

Supervision Policy Draft

Sections

- Application
- Purpose
- Contents
- Policy
- General Provisions
- Appointment of Supervisors
- Distribution
- Supervisor Workload and Doctoral Experience
- Definitions
- Key relevant documents
- Document management and control

Application

This Policy applies to all staff and associates involved in:

- the supervision of doctoral candidates; and
- the appointment of supervisors.

Purpose

This Policy outlines the University's approach to the supervision of doctoral candidates. It provides for:

- a positive and proactive approach to research supervision;
- guidance, support, recognition, development and leadership opportunities for supervisors; and
- the safety and wellbeing of students and candidates in the supervision relationship.

Policy

General Provisions

1. The University recognises its key responsibility to promote research communities that welcome and engage research students as participants. Appropriate supervision is a vital part of creating such an environment.
2. A supervisor's primary role is to provide academic support and guidance throughout a candidature, and to supervise the student to achieve a high standard of:
 - a. researcher development;
 - b. research activity; and
 - c. output.
3. The key expectations that apply to supervisors and candidates are provided in the Supervision Procedures.
4. Each doctoral candidate will be provided with a main supervisor and one or more (up to a maximum of three) co-supervisor/s.

5. In addition, doctoral candidates may, where appropriate, be appointed one or more adviser/s. This may take the form of an advisory committee of up to 4 members.
6. All supervisors must hold:
 - a. the degree for which the student or candidate is enrolled; or
 - b. an equivalent qualification; or
 - c. have a substantial and appropriate record of research outputs; or
 - d. have a strong and documented record in the relevant field.
7. A main supervisor holds primary responsibility for the provision of academic advice and support, for associated administrative requirements, and for assistance with access to research resources.
8. A co-supervisor must be proactive in providing academic advice and support to the candidate and other members of the supervisory team.
9. Adviser/s are expected to provide advice on specific aspects of the research and/or candidature.
10. Supervisors and advisers are not primarily responsible for the quality of work, which ultimately rests with the candidate.
11. Relevance, equivalence and appropriateness, where mentioned in this policy and its associated procedures, are determined by the appropriate authority.

Appointment of supervisors

12. The main supervisor must be actively involved in research in the student or candidate's general field.
13. Co-supervisors must be research-active or have strong professional expertise in the relevant field(s).
14. The main supervisor must be:
 - a. employed in an academic staff position at the University of Auckland under an employment agreement which includes a requirement that they undertake research
 - b. be accredited as a main supervisor in accordance with the Supervisor Accreditation and Training Procedures.
16. At least one co-supervisor should be employed in an academic position at the University of Auckland and must be accredited to supervise in accordance with the Supervisor Accreditation and Training Procedures.
17. Honorary University of Auckland staff members are not eligible to be main supervisors though they may be appointed as co-supervisors.
18. A person who is themselves a student or candidate for a doctoral degree at any institution is not normally eligible for appointment as a supervisor for the same degree but may be appointed as an adviser.
19. There is no provision to split income from research students between universities or other institutions.
20. Any payment of external co-supervisors or advisers is a matter for the academic unit to determine and fund.
21. University of Auckland staff on fixed term contracts who the Academic Head agrees are likely to be funded for the expected period of supervision may be appointed as main supervisors. When this occurs:

- a. a co-supervisor must be appointed who is not on a fixed term contract, to maximise stability of supervision;
- b. staff should be informed that appointment as a supervisor does not imply or give any expectation of permanent employment; and
- c. the Academic Head must confirm at the outset that appropriate alternative supervision is available if the main supervisor's contract ends before the project is completed.

Distribution

- 22. The distribution of supervision must equate to no more than 1.0 FTE and be allocated such that:
 - a. The Main Supervisor's contribution must be at least 40%, and they must carry the greatest load in the supervisory team.
 - b. Individual supervisory contributions must be documented as per procedures and be not less than 10% and not more than 70% within any supervisory team.

Supervisor workload and doctoral experience

- 23. The [Academic Workload Principles and Policy](#) set expectations for doctoral supervisor workload.
- 24. The Dean/Director is responsible for reviewing and approving supervision workload norms in consultation with Academic Heads and staff and ensuring adherence to these norms.
- 25. Supervision workload is discipline specific, dependent on supervisory models, and agreed annually through discussion with the Academic Head.
- 26. The Academic Head must be satisfied that the quality of supervision and doctoral experience is not compromised by the supervisor's workload.
- 27. The outcome of workload discussions relevant to supervision must be documented in the supervisor's annual academic development and performance review.
- 28. Where the School of Graduate Studies and/or Associate Dean/Director Post-Graduate Research are concerned that doctoral experience and/or development may be compromised by a supervisor's workload:
 - a. The ADPGR will discuss concerns with the supervisor and academic head.
 - b. Where the Academic Head agrees that there is a material risk to student experience and development, the Academic Head will put in place a mitigation plan.
 - c. If the ADPGR remains concerned that the supervisor's workload is such that a candidate's doctoral experience and/or development are compromised, the ADPGR will escalate concerns to the Dean.

Definitions

The following definitions apply to this document:

Associate in the context of Doctorate Supervision refers to non-University of Auckland supervisors

Associate Dean/Director (Postgraduate Research) normally refers to the person holding the appointment of Associate Dean/Director (Postgraduate Research) (or equivalent) in the faculty or Large Scale Research Institute (LSRI) in which the candidate is enrolled, or to that person's nominee in the case of an LSRI or one-department faculty, but the role may also be carried out by a person holding that appointment (or equivalent) in another faculty or LSRI or by a person holding the appointment of Assistant Dean Postgraduate Research (or equivalent) or another Associate Dean/Director role within the same faculty or LSRI.

Academic Head refers to the head(s) of the relevant academic unit(s), or their nominee(s) for the purposes of doctoral matters.

Accredited supervisors are those who have met the criteria outlined in Supervisor Accreditation and Training Procedures.

Co-supervisor is the supervisor who assists the main supervisor in the supervision of the candidate.

Doctoral candidates are students who are enrolled in doctoral degrees at the University.

Main supervisor is the lead supervisor who takes overall responsibility for the supervision of a candidate and for assistance in the provision of research resources.

Staff member refers to an individual employed by the University on a full or part time basis.

Supervisor/s refers to main supervisor or co-supervisor.

University means the University of Auckland and includes all subsidiaries.

Key relevant documents

Include the following:

- Doctorates Statute
- Doctorates Policy
- Supervision Procedure
- Supervisor Accreditation and Training Procedure

Document management and control

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