



# Australian Graduate School of Leadership Policy Register

Policy name	Doctoral Supervision and Assessment		
Version	1.0	Status	Approved by Board of Directors
Communication	To all staff, students and prospective students	Date	21 January 2013

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Related Policies	<ul style="list-style-type: none"><li>• Academic Credit and Recognition of Prior Learning</li><li>• Academic Misconduct</li><li>• Assessment</li><li>• Grading</li><li>• Progression, Exclusion and Graduation</li><li>• Research and Research Management</li><li>• Special Consideration</li><li>• Student Grievance</li></ul>
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## 1. Preamble

This policy applies to examinable work that is submitted as the result of a research, thesis, dissertation or review component of a doctoral course.

## 2. Scope

The policy applies to all students enrolled in a doctoral course at AGSL.

## 3. Principles

A candidate who is admitted to a doctoral course is to be assigned a Principal Supervisor who is accountable to the Executive Dean and Academic Board for monitoring and advising on the overall progress of the candidate. One or more co-supervisors may also be assigned to the candidate to assist the Principal Supervisor in their supervision of the candidate or to undertake one or more specific supervisory tasks.

## 4. Procedures

### *Supervision*

A Principal Supervisor shall be appointed to each doctoral candidate by the Academic Board on the recommendation of the Executive Dean. Co-supervisor(s) may also be appointed on the request of the Principal Supervisor, Executive Dean or Academic Board. The Academic Board shall

To be appointed as a Principal Supervisor, a person will normally be required to satisfy each of the following conditions:

- a) be a member of AGSL's academic staff or a person who has been granted an honorary or adjunct academic position or approved by the Academic Board to supervise;
- b) hold a PhD or a professional doctorate or have an equivalent record of scholarly achievement;
- c) be currently engaged in research, have a significant track record of research or be a leading scholar or practitioner in the relevant profession;
- d) be, or have recently been, a Principal Supervisor or Co-Supervisor for a minimum of one year for a research degree or professional doctorate;
- e) have undertaken, or agree to undertake within a specified period, any training in research higher supervision specified by AGSL; and
- f) not have any conflict of interest in connection with the candidate.

The Academic Board may authorise any of the above criteria be waived or a different standard applied or additional criteria be applied to any candidate for appointment as a Principal Supervisor. Once approved by the Academic Board to be appointed as a Principal Supervisor, a person may continue to supervise doctoral candidates and may be appointed to supervise additional doctoral candidates for a period of five years, after which the eligibility to continue to supervise doctoral candidates, based on their continuing to meet all of the criteria specified above for appointment as a Principal Supervisor, shall be reviewed by the Executive Dean.

To be appointed as a Co-supervisor, a person shall meet all of the criteria specified above for appointment as a Principal Supervisor, except criterion (d), and shall be approved by the Academic Board as a person who is likely, with the guidance from an experienced supervisor, to be capable of supervising doctoral candidates. Once approved by the Academic Board to be appointed as a Co-supervisor, a person may continue to co-supervise doctoral candidates and may be appointed to co-supervise additional doctoral candidates for a period of five years, after which the eligibility to continue to supervise doctoral candidates, based on their continuing to meet all of

the criteria specified above for appointment as a Principal Supervisor, shall be reviewed by the Executive Dean.

### *Change of Supervisor*

In the event that the Principal Supervisor or Co-supervisor is unable to supervise the candidate for an extended period of time for any reason, an alternative supervisor that satisfies the regulations set out in this policy shall be appointed as soon as practicable.

In the event that a Principal Supervisor or Co-supervisor resigns or otherwise leaves AGSL, unless granted an honorary or adjunct position or otherwise approved by the Academic Board to continue supervising, an alternative supervisor that satisfies the regulations set out in this policy shall be appointed as soon as practicable.

If a doctoral student is left without a Principal Supervisor for any period of time for any reason (e.g. after resignation of a supervisor from AGSL and before appointment of a replacement supervisor), the Executive Dean will automatically assume supervision responsibility for the candidate until another Principal Supervisor is appointed under the conditions of this policy.

