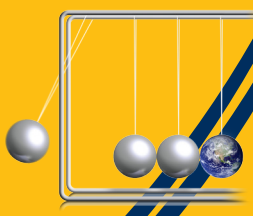
Queen's University

SCHOOL OF GRADUATE STUDIES

Graduate Supervision Handbook



Create an impact

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Queen's University strives to be a welcoming and inclusive environment and community, and as such affirms that addressing issues of diversity, inclusion, and equity must be a collaborative effort, focused on partnership and community building.

Queen's University is situated on traditional Anishinaabe and Haudenosaunee Territory.

Welcome to Your Guide to Good Supervision

This guide serves as a resource for graduate students, faculty members, supervisors, and administrative staff who are involved in graduate education. A safe, supportive learning environment provides the foundation for an excellent graduate experience, which is enriched by the people with whom we interact. Fostering healthy and productive relationships relies on mutual respect, trust and open communication that leads to a shared understanding of the roles, responsibilities and a harmonization of expectations. This booklet provides an overview of the roles and responsibilities of specific academic units and individuals and serves to highlight topics that should be discussed fully with students.

The pathway to degree completion should be planned collaboratively with the student and supervisor agreeing on mutual expectations that take into consideration the student's aspirations, academic/professional background and needs. Regular discussions to ensure steady progress and achievement of goals provide the opportunity to take stock, to make sure that the student and supervisor are satisfied with how things are going, and to and to revisit aspirations since they are rarely static.We are committed to providing a safe and supportive learning environment that stimulates understanding, debate, creativity, innovation and discovery. It's what graduate studies is about.

Best practices, advice and general information to assist in forming and maintaining good student-supervisor relationships can be found in the pages that follow. In those circumstances in which, despite sincere efforts, the relationship is not conducive to progressing toward degree completion then the possibility of finding an alternate supervisor may be explored. Support and resources to help navigate all aspects of student-supervisor relationships can be found herein.

Graduate study provides an incredible opportunity for discovery, pursuing your passion and developing deep knowledge and skills that translate to a number of career options. We are committed to providing a safe and supportive learning environment that stimulates ideation, creativity, innovation and understanding, which in many ways is what defines graduate study. In combination with a comprehensive professional skills development program, students can tailor their program to meet their needs and goals. And remember – life balance is important, it can't only be about the degree.

Yours sincerely,

Brenda Brouwer, Ph.D.
Vice-Provost and Dean of Graduate Studies

Roles and Responsibilities in Graduate Supervision

PREAMBLE

This document is intended to provide graduate students, faculty members, departments and research units with guidelines that encourage and promote an enriched and collegial work environment in which to pursue knowledge and academic inquiry. A good working relationship between supervisors and graduate students is built on mutual respect and trust that encompasses principles of academic integrity, freedom of inquiry and expression free of any form of discrimination, intimidation or harassment. The School of Graduate Studies recognizes that while models of supervision, research environment and research culture vary across departments and programs, there are general guidelines that apply across Queen's University. These guidelines provide direction and information in support of excellence in graduate studies and best practices in supervision.

While it is important to acknowledge that graduate students are partners in the university research enterprise, it is equally important to recognize that the supervisor is the senior partner who, in many cases, provides funding support. Students may feel uncomfortable discussing issues or at risk if they complain or disagree with their supervisors. Therefore, the onus is on departments/programs and supervisors to promote an environment where expectations and concerns can be discussed openly and without fear of reprisal. Encouragement of open communication is essential. Understanding the respective roles and responsibilities of supervisors, supervisory committees, students, graduate coordinators and departments/programs can be helpful in this regard; they are outlined in the pages that follow. As well, mediation procedures for the resolution of disputes related specifically to issues in graduate supervision, and graduate student research are described, although it is hoped that good practices will aid in anticipating and avoiding potential problems.

1.0 CHOICE OF SUPERVISOR

In some graduate units a supervisor is assigned to a student at (or soon after) the start of the program. In most units the onus is on the student to find a faculty member who agrees to supervise the graduate research work, a process that often takes place prior to an offer of admission being made. The selection of a supervisor is a critical decision that impacts the quality of the student's graduate experience and influences the student's career path. Academic competence is of course important, but the supervisor must also provide advice, guidance, and mentorship. A healthy student-supervisor relationship is one in which there is open and effective communication and expectations are clearly laid out early on and reviewed regularly.

