

# SUPERVISORS WORKSHOP

## PART 3

# Resources

## Participant preparation

Notes to send to all supervisors who will be attending, well in advance of the workshop itself.

### Information

At least a week before the workshop, make sure you have the following information about your institution.

#### Session 1: What do we want to achieve?

- What are the requirements for recruitment into a PhD program at your institution?
- What is the format for PhD supervision in your field and department (thesis, publications, hybrid)?

#### Session 3: Scientific integrity

- What are the rules for maintaining scientific integrity in your institution?
- What (if any) specific rules relate to doctoral supervision?
- How are cases of misconduct dealt with in the institution?

#### Session 5: University and academic citizenship

- How does your university teach the relationship between excellence in teaching and academic citizenship?
- How does your university teach the relationship between excellence in leadership and the values of academic citizenship?

- How does your university see and discuss the responsibility of the university system for the sustainable development goals?
- Does your university recognize social responsibility? If so, how is this reflected in practice?

#### **Session 6: Formal terms and conditions**

- Does your institution regulate supervision through a contract or other document? If so, bring a copy to the workshop.

#### **Session 7: Practical logistics of PhD supervision**

- What does your university recommend with respect to individual or group supervision?
- How are supervisors prepared for and supported by their institutions?
- Do PhD candidates in your university need (or get) multi-disciplinary supervision?

#### **Session 8: Psychology of the supervisor–supervisee relationship**

- What support mechanisms are available in your institution for supervisor–supervisee relationships?

#### **Session 9: Quality assurance in doctoral research training**

- What are the guidelines and regulations for quality assurance of postgraduate studies at your university?
- How are quality control and assurance integrated at different levels of PhD training in your institutions?
- What is the quality control mechanism in your institutions as regards process and results?

#### **Session 12: Mentorship**

- What are the rules and tools for academic mentorship at your institution? (Bring a copy to the workshop)

## **Reading**

Before attending the workshop, please read the materials for Sessions 1 and 2. Then please make sure you have read the materials before each session.

#### **Session 1: What do we want to achieve?**

[https://www.researchgate.net/publication/225839594\\_Successful\\_PhD\\_Supervision\\_A\\_Two-Way\\_Process](https://www.researchgate.net/publication/225839594_Successful_PhD_Supervision_A_Two-Way_Process)

Ali F, Shet A, Yan W, Atkins S, Lucas H and for the ARCADE consortium (2017). Doctoral Research and Training Capacity in the Social Determinants of Health at Universities and Higher Education Institutions in India, China, Oman and Vietnam: A Survey of Needs. *Health Research Policy and Systems*. 15:76–87

Loxley A and Kearns M (2018). Finding a purpose for the doctorate? A view from the supervisors. *Studies in Higher Education*. 43:826–840.

Williams A, Jones MG, Jonsson R, Harris RA and Mulvany MJ (2019). A comparison of doctoral training in biomedicine and medicine for some UK and Scandinavian graduate programmes: learning from each other. *FEBS OPEN BIO* 9:830–839.

Igumbor J, Bosire EN, Katahoire A, Allison J, Muula AS, Peixoto A, Otwombe K, Bondjers G, Fonn S and Ajuwon A, Effective supervision of doctoral students in public and population health in Africa: CARTA supervisors' experiences, challenges and perceived opportunities. *Global Public Health*, 1–16. <https://doi.org/10.1080/17441692.2020.1864752>

### Session 2: Recruitment of PhD candidates

[https://www.researchgate.net/publication/225839594\\_Successful\\_PhD\\_Supervision\\_A\\_Two-Way\\_Process](https://www.researchgate.net/publication/225839594_Successful_PhD_Supervision_A_Two-Way_Process)

Leijen, A.; Lepp, L.; Remmik, M. (2016) Why did I drop out? Former students' recollections about their study process and factors related to leaving the doctoral studies in Continuing Education 38: 129-144

Groenvynck, H ; Vandeveld, K; Van Rossem, R (2013) The PhD track: Who succeeds, who drops out? Research Evaluation 22: 199-209

### Session 3: Scientific integrity

<http://retractionwatch.com>

<http://www.who.int/ethics/research/en>

Löfström E and Pyhältö K (2017). Ethics in the supervisory relationship: supervisors' and doctoral students' dilemmas in the natural and behavioural sciences. Studies in higher education. (42) 232-247

Denisova-Schmidt E. (2018). Corruption, the Lack of Academic Integrity and Other Ethical Issues in Higher Education: What Can Be Done within the Bologna Process? IN: Curaj A., Deca L., Pricopie R. (eds) European Higher Education Area: The Impact of Past and Future Policies, Springer, Cham. [https://link.springer.com/content/pdf/10.1007%2F978-3-319-77407-7\\_5.pdf](https://link.springer.com/content/pdf/10.1007%2F978-3-319-77407-7_5.pdf)  
Clynes M , Corbett A , Overbaugh (2019). J Why we need good mentoring. Nature Reviews Cancer. 19:489-493.

