Classification: Academic Affairs
Approving Authority: Dean of Graduate Studies and Research
Responsible Authority: Dean of Graduate Studies and Research
Implementing Authority: Office of the Dean of Graduate Studies and Research; Programme Directors
Effective Date: September 2026
Review Date: August 2027

Faculty Guidelines for Graduate Supervision

1.0 Purpose and Scope

1.1 These Guidelines set out the professional expectations, responsibilities, and good practice standards for faculty members supervising graduate students at AUIB. They apply to all faculty serving as primary advisors or thesis committee members for master's students.

1.2 These Guidelines are informed by WSCUC expectations for faculty engagement in graduate education and by the supervision standards of AUIB's benchmark peer institutions.

2.0 Eligibility to Supervise

2.1 To serve as a primary thesis advisor, a faculty member must:

- 2.1.1 Hold a doctoral degree or equivalent terminal qualification in the relevant field;
- 2.1.2 Hold a faculty appointment of Lecturer or above at AUIB;
- 2.1.3 Demonstrate active research engagement through recent publications, funded projects, or equivalent scholarly output; and
- 2.1.4 Have completed, or agreed to complete within [one semester], the AUIB Graduate Supervision Orientation.

2.2 New faculty members may co-supervise with an experienced advisor in their first year of supervision at AUIB, before serving as a primary advisor independently.

2.3 A faculty member may supervise a maximum of [six (6)] master's thesis students at any one time. Exceptions require approval from the Dean of Graduate Studies and Research.

3.0 Responsibilities of the Primary Advisor

3.1 Before Research Commences

- 3.1.1 Meet with the prospective student to assess the suitability of the proposed research and to clarify mutual expectations before agreeing to supervise.
- 3.1.2 Review and endorse the student's thesis proposal before submission to the Thesis Committee.
- 3.1.3 Ensure that all required IRB approvals are identified and obtained before data collection begins.
- 3.1.4 Agree on a supervision schedule with the student at the outset, including the frequency of meetings, preferred methods of communication, and expected turnaround times for feedback.

3.2 During the Research Period

- 3.2.1 Meet with the student a minimum of once per month. Meetings must be recorded using the Supervisory Meeting Record Form (Appendix A)
- 3.2.2 Provide written, constructive feedback on submitted drafts within fourteen (14) calendar days of receipt.
- 3.2.3 Monitor the student's academic progress and alert the Program Director promptly if progress is unsatisfactory or if the student is at risk of not completing within the time-to-degree limit.
- 3.2.4 Advise the student on research ethics, academic integrity, citation practice, and professional development.

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3.2.5 Support the student in identifying opportunities for publication, conference presentation, and research funding.

3.3 Approach to Defense

3.3.1 Confirm in writing to the Program Director that the thesis is ready for defense before the student submits the eligibility-for-defense request.

3.3.2 Prepare the student for the oral defense through mock examination or structured feedback sessions.

3.3.3 Ensure that any revisions required by the Thesis Committee are clearly communicated to the student and completed within the specified timeframe.

3.4 After Defense

3.4.1 Sign the Thesis Final Submission Form, confirming that all revisions have been satisfactorily completed.

3.4.2 Continue to support the student's professional development and publication of thesis outputs where appropriate.

4.0 Responsibilities of Thesis Committee Members

4.1 Thesis Committee members (beyond the primary advisor) are expected to:

4.1.1 Review the thesis proposal and provide timely written feedback.

4.1.2 Be available for consultation with the student at key stages of the research;

4.1.3 Read the complete thesis before the defense and submit a written assessment to the primary advisor at least one week before the defense date; and

4.1.4 Participate fully in the oral defense examination and committee deliberation.

5.0 Student Responsibilities in the Supervisory Relationship

5.1 Graduate students are expected to:

5.1.1 Attend all scheduled supervisory meetings and notify the advisor in advance if unable to attend;

5.1.2 Submit drafts and work in progress on the agreed schedule;

5.1.3 Respond to feedback promptly and constructively;

5.1.4 Maintain the Supervisory Meeting Record and ensure it is signed by both parties; and

5.1.5 Raise any concerns about the supervisory relationship with the Program Director at the earliest opportunity.

6.0 Managing Difficulties in the Supervisory Relationship

6.1 Where difficulties arise in the supervisory relationship, the following process applies:

6.1.1 Stage 1: The student and advisor attempt to resolve the issue directly, with the Program Director available for informal mediation.

6.1.2 Stage 2: If unresolved, the Program Director convenes a formal meeting with the student and advisor and agrees on a written action plan.

6.1.3 Stage 3: If still unresolved, the Dean of Graduate Studies and Research may appoint an alternative or additional advisor. The student may request a change of advisor using the procedure in Section 11.3 of the Graduate Student Handbook.

6.2 Faculty members who are unable to continue supervision due to leave, sabbatical, or departure must notify the Program Director as soon as this becomes known so that alternative supervision can be arranged without delay to the student and ensure continuity of supervision arrangements.

7.0 Recognition of Supervision

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7.1 Graduate thesis supervision is recognized in faculty workload allocation. The Dean of Graduate Studies and Research, in consultation with College Deans, will ensure that supervision load is factored into faculty teaching and research assignments.

7.2 Exemplary supervision will be recognized through the annual CGSR Graduate Supervision Award.

8.0 Professional Development

8.1 AUIB provides a Graduate Supervision Orientation for new supervisors and annual continuing professional development opportunities in graduate pedagogy, research supervision practice, and research ethics. Participation is expected of all faculty engaged in graduate supervision.

Related Policies and Documents

Graduate Thesis and Dissertation Guidelines
Graduate Student Handbook
Graduate Academic Standing Policy
Research Ethics Policy
GAC Terms of Reference
Faculty Handbook

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Appendix A

Supervisory Meeting Record Form | CGSR-FORM-SUP-001
American University of Iraq – Baghdad | College of Graduate Studies and Research

This form must be completed at each supervisory meeting and signed by both the student and advisor. Completed forms should be retained by both parties and submitted to the CGSR office at the end of each semester. Refer to the Faculty Supervision Guidelines and Graduate Thesis Guidelines.

Section A: Standing Information (complete once; update if changed)

Student Full Name	
Student ID	
Programme / Program of Study	
Thesis Title / Working Title	
Primary Advisor Name	
Co-Advisor Name (if applicable)	
Academic Year	

Section B: Meeting Record (complete at each meeting)
Complete a new Section B for each meeting. Print additional copies of Section B as needed.

Meeting Number (e.g. Meeting 3)	
Date of Meeting	
Duration of Meeting	
Mode (In-person / Video call / Hybrid)	
Progress since last meeting: (What has the student completed since the previous meeting?)	
Issues discussed: (Key questions, challenges, methodological decisions, or concerns raised)	
Agreed actions for the student: (Specific tasks with target completion dates)	

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Agreed actions for the advisor: (Feedback to provide, introductions to make, resources to share)	
Any concerns about progress or wellbeing:	
Date of next scheduled meeting	

Section C: Signatures
Both parties must sign to confirm the accuracy of this record. If either party disagrees with the record, they should note their disagreement in writing within five (5) working days.

Student Signature _____ Date: _____
Primary Advisor Signature _____ Date: _____

Section D: End-of-Semester Summary (complete once per semester)

Total number of meetings this semester	
Overall assessment of progress (On track / At risk / Behind schedule)	
Advisor's summary assessment of student progress this semester:	
Student's comments on supervisory support received:	

Student Signature (end of semester) _____ Date: _____
Advisor Signature (end of semester) _____ Date: _____

Submit completed form to the CGSR office by the deadline published in the Academic Calendar.

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