

The Education University of Hong Kong

Doctor of Education Programme

Code of Practice

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About the Code

The clauses described in this *Code of Practice* (the Code) stipulate the respective rights and responsibilities of Doctor of Education (EdD) students, their supervisors, and the University. The principal purpose of this *Code of Practice* is to ensure that all EdD students and supervisors are aware of the reciprocal responsibilities of each other and of the University. The University acknowledges that EdD students have a right to receive effective and constructive teaching and supervision and that they also have the responsibility to adhere to the University's regulations.

The Code should be read in conjunction with the University's regulations for the EdD programme. Additional information and specific guidelines may be produced and communicated to EdD students by the Graduate School or relevant academic and supportive units at the induction sessions.

The Code consists of five parts:

1. Responsibilities at the University Level;
2. Responsibilities of the Graduate School;
3. Responsibilities at the Department Level;
4. Responsibilities of the Supervisor(s); and,
5. Responsibilities of the EdD Student.

To ensure the highest possible quality of EdD programme delivered in the University, the Code will be regularly reviewed by the Graduate School. Amendments will be endorsed by the Board of Graduate Studies.

Information stated in this Code is aligned largely with those Codes of Practice published by the Education University of Hong Kong, the Institute of Education (UK), the University of Bristol (UK) and La Trobe University (Australia).

1. Responsibilities at the University Level

The Board of Graduate Studies (BGS) has the responsibility to ensure that appropriate EdD programme guidelines and regulations are implemented University-wide.

The University will ensure that:

1.1. Standards and Requirements

The standards and requirements for the EdD programme have been set up and are readily accessible.

1.2 Research Ethics

The University has a clear policy and set of procedures for obtaining relevant ethics clearances and that the policy and procedure are made available to students. The Human Ethics Committee established by the University is responsible for monitoring and dealing with research ethics matters. For information, please refer to the website of Research Development Office (<http://www.eduhk.hk/rdo/>).

1.3 Intellectual Property

With regard to the avoidance of any infringements of intellectual property rights, the University strictly follows the Copyright Ordinance of Hong Kong at this website (<http://www.legislation.gov.hk/eng/index.htm>) and library's website (<http://www.eduhk.hk/lib>) for the use of Copyright Works in Education. For details please refer to the sections regarding copyright in the student handbook.

1.4 Procedures for Dealing with Complaints and Grievances

There are grievance procedures for dealing expeditiously with any problems or misunderstandings in respect of matters relating to the EdD student's assessments, examination and evaluation of candidature at the University. It is the University's aim to prevent any serious issues which may lead to a complaint or grievance.

1.5 Procedures and Mechanisms for Quality Assurance

The EdD Programme Committee acts as an advisory body to BGS and their responsibilities cover major aspects of quality assurance, teaching and learning, programme development and implementation matters.

2. Responsibilities of the Graduate School

The Graduate School (GS) is an academic unit responsible for the oversight of the EdD programme and for ensuring that its quality meets international standards.

2.1. Quality Assurance

2.1.1. The GS will develop strategic plans and be responsible for their implementation as well as collaboration initiatives.

2.1.2. The GS will provide an academic environment that allows all EdD students have a positive and successful learning and research training experience in the University. Specifically, the GS will contribute to policy formulation and review of EdD programme and aspects regarding the following taught and research components:

- i. Remind supervisors and area coordinators of the University's Code of Practice, relevant policies, guidelines and regulations;
- ii. Coordinate with Faculties in offering core, specialized and elective taught courses for EdD students;
- iii. Monitor, support and enhance the quality of coursework and research supervision;
- iv. Ensure that the responsibilities of the supervision team and EdD students are clearly communicated to and understood by supervisors and EdD students;
- v. Remind EdD students supervisors and teaching staff to follow the University's policy on academic honesty, details of which could be retrieved from the website of Registry (<http://www.eduhk.hk/registry>);
- vi. Deal with problems or misunderstandings in respect of matters relating to thesis examination;
- vii. Monitor EdD students' progress and assessment across the University;
- viii. Work closely with Faculties and Departments to promote international collaboration and to provide integrative learning activities for EdD students;
- ix. Review Annual Progress Reports to ensure that the student's training, supervision and support needs are being met and to identify any difficulties which the student or the supervisor might be experiencing; and,
- x. Provide research supervision training workshops for less experienced supervisors.

2.2. Admission, Induction and Training

2.2.1. The admission of EdD students is conducted in accordance with the University's admission standards and requirements.

2.2.2. The GS will run a University-level induction programme for all new EdD students. This will help ensure that all EdD students are aware of the *Code of Practice*, relevant GARs and the University's standards and requirements for specific degrees. It will also help expose EdD students to the resources, facilities and support available to them while enrolled in the University's EdD programmes.

