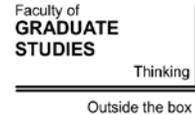




# Faculty of Graduate Studies



## Responsibilities in the Supervisory Relationship Policy

The Office of the Faculty of Graduate Studies is dedicated to the promotion of effective graduate teaching/learning/supervisory experiences for graduate faculty, students, graduate advisors, and graduate secretaries. Effective supervision is a joint effort and partnership of the supervisory unit, the supervisory committee members, the student, the graduate advisor and the graduate secretary. This document is designed to help to clarify the principles and policies for best practices in graduate supervision. Policies and procedures generated by academic units are required to be consistent with those established by the Office of the Faculty of Graduate Studies.

### Responsibilities of the Academic Supervisor

The academic supervisor is a mentor and advisor who develops a professional, interpersonal relationship with the graduate student that is conducive to scholarly activities and intellectual enhancement.

Mentoring involves a developmental and supportive relationship. The mentoring relationship is an interactive process between individuals within the supervisory mandate and incorporates interpersonal development, career and educational development and professional socialization functions.

The academic supervisor is directly responsible for the supervision of the student's program. In this capacity, the supervisor assists the student in planning the program, ensures that the student is aware of all program requirements, degree regulations, and general regulations of the academic unit, the Faculty of Graduate Studies, the university, and external granting agencies. The academic supervisor provides counsel for all aspects of the program, and stays informed of the student's scholarly activities and progress.

#### **1.0 The academic supervisor has responsibilities related to overseeing the student's program:**

- 1.1 to assist the student in forming a supervisory committee;
- 1.2 to chair meetings of the committee as needed and, if necessary, arbitrate decisions of the committee;

- 1.3 to be aware of the rules and procedures of the Faculty of Graduate Studies, the university and relevant external agencies, and to advise the student of the responsibility to be aware of them as well;
- 1.4 to be aware of the rules and procedures of the academic unit regarding the supervisory process, documentation, and communication of academic progress, and to make the student aware of them as well;
- 1.5 to work in accordance with the academic unit's procedures to document and communicate the student's academic progress;
- 1.6 to be aware of the standards to which a major paper, thesis, dissertation or creative project must conform and to make the student aware of them as well;
- 1.7 to maintain contact with the student in accordance with the academic unit's procedures through mutually agreed upon regular meetings and to be reasonably available for consultation as needed;
- 1.8 to help in selecting appropriate course work for the program and also involve the supervisory committee when appropriate in the student's program;
- 1.9 to inform the student and direct them to source material on the Tri-Council Guidelines for Ethical Research in Humans and ensure that, where appropriate, student research or academic proposals involving human subjects have been submitted to the Human Research Ethics Committee for approval before the commencement of the research project;
- 1.10 to ensure that, where necessary, student research proposals have received approval before implementation from the appropriate committee reporting to the vice-president research. Examples include, but are not limited to, the Animal Care Committee, Hazardous Materials Committee, and Biosafety Committee;
- 1.11 to assist the student in negotiating a realistic timetable for the completion of the various requirements of the program of study;
- 1.12 to thoroughly examine the work submitted by the student and to make timely and constructive written comments for improvement on a schedule negotiated with the student;
- 1.13 to determine whether or not a draft of a major paper, thesis, dissertation or creative project is ready for submission to the supervisory committee. If a draft is not to be submitted, to provide to the student reasons in writing;
- 1.14 to make satisfactory arrangements for supervision of the student if the supervisor is to be away for more than three months and this absence is deemed detrimental to the student's progress. An interim supervisor is to be arranged by the supervisor and student in consultation, and the Office of the Faculty of Graduate Studies informed in writing. If the absence is extended, a replacement is to be found by the supervisor leaving;

- 1.15 to work within the academic unit's candidacy structure and with the academic unit's graduate advisor and/or graduate secretary in initiating the steps required in setting up candidacy examinations. The student should be consulted regarding the scheduling of such exams and expectations (which may or may not be negotiable) and times are to be communicated in writing;
- 1.16 when appropriate, to direct the student to the Office of Research Administration for advice regarding Intellectual Property; and
- 1.17 to encourage and assist the student to attend conferences and meetings in his/her field of study.