Students are advised to obtain information about potential supervisors and the environment in which they will be working. Departmental or program websites generally provide profiles of their faculty members and descriptions of ongoing research and research facilities. Students who will work in a laboratory setting or as a member of a research team are encouraged to talk with current students in that environment about their experiences and interactions with a particular supervisor. It is important that whenever possible the student meet with the potential supervisor of their graduate thesis to determine compatibility and have an opportunity to discuss issues such as expectations, research project support, identifying a thesis topic and scope, student funding, and strategies to ensure timely completion and quality work. Sometimes supervisors and/or graduate students may suggest co-supervision so that the student receives additional attention, guidance and expertise from a second mentor. This can be particularly useful if a supervisor carries an especially heavy workload or is frequently travelling, impacting accessibility.

There may be special circumstances in which, during the course of graduate studies, a student might wish to change supervisors. This can happen, for instance, if during the preliminary stages of research a graduate student's topic changes significantly to the point of requiring different supervisory expertise.

On rare occasions, the lack of appropriate or consistent mentorship from a supervisor and/or the persistence of an unhealthy and non-productive student-supervisor relationship may make a change in supervisor necessary. Advice can be sought from the graduate coordinator, department head, the SGPS student advisor program and/or an Associate Dean in the School of Graduate Studies. (See Section 11).

2.0 ROLE AND RESPONSIBILITIES OF SUPERVISORS

The mission of the School of Graduate Studies is to promote intellectual and professional growth, academic scholarship and research excellence through departmentally based and interdisciplinary advanced degree programs. The supervisor plays a key role in this enterprise by providing advice, guidance, instruction and encouragement in the research activities of their students and also evaluating their progress and performance. A fundamental role of supervisors is that of senior partner. As such, supervisors have the responsibility to foster the intellectual and professional growth of their students so that they can become competent contributors to their field of specialization. They also play an important role in providing assistance and advice to their students as they plan career steps after the completion of their degree. One of the key determinants of graduate student success is the quality of mentorship provided by the supervisor.

Early in the student-supervisor relationship, the supervisor's roles and responsibilities are:

- Guiding and advising the student on the selection, development, and scope of a research topic suited to the degree level. Ensuring that the project is appropriately resourced and can reasonably be expected to be completed within the normal program length. Ensuring the student acquires the necessary theoretical foundations, skills and required training to conduct the proposed research to a high standard and that institutional ethics board clearance is obtained, if necessary. Assisting the student with establishing realistic timelines and goals to see the project through to completion.

- Clarifying and defining supervisory roles, responsibilities, and expectations and encouraging the student to identify academic goals and career aspirations. Providing academic guidance and professional development support.

- With the graduate student, determining a regular meeting schedule and the nature or structure of the meetings (e.g., formal/informal, agenda, updates) and preferences for communicating between meetings (e.g., email, drop-in, telephone). Regular and meaningful student-supervisor contact from the outset and throughout the program is one of the best predictors of timely completion and student success.

- Supporting a welcoming and inclusive environment and community through understanding of situational and cross-cultural factors.

Supporting and facilitating accommodations for graduate students with documented disabilities and considering the distinctive needs of graduate students (as described in Section 8 of this document). Familiarizing yourself with program/departmental, SGS, and University regulations and procedures as well as support services and resources available to graduate students at Queen's.

- Ensuring a safe research environment compliant with University and departmental regulations, which is supportive of the research enterprise and is free from discrimination, intimidation or harassment. Working collaboratively to resolve issues that may arise and seeking advice from the graduate coordinator, department chair or the SGS if needed. In rare cases when resolution seems unlikely and where the student wishes to change supervisors, advising the student about the process for changing supervisors and that the student consults with the graduate coordinator (or department head).

Throughout the degree program, the supervisor's role and responsibilities are:

- Ensuring that the student is meeting milestones and, in cases where delays threaten timely progress, developing a mutually agreeable strategy to address obstacles and remove barriers to progress.
- Encouraging the student to disseminate research findings to academic audiences (e.g. journals, conferences) as well as other stakeholder groups including the general public (e.g., 3MT, community lectures, media). Recognizing student contributions in accordance with Research Integrity and Intellectual Property policies.
- Reviewing the student's submitted work and providing timely (normally within 2 weeks) and constructive written feedback to help the student learn, improve ongoing work, and achieve the standards for quality and style to which theses, conference presentations, and papers for publication must conform.
- Ensuring that PhD students submit an annual report according to program/departmental deadlines. Providing a complete assessment and response to the report describing the level of research progress, adherence to established timelines and milestones, and whether stated goals/objectives are reasonable and compatible with timely completion.
- Make arrangements for continuity of supervision during periods of extended leave or absence (greater than 6 weeks) in consultation with the

student, and inform the graduate coordinator or department head of the arrangement.