### Session 4: The supervision process

<https://www.theguardian.com/higher-education-network/2015/dec/11/bad-phd-supervisors-can-ruin-research-so-why-arent-they-accountable>

<http://science-network.tv/supervision/>

Roach A, Christensen BK, Rieger E (2019). The essential ingredients of research supervision: A discrete-choice experiment. J. Educ. Psychology 111:1243-1260.

Barnett JV, RA Harris, MJ Mulvany (2017). A comparison of best practices for doctoral training in Europe and North America. FEBS Open Bio. 7: 1444-1452.

### Session 5: University and academic citizenship

<https://www.timeshighereducation.com/features/10-truths-a-phd-supervisor-will-never-tell-you/2005513.article>

Anna Peixoto (2014). De mest lämpade. <http://hdl.handle.net/2077/35675> Thesis in Swedish but with an extensive summary in English, available on the web. Short presentation of the Bourdiean analysis of the academic field.

Lee, Ann (2007). How are doctoral students supervised? Concepts of doctoral research supervision. Studies in Higher Education 33: 267-281.

### Session 6: Formal terms and conditions

<https://innsida.ntnu.no/wiki/-/wiki/English/PhD+Handbook>

Shin JC, Kim SJ, Kim E, Lim H (2018). Doctoral students' satisfaction in a research-focused Korean university: socio-environmental and motivational factors. Asia Pacific Education Review 19:159-168

CARTA contract of supervision and academic obligations (also in Part III: Resources)

### Session 7: Practical logistics of PhD supervision

Nakanjako D., Katamba A., Kaye D., Okello E., Kanya M., Sewankembo N., Mayanja-Kizza H., (2014). Doctoral training in Uganda: evaluation of mentoring best practices at Makerere university college of health sciences. BMC Medical Education 14:9. DOI: 10.1186/1472-6920-14-9

van Schalkwyk SC Murdoch-Eaton D Tekian A van der Vleuten C, Cilliers F (2016). The supervisor's toolkit: A framework for doctoral supervision in health professions education: AMEE Guide No. 104. Med Teach. 38:429-42. doi: 10.3109/0142159X.2016.1142517. Epub 2016 Mar 21.

Govender, K., & Dhunpath, R. (2011). Student experiences of the PhD cohort model: Working within or outside communities of practice. Perspectives in Education, 29(1), 88-99. <https://journals.co.za/doi/pdf/10.10520/EJC87632>

### Session 8: Psychology of the supervisor–supervisee relationship

Deuchar R (2008). Facilitator, director or critical friend? Contradiction and congruence in doctoral supervision styles. *Teaching in higher education* 13: 489–500.

Bitzer E and Matimbo F (2017). Cultivating African Academic capital – intersectional narratives of an African graduate and his PhD study supervisor. *Innovations in Education and Teaching International*

Bernstein, B. L., Evans, B., Fyffe, J., Halai, N., Hall, F. L., Jensen, H. S., ... & Ortega, S. (2014). The continuing evolution of the research doctorate. In *Globalization and its impacts on the quality of PhD education* (pp. 5–30). Brill Sense.54:539–549. DOI: 10.1080/14703297.2017.1394825

Fortes, M., Kehm, B. M., & Mayekiso, T. (2014). Evaluation and quality management in Europe, Mexico, and South Africa. In *Globalization and its impacts on the quality of PhD education* (pp. 81–109). Brill Sense

### Session 9: Quality assurance in doctoral research training

[http://www.eua.be/Libraries/publications-homepage-list/Salzburg\\_II\\_Recommendations](http://www.eua.be/Libraries/publications-homepage-list/Salzburg_II_Recommendations)

<http://www.orpheus-med.org/images/stories/documents/ORPHEUS-AMSE-WFME-standards-for-PhD-education.pdf>

### Session 10: Inequity and dilemmas in supervision

<https://www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration/equity/equity-policy-and-procedures-.html>

Carter S, Blumenstein M, Cook C (2013). Different for women? The challenges of doctoral studies. *Teaching in higher education* 18:339–351.

