institute Associate Director (Research Training) or nominee. This can be done confidentially and/or with the assistance of Advocacy.

(126) A request can be made to the Institute Associate Director (Research Training) or nominee for an additional Associate Supervisor to be appointed where it is considered that an additional supervisor would complement the supervision team.

(127) It is recognised that in some cases, the supervisory arrangement is not optimal and a change may need to be considered. In such cases, the Institute Associate Director (Research Training) or nominee will be asked to assist in resolving the situation.

(128) A requested change is one initiated either by the HDR candidate, one or more of the current supervisors, the

Institute Associate Director (Research Training) or nominee, or the Associate Dean or Dean, Graduate Research.

(129) The person initiating the change request is encouraged to discuss the proposed change in person with those involved in the current supervisory arrangements. In all cases where an ongoing change in supervision is requested, the Application for Change in Supervision form must be completed. All supervisors on the HDR candidate's supervision team are normally required to consent to the new arrangement through signing the form or through email consent. However, where the Institute Associate Director (Research Training) or nominee is satisfied that the proposed change of supervisory arrangements is in the best interest of the HDR candidate then their approval will enable the change to proceed regardless of whether all supervisors have consented.

Variations to Supervision Load

(130) Data relating in relation to supervisory roles and percentages will be entered onto the research management system within 20 working days, on receipt of the completed Application for Change in Supervision form.

(131) The data relating to supervisory load will be utilised in calculations as required according to the procedure supporting the current relevant Enterprise Agreement.

(132) Changes to supervisory teams and load can be made at any time. Adjustments to supervisory workload points will be made according to the timeframe outlined in the current Enterprise Agreement.

Section 5 - HESF/ASQA/ESOS Alignment

(133) HESF: 4.1 Research; 4.2 Research Training; 3.2 Staffing.

Section 6 - Definitions

(134) External Supervisors

(135) Principal Supervisor

(136) Associate Supervisor

(137) Research-intensive

(138) Research

(139) TEQSA

Status and Details

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Accountable Officer	Andrew Hill Deputy Vice-Chancellor, Research & Impact andy.hill@vu.edu.au
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Glossary Terms and Definitions

"Research" - The creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include the synthesis and analysis of previous research to the extent that it is new and creative. This definition of research encompasses pure and oriented basic research, applied research and experimental development. This definition of research is consistent with a broad notion of research and experimental development (R&D) comprising creative work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge. Activities that do not meet the definition of research include: i. scientific and technical information services ii. general-purpose or routine data collection iii. standardisation and routine testing iv. feasibility studies (except in R&D projects) v. literature reviews that do not include any critical assessment or report any new findings or original experimental work vi. commercial, legal and administrative aspects of patenting, plant breeders rights, copyright, material transfer agreements or intellectual property licensing, option and assignment activities, and royalties vii. routine computer programming, systems work or software maintenance.

"External Supervisors" - Supervisors who do not hold an ongoing position or sessional contract of one year of more at Victoria University (VU). For the purposes of Graduate Research supervision academics holding adjunct or honorary appointments are considered to be internal supervisors.

"Research-intensive" - Academic staff whose role means that a major or the primary focus of their work is research (defined as a workload of >50% devoted to research). It is expected that such research-intensive staff will contribute to teaching and research training through supervision and instruction of research postgraduate students.

"TEQSA" - Tertiary Education Quality and Standards Agency is an Australian government agency that regulates and assures the quality of Australia's higher education sector.

"Principal Supervisor" - The primary academic supervisor of a research student, recognised as the academic leader of the candidate's supervisory team. A principal supervisor must be a doctorally qualified member of staff who is research active in a field or discipline relevant to the candidate's research.

"Associate Supervisor" - A member of staff who is research active, not necessarily in the field or discipline relevant to the candidate's research.