In the final stages of the student's program, the supervisor's role and responsibilities are:

- Ensuring that the oral examination of the thesis is scheduled at the earliest possible date to mitigate against additional costs incurred by the student. The supervisor has responsibility for setting up the examining committee in accordance with SGS regulations and in discussion with the student. The supervisor contacts the examiners to confirm their availability and also makes sure a room and necessary equipment are booked. The supervisor will also ensure that the student is well-prepared for the thesis defence (format, review presentation, consideration of potential examination questions, holding a 'mock defence').
- Discussing student's next steps and offering support and guidance as they transition to career or further study.
- Providing reference letters for funding, research, and employment applications during and after the completion of the student's degree program.

3.0 ROLE AND RESPONSIBILITIES OF GRADUATE STUDENTS

When a student registers in a graduate program, the student makes a commitment to strive for the highest levels of academic achievement and to contribute fully to the intellectual life of the University. The primary responsibility of the student is to devote the time and energy required to complete all academic requirements including the thesis within the expected time frame in accordance with enrolment status (i.e. fulltime or part-time). It is also the responsibility of the graduate student to follow departmental/program, School of Graduate Studies and University policies, procedures and regulations and to adhere to the principles of academic integrity.

By agreeing to work with a supervisor, students enter a partnership that will succeed if it is built on mutual trust and respect. Students should acknowledge the senior role that is played by their supervisors who are experienced researchers and academics. It is expected that students should seek their supervisor's advice and give it serious consideration. Students should also seek advice and guidance from their supervisory committee members and from their Graduate Coordinator as needed.

The roles and responsibilities of graduate students are:

- Discussing the respective roles and responsibilities in the supervisor-student relationship and communicating expectations. Discussing the student's academic goals and objectives as well as career aspirations. Developing a work plan that will support success and timely completion. Communicating with the supervisor to set short and long-term research objectives and ensure opportunities for professional development (e.g., Expanding Horizons).

- Consulting with Student Wellness Services if you require accommodations for a disability (see section 8.0 Accommodation) and discussing your needs with your supervisor.

- Familiarizing yourself with the policies, procedures and regulations of the department/program, the School of Graduate Studies and the University (e.g., annual reports, registration, format of thesis) and ensuring that you obtain all required training (e.g., lab safety, animal care, research ethics).

- Updating your research plan and timelines in consultation with the supervisor as a basis for monitoring progress and ensuring completion of milestones.

- Setting regular meetings with your supervisor to provide updates on your research progress, propose solutions to issues that may arise (e.g., unexpected findings, equipment problems), discuss funding opportunities (e.g., scholarships, travel awards), and to seek advice on matters of concern as early as possible so that they can be addressed in a timely and mutually agreeable way. Preparing and sharing with your supervisor meeting summaries that include required actions/directives. Promptly discussing any changes in circumstances that could affect your performance or progress and giving serious consideration to the advice and constructive feedback offered by your supervisor and/or supervisory committee. Seeking advice from others if needed (e.g., graduate coordinator, student advisors, the SGS Associate Dean).

- Discussing vacation time (normally 2 weeks in total) well in advance with your supervisor to ensure that there is minimal disruption to the research and also so that the supervisor will know you will be unavailable.

- Conducting your research in compliance with the highest standard of ethical, scholarly, and scientific integrity. Ensuring that Research Ethics Board approval is in place, if required, data are stored and records

are maintained as required, contributions of others are appropriately acknowledged, and a knowledge mobilization/dissemination plan has been discussed and agreed upon with your supervisor.

4.0 ROLE AND RESPONSIBILITIES OF SUPERVISORY COMMITTEES

Students enrolled in graduate programs with a research component should have access to supervision throughout their program. The role of the supervisory committee is to assist supervisors in providing guidance, consultation and advice on the student's research. The composition of the supervisory committee may vary by department/program; however the members' areas of expertise generally complement that of the supervisor. The supervisory committee may also be called upon to take a more active role in cases where supervisors are absent for an extended period of time or in cases of disputes between supervisors and students. The supervisory committee should normally be formed in conjunction with the development of the thesis proposal or qualifying exam stage of the research degree. The student and supervisor should mutually agree upon the selection of committee members.

Specific responsibilities of supervisory committees include:

- Meeting with the student, as a committee, as required but not less than once per year to assess the student's progress in the program and advise on future work required for completion of the degree requirements. A written summary of the meeting should be shared with the student and where the department/program requires it, sign the Annual Progress Report.
- Providing timely feedback on the student's progress and commenting as to whether the upcoming cycle's proposed plan/objectives are reasonable and compatible with the proposed research and timely degree completion as part of the annual progress report procedures of the department/program.
- Being accessible to students when called upon for discussion of academic progress, for consultation on issues related to the research project and/or for general guidance.