2.2.3. The GS will organise regular research skills seminars and related activities for students.

2.3. Evaluation and Feedback

The GS will conduct an annual evaluation survey of the EdD programme and courses as well as evaluation survey on supervision. A summary report will be produced and submitted to the BGS for consideration and endorsement of actions to be taken. Statistics shall be disclosed to teaching staff and supervisors for future improvements.

2.4. Monitoring Supervision

The GS will ensure the quality of its EdD degree supervision by implementing quality assurance mechanisms to monitor supervision. Specifically, the mechanism will include the following:

- i. Reviewing data collected from annual evaluation on the quality of research supervision through a student research evaluation questionnaire; and,
- ii. Analysing indicators of the effectiveness of EdD student support, such as the success rates of EdD students' completion, duration of candidature and quantity of thesis submission.

2.5. Monitoring EdD Student Progress

The GS, in conjunction with those academic units involved, will regularly review the progress of all EdD students throughout their studies. This includes the following aspects:

- i. Satisfactory completion of any required taught courses according to the specified or agreed timetable;
- ii. An Annual Progress Report completed by both the EdD student and the Principal Supervisor to confirm that satisfactory progress has been made; and
- iii. In the case that satisfactory progress has not been made, both the EdD student and the Principal Supervisor will be invited to provide explanations as well as practical solutions, failing which the EdD student's enrolment may have to be suspended.

2.6. Thesis Examination

The GS will remind all EdD students of the standards of the research component as stipulated in the *GAR for the Research Component of the Research Postgraduate and professional doctorate programmes*.

3. Responsibilities at the Department Level

3.1. Responsibilities of Departments

3.1.1. Departments are responsible for designing the content of and providing the staffing for specialized area and elective courses.

3.1.2. Department heads are responsible for the appointment of Area Coordinators.

3.2. Responsibilities of the Area Coordinators

The main responsibilities of the Area Coordinators include the following:

- i. Coordinate the course offering in the respective specialized areas;
- ii. Assist EdD student in identifying the most appropriate supervision team;
and
- iii. Be aware of the *GAR for Taught Postgraduate Programme*, *GAR for the Research Component of the Research Postgraduate and professional doctorate programmes* and *Code of Practice* in order to provide appropriate guidance and support to students throughout their registration at the University.

3.3. Supervision Arrangements

The following supervision arrangements should be in place:

- i. Mechanisms to disseminate relevant guidelines, regulations, policy and procedures to supervisors and EdD students;

- ii. When the Principal Supervisor is anticipated to be absent for more than 6 weeks, one Associate Supervisor should act as the Principal Supervisor on a temporary basis to provide ongoing support to the EdD student;
- iii. When a supervisor is no longer able to continue in the role, or the EdD student's research focus changes to an area for which the appointed supervisor is no longer the most appropriate person, the Principal Supervisor (or Head of the academic unit, in the case of the Principal Supervisor is no longer able to continue in the role) must advise the Graduate School in writing as soon as possible and make all efforts to identify and appoint a suitable replacement supervisor. During the transition period, to ensure the continuity of supervision, the Associate Supervisor in the supervisory panel (or the 1st Associate Supervisor if there is more than one Associate Supervisor in the supervisory panel) should take up the role of Acting Principal Supervisor temporarily until the replacement supervisor is appointed.

3.4 Centre Affiliation of EdD Students & Research Participation

The department should assign EdD students to a University-/Faculty-level Research Centre, Faculty-level Professional Development Centre or Resource Centre according to their research areas. By affiliating all these students to the research clusters of the University, the research capacity of individual students as well as the University could be built and enhanced as a whole.

4. Responsibilities of the Supervisor(s)

4.1. Supervisor(s)

4.1.1. The supervision team should be constituted in accordance with principles set out in the *GAR for Taught Postgraduate Programme*, *GAR for the Research Component of the Research Postgraduate and professional doctorate programmes*, *Code of Practice*, and relevant guidelines and regulations.

4.1.2. It is the responsibility of the supervision team to maintain a professional relationship at all times with the EdD student, and to model a research culture of excellence, professionalism, integrity and mutual respect. The student should have an identified principal point of contact which will normally be the Principal Supervisor. The main responsibilities of the supervisor(s) should include the followings (Section 4.2 - 4.7).