Shibayama S and Kobayashi Y (2017). Impact of Ph.D. training: a comprehensive analysis based on a Japanese national doctoral survey. *Scientometrics* 113:387–415. DOI 10.1007/s11192-017-2479-7

Cohen, GL; Garcia, J; Appel N; Master, A (2006). Reducing the racial achievement gap: A social-psychological intervention. *Science* 313: 1307–3013. doi 10.1126/Science 1128317

Dumbo, OK, Krogstad DJ. (1998). Doctoral training of African scientists. *Am J Trop Med Hyg.* 58:127–132. DOI; 10.4269/ajtmh 58.127

### Session 11: The detachment process

<http://www.theworldcafe.com/key-concepts-resources/design-principles>

Hobin JA, Clifford PS, Dunn BM, Rich S, Justement LB (2014). Putting PhDs to work: career planning for today’s scientists. *CBE – Life sciences education* 13: 49–53.

Bryan B and Guccione K (2018). Was it worth it? A qualitative exploration into graduate perceptions of doctoral value. *Higher Education Research and development* 37 : 1124–1140. DOI: 10.1080/07294360.2018.1479378

### Session 12: Mentorship

Balogun, F. M., Malele-Kolisa, Y., Nieuwoudt, S. J., Jepngetich, H., Kiplagat, J., Morakinyo, O. M. & Kaindoa, E. (2021).

Experiences of doctoral students enrolled in a research fellowship program to support doctoral training in Africa (2014 to 2018): The Consortium for Advanced Research Training in Africa odyssey. *PloS one*, 16(6), e0252863. <https://doi.org/10.1371/journal.pone.0252863>

Desai, M. M., Göç, N., Chirwa, T., Manderson, L., Charalambous, S., Curry, L. A., & Linnander, E. (2021). Strengthening the Mentorship and Leadership Capacity of HIV/AIDS and Tuberculosis Researchers in South Africa. *The American Journal of Tropical Medicine and Hygiene.* <https://pubmed.ncbi.nlm.nih.gov/34398822/>

Mathews, P. (2003). Academic mentoring enhancing the use of scarce resources. *Educational Management Administration & Leadership*, 31(3), 313–334. Available here: <http://ema.sagepub.com/content/31/3/313.full.pdf+html>

Practical advice for mentoring and supporting faculty colleagues in STEM fields: Views from mentor and mentee perspectives. Spangle, Jennifer M. et al. *Journal of Biological Chemistry*, Volume 0, Issue 0, 101062. DOI: <https://doi.org/10.1016/j.jbc.2021.101062>

Quinlan, K. M. (1999). Enhancing mentoring and networking of junior academic women: what, why, and how? *Journal of higher education policy and management*, 21(1), 31-42 Available here: <http://www.tandfonline.com/doi/pdf/10.1080/1360080990210103>

Sambunjak, D., Straus, S. E., & Marušić, A. (2006). Mentoring in academic medicine: a systematic review. *Jama*, 296(9), 1103-1115. Available here: <http://jama.jamanetwork.com/article.aspx?articleid=203257>

Schrodt, P., Cawyer, C. S., & Sanders, R. (2003). An examination of academic mentoring behaviors and new faculty members' satisfaction with socialization and tenure and promotion processes. *Communication Education*, 52(1), 17-29. Available here: <http://www.tandfonline.com/doi/pdf/10.1080/03634520302461>

Somefun, O. D., & Adebayo, K. O. (2021). The role of mentoring in research ecosystems in Sub-Saharan Africa: Some experiences through the CARTA opportunity. *Global Public Health*, 16(1), 36-47. <https://doi.org/10.1080/17441692.2020.1776365>

Sorkness, C.A., Pfund, C., Ofili, E.O. et al. A new approach to mentoring for research careers: the National Research Mentoring Network. *BMC Proc* 11, 22 (2017). <https://doi.org/10.1186/s12919-017-0083-8>

Making the mentoring relationship — or better, relationships — work. <https://www.fredhutch.org/content/www/en/news/center-news/2017/04/making-the-mentoring-relationship-work.html>

YouTube: [How to be a Great Mentor | Kenneth Ortiz | TEDxBethanyGlobalUniversity https://youtu.be/G3q8kEn\\_nsg](https://youtu.be/G3q8kEn_nsg)

## CARTA contract of supervision and academic obligations

This document provides a guideline to communication and practice for the duration of the doctoral research between

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PhD candidate)

and

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(Supervisor)

at

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(name of institution)

The items agreed on below are intended to supplement the legal obligations of the candidate and supervisor(s), individually, to their university and to any funding agency. University rules, regulations and by-laws cover other contingencies and circumstances, and have precedence over any circumstances set out below.