5.0 ROLE AND RESPONSIBILITIES OF DEPARTMENTS/PROGRAMS AND GRADUATE COORDINATORS

The heart of graduate studies is in the departments/programs. Indeed for most graduate students, the first link with the University is through their home department/program and it is there that they typically find the information or help they need. The department/program, through its delegate, the Graduate Coordinator, plays a central role in creating a positive environment in which graduate students can pursue their scholarly work and intellectual growth. Students should become acquainted with departmental/program administrators and stay informed about activities and events.

Specific responsibilities of the department/program and/or of its delegate, the Graduate Coordinator, include:

- Providing current information to all graduate students, both incoming and continuing, on all aspects of the department's program, degree level expectations and learning outcomes, milestones, admission requirements, financial support, procedures and deadlines. The departments/programs should ensure that their information materials convey a welcoming and inclusive message and are accessible to all students.
- Encourage participation of incoming students to orientation activities organised by the SGS and ensure that program activities do not conflict with them.
- Ensuring that all administrative procedures of the department and the School of Graduate Studies are followed.
- Attending the Fall and Spring Graduate Forum in order to become and remain well-informed about graduate matters.
- Ensuring that all departmental policies and procedures relevant to the graduate program such as regulations governing the appointment of supervisors, examinations, program requirements, dispute resolution, and monitoring progress are current and published on the departmental/program website and in the departmental graduate handbook so students can be familiar with them.
- Ensuring that the timeline for achieving milestones or requirements toward degree completion are clearly articulated on the department/program website and in the departmental graduate handbook.
- Ensuring that each student registered in a graduate degree program with

a research component has a supervisor before the end of the first term of study. It is recognized that in some programs this may be a titular supervisor until such time as the research area is determined and a research supervisor identified. The graduate coordinator should facilitate the identification of a research supervisor normally before the end of the first year of study such that annual progress can be appropriately assessed.

- Assisting (when necessary) in the design of accommodation plans for students with disabilities to ensure these plans respect program standards and requirements (See Section 8: Accommodation).
- Ensuring that graduate students submit an annual report and that the supervisor and/or the supervisory committee members and the student review and sign the report by the annual deadline established by the department/program.
- Being accessible, either in person or electronically, to students when they seek advice for discussion, consultation, or advice relating to their academic progress, research, and/or matters of concern.
- Establishing an effective means of communicating with graduate students about matters of importance to their program (e.g. events, seminars, funding opportunities).
- Informing students of Academic Integrity, Research Integrity and Intellectual Property policies.
- Tracking financial packages provided to students and in cases where financial assistance is provided from departmental sources, communicating the terms clearly and in writing to the students (amounts, length of time, and conditions).
- Ensuring that financial support is distributed in a fair and equitable manner consistent with departmental/program and SGS policies.
- Providing a mechanism for resolving problems that may arise between graduate students, instructors, supervisors and/or members of the supervisory committee.
- Informing students of resources and services available to them for assistance, consultation and advice on academic and non-academic matters.
- Facilitating solutions to disputes arising between students and supervisors

in an effort to arrive at a mutually satisfactory outcome that may include the appointment of a different supervisor, the formation of a supervisory committee to fulfill the supervisory role, or other reasonable actions that would enable progress toward degree completion. In addition, every effort to maintain the value of the student's financial package is to be made in circumstances where the solution may impact funding support.

- Monitoring the establishment of the examination committee and ensuring that arrangements for the defense are made in a timely fashion so that the student's completion of the degree is not delayed.

6.0 ROLE AND RESPONSIBILITIES OF THE SCHOOL OF GRADUATE STUDIES

The School of Graduate Studies oversees the conduct of all graduate programs within the university and supports the achievement of the highest possible academic standards in graduate degree programs. The School works closely with students, graduate units, and faculties to promote excellence and foster an enriched and collegial environment for the pursuit of graduate education. Specific responsibilities in relation to graduate supervision include:

- Providing support for new and continuing faculty on graduate supervision (e.g. workshops) and informing them of relevant training opportunities provided by QUIC, CTL, Student Wellness, and the Human Rights Office.
- Providing professional and skill development workshops and opportunities for graduate students to promote academic success.
- Work with Career Services to provide professional and skill development workshops and opportunities that will aid in future career success.
- Ensuring that departments/programs and students adhere to the policies and procedures governing graduate studies.
- Advising students on academic issues and facilitating informal solutions to issues that may arise.
- Liaising with graduate units on all matters relevant to graduate education.
- Communicating with departments/programs the importance of posting on the program website and/or in a Graduate Handbook all current departmental/program policies and procedures relevant to the graduate program (such as procedures for appointing supervisors, formation of examining committees, thesis format, dispute resolution, annual progress

reports).