4.2. Guidance and Monitoring Student Progress

Provide academic guidance on the thesis component to the EdD student and guide the EdD student through to completion. The supervisor(s) should:

- i. Discuss with the student the overall expectation of the EdD thesis or folio;
- ii. Work with the EdD student to establish a clear timetable, work plan, meeting schedule to ensure the student completes the EdD programme within the maximum period of study. Formal meetings maybe supplemented where appropriate by more frequent informal meetings. Written meeting records are advised to be kept to help both the EdD student

and the supervisor to monitor progress and take action on any problems identified;

- iii. Give guidance in defining a coherent and manageable research topic, preparing a research proposal and identifying the requisite techniques for the research;
- iv. Advise on literature retrieval and review, presentation and academic writing style; avoid plagiarism and comply with ethical requirements and good research practice;
- v. Comment constructively on, or suggest revisions to, written work, within a reasonable time frame (e.g. within 1-4 weeks depending on the content and quantity of the written work);
- vi. Encourage the student to pursue independent initiatives and exercise self-motivation;
- vii. Evaluate the quality of the student's thesis or folio on a regular basis to ensure any concerns on the student's progress can be addressed promptly, and any difficulties may be resolved at an early stage;
- viii. Take appropriate action if the student is not progressing towards his/her planned goals. Written advice relating to any unsatisfactory progress should be communicated to the Graduate School so that the student has a clear understanding of their progress;
- ix. Undertake Research Supervision Training Workshops organized by the Graduate School if the appointed supervisor has no prior research supervision experience;
- x. Work with the student to submit an Annual Progress Report on his/her study progress in the past twelve months for review; and,

- xi. Appreciate that non-local students may need special assistance to adjust to life and study in Hong Kong, particularly if these adjustments may impede the progress of their research.

4.3. Continuity of the Research Supervision

When a supervisor finds himself/herself no longer able to continue in the role, the supervisor should discuss with the Principal Supervisor (or Head of academic unit, in the case of the Principal Supervisor is no longer able to continue in the role) so that the Principal Supervisor or Head of academic unit could identify a suitable replacement supervisor as soon as possible. In such circumstances, the Principal Supervisor / Head of academic unit should provide advice and guidance to the student in the re-appointment of supervisor.

4.4. Feasibility of the Project

Give detailed advice on the feasibility of the research project (thesis or folio) in terms of time, physical facilities and human resources required. The supervisor will advise the EdD student on productive use of time in conducting research work in accordance with the maximum study period of the programme.

4.5. Ethics and Responsible Research Practice

Ensure that the EdD student is aware of any legal and ethical concerns in relation to the research, including relevant Codes of Ethics and Research Ethics Guidelines. The supervisor will discuss with the student the importance of meeting all ethical clearance requirements in research activities. For information,

please refer to the website of Research Development Office (RDO) (<http://www.eduhk.hk/rdo/>).

4.6. Presentations

Provide advice to the EdD student to present research work at conferences, seminars or forums in the relevant fields. The supervisor will also facilitate meetings for the student to meet other researchers in the field as appropriate.

4.7. Thesis Examination

- 4.7.1. Must be familiar with current policy and procedures of thesis examination including procedures of appeal against the outcome of the examination, according to the *Thesis Submission Guideline* and *GAR for Research Component of the Research Postgraduate and professional doctorate programmes*.
- 4.7.2. Prepare written comments to the EdD student on the thesis prior to the submission of thesis such that it is up to the standard of the programme.
- 4.7.3. In accordance with *GAR for Research Component of the Research Postgraduate and professional doctorate programmes*, nominate thesis examiners and ensure the student submits a written notice of intention to submit a thesis for examination at least six weeks prior to the expected date of thesis submission.
- 4.7.4. Has an ultimate responsibility for the approval of the submission of the thesis.

4.8. Conflicts of Interest

Conflicts of interest including, but not limited to, those of a financial nature, have the potential to threaten the integrity of scholarship. There are a wide range of types of activities which may constitute a conflict of interest, and which the supervisor has a responsibility to avoid. The following are a few examples, all of which apply both to supervisors and EdD students:

- i. Activities that will lead to making an unfair offer of an award;
- ii. Unprofessional faculty-student relationship;
- iii. Accepting over-scale financial or other forms of support to conduct a research project; and,
- iv. Accepting / offering unreasonable gifts for examination / evaluation purposes.

5. Responsibilities of the EdD Student

It is the responsibility of the EdD student to adhere to the following conditions:

5.1. Regulations and Guidelines

Be familiar and comply with the *GAR for Taught Postgraduate Programmes*, *GAR for the Research Component of the Research Postgraduate and professional doctorate programmes*, *Code of Practice* and the University's regulations and procedures in relation to the EdD programme and other policies governing the degree.

5.2. Induction

Attend the University's induction programme organised by the GS.

5.3. Registration and Period of Study

5.3.1. To register with the University at the beginning of their studies and at the start of each academic session, and pay the relevant fees.

5.3.2 Comply with the duration of study as stated in the GAR for taught postgraduate programmes.

5.4. Use of Resources and Facilities

Utilise the physical facilities and other resources available to manage their academic learning progress responsibly and appropriately.

5.5. Coursework

Attend the core courses, elective and specialized area courses and seminars as required for the EdD programme. Students should also refer to the course outlines for more details on the coursework component of the EdD programme.

