

# UHK Supervisor Standards

This Vice-Rector's instruction is issued in order to regulate the rights and obligations of a supervisor, including their tasks in the area of support for students in doctoral study programmes (hereinafter referred to as the *Doctoral Students*), in accordance with the prepared amendment to Government Regulation No. 274/2016 Sb., on standards for accreditation in higher education and the amendment to Act No. 111/1998 Sb., on higher education (hereinafter referred to as the *Act*).

The Vice-Rector's instruction also aims to specify the requirements set out in the Study and Examination Code (hereinafter referred to as the SEC) of the University of Hradec Králové (hereinafter referred to as the UHK) and in the internal act regulating the standards of study programmes, and also reflects the principles of supervision within the framework of European projects (Horizon Europe, etc.).

## PART ONE

### Supervisor

#### Article 1

##### Prerequisites for acting as a supervisor

- 1) According to the government regulation and the SEC UHK, the supervisor may be a professor, associate professor or a prominent expert in the field that forms the focus of the study programme, whose national and international expertise, civic integrity and moral qualities are a guarantee of high-quality and proper guidance of the Doctoral Student and who has other competences that are listed in Article 2 of this Vice-Rector's Instruction. If the supervisor is not a professor or associate professor, he/she may be a supervisor only if he/she is also approved by the relevant Research Board (i.e., the faculty Research Board or the UHK Research Board).
- 2) A person other than a UHK employee may be a supervisor provided that his/her rights and obligations are described in a contract.
- 3) The supervisor is appointed and dismissed by the Dean of the Faculty after the opinion of the relevant subject-area board and, if necessary, after approval by

the relevant Research Board. The appointment or removal of the supervisor by the Dean must be archived in the Doctoral Student's file.

- 4) The remuneration for those supervisors of Doctoral Students who have completed their studies is paid under the conditions set out in the Rector's Decree *Incentive System to Stabilize/Develop Doctoral Study Programmes and Procedures for Granting Associate and Full Professorship at the UHK*.<sup>1</sup>
- 5) The supervisor usually has an appropriate part of the time or workload allocated to supervising Doctoral Students, and the supervision of a Doctoral Student is taken into account in the evaluation of academic staff.

## **Article 2**

### **Supervisor competence**

- 1) The core supervisor competencies relevant to this role include:
  - An established reputation based on research excellence in his/her field;
  - Active scientific and creative activity which the supervisor continuously demonstrates, the relevant period being the last 5 years;
  - Conducting research with integrity while adhering to ethical and moral standards;
  - Contributing positively to the development of knowledge, research and development through cooperation;
  - Identification of research issues within the supervisor's expertise;
  - Identification of appropriate research methodology and approaches;
  - The ability to take the lead in carrying out joint research or artistic projects in the relevant field of the doctoral study programme;
  - Publications and international peer-reviewed work (except in specific fields of social sciences and humanities where it is more appropriate to present the artwork in an international context);
  - Production of high quality scientific results that the supervisor publishes in a significant way usual in the discipline;
  - Orientation in the UHK regulations related to doctoral studies (preparation of individual study plans, evaluation of progress, procedures, examinations, interruptions, extensions);
  - Knowledge of the possibilities of Doctoral Student training and mentoring at the UHK;

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<sup>1</sup> At the time of this Vice-Rector's instruction, it is No. 2/2021.

- Knowledge of financial resources for Doctoral Students across the UHK (including conference funding).
- 2) In the field of research, the supervisor should have the following transferable competences:
- Creating an innovative and creative environment;
  - Conducting research projects;
  - Supporting the career growth of team members;
  - Effective promotion of his/her research results.
- 3) Other transferable supervisor competencies include those related to project management, leadership and collaboration:
- Being a model of professional development for others (both educator and scientist);
  - Leadership, team building skills and providing constructive feedback;
  - Collaboration within the research community;
  - Ability to provide for research funding.
- 4) The following transferable competences are expected for the area of presentation and self-management:
- Presentation skills;
  - Academic ethics – the supervisor should be familiar with the issues in the field of research ethics (academic integrity) and the Code of Ethics and respect their principles;
  - Ability to work under pressure and to coordinate a team;
  - Will to seek alternative solutions;
  - Independence;
  - Solidarity with the institution.