The candidate and supervisor(s) should all keep original signed copies of this document. A copy should also be forwarded to the Research Dean or senior academic delegated with authority to overview graduate students in the academic unit in which the student is enrolled.

### Principles, Actions and Processes Comments

1. The doctoral candidate shall:
  - 1.1. Undertake all formalities of enrolment, including any documentation of proof of prior qualifications or outcome of tests
  - 1.2. Adhere to all university rules and regulations, including those related to:
    - 1.2.1. Attendance
    - 1.2.2. Hours of paid work
    - 1.2.3. Submission of reports and completion of specific activities (e.g. confirmation seminar)
    - 1.2.4. Ethics approval and reporting
    - 1.2.5. Plagiarism
    - 1.2.6. Intellectual Property
    - 1.2.7. Occupational Health and Safety
    - 1.2.8. Other ethical obligations as a candidate and as a member of the university

- 1.3. Undertake activities required by the academic programs specified by the university, faculty and department in which they are enrolled including:
  - 1.3.1. Undertake and complete coursework as required
  - 1.3.2. Attend seminars and journal clubs as required
  - 1.3.3. Participate in academic activities such as seminars at the local host institution where data collection occurs, should he or she be in a field setting away from the university of enrolment
- 1.4. Meet all regular reporting obligations such as annual reports to ethics committees, funding bodies, and the university graduate candidate office, and ensure that such reports are with the primary supervisor at least one week before due date
- 1.5. Advise the supervisor(s) of any events that may impact on progress, including accepting part-time employment or voluntary activities
- 1.6. Contact other people for advice as he or she chooses
- 1.7. Have the right to intellectual, administrative, and practical support to undertake his or her research
- 1.8. Hold ownership of his or her work. Accordingly the candidate is responsible for the content and presentation of their work.
- 1.9. Have the right to seek an alternative supervisor and change supervisory arrangements if the supervisor fails to honor agreements set out in this contract, or for any other reason, subject to permission from the head of department or other representative of the university, and in so doing, he or she should not be penalized by any other party.
2. Good supervision is an important component of the institutional commitment to the candidate to complete their doctoral training program. The supervisor(s) shall:
  - 2.1. Guide and support the candidate, and provide appropriate mediation should conflict with any other person or institution occur
  - 2.2. Identify and advise the candidate on training needs additional to those acquired from any requisite training specified by the university or funding agency
  - 2.3. Provide guidance to the relevant scientific literature, skills and techniques
  - 2.4. Provide feedback of written work in a timely manner, ordinarily within three weeks, and be available to discuss work, progress or other issues as may arise with the candidate
  - 2.5. If unable to honor an appointment or feedback regarding work, for example, as a result of ill health or work travel, advise the candidate of changes in availability for an appointment or of a longer absence as early as possible
  - 2.6. Where possible and subject to funding, visit the candidate in the field in order to provide academic support and to monitor the candidate's progress
  - 2.7. Provide appropriate academic advice and support, and arrange other academic support as necessary, to ensure that the candidate is working at a level expected of a PhD candidate and in ways that will enable timely and successful completion
  - 2.8. Provide appropriate personal advice and support, and arrange other support and counseling as necessary, to ensure that the candidate is physically and mentally able to work at a level expected of a PhD candidate
  - 2.9. Ensure that any services and technical equipment are available, such as assistive communication aids and appropriate furniture for candidates with specific physical difficulties, to ensure that the candidate can work at a level expected of a PhD candidate and in ways that will enable timely and successful completion

- 2.10. In the event of retirement, relocation or prolonged absence shall be responsible for arranging
  - 2.10.1. to continue supervision subsequent to departure and until the student has graduated, or
  - 2.10.2. for students in the early stages of candidature, arrange alternative supervision
  - 2.10.3. Have the right to terminate a supervisory arrangement for reasons
  - 2.10.4. provided advice is given to the appropriate authorities and due steps are taken to enable the candidate to continue without prejudice,
  - 2.10.5. Take steps to discontinue the enrolment of the candidate when the candidate has failed to meet contractual obligations, timelines and outputs such as to provide evidence that he or she should not continue their candidature