- Working with programs to ensure that milestones, degree level expectations and learning outcomes are identified and posted on the program website.

7.0 FINANCIAL ASSISTANCE

Graduate students enrolled on a full time basis in a research degree program and who are within the first 4 years of a Ph.D. program, the first 2 years of a two year Master's program or the first year of a one year research Master's program are eligible to receive financial support. The financial package offered to students varies within departments/programs and across disciplines, but in the case of doctoral students cannot be less than the published university minimum guaranteed funding (excluding the International Tuition Award or equivalent for international doctoral students). Financial packages may be composed of funds from the supervisor's research grants or contracts, departmental teaching assistantships, research assistantships, internal and/or external scholarships or fellowships and from other available sources. The financial package may change from year to year; students should discuss this with their supervisor or graduate coordinator.

The terms of the financial commitment including the source(s) of funds (e.g. supervisor, department/program, School of Graduate Studies, etc…), the time period, amount and conditions must be communicated clearly and in writing to the student by the department/program. Because of the importance of the funding package for recruitment and retention, departments/programs are strongly encouraged to make offers as early as possible. Financial packages for students continuing in the program will normally be communicated in writing to students no later than August 1st. In all cases the commitment must be honoured while the contractual relation between the student and the University is in effect and the terms of the agreement are met.

8.0 ACCOMMODATION

In accordance with University policy, students with disabilities enrolled in any graduate program at Queen's can expect to be treated with dignity and to receive support from faculty, graduate supervisors, administrators and other students in regard to their need for individualized and appropriate accommodations.

Graduate students seeking accommodations should notify the University

about the disability and need for accommodation as early as possible, certainly as soon as the student realizes the need for support and/or accommodation. Students are advised to contact Queen's Student Accessibility Services (QSAS) (See Appendix C) for information about registration with QSAS, documentation requirements and booking a confidential advising appointment.

Students meet in confidence with a QSAS advisor to discuss their accommodation needs and are expected to cooperate in developing an appropriate accommodation plan. If necessary and with the student's consent, QSAS will consult with instructors, graduate supervisors and/or graduate coordinators in designing accommodation plans to ensure they respect stated academic standards and requirements. Once the accommodation plan is complete, students are responsible for communicating their accommodation plan to instructors and graduate supervisors, as needed. Students are required to review accommodation needs with QSAS annually (or more frequently if required).

Note: Students who believe they will require accommodations while undertaking oral thesis examinations are required to consult with QSAS and the supervisor well in advance of submitting the thesis (See Appendix C: SGS Policy on Accommodation of Graduate Students with Disabilities).

The graduate supervisor and other members of the academic unit must recognize the requirement to support the accommodation process, be informed about Queen's services that support students with disabilities, and refer students to these services should the need arise. The supervisor should encourage students with disabilities to discuss their progress and accommodation needs as necessary, respond to student requests for accommodation in a timely manner, assist with defining essential academic requirements, and be prepared to suggest reasonable approaches in developing accommodation plans. The Supervisor will also ensure that accommodations as approved by QSAS and the department are implemented as directed during the oral thesis examination.

9.0 INTELLECTUAL PROPERTY

In accordance with Queen's University policy, intellectual property is created as a result of research, which in the case of graduate student research is often collaborative research, and is owned by the creators. However, the University retains a royalty-free irrevocable right to use for educational and research purposes any intellectual property created by a student in relation

to her/his research activities

The student should be aware of and adhere to the University policy on the ownership of intellectual property and the retention of any information relevant to the research program by the University for educational and research purposes and to respect any contractual terms under which thesis research is conducted. At the outset of the program, supervisors should discuss with their students issues related to intellectual property.

Original data should be retained in the laboratory or the department/program of the principal investigator and accessible to those involved in the research (supervisor and student). Guidelines of the General Research Ethics Board and the Health Sciences Research Ethics Board should be followed as appropriate and in accordance with the procedure describe in the ethics submission. It should be recognized that the data should be retained in the designated location (e.g. lab, department/program) for a reasonable period beyond the time of publication and beyond the end of the grant period.

In many disciplines, the supervisor plays a significant role in guiding the development, direction and completion of the student's research project such that the supervisor and student are both considered to have contributed intellectually to the research. Both students and supervisors must conform to the university policy on intellectual property. As an institution of intellectual inquiry, Queen's is committed to fostering intellectual inquiry and transferring results to society and making them accessible. The ownership of intellectual property must not be used to suppress or distort research work conducted by members of the university.