## **Article 3**

### **Supervisor training**

- 1) Every supervisor should undergo continuing education and competency training.
- 2) An early-stage supervisor should attend an at least 12-hour lasting course *Introduction to the Role of a Supervisor at the UHK* which aims to provide knowledge in the following areas:
  - UHK regulations related to doctoral studies (drawing up individual plans and schedules, evaluation of progress, procedures, examinations, interruptions, extensions);
  - Training opportunities for Doctoral Students;
  - Mentoring at the UHK (sharing of good practice and knowledge by experienced supervisors);
  - Financial resources for Doctoral Students across the UHK;
  - Duties and responsibilities of the supervisor – how to work with the Doctoral Student, how to guide him/her, how to communicate with him/her, how to motivate him/her, how to support him/her and how to contribute to his/her development and mental health
- 3) Subsequently, the supervisor is recommended to attend the *UHK Supervisor Development Course* which aims to deepen the acquired knowledge and develop skills (e.g., management skills – leadership; soft skills – communication skills, constructive feedback providing; project management, leadership and collaboration; academic skills; academic and research ethics; publishing; research promotion; equal opportunities and risk prevention; sharing good practice and knowledge by experienced supervisors, etc.)

## **Article 4**

### **Supervisor evaluation**

- 1) On the basis of these standards, in particular Article 2, the relevant subject-area board prepares criteria for the supervisor evaluation that will be carried out at least once per academic year. The conclusions of this evaluation are submitted to the Dean. This evaluation shall cover not only the creative activity but also, and above all, the supervisor's skills as a supervisor.
- 2) An essential supervisor evaluation criterion is to ensure that the supervised Doctoral Student successfully completes his/her studies within the standard

study period, and to take care to limit unnecessary prolongation of the study period so that the evaluation showed a success rate of more than 60% of the Doctoral Students supervised by him/her according to the valid formula of the Ministry of Education, Youth and Sports.

- 3) The supervisor evaluation takes into account feedback from those Doctoral Students he/she is currently supervising, and those he/she has supervised in the past, and their career progression (if known).

## **PART TWO**

### **Supervision**

- 1) Supervision of a Doctoral Student is an essential element of successful research and represents a comprehensive set of activities by the supervisor that contribute to creating a supportive environment for the Doctoral Student. It is essential to treat the Doctoral Student as a partner collaborating in the research task.
- 2) Guidance, support, direction, counselling and mentoring at different stages of the Doctoral Student's studies are considered to be key factors that enable the Doctoral Student to get started in research.

## **Article 5**

### **General principles of supervision**

#### **Supervisor:**

- 1) Carries out personal supervision of Doctoral Students in the combined form of study as well. Supervision must not be limited to e-mail communication only;
- 2) Consults with other colleagues, as part of sharing good practice, on methods of supervising Doctoral Students;
- 3) Has sufficient time to supervise a Doctoral Student; therefore, he/she can supervise a maximum of five Doctoral Students across universities in a given academic year and the sum of supervised Bachelor, Masters and Doctoral Students is a maximum of 15. Doctoral Students with interrupted studies are not counted in the sum.
- 4) Takes particular account of the situation of students with special needs and international students for whom integration into a new environment can be

very challenging, and provides them with equal opportunities in the field of research (e.g., in cooperation with the UHK Point).

- 5) Adheres to the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, in particular when supervising a Doctoral Student.
- 6) May be a co-author of the results of the Doctoral Student's activities during the period of the Doctoral Student's study, but always in a proportionate manner to the supervisor's creative participation. The supervisor supports the Doctoral Student in publishing first-author outputs.

## **Article 6**

### **Admission procedure**

- 1) The admission procedure to the doctoral studies is conducted as an open and transparent selection procedure for the position of a Doctoral Student of a given department or field of study, for the position of a researcher of a proposed dissertation topic. Within the available capacity, depending on the financial and personnel background of the department, those candidates are admitted whose project is judged by the admissions committee to be of the highest quality and most promising.
- 2) In fields of study whose nature does not allow proposing specific topics and/or that assume that the dissertation project is proposed by the candidate himself/herself, the project proposal is consulted with the prospective dissertation supervisor before the application for study is submitted. As part of the consultation process, care is taken to ensure that the project is in line with the focus and expertise of the department so that those who succeed in the admission procedure receive appropriate support. Final admission is approved by the Chair of the subject-area board of the doctoral study programme and subsequently by the Dean of the faculty concerned.