5.6. Academic Activities

5.6.1. Be actively engaged in academic activities and environment of the University.

5.6.2. Actively contribute to the development of the intellectual research culture of the University.

- 5.6.3. Consult with supervisors regarding opportunities to meet other researchers in the field and to attend seminars, workshops and conferences, as appropriate.
- 5.6.4. Consult with supervisors to master the requisite techniques for the research, including skills on literature retrieval, presentation and academic writing.
- 5.6.5. Strategically plan for research activities to meet the milestones of the project, be self-motivated and pursue independent academic activities during the EdD study.
- 5.6.6. Take responsibility for the direction of and innovation in the research project as it develops with support from the supervisors.

5.7. Meetings with Supervisor(s)

Maintain a professional relationship at all times with supervisor (s) and other staff of the University, external supervisors and consultants. EdD students should:

- i. Propose and confirm schedules for regular meeting with the supervisor(s);
- ii. Keep a written record in his/her portfolio of discussions with the supervisor; and,
- iii. Respond promptly and appropriately to supervisor's guidance and feedback.

5.8. Ethical Practice

- 5.8.1. Adhere to legal and ethical guidelines and relevant codes of ethics; follow good research practice as appropriate to particular profession and specific discipline.

5.8.2. In consultation with the supervisor, prepare and obtain ethical approval prior to data collection.

5.8.3. Reference to the University's relevant policies and guidelines, such as the ethical guidelines. For information, please refer to the website of RDO (<http://www.eduhk.hk/rdo/>).

5.8.4. To acknowledge fully the work of others in coursework and assessed work, and be familiar with the referencing conventions of the discipline.

5.9. Publications and Presentations

5.9.1. With support from supervisors, students are encouraged to prepare publication of the research work and disseminate research findings through contributions to both internal and external conferences.

5.9.2. It is not acceptable to publish the same research findings in several places (i.e. duplicate publications); EdD students should obtain permission from the original publisher or made appropriate citations when referencing to any published materials.

5.9.3. Acknowledge the contribution of the supervisor and all other consultants' research advice in any published work.

5.9.4. Any publications based on the thesis or folio research work at the University shall contain a reference to the effect that the work was submitted to The Education

University of Hong Kong for the award of the degree. During the study period, affiliation to the University should be clearly stated for any publication.

5.9.5. The contribution of funding body should also be acknowledged and all sources of financial and in-kind support for the research and any potential conflicts of interest must be stated in the publication, and that no confidential agreements have been breached.

5.9.6. Discuss with supervisors to reach an agreement on authorship, which fairly and appropriately acknowledges contributions of all researchers.

5.10. Retention of Research Data

5.10.1. Ensure that all original research data are recorded in a retrievable and appropriately referenced form, and make the data readily accessible to the supervisors.

5.10.2. Ensure that the data are stored safely in the academic unit for a period normally not less than five years from the date of submission of thesis, or as appropriate for the specific discipline.

5.11. Research Progress

Complete all assignments of the taught courses according to the specified timetables, and actively monitor own research progress. The latter includes:

- i. Provide regular research progress report to the supervision panel, as agreed in the supervisory meeting;
- ii. Provide *Annual Progress Report* and other reports to the GS, as stipulated in *GAR for Research Component of the Research Postgraduate and professional doctorate programmes*;
- iii. Complete a student research evaluation questionnaire annually;
- iv. Document the progress of the work in their study portfolio; and,
- v. Keep supervisors informed of any issues that may impact on their progress and prepare variation to candidature as appropriate.

5.12. Thesis Examination

- 5.12.1. The EdD student should be familiar with the degree regulations and the procedure of thesis examination as stipulated in the *GAR for the Research Component of the Research Postgraduate and professional doctorate programmes* and *Thesis Submission Guideline*.
- 5.12.2. Present the EdD thesis proposal to the presentation panel which consists of the respective Area Coordinator (as Chairperson) and the Supervision Panel.
- 5.12.3. At least six weeks prior to the expected date of submission, submit the Notice of Intention to Submit Thesis form to the GS.
- 5.12.4. The EdD student should not submit work that has been previously included in a thesis, dissertation or report submitted to this or any other institution for a degree, diploma, or other qualifications. Original work of the EdD student related to the

thesis may be published or presented in a conference prior to submission of the thesis and may be included in the thesis with proper acknowledgement.

- 5.12.5. It is advisable to note the timing of conferment before a student submits his/her thesis. Students are advised to check on the University's website for details.
- 5.12.6. The EdD student is ultimately responsible for the submission of the thesis.
- 5.12.7. The EdD student should clearly understand that a supervisor's agreement to the submission of the thesis for examination does not guarantee that the submission will lead to the award of the degree.
- 5.12.8. During the Viva, a candidate shall demonstrate that the thesis presented is his/her own work, and that he/she has an adequate understanding of the research topic and of the broader field of knowledge to which the research belongs.

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