FACULTY OF MEDICINE AND HEALTH – HIGHER DEGREE BY RESEARCH SUPERVISION PROVISIONS 2020

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1   Purpose and application

(1)   These provisions:

   (a)   give effect, within the Faculty of Medicine and Health, to the _Higher Degree by Research Supervision Policy 2020_ ("the policy") and _Higher Degree by Research Supervision Procedures 2020_ ("the procedures");

   (b)   apply in addition to the policy and procedures; and

   (c)   address the following:

      (i)   facilities, funding and infrastructure available to individual students during all stages of the candidature;

      (ii)   allocation of supervisory workloads;

      (iii)   allocation of supervisory team responsibilities;

      (iv)   arrangements for notifying the student when a supervisor is absent from the University;

      (v)   the coursework requirements for each student; and

      (vi)   the appointment of affiliates as members of a supervisory team.

2   Commencement

These provisions will commence on 1 January 2021.

3   Definitions

(1)   Words and phrases used in these provisions and not otherwise defined in this document have the meanings they have in the policy and the procedures.

(2)   In these provisions:

Associate Dean Research Education	means the Associate Dean with authority for overseeing higher degrees by research in the Faculty of Medicine and Health.
DVC-E	means the Deputy Vice-Chancellor (Education)
FMH	means the Faculty of Medicine and Health

Head of School	has the meaning given in the *University of Sydney (Governance of Faculties and University Schools) Rule 2016*, which at the date of these provisions is:
	means the head of a school within a faculty, including a Head of School and Dean
HDR	means higher degree by research
research affiliate	has the meaning given in the *Affiliates Policy*, which at the date of these provisions is:
	A research affiliate is an individual who is not an honorary title holder, and who is contributing to the University's research productivity as: • a named investigator on a grant; and/or • an author on a publication; or • a creator of any other form of research output; and claims an affiliation with the University
Research Education Academic Director	means the nominated academic in each School or Faculty location appointed to oversee higher degree by research candidatures. The role has the same responsibilities as the Postgraduate Coordinator in the policy.
Supervisor Register	has the same meaning as the *Higher Degree by Research Supervision Policy 2020*, which at the date of these provisions is:
	means the University-wide register of individuals endorsed as supervisors of higher degree by research students, established under clause 10
supervisory team	has the same meaning as clause 13 of the *Higher Degree by Research Supervision Policy 2020*
RECS	Research Education Candidature Management System

4   General principles

(3)   All Supervisors are expected to:

(a)   adhere to the *Staff and Affiliates Code of Conduct 2021, Research Code of Conduct, Charter of Freedom of Speech and Academic Freedom* at all times;

(b)   abide by the Guidelines for Quality Supervision 2020;

(c)   be respectful and fair in their dealings with their candidates, co-workers, professional staff, the School and the Faculty; and

(d)   before the commencement of candidature, confirm a candidate has access to essential resources and appropriate facilities to complete their research project.

   (i)   If a supervisor has any doubt about their capacity to provide all essential resources and facilities, they must raise their concerns with the FMH Research Education Academic Director before supporting a student's application for admission.

Note: FMH encourages the sharing of spaces and equipment, where practicable. It does not assign individual offices, desks or information technology resources to HDR students for their personal use. See the *Faculty of Medicine and Health - Space Management Local Provisions 2019*.

(e)   work with candidates to:

   (i)   create a culture where supervisors and students describe and agree on their expectations of their relationship and revisit these expectations during candidature;

   (ii)   assist students in meeting or exceeding the requirements of researcher graduate qualities framework as described in the Research RECS;

   (iii)   complete the milestones, goals and tasks listed in in the progress plan;

   (iv)   design a clear plan, including the aims, methods and proposed outputs of the degree and review the plan in accordance with the *policy* and the *procedures*; and

   (v)   identify opportunities for funding for living expenses, such as stipends, as well as funding for research costs, such as conference and training opportunities, self-education expenses and other HDR activities.

(f)   maintain frequent and regular contact with their candidates that is sufficient to enable student success, which may be in person or by means of electronic communication;

(g)   help identify appropriate HDR coursework units for completion by the candidate in line with the current HDR requirements;

(h)   respond to requests from candidates, Research Education Academic Directors, FMH and the Higher Degree by Research Administration Centre in a timely and professional manner, including:

   (i)   participate as a panel member in the performance evaluation meeting for a number of other HDR candidates in the Faculty, commensurate with their supervisory load;

   (ii)   willingness to contribute to events within FMH;

   (iii)   volunteering for judging panels; or

   (iv)   giving professional development talks.

(i)   guide candidates on the best means to engage in the wider scientific community;

(j)   appropriately acknowledge each candidate's contribution to projects, all scholarly outputs and research;

(k)   provide candidates with opportunities to generate publications and demonstrate the impact of their research;

(l)   suggest appropriate members for each supervisory team;

(m)   discuss and determine with the candidate and other team members the allocation of supervisory responsibilities;

(n)   complete continuing education for supervisors on best practice supervision methods;

(o)   complete all University workplace health and safety training and foster a culture of safety; and

(p)   notify candidates of periods of absence from the University and how to access support and supervision during that period.

Note: See the policy and the procedures for more information on the responsibilities of supervisors.

5   Supervision workload

(1)   No Lead Supervisor will exceed the maximum number of enrolled HDR candidates as determined by the *policy*.

(2)   Allocation of supervisory workload is determined by the relevant School policy.