#### **Supervisor:**

- 3) Proposes a framework topic or thematic area of the dissertation. The topic is announced for admission procedure after approval by the subject-area board.
- 4) Is involved in the admissions procedure of applicants if he/she has already been assigned to a topic. The supervisor has the right to veto in the selection of the candidate.
- 5) Discusses the rules and form of cooperation with the Doctoral Student immediately after his/her admission.

## **Article 7**

### **Individual study plan**

- 1) The preparation and approval of the individual study plan and any modifications and changes thereof are carried out in accordance with the Study and Examination Code at the beginning of each academic year of study.

#### **Supervisor:**

- 2) Actively supports the Doctoral Student in defining an individual study plan so that he/she can balance research and professional ambitions.
- 3) Draws up, together with the Doctoral Student, a draft of an individual study plan which includes mainly the topic of the dissertation and a list of study, scientific, research or other creative duties, planned or recommended stays abroad or other internships and teaching activities, and the time frame for the study. The supervisor solves, together with the Doctoral Student, the ethical issues, resources and equipment required in connection with the research project in which the Doctoral Student is participating.
- 4) Submits the individual study plan, once it has been drawn, to the subject-area board within two months from the beginning of the academic year in which the applicant has enrolled. For Doctoral Students who start their studies in the middle of the academic year, this period of time runs from the start of their studies.
- 5) Works with the Doctoral Student to refine the research plan and schedule during the first six months of study, and to confirm the individual study plan.
- 6) Regularly (at least once per academic year) evaluates the fulfilment of the individual study plan and submits the evaluation for whose accuracy he/she is responsible to the subject-area board for approval. The Dean approves the individual study plan and any changes thereto. The obligations of the individual study plan must be specific for each academic year.

## Article 8

### Dissertation/research

- 1) Dissertation topics proposed by the supervisor and dissertations supervised by the supervisor cover the areas within his/her area of expertise only so as to ensure that the dissertation supervision is of sufficient professional quality. The supervisor, therefore, supervises theses close to the topic on which he/she is working, or theses that use the same methodology and procedures.
- 2) The *pre-defence of the dissertation* (or also the *departmental defence*) takes place before the guarantor of the field of study, the supervisor, the reviewer, if any, and the public (academic staff and Doctoral Students) at least 1 month before the deadline for submission of the dissertation. The purpose of the meeting is to ensure that the Doctoral Student is well prepared and able to submit the dissertation on time and that examination arrangements are in place.

#### Supervisor:

- 3) Checks the consistency of the content of the dissertation with the content of the Doctoral Student's study programme; in case of inconsistency with the content of the study programme, proposes a solution to the subject-area board how to align the content with the field of study.
- 4) Supervises the progress of the dissertation research, provides professional and managerial support to the Doctoral Student, ensures the feasibility of the set goals and helps the Doctoral Student to achieve them.
- 5) Is responsible for the Doctoral Student's dissertation project in that he/she assesses the relevance and difficulty of the research topic and specifies the possible objectives, the schedule for the solution and the system of financing the project and the involvement in the ongoing activities of his/her own research team or the department where the project is being carried out.
- 6) Recommends literature (sources) to the Doctoral Student and encourages and motivates the Doctoral Student to write scientific publications in a form that supports the development of his/her dissertation, and plays an active role in selecting appropriate journals where the Doctoral Student publishes and conferences in which the Doctoral Student participates or presents his/her work.
- 7) Remains in regular contact with the Doctoral Student throughout the writing of the dissertation.
- 8) Is available to the Doctoral Student to review drafts of the dissertation as needed but at least three times per semester (it is the Doctoral Student's responsibility to send the dissertation to his/her supervisor in a timely



manner so that the supervisor has time to read the dissertation and make comments before the submission date).