10.0 PUBLICATION

The Senate policy on Intellectual Property states the overriding objective is to make research results accessible through publication for wide utilization and scrutiny. The dissemination of research results by publication in scholarly and research journals, by presentation at conferences and seminars and, if appropriate, by protection (patent or copyright) enhances the education and training experience. It is recognized that graduate student research in most disciplines is a collaborative effort and as such all who have made a significant intellectual contribution to the research activity are generally included as authors of its publication. The authors should be able to vouch for the quality and integrity of their contribution to the work. Individual departments/programs, Faculties or Schools may have specific ancillary guidelines with regards to authorship and the student should be provided with a copy of these guidelines at the start of her/his program. Journals

also have guidelines for authorship that must be considered. Supervisors are urged to discuss issues regarding publication (including authorship) with their students at an early stage of their program and are encouraged to have a written agreement to protect their own interests and the interests of the student. A written agreement serves to clarify responsibilities and expectations and can avoid problems later (see template, Appendix A). Supervisors should also make sure that their students are aware of implications and/or obligations, with regard to intellectual property, of research conducted under contracts. Advice may be sought from PARTEQ Innovations.

Prior to the submission of a thesis or documents for publication co-authored by their supervisor, the student must discuss a draft of the submission with the supervisor. The student must respect a supervisor's request to review any original data associated with the submission. In accordance with the Senate Policy on Integrity in Research, original data should be held in trust for the scientific and academic community, and should normally be retained in the laboratory or department/program of the principal investigator.

It is understood that research conducted at Queen's, whether agency sponsored or not, be universally accessible to the public, to scholarly and scientific communities. Research completed as part of the graduate degree requirements and presented in thesis format must also adhere to this principle. There are, however, some circumstances in which deferral of publication of findings (including electronic submission of the thesis to QSpace) may be acceptable. A thesis may be restricted at the time of submitting the thesis for completion of degree requirements if, for example, the rights to commercial publication warrant protection, if there is intent to obtain a patent based on the research, or stipulation for a delay by a commission under which the research was conducted. The intent to publish portions of the thesis or the thesis in its entirely is not typically a reason for restricting access.

Students and supervisors are encouraged to discuss the need for restriction and seek advice as appropriate (e.g. from the library, the School of Graduate Studies, PARTEQ Innovations). If restriction is warranted, the student must indicate so as part of the submission process on QSpace in order to delay placement of the archival copy of the thesis in QSpace, as well as access through the Library and Archives Canada, and the binding of copies of the thesis submitted to the School of Graduate Studies for a period of five (5) years. After 5 years, the thesis will be released to QSpace, the Library

and Archives Canada, and if applicable, Proquest. Graduates may release their thesis from restriction earlier than 5 years by informing the School of Graduate Studies in writing that the restriction may be lifted.

11.0 CONFLICT RESOLUTION AND MEDIATION PROCEDURES

If problems associated with supervision practices or conflicts between graduate students, supervisors or supervisory committee members arise, the parties should attempt first to resolve any difficulties informally amongst themselves. If informal discussion does not lead to a resolution then other members of the department/program (for example, the graduate coordinator and departmental/program chair) should become involved in seeking an acceptable resolution. The Associate Deans in the School of Graduate Studies can offer practical advice and possible solutions. Similarly, the SGPS Student Advisor program is a valuable resource for students as they seek resolution to supervisory difficulties. These discussions are in confidence. Students may also seek help with the Office of the University Ombudsman.

In resolving a conflict that involves a graduate student, parties must in all cases be mindful of the power differential in the student/supervisor or student/faculty member relationship. Furthermore, it must be acknowledged that research by nature requires that ideas, assumptions and interpretations are challenged – this can inadvertently create an environment that is perceived as threatening or adverse. Sensitivity, recognition of differences in cultural experiences, and clear understanding of expectations can help maintain a healthy and productive relationship that fosters intellectual growth.

In cases when conflicts arise, the procedure for mediation outlined below should be followed. Note that matters of academic substance should be dealt with following the procedures outlined in the calendar of the School of Graduate Studies under the section "Appeal of Academic Decisions" (See Appendix C).

Mediation Procedures

Resolution of an issue should initially be sought first through informal local departmental/program channels. Students should be informed of relevant departmental/program procedures and of resources available to them (e.g. Departmental Handbook or website, the School of Graduate Studies website, the SGPS Student Advisor Program). Thus, discussion of the problem should occur first between the student and supervisor or supervisory

committee. If the issue cannot be resolved here, one or both parties should consult the Graduate Coordinator and/or the Department Head to seek possible resolution. If a satisfactory resolution is not reached, assistance can be requested of the Associate Dean(s) of the School of Graduate Studies. In consultation with the person(s) seeking advice, the Dean may elect to appoint an advisory committee to help resolve the issue.