**2.0 The academic supervisor has responsibilities related to the basic principles of academic integrity and professionalism:**

- 2.1 to not withdraw monetary support without reason and due notice in writing and to stipulate a particular length of time before withdrawal of money;
- 2.2 to be aware of situations of potential conflict of interest or roles and conflict of commitment and to deal with them according to official university guidelines;
- 2.3 to acknowledge contributions of the student in published material;
- 2.4 to recommend that the dean of the Faculty of Graduate Studies withdraw a student when the supervisor, in consultation with the supervisory committee, the head of the academic unit and the graduate advisor has reasonable grounds to believe academic progress is not being made and continued supervision will not lead to the satisfactory completion of degree requirements by the student;
- 2.5 to withdraw from supervising a student when the supervisor and student, in consultation with the supervisory committee, the head of the academic unit and the graduate advisor are unable to resolve interpersonal conflicts which are impeding satisfactory academic progress toward degree requirements. The supervisor must give reasonable notice in writing of the withdrawal of supervision to the student, the graduate advisor and the Office of the Faculty of Graduate Studies; and to normally remain as supervisor until another supervisor is in place or the student is withdrawn;
- 2.6 the appointment of a replacement supervisor is expected to be negotiated by the graduate advisor, the student, and the replacement supervisor in consultation with the members of the supervisory committee;
- 2.7 It is unprofessional for a withdrawing supervisor or for a student whose supervisor has withdrawn to engage in personal recriminations related to the termination of the supervisory relationship.

## Responsibilities of the Supervisory Committee

Each student has a supervisory committee consisting of the academic supervisor and from one to three additional members depending on the student's program. Although the academic supervisor serves as the student's major advisor, committee members are expected to be involved in the student's program in accordance with the academic unit's procedures and to be available for consultation with the student in accordance with those procedures.

### **3.0 The supervisory committee has responsibilities related to overseeing the student's program:**

- 3.1 to be aware of the rules and procedures of the Faculty of Graduate Studies, the university, and external granting agencies and to advise the student of them;
- 3.2 to recommend to the Faculty of Graduate Studies a program that has been approved by all members of the committee, including the student;
- 3.3 to, in accordance with the academic unit's supervisory procedures, participate in the evaluation of the proposed work plan;
- 3.4 to ensure that the student is aware of normal expectations concerning the length, quality, style, and standard presentation of the paper, thesis, dissertation or creative project;
- 3.5 to, in accordance with the academic unit's supervisory procedures, negotiate and guide the student in the implementation of the work plan, and to evaluate the progress of the student's work;
- 3.6 to aid in the arbitration of problems which arise between the student and the supervisor;
- 3.7 to evaluate drafts of the thesis, dissertation or creative project in accordance with the academic unit's supervisory procedures;
- 3.8 to serve as the core of the examining committee.

### **4.0 Supervisory committee members have responsibilities related to the basic principles of scholarly integrity and professionalism:**

- 4.1 to withdraw from being on a student's committee when, in consultation with the entire supervisory committee, the head of the academic unit and the graduate advisor, the student and committee member are unable to resolve interpersonal conflicts which are impeding satisfactory academic progress and completion of the degree. The committee member must give reasonable notice in writing of the withdrawal from the committee to the student, the graduate advisor and the Office of the Faculty of Graduate Studies. The committee member must, in this case, negotiate a change of membership in accordance with this section and so as to minimize to the extent possible the negative impact of the change on the student's program; and normally to

remain on the committee until another committee member is in place or the student is withdrawn;

- 4.2 to work with the supervisor, other committee members and the student to find a replacement in order to minimize to the extent possible any negative impact on the student's program.
- 4.3 It is unprofessional for a withdrawing committee member or for a student whose committee member has withdrawn to engage in personal recriminations related to the termination of the supervisory relationship.

### **Responsibilities of the Dean of the Faculty Graduate Studies**

**5.0** In the case of alleged non-compliance with these supervisory guidelines by an academic supervisor or supervisory committee member, the dean of the Faculty of Graduate Studies has the following responsibilities:

- 5.1 to request a written report from the person making the allegation;
- 5.2 to review the written report of noncompliance;
- 5.3 to provide an opportunity for a consultative process with the parties involved;
- 5.4 where, in the opinion of the dean, a report of noncompliance constitutes "misconduct" as that term is defined in the university's Policy on Scholarly Integrity, the dean may make a complaint under the Policy on Scholarly Integrity and the report shall thereafter be dealt with in accordance with that Policy;
- 5.5 where, in the opinion of the dean, a report of noncompliance does not constitute "misconduct" as that term is defined in the university's Policy on Scholarly Integrity or does not warrant invoking the university's Policy on Scholarly Integrity, the dean shall forward a copy of the report to the student's academic supervisor and the members of the student's supervisory committee with an invitation to send a response to the dean; the dean may also, when appropriate, forward a copy of the report to the student.
- 5.6 After reviewing any responses to the report, the dean may
  - a. meet with the person who made the report, the student's academic supervisor and the student's supervisory committee either together or separately to discuss the report and the responses to the report for the purpose of:
    - a.1 seeking a resolution of any conflicts among the parties;
    - a.2 discussing methods of compliance in the future;
    - a.3 proposing education and remedial strategies for particular parties.

- b. Where the dean is satisfied that the matter can be satisfactorily dealt with in writing, the dean shall send a letter to the person who made the report and all persons to whom a copy of the report was sent.
- c. Where a satisfactory resolution cannot be reached in this manner the dean may refer the issue to the Peer Review of Supervisory Practices Committee or may initiate procedures under section 56 of the Framework Agreement.

### **Responsibilities of the Student**

In entering a graduate degree program, a graduate student is making a commitment to devote the time and energy necessary to complete the program. The supervisory committee has the right to expect reasonable effort, initiative, respect and receptiveness to suggestions and criticisms. The student must accept the rules, procedures and standards in place in the program at the University of Victoria and is expected to check the university calendar and academic unit documents for regulations regarding academic and non-academic matters. The student has a right to be present and participate in meetings of the supervisory committee concerning the student's program requirements and may initiate and negotiate changes to the program and committee membership in full consultation with the committee and without prejudice due to changes requested.

#### **6.0 Graduate students have the following responsibilities:**

- 6.1 to make a commitment and to show dedicated efforts to gain the background knowledge and skills needed to pursue and complete the research or creative project successfully;
- 6.2 to develop, in conjunction with the supervisor, a plan and a timetable for completion of all stages of the degree program, and to adhere to a schedule to meet appropriate deadlines;
- 6.3 to maintain contact with the supervisor through mutually agreed upon regular communication and be reasonably available for consultation as needed;
- 6.4 to maintain registration throughout the program and (for international students) to ensure that student visas and (where applicable) employment authorization documents are kept up to date. To inform the supervisor of any temporary withdrawal from the program and reasons for the absence;
- 6.5 to keep the supervisor, the graduate advisor and the Graduate Admissions and Records Office informed on how the student can be contacted;
- 6.6 to give serious consideration to and respond professionally to the advice and criticisms received from the supervisor and other members of the supervisory committee;

- 6.7 to pay attention to the need to maintain a workplace which is tidy, safe and healthy and where each individual shows tolerance and respect for the rights of others;
- 6.8 to be thoughtful and reasonably frugal in using resources provided by the supervisor and by the University, and to assist in obtaining additional resources for the research or for other group members where applicable and possible;
- 6.9 to conform to university, faculty, and program requirements and to consult with the supervisor, members of the supervisory committee, the graduate advisor of the program, the graduate secretary of the program, and the Office of the Faculty of Graduate Studies as needed.
- 6.10 to recognize that the supervisor and other members of the supervisory committee may have other teaching, research and service obligations, which may preclude immediate responses;
- 6.11 to meet the relevant performance standards and deadlines of funding organizations to the extent possible when financing has been provided under a contract or grant;
- 6.12 to conform to professional standards of honesty in order to assure academic integrity and professionalism. This includes, but is not limited to, acknowledging assistance, material and/or data provided by others;
- 6.13 to terminate the work and clean up the workspace, leaving the place to another student, when program requirements have been met;
- 6.14 to return borrowed materials to the supervisor, academic unit, library or reading room etc. when the academic work has been concluded or when return is requested;
- 6.15 to identify the contributions of supervisors or committee members in publications as well as identifying fellowship or grant support for research in publications; and
- 6.16 to address situations that are not working. Students are encouraged to deal directly with the supervisor and supervisory committee so that dissatisfactions, issues, and conflicts can be resolved. If for any reason the situation cannot be resolved, the student may consult with the graduate advisor, or the head of the academic unit, or take counsel from the Office of the Faculty of Graduate Studies on how to proceed.