- 9) In the event that a Doctoral Student is doing his/her doctorate under dual supervision, the supervisor expresses his/her opinion on the content of the individual contracts, the so-called cotutelle (contracts for joint supervision of dissertations between the UHK and a foreign university), especially with regard to the individual study plan.

## **Article 9**

### **Contact between supervisor and Doctoral Student**

- 1) The Doctoral Student can contact the supervisor easily for advice.
- 2) The Doctoral Student knows who to contact if his/her supervisor is not available (the supervisor is obliged to appoint a substitute for him/her – usually the secretary of the subject-area board of the doctoral study) and who to contact in case of any problems. In the event of a prolonged absence – for example, due to a sabbatical, maternity or parental leave, etc., the supervisor is obliged to inform the Doctoral Student in time to ensure continued supervision.
- 3) The supervisor and the Doctoral Student have regular meetings as needed, usually at least twice a month except during the summer holidays, for a total of at least 40 hours/year. For supervising a Doctoral Student in a combined form of study or, for example, on a foreign internship, the volume of consultations is adjusted accordingly.
- 4) The supervisor provides regular constructive feedback to the Doctoral Student.
- 5) The supervisor actively seeks and receives feedback from the Doctoral Student within a safe environment for the student.
- 6) If the relationship between the Doctoral Student and the supervisor is not working well, both are obliged to discuss the problems or bring them to the subject-area board or the Dean of the faculty who will help them find a solution.
- 7) Upon interruption of studies, the supervisor remains in active contact with the Doctoral Student regarding planned return, schedule and developments in the research area.

## **Article 10**

### **Doctoral Student education**

- 1) The supervisor increases the Doctoral Student's awareness of the UHK Code of Ethics and other materials related to the ethical principles of research activities.
- 2) Especially in the early stages of the study, the Doctoral Student and supervisor work together to plan a training programme to support the development of the Doctoral Student as an independent researcher.
- 3) The training plan must include research integrity and, in addition to it, it may include follow-up training:
  - Research methods;
  - Academic integrity;
  - Research ethics;
  - Academic writing;
  - Academic English for non-native speakers;
  - Teaching skills;
  - Soft skills
- 4) The supervisor trains the Doctoral Student in general and facilitates contact with the faculty and the subject-area board at the university level, but also enables and provides for appropriate international links to high-quality international departments and scientists/researchers (except in fields where this is not relevant). The supervisor has such knowledge, experience and commitment allowing him/her to offer appropriate support to the Doctoral Student and to ensure the necessary progress and checking procedures, as well as the necessary feedback mechanisms. The supervisor is able to develop properly, design and structure the Doctoral Student's research activity and cultivate a culture of research integrity.
- 5) The role of the supervisor is also to educate the Doctoral Student so that the Doctoral Student is able to:
  - Transfer knowledge in teaching to students, assisting them in carrying out teaching activities;
  - Learn the rules of academic integrity and ensure that these principles are upheld during the dissertation research, teaching and other relevant situations;

- Move in a company of professionals, speak in public when presenting the results of his/her scientific work and obtain financial resources to secure his/her projects.

## **Article 11**

### **Study and support**

#### **Supervisor:**

- 1) Monitors continuously the fulfilment of the Doctoral Student's study obligations and consults regularly on the results of his/her studies with him/her. The supervisor evaluates the Doctoral Student's activities, in particular on the basis of a written report on the results of the activities prepared by the Doctoral Student.
- 2) Familiarizes the Doctoral Student with important milestones in his/her studies and the process of the dissertation submission and, where appropriate, expresses significant concerns about the Doctoral Student's involvement, progress, or research.
- 3) Recommends, together with the subject-area board, the Doctoral Student's application for a change of study form to the Dean. Makes recommendations for interruption or extension of studies.
- 4) Serves as an observer for Doctoral Student examinations, if applicable.
- 5) May propose to the subject-area board the appointment of a consultant from among the experts of the given study programme who, thanks to his/her special expertise or methodological and technical capabilities, is able to guide the Doctoral Student within a specific subject or time section of the doctoral study. A consultant to supervise partial sections of the dissertation may be appointed by the Dean on the basis of the subject-area board opinion.