All consultations in the Department and School of Graduate Studies should be kept confidential and no direct action should be taken without the prior consent of the person(s) seeking advice. Wherever possible, formal communications should be limited to those parties directly concerned in dealing with problems.

The Office of the University Ombudsman serves as a resource for information about resolution processes. The Ombudsperson is not an advocate for any party, but can provide helpful advice to students, faculty and staff.

APPENDICES

Appendix A

GENERAL GUIDELINES FOR AUTHORSHIP

- Authorship is credited to those who make a substantial intellectual contribution to a piece of work.
- Providing financial support for a student's thesis or research work is not in itself sufficient to warrant authorship, but when the student's research is part of a grant or contract on which the supervisor is a named investigator then the supervisor has contributed to the conceptualization of the project.
- Normally the order of authors' names on publications should reflect their relative intellectual contributions to the work, with the individual who made the greatest contribution being listed first. Where the major substance of a co-authored publication is based on a portion or all of a graduate student's work, the student is normally first author.
- All authors accept responsibility and credit for their work and ensure that the work conforms to the highest standard of academic and scientific integrity.
- In cases where the work done falls under the terms of an employment contract by a student employed as a Research Assistant and is not part of the degree requirements, that student is not normally entitled to claim co-authorship.
- In cases where the work done by a student receiving income as a Research Assistant (e.g. Graduate Research Assistant Fellowship) and the work becomes part of the thesis that student will normally be considered as co-contributor with their supervisor/employer. As the author of the thesis, overall copyright of the completed thesis document belongs to the student.
- As a matter of University policy, it is important that research findings are made accessible to society and are published in a timely manner. In cases where research findings must be restricted this should be made clear to all involved from the outset and the period of publication restriction cannot extend beyond (5) five years from the date of final submission of the thesis (refer to Section 9.0).
- Publications co-authored by graduate students and faculty reflect their substantial contributions and collaborative efforts. The different roles and responsibilities of those involved in the research are often reflected in the unique contributions they make. This may include the development of original ideas that led to the research work, consultation and guidance that resulted in significant development of the research and/or interpretation of the data.
- All co-authors share responsibility for the content and ideas expressed in the publication and should agree to the time and place of presentation or publication. No party should unreasonably suppress or delay presentation or publication of completed work. All reasonable effort should be made to contact all contributors; however, the inability to contact a co-author to obtain agreement should not prevent dissemination of work in a timely manner.

Sample Graduate Student – Supervisor Agreement for Research and Authorship

(Note: Publication practices may vary considerably across disciplines; the wording of the agreement should reflect those practices and students are encouraged to become familiar with the practices in their discipline.)

The following are terms of the graduate student and supervisor relationship as it relates to research and publication. _____ is a graduate student working under the supervision of _____ and is conducting thesis research in the area of _____. This work _____ (is, is not) part of the supervisors funded research program.

The supervisor will ensure that the student has access to computing and material resources to conduct his/her research. The necessary equipment is available and the student will be trained on its use and proper operation. Costs associated with conducting the research will be covered in accordance with the project described in the student's proposal; coverage of additional costs must be approved by the supervisor and only if a funding source has been identified. Original data records must remain with the lab/supervisor; if ethics approval is required for the study the Research Ethics Board guidelines regarding data storage and access must be followed. Compliance with the University's highest standards of ethics and scientific practice is mandatory.

Authorship is assigned based on level of intellectual contribution to the research determined collectively by the research team involved with the project. The graduate student will be listed as _____ (sole, first) author providing that (s)he carries out most of the work and provides a first draft of a manuscript (or any other relevant conditions). The supervisor will be listed as _____ (last, middle) author and other co-authors are: _____ *list names* _____. It is expected that the student will provide a first draft of a manuscript within _____ months of completion of the research or series of experiments. If this does not occur and there has been no change in the agreement, the supervisor will draft the paper. This _____ (will, will not) affect the order of authors listed. The graduate student will be _____ author and the supervisor _____ author. All authors should be in agreement on the content of the manuscript prior to submission. In cases when a dispute about authorship arises, it will be resolved by the _____ _____ (graduate coordinator, department/program Head, Graduate Program Committee).

I have read and agree to the above terms.