6   Internal supervisors

(1)   An academic staff member, clinical title holder or honorary affiliate of FMH may supervise FMH research candidates if:

(a)   they have been registered on the Supervisor Register in accordance with the *policy* and the *procedures*;

(b)   they have completed all graduate research and faculty approved supervisory courses; and

(c)   they have consistently complied with the expectations specified in clause 1.

(2)   All Internal supervisors are responsible for the progression and timely completion of an enrolled HDR candidate.

(3)   To be nominated as a Lead Supervisor, the supervisor must:

(a)   be an internal supervisor;

(b)   be at level B or above in FMH;

(c)   have successfully supervised two HDR candidates to completion;

(d)   have participated in annual ongoing development as a supervisor as directed by the Faculty; and

(e)   not be an emeriti member of the Faculty, except with approval of the Executive Dean in accordance with the Professors Emeriti Local Provisions 2020

(4)   Lead Supervisors will be responsible for the supervisory administrative tasks of an HDR candidature.

(5)   The faculty will not permit the following to supervise HDR candidates:

   (a)   research affiliates;

   (b)   casual staff members; or

   (c)   enrolled HDR candidates.

   Note: See clause 8 of the policy for more information about the requirements of supervisors and clause 10 for entry on the Supervisor Register.

7   External supervisors

(1)   External HDR supervisors may be appointed for the duration of a candidate's enrolment;

(2)   External supervisors will provide technical or intellectual expertise to the candidate for a suitable duration of the candidature;

(3)   External supervisors will not be permitted to be lead supervisors of an HDR candidate;

(4)   Applicants, who wish to be an external supervisor, must apply through RECS.

   Note: See subclauses 8(7) and 10(10) of the policy.

(5)   The relevant Research Education Academic Director, will:

   (a)   consider the applications received from external supervisors in RECS; and

   (b)   determine whether or not to nominate an applicant as an external supervisor for a candidate.

(6)   The Associate Dean Research Education will:

   (a)   determine whether or not to endorse a nominated applicant as an external supervisor for a candidate; and

   (b)   authorise RECS to provide the details of approved external supervisors to the Director of Graduate Studies for entry onto the Supervisor Register.

8   Removal of supervisory registration

(1)   Supervisors may be suspended from the Supervisor Register, or deregistered, on the bases and in the manner specified in the policy and the procedures.

(2)   The Faculty will not tolerate behaviours such as, but not limited to:

   (a)   sexual harassment, discrimination or bullying of HDR candidates;

   (b)   failure to carry out HDR supervisory tasks in a timely manner;

   (c)   failure to carry out administrative tasks in a timely manner; or

   (d)   repeated instances of failing to meet Faculty expectations, such as outlined in clause 4 of these local provisions.

(3)   If temporary suspension of a supervisor results in concerns about a candidate's wellbeing or safety, the Associate Dean Research Education will notify impacted candidates and work with those individuals to:

   (a)   appoint alternate supervisors, either on a temporary or permanent basis;

   (b)   provide access to any further support required by the candidate, such as access to counselling and psychological services.

(4) The Associate Dean Research Education may require a supervisor, who has been returned the Supervisor Register after a temporary suspension, or re-registered after having been de-registered, to complete such further supervisory training as the Associate Dean considers appropriate.

9 Roles and responsibilities

(1) **Potential supervisors** are responsible for:

    (a) discussing their proposed application with their AP & D supervisor;

    (b) applying for registration on RECS and as required:

        (i) completing all relevant training; and

        (ii) addressing all the criteria, and attaching relevant documents;

    (c) understanding that being a registered supervisor:

        (i) does not imply guaranteed access to candidates; and

        (ii) does not allow additional payments for supervision of candidates.

(2) **The Research Education Academic Director** is responsible for:

    (a) assessing applications for supervisor registration and for association with a candidature in a fair and transparent manner; and

    (b) providing the Associate Dean Research Education with their recommendation in relation to each application.

(3) **The Associate Dean Research Education** is responsible for:

    (a) determining whether or not to endorse recommendations from the Research Education Academic Director in relation to supervisor nominations;

    (b) providing names of candidates endorsed for supervisor registration to the Director, Graduate Studies;

    (c) providing feedback to applicants about unsuccessful application outcomes; and

    (d) approving supervisory arrangements for all candidates enrolling in research degrees in FMH.

NOTES

Faculty of Medicine and Health - Higher Degree by Research Supervision Provisions 2020

Date adopted: 3 December 2020

Date commenced: 1 January 2021

Date amended: 1 April 2022

Approved by: Executive Dean, Faculty of Medicine and Health

Signature:

Review Date: 1 January 2025

Rescinded documents: Nil

Related documents:

University of Sydney (Higher degree by Research) Rule 2011

Affiliates Policy 2015

Honorary Titles Policy 2013

Honorary Titles Procedures 2013

Higher Degree by Research Supervision Policy 2020

Higher Degree by Research Supervision Procedures 2020.

Code of Conduct - Staff and Affiliates

Research Code of Conduct 2019

Faculty of Medicine and Health -Professors Emeriti Local Provisions 2020

Charter of Freedom of Speech and Academic Freedom

AMENDMENT HISTORY

Provision	Amendment	Commencing
Subclause 4(3)(a)	Add reference to the *Charter of Free Speech and Academic freedom*	1 April 2022
Subclause 4(3)(d)	Add supervisors to confirm a candidate has access to appropriate facilities and essential resources to complete their research before the commencement of candidature	1 April 2022