## **Article 12**

### **Other duties of the supervisor**

- 1) The supervisor develops the Doctoral Student's competences in independent scientific work, in publishing and presenting research results. Although it is desirable to encourage and support the Doctoral Student to apply for grants, the funding of the dissertation project should not be a private matter for the Doctoral Student.
- 2) The supervisor provides the Doctoral Student with access to the materials and results needed for his/her research activities and makes available to the

Doctoral Student the knowledge, experience and key scientific findings in the field of his/her research.

- 3) The supervisor provides the Doctoral Student with access to all necessary information to facilitate the start of his/her professional career (e.g., contacts to institutional or faculty departments and services) and to research equipment, resources, facilities, and/or fieldwork.
- 4) The supervisor encourages the Doctoral Student to acquire academic, technical and transferable skills, provides support and guidance, monitors and evaluates the progress of the Doctoral Student's research and provides conditions that enable the Doctoral Student to achieve independence and gain managerial experience.
- 5) The supervisor actively involves his/her Doctoral Student in the scientific and academic community of the field within the institution as well as nationally and internationally. The supervisor enables and encourages the Doctoral Student to network with colleagues from abroad, including interdisciplinary collaborations within and outside the university, and promotes networking opportunities within and outside academia.
- 6) The supervisor supports the Doctoral Student actively in collaboration with other Doctoral Students, or other students and academic staff, and thus develops his/her competences for teamwork.
- 7) The supervisor communicates with the Doctoral Student not only professional issues but also personal development opportunities, and his/her approach as a supervisor reflects the individual situation and needs of the Doctoral Student as much as possible. In the event of problems of a personal nature, such as health problems, including mental health problems, or the care of a dependent that interfere with work on the dissertation project, the Doctoral Student and supervisor seek possible solutions in cooperation with other university authorities.
- 8) The supervisor supports the Doctoral student in:
  - Overcoming possible obstacles to his/her professional and personal development, suggesting alternatives for solving problems and providing information on possible institutional support tools (counselling centre, mentoring, etc.). The supervisor explains the possible problems that may arise during the various stages of a research career and encourages the Doctoral Student to maintain a healthy work-life balance.
  - Professional development, providing advice and support in the development of research careers. From the start of the studies, the supervisor provides the Doctoral Student with information about the possibilities of future employment after the completion of the doctoral

studies, both in the academic environment and outside it, and supports the Doctoral Student in developing the necessary competences for this.

- Sustainable implementation and management of research activities.
- 9) The supervisor provides academic guidance to the Doctoral Student in all areas of research, including literature review, research planning, data collection and analysis, interpretation of findings, dissertation writing, research integrity (including academic integrity and research ethics), and preparation for key milestones such as progress monitoring and final state examinations. The supervisor informs the Doctoral Student whether the thesis is suitable for submission (although the ultimate responsibility for submission rests with the Doctoral Student).
  - 10) The supervisor completes administrative processes in a timely manner, including ensuring scheduling of progress monitoring.
  - 11) Together with the Doctoral Student, the supervisor prepares applications for research approval to the Ethics Committee for research at the UHK.
  - 12) Together with the training institute, the supervisor provides the Doctoral Student with his/her own/individual operational and technical support.
  - 13) Furthermore, the supervisor fulfils all the obligations arising from legal regulations and from internal acts and internal regulations of the UHK and individual faculties, even if they are not specified in this Vice-Rector's instruction.

## **PART THREE**

### **Common and final provisions**

#### **Article 13**

##### **Conflict of interests**

- 1) The supervisor must not have a conflict of interest in relation to the Doctoral Student. This conflict of interest includes not only family ties or kinship, but also romantic and sexual relationships. Conflicts of interest may also include employment or business relationships outside the training institution, for example, when setting up spin-offs or start-ups. The supervisor has a duty to prevent conflicts of interest with the Doctoral Student supervised by him/her.
- 2) If such a situation arises, the supervisor has the responsibility to resolve it in such a way that the Doctoral Student is least affected. Sexual or other gender-based harassment or violence is unacceptable.

## **Article 14**

### **Final provisions**

- 1) This Vice-Rector's instruction comes into force and effect on the date of its signature.

In Hradec Králové on 31 October 2023

prof. Ing. Ondřej Krejcar, Ph.D.  
Vice-Rector for Science and Creative Activities