Student's signature _____ Date _____

Supervisor's signature _____ Date _____

Appendix B

SUPERVISOR-STUDENT EXPECTATIONS SCALE

Using a Supervisor-Student Expectations Scale as the basis for a discussion of the roles of supervisor and student can be valuable. Read each pair of statements listed on this sheet. Each expresses a standpoint that supervisors and students may take. However, you may not agree fully with either of the statements. Please estimate your position and mark it on the scale. For example, if you believe very strongly that supervisors should select the research topic you would circle '1' for statement 1; if you believe that is a student prerogative, you would circle '5'. If you think it is a shared responsibility, circle '3'. You should be looking for patterns (e.g. a tendency to 1s or 5s) that reflect marked differences in expectations between student and supervisor. This would form the basis for discussion. However, it is important to remember that these are expectations, there is no 'right' answer and there may be factors that must be taken into account (for example, source of funding) that could tip the scale in one direction or another.

	Topic/Course of Study		
1	It is a supervisor's responsibility to select a promising topic	1 2 3 4 5	It is a student's responsibility to select a promising topic
2	In the end, it is up to the supervisor to decide which theoretical frame of reference is most appropriate	1 2 3 4 5	A student has a right to choose a theoretical standpoint even if it conflicts with that of the supervisor
3	A supervisor should direct a student in the development of an appropriate program of research and study	1 2 3 4 5	A student should be able to work out a schedule and research program appropriate to his/her needs
4	A supervisor should ensure that a student has access to all necessary facilities	1 2 3 4 5	Ultimately, the student must find the necessary facilities to complete his/her research

	Contact/Involvement		
5	Supervisor-student relationships are purely professional and personal relationships should not develop	1 2 3 4 5	Close personal relationships are essential for successful supervision
6	A supervisor should initiate frequent meetings with a student	1 2 3 4 5	A student should initiate meetings
7	A supervisor should check constantly that a student is on track and working consistently	1 2 3 4 5	Students should work independently and not have to account for how they spend their time
8	A supervisor should terminate that candidature if she/he thinks a student will not succeed	1 2 3 4 5	A supervisor should support the student regardless of his/her opinion of the student's capability

	The Thesis		
9	A supervisor should ensure that the thesis is finished in a timely fashion.	1 2 3 4 5	As long as a student works productively she/he can take as long as she/he needs to finish the work
10	A supervisor has direct responsibility for the methodology and content of the thesis	1 2 3 4 5	A student has total responsibility for ensuring that the methodology and content are appropriate to the discipline
11	A supervisor should assist in the actual writing of the thesis if the student has difficulties and should ensure that the presentation is flawless	1 2 3 4 5	A student must take full responsibility for presentation of the thesis, including grammar and spelling
812	A supervisor should insist on seeing drafts of every section of the thesis in order to review them in a timely fashion	1 2 3 4 5	It is up to a student to ask for constructive criticism from a supervisor

(Ryan & Wittle, 1995 adapted from Moses, 1985)
Source: Edwards, H., Aspland, T., O'Leary, J., Ryan, Y., Southey, G., Timms, P. (1995)

Appendix C

REFERENCES AND RELEVANT RESOURCES

Queen's Policies and Guidelines

Harassment/Discrimination Complaint Policy and Procedure: http://www.queensu.ca/secretariat/policies/senate/harassmentdiscrimination-complaint-policy-and-procedure

Report of the Senate Ad Hoc Committee on Intellectual Property: http://www.queensu.ca/secretariat/policies/senate/intellectual-property

Queen's University Senate Policy on Integrity in Research: http://www.queensu.ca/secretariat/sites/webpublish.queensu.ca.uslcwww/files/files/policies/senateandtrustees/research_integrity.pdf

Queen's University Student Code of Conduct: http://www.queensu.ca/secretariat/sites/webpublish.queensu.ca.uslcwww/files/files/policies/board/StudentCodeOfConduct.pdf

Restriction of Thesis: http://www.queensu.ca/sgs/restriction-thesis

Formatting Your Thesis: http://www.queensu.ca/sgs/thesis-formatting-other-resources

School of Graduate Studies Policy on Academic Integrity: http://queensu.ca/sgs/graduate-calendar/academic-integrity-policy

Accommodation of Graduate Students with Disabilities Policy Statement: http://queensu.ca/sgs/graduate-calendar/admission-and-registration

School of Graduate Studies Policy-Accommodation of Graduate Students with Disabilities Guiding Principles: http://queensu.ca/sgs/graduate-calendar/admission-and-registration

Senate Document on Conflict of Interest and Conflict of Commitment: http://www.queensu.ca/secretariat/policies/senate/conflict-interest-and-conflict-commitment

Senate Policy on Academic Integrity Procedures: http://www