A successful PhD program requires the collaboration and commitment of and a good relationship between the candidate and supervisor, or supervisors where there are more than one. Through discussion, the candidate and supervisor(s) shall agree on:

- 2.11. A work plan to ensure the completion of specified tasks and the presentation of work to supervisor to ensure timely outputs
- 2.12. The regularity and duration of meetings, set out a timetable for such meetings and keep appointments
- 2.13. Requirements of presence on campus and the facilities and technical support to be provided for the candidate on campus
- 2.14. The turn-around time of written work submitted by the candidate and feedback to the candidate, to so ensure the timely progress of the candidate
- 2.15. General mode of communication, both day to day and at any time that supervisor or candidate is travelling or undertaking field research, with respect to face to face meetings, email and other online communications, telephone and skype
- 2.16. Attendance and participation in specified seminars, journals clubs, conferences and other academic activities
- 2.17. The minimum academic program of part-time candidates, including seminar and workshop requirements, and discuss and clarify the implications of any part-time commitments for fulltime candidates
- 2.18. How to present results including in seminars, videoconferencing, conferences, papers, including when, in what fora, and in what form
- 2.19. The following issues related to publications and dissemination of information arising from the PhD research
  - 2.19.1. During candidature, the candidate is the first author regardless of any other agreement of authorship
  - 2.19.2. The graduate retains the right to publish a full length monograph of his or her work
  - 2.19.3. In institutions where publication is not a requirement for PhD graduation and where the candidate has expressed no interest in, or made no attempt to publish in the first year after graduation, then with permission from the candidate the supervisor(s) can take the lead on a peer review journal article or book chapter, drawing on data collected for the PhD, provided that the graduate is a co-author
  - 2.19.4. that all authors adhere to the rules of authorship as specified by particular journals, and
  - 2.19.5. As further specified or modified in 4.1 below

3. Additional clauses determined by agreement between the supervisor(s) and candidate

- 3.1. Publication and authorship of articles, reports, posters, conference papers, and other outputs
- 3.2. Any other clauses not specified above

Signed at

\_\_\_\_\_

(Place)

on

\_\_\_\_\_

(Date)

by.

\_\_\_\_\_

(Name & Signature of Candidate)

\_\_\_\_\_

(Name & Signature of Supervisor)

Additional supervisors:

Witness

\_\_\_\_\_

(Name & Signature)

Address

## Trio Coaching

This form of structured conversation helps with reflection, problem solving and development. Learn the technique as a role play in a workshop. See also the CARTA [Trio Coaching video](#).

The group consists of three people and the roles are Focus person, Coach and Observer.

### Dilemma

Discuss a real dilemma concerning the psychology involved in a supervisor–supervisee relationship. It should be a dilemma that you have experienced yourself, mediating difficulties in supervisory relations affected by gender ethnicity, social class, culture and/or sexuality.

Possible examples:

- As a female supervisor, the male co-supervisor tends not to listen to you
- Your PhD student makes sexual advances
- It is hard for you to be a supervisor because you are from a minority group
- You have a hard time getting your supervisee to listen to you since you are much younger than him/her
- Your supervisee offers you gifts on special occasions such as Christmas

### Pointers

- It is important to keep to the time and follow the structure.
- The exercise takes a maximum of 30 minutes
- Only discuss one dilemma at the time in each group
- Remember confidentiality: What is said during the session stays in the room!

### Steps

#### Conversation 1: Mapping the situation (10 minutes)

The focus person starts by explaining their dilemma. The coach asks open questions to help the focus person to develop and describe their thoughts. The observer listens actively, but does not speak.

#### Conversation 2: Reflections on the focus person's dilemma (10 minutes)

The coach and the observer reflect on the conversation that just took place. What experiences do they have of similar situations? What do they think is the real substance of the situation? What did the focus person leave out of the story? How can the focus person succeed with their task in the best way or resolve their dilemma? The focus person just listens during this conversation; they do not speak. The coach and the observer talk to each other as if the focus person was not present.

#### Conversation 3: Capturing what is relevant (10 minutes)

The third conversation takes place between the focus person and the coach. They concentrate on the things that the focus person perceived as important, interesting and clarifying in the previous conversation. The coach begins by asking the focus person what they thought

and felt when they listened to the reflections. The coach tries to help the focus person come up with concrete steps towards desired outcome. The observer listens to the conversation without speaking.

### Debrief

In a round-table discussion between all three participants, discuss your views on Trio Coaching. Could this be helpful to use at your department? (10 minutes)



Consortium for Advanced Research Training in Africa

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