### *Responsibilities – Principal Supervisor*

The Principal Supervisor is accountable to the Executive Dean for advising and monitoring the progress of a candidate and also for leading any co-supervisors appointed to the candidate under this policy. A Principal Supervisor's responsibilities include:

- a) negotiating roles with co-supervisors in conjunction with the candidate at the commencement of candidature and at any other relevant point in time.
- b) ensuring that all co-supervisors are actively involved in supporting the candidate's research endeavours;
- c) carefully monitoring the candidate's performance relevant to the standard required by the course and advising the candidate when work does not fulfil required standards or inadequate progress is being made;
- d) ensuring that no research data is collected from human or animal subjects until approval is obtained from AGSL's Ethics Committee;
- e) monitoring the candidate's work for potential issues relating to academic misconduct, implementing procedures outlined in the Academic Misconduct policy when relevant and reporting incidents of suspected or potential academic misconduct to the Executive Dean;

- f) bringing to the attention of the Executive Dean any issues related to intellectual property rights or commercial or other confidentiality matters that relate to the content of the thesis or portfolio;
- g) advising the academic board, by way of recommendation to the Executive Dean, the names, credentials and experience of potential examiners;
- h) ensuring that the candidate is aware of any planned periods of extended absence of the Principal Examiner and implementation of alternative supervision arrangements, in consultation with the Executive Dean, during extended periods of absence;
- i) contributing to the development of co-supervisors supervisory skills.

### *Responsibilities – Co-supervisors*

The Principal Supervisor is ultimately responsible for all areas of supervision of the candidate, however co-supervisors may be appointed to assist with the aspects of supervision listed below. Where no co-supervisor is appointed, the Principal Supervisor will also assume responsibility for the supervision activities listed below. The extent of co-supervisors' responsibilities is to be agreed between the Principal Supervisor and co-supervisors, with the Principal Supervisor having ultimate authority over the assignment of responsibilities. Co-supervisors may be responsible for one, some or all of the responsibilities listed below:

- a) Providing guidance, where appropriate, on:
  - the nature of research
  - the standard expected for particular degrees
  - the choice of research topic
  - planning the research program
  - ethical issues related to research
  - methodological issues
  - data analysis issues
  - exploring solutions for unanticipated problems that arise during research;
- b) maintaining regular and close contact with the candidate and establishing how communication with the candidate will occur;
- c) responding to queries and providing feedback on drafts in a timely manner;
- d) requiring the candidate to provide written reports or other work on an agreed schedule to allow progress to be assessed;
- e) monitoring the candidate's progress and ensuring that any work below the expected standard or inadequate progress is brought to the candidate's attention;

- f) helping the candidate to develop and implement solutions to deal with work below the expected started or inadequate progress;
- g) ensuring that the research undertaken and work produced for examination is the candidate's own work and that any substantial assistance received is acknowledged in the examinable work and does not conflict with the requirement that the intellectual content of the research and examinable work is that of the candidate;
- h) providing general support and encouragement to the candidate;
- i) encouraging the candidate to publish relevant research and outcomes;
- j) fulfilling other obligations related to supervision that may be imposed by AGSL.

### *Supervision Load*

A supervisor (either Principal or Co-supervisor) shall not normally be allocated more than eight full time doctoral students to supervise. Supervision that exceeds this maximum load must be approved by the Executive Dean. Candidates undertaking coursework subjects are not counted as part of the supervisor's load until the complete the coursework subjects and commence the research component of the course.

### *The Dissertation (Thesis) and Portfolio*

The candidate must identify and justify their contributions to the practice of leadership in dynamic contexts. Candidates for the award of a Doctoral degree must demonstrate advanced theoretical, professional and methodological knowledge and the work must demonstrate an original and significant contribution to professional practice.

A portfolio consists of a compilation of scholarly documents that can include plans, reports, policy documents, academic or professional journal articles and conference papers either authored by the candidate or that provide support for or have had a significant impact on the candidates adopted position(s). The portfolio is submitted with a dissertation that further demonstrates the candidate's academic and professional development over the course of study.

### *Notice of Intention to Submit*

To facilitate the timely appointment of examiners, a candidate shall give at least two months' notice of their intention to submit the dissertation and portfolio. A notice of intention to submit should be in on the appropriate form and sent to the Registrar. The Notification of Readiness to Submit must nominate examiners to be considered

for approval by the Academic Board. The Executive Dean may approve the appointment of examiners that have previously been approved by the Academic Board within the past five years.

### *Requirements for the Dissertation and Portfolio*

The Dissertation and Portfolio submitted by the candidate must comply with the following requirements:

- a) it must be an accurate account of the research undertaken;
- b) it must be an account of the candidate's own work. If any jointly authored work is included, the work done by the candidate must be clearly indicated and co-authors must certify that they agree for the work to be included;
- c) the main content must not be work that has previously been submitted for any other academic award or academic work conducted prior to the commencement of candidature;
- d) all written material must be in English, except where the Academic Board has approved submission in another language, and be of a satisfactory standard of expression and presentation;
- e) any substantial assistance provided to the candidate during the conduct of research and the preparation of the examinable work must be acknowledged, including paid editorial assistance. If a professional editor's current or former area of academic specialisation is related to the content of the candidate's examinable work, this must also be specified;
- f) where a series of papers is presented, they must be accompanied by a comprehensive explanation, essay, narrative, review or dissertation to link the papers together and establish the broader academic context;

### *Maximum Length*

The maximum length of the dissertation shall be 40,000 words and is exclusive of the supporting portfolio and any appendices. The maximum length shall not be exceeded by more than 20% without the permission of the Academic Board.

### *Submission of Dissertation and Portfolio*

The Dissertation and Portfolio are normally submitted to the Registrar when the candidate and Principal Supervisor agree that the work is ready for examination. If the Principal Supervisor disagrees with the candidate that the work is ready for examination, the Registrar shall retain a record of the reasons for such disagreement. Four soft bound copies of the work are to be submitted to the Registrar, along with a copy of the Notification of Readiness to Submit and

confirmation that the Executive Dean or Academic Board has approved the nominated examiners.

### *Hard-Bound Copies*

Following acceptance of examiners final reports by the Academic Board and notification that the Academic Board has recommended that the degree be awarded, the candidate shall forward to the Registrar a digital version and three hard-bound copies of the work, which shall become the property of AGSL. The candidate is responsible for the costs of binding. Candidates may not graduate until this requirement has been met. (see also Appendix A – Presentation of Printed Works).

### *Restriction on Circulation*

All final works submitted will be available for open access, except where the work contains matters affecting national or industrial security, commercial-in-confidence content, culturally sensitive content, content that would breach privacy laws or any other content that would pose a risk to the author, AGSL or any other third party. In such cases, upon submission by the candidate of the reasons why they were not able to submit their work without effectively disguising the relevant information and why it is sufficiently sensitive to warrant an embargo, the Academic Board may restrict the circulation, copying and access to the submitted work upon considering the candidates request. If there are restrictions on part of the content, an abridged hard copy and digital version (edited by the candidate) will normally be made available. If the Academic Board approves an embargo on circulation, copying or access, the entire work shall become available two years after the final hard bound copies were deposited with the Registrar, unless the Academic Board approves a longer or shorter embargo timeframe.

### *Data Retention*

Any evidence and/or data used in the preparation of the candidate's doctoral submission must be retained for a minimum period of five years from the date that the candidate is awarded the degree.

### *Nomination and Approval of Examiners*

Upon receipt of a notice of readiness to submit, the Executive Dean may seek suggestions for suitable examiners from the Principal Supervisor, Co-supervisor(s), Academic Board, the candidate and other qualified persons. Those making suggestions must justify their nomination in writing. All nominations will be

submitted to the Academic Board, which will make the appointments. The Academic Board is required to take reasonable steps to ensure that examiners have no conflict of interest with respect to the candidate and have not previously been involved in the preparation of the candidate's dissertation.

Two examiners who are not employees of AGSL shall examine the work submitted by the candidate. In the event of a major disagreement between the examiners a third examiner may be appointed.

A candidate's Principal Supervisor and Co-supervisor(s) are not eligible to be nominated as examiners.

After the Academic Board has considered the examiners' report, the Academic Board will release name of an examiner together with the examiner's report on the work submitted. The names of the examiners may only be released to the candidate after the examination has been completed.

Where an examiner fails to provide a report on a submitted work within two months of having received it, a replacement supervisor may be nominated subject to the approval process outlined above.

### *Qualifications of Examiners*

Academic Examiners: Examiners shall be of high academic standing in the field in which the candidate's research was conducted and shall demonstrate knowledge of the professional area in which the thesis or portfolio is being examined.

Industry-based Examiner: The examiner shall exhibit demonstrated excellence in the profession in which the candidate's research was conducted.

### *Payments to Examiners*

Examiners who are not a member of AGSL staff may be paid an honorarium at a rate as approved by the Board of Directors from time to time. For the purpose of this clause, associate and adjunct academic staff shall not be considered AGSL staff and shall therefore be able to be paid an honorarium. Examiners who are AGSL staff members shall not be paid an honorarium. Payment shall be made following receipt of the examiner's final report after all examinations (including viva-voce examinations) have concluded.

### *Examination Criteria*



Examiners shall examine the submitted work principally in terms of:

- a) the candidate's understanding of the field of study;
- b) the originality of the work;
- c) the significance of the work as a contribution to knowledge in the field of study;
- d) the significance of the work as a contribution to practice in the field of study;
- e) the adequacy of the research methodology; and
- f) the worthiness of the work for publication.

The work must be an original contribution to professional practice, policy or knowledge and must also meet any specific criteria approved by the Academic Board and published in the subject outlines and course literature.

Where an industry-based examiner is appointed, they shall examine the work from the perspectives of:

- a) the significance of the work to the practice or profession as a whole;
- b) the appropriateness of the work for publication and the extent to which its publication would be valuable to the profession or industry;
- c) the veracity of the research findings from a professional or industry viewpoint.

### *Examination*

Examiners shall be provided with examination criteria approved by the Academic Board. Each examiner shall, independently of the other examiner(s), examine the work and bring their report to the viva voce so that they can also take account of the candidate's presentation and response to questions and from examiners. The panel of examiners then agree on a process for providing a joint written report that justifies one of the recommendations set out below:

- a) The work be PASSED without any amendments and the candidate be awarded the degree.
- b) The work be PASSED, SUBJECT TO MINOR AMENDMENTS as indicated in the joint examiners' report to the satisfaction of the principal supervisor.
- c) The work be PASSED, SUBJECT TO SUBSTANTIVE AMENDMENTS along the lines indicated in the examiners' report. The candidate is to be instructed to respond to the required amendments and subject to the approval of the principal supervisor submit a detailed report to the Executive Dean outlining the amendments to the work for final classification, without further references to

the examiners and subject to the recommendation of the Executive Dean approved by the Academic Board.

- d) The work be RE-SUBMITTED for examination after completing the required extra work and revision indicated. (A work which must be re-submitted requires alterations of such scale, complexity and/or conceptual significance that their adequacy should be appraised again by an external expert/s).
- e) The work be FAILED and the candidate NOT be awarded the degree and NOT be permitted to resubmit the work in a revised form.

### *Examiners' Reports*

Examiners' reports shall initially be sent to the Registrar. Once all reports are received, they shall be forwarded to the Executive Dean who shall, after considering the examiners' reports, forward them to the candidate via the Principal Supervisor.

Where examiners do not recommend that the work be PASSED without any amendments and the candidate be awarded the degree, the candidate shall provide to the Principal Supervisor a response to the examiners' reports. The candidate's response need not reflect the views of the Principal Supervisor or any other person. Candidates who have not effectively responded to examiners' requirements within six months must re-enrol. The Principal Supervisor shall consider the candidate's response to examiners' reports and shall provide a report on the examiners' reports and the candidate's response to the Executive Dean. The Academic Board shall receive from the Executive Dean the examiners' reports, the candidate's response to examiners' reports and a copy of the Principal Supervisor's report and shall:

- a) recommend to the Board of Directors that the award be conferred; or
- b) agree that, subject to the minor amendments being made to the satisfaction of the Executive Dean, it will recommend to the Board of Directors that the award be conferred; or
- c) agree that, subject to the substantive amendments and other changes being made to the satisfaction of the Board, it will recommend to the Board of Directors that the award be conferred; or
- d) require the candidate to re-submit the work in a revised form by a specified date after a further period of enrolment; or
- e) appoint an arbiter to review the work and examiners' reports; or
- f) decide that the work be failed, the candidate not be permitted to resubmit the work and candidature be terminated.

### *Termination of Candidature*

If the Academic Board, acting on advice from whichever qualified person it chooses, believes that a candidate is not making satisfactory progress or that they have failed to comply with the provisions of this or any other policy, it may terminate the candidature. Alternatively the Academic Board may make such adjustments to the candidature as it sees fit. Any action taken under this clause must be preceded by one month's notice to the candidate and the candidate given an opportunity during the one month's notice period to show cause as to why the proposed course of action should not be implemented.

If a candidature is terminated, it may be reinstated by the Academic Board.

## **5. Responsibilities**

The Academic Board, Executive Dean, Principal Supervisor and the Registrar are responsible for the application of this policy.

## **6. Appendix A – Presentation of Printed Works**

### *Format*

The work shall be a word processed document in a 12 point font, with footnotes in a smaller font. Printing is normally double-sided with consecutively numbered pages. Margins are to be at least 2cm and the gutter margin 4cm. Text should be either double spaced or space-and-a-half, except quotations, footnotes, references and captions should be single spaced.

### *Soft-bound Copies for Examination*

Work is to be presented on ISO A4 sized white bond paper. If any diagrams, maps or other inserts do not readily fit on A4 sized paper, ISO B4 sized paper may be used. B4 sized pages are to be folded and bound so that they open out at the top and the right.

All copies are to be produced using a method that gives clear and permanent copy (offset print, dry photocopy or laser print or copy). The use of spirit duplication, wet photocopy, thermal copy or carbon copy is not acceptable.

Four copies of the work are to be provided and are to be secured within hard covers (e.g. commercially available plastic folders).

### *Hard-Bound Copies Following Examination*

Candidates are advised to enclose these instructions when sending their work for binding and to specify a choice of fabric.

The hard bound copies shall be printed on permanent paper suitable for permanent storage (paper that conforms to AS40003-1996).

The hard bound copies shall be full bound in burgundy cloth or buckram. The burgundy is to be similar to pantone colour 188c.

Lettering is to be in gold block letters, 3 to 4mm in height, 10 letters per 2cm in a sans-serif typeface. Where the thickness of the work being bound is sufficient, lettering should be horizontal across the spine with the top line of tittle lettering 22cm above the base of the spine, the author's name 10cm and the year 10cm. The award name should be abbreviated using the standard nomenclature. Lettering on the front cover is not required. If the work needs to be published in more than one

book, each book is regarded as a volume and each volume should be numbered 14cm above the base of the spine.

Where the width of the spine does not permit horizontal lettering, lettering should be applied in the direction top to bottom, starting 2cm from the top, in the same type size as horizontal lettering. A space of 2cm should be placed between the title and award and 1cm between author and title.

Where items other than bound books are submitted, they should be enclosed in a burgundy cloth or buckram box that matches the bound volume(s), including matching height and lettering. Small items (e.g. computer disks) should be housed in a matching cloth or buckram pocket attached to the back inside cover board of the main work. For items that are to be submitted by that do not fit into any of these specifications, contact the Registrar for advice.

### *Content and Style*

The first page of the work is to identify it as an examinable work submitted to AGSL for the [name of degree]. The candidate's name, qualification held, the full title of the work and the month and year of submission are to be recorded on the title page. If the work is jointly authored, a statement indicating the contribution made by the submitting candidate shall be given on the title page.

The work is to include a table of contents after the title page.

On the first page after the table of contents, the following certificate signed by the candidate certifying the original authorship of the thesis or other examinable work is to appear:

*"I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person nor material which to a substantial extent has been accepted for the award of any other degree or diploma at the Australian Graduate School of Leadership or any other educational institution, except where due acknowledgment is made. Any contribution made to the research by colleagues with whom I have worked at the Australian Graduate School of Leadership or elsewhere during my candidature is fully acknowledged.*

*I agree that this thesis be accessible for the purpose of study and research in the AGSL library."*

Where appropriate, a brief acknowledgment of any substantial assistance received shall be included on a separate page inserted in sequence. The acknowledgment should list the names of all those persons who have provided substantial assistance with the research and the nature of that assistance which may relate, for example, to the:

- sponsorship of the research;
- collection of data;
- processing of the data including the selection and use of
- particular statistical techniques;
- interpretation of the results of the statistical analysis;
- editing of the thesis;
- use of graphics in the thesis;
- word processing of the thesis.

If any of the assistance was provided for a fee, this fact should also be recorded.

If there is material in the thesis or other examinable work which could or does have implications for the intellectual property rights of the candidate, AGSL, a sponsor of the research or some other person or body, those implications shall be stated under the heading "Intellectual Property Rights" either on the same page as the acknowledgments or on the next page in sequence.

If the work reports on research involving humans or human biological materials or involving animals, a page containing the details of the Ethics Committee approval shall be inserted in sequence in the soft-bound copies of the work.

If there is material in the work that is confidential for commercial or other reasons, either for a specified period or indefinitely, the confidential material, the period of its confidentiality and the reasons for its confidentiality shall be specified under the heading "Confidential Material" on a separate page inserted in sequence. In addition, the following statement shall appear on the cover of the soft-bound copies of the print thesis, other examinable print work or written component of an examinable multi-media work:

*"This work contains confidential material as described on page [insert page number]. The work shall not be given to anyone who is not directly involved in its examination."*

If paid editorial assistance was obtained by the candidate during the conduct of the research and the production of the examinable work, the name of the editor and a brief description of the services provided must be specified in the work under the

heading “Professional Editorial Assistance” on a separate page inserted in sequence. If the professional editor's current or former area of academic specialisation is similar to that of the candidate, this too should be stated in the prefatory matter of the work.

Professional editing of a candidate’s thesis or other examinable work is limited to formatting, grammar and style (Australian Standard for Editing Practice – ASEP Standard D - Language and Illustrations, ASEP Standard E - Completeness and Consistency) and must not alter or improve the substantive content or conceptual organisation of the thesis. Where a professional editor provides advice to a candidate on matters of structure (ASEP Standard C - Substance and Structure) exemplars only should be given.

If any publications have resulted from the research then the citation list of these publications should appear on a separate page. If any publications are co-authored, then a statement making clear the candidate's contribution to these jointly authored works must be provided. If a co-authored publication is to be included in the thesis the co-author(s) must certify that they agree to the inclusion of the paper in the thesis.

Next in sequence, there is to be an abstract of the work not exceeding 500 words in length.

Next in sequence is the body of the print thesis, other examinable work or written component of an examinable multi-media work.

The work is to include a list of references at the end that shall list alphabetically the sources acknowledged in the body of the work.

Advice regarding bibliographic standards is to be obtained from the Principal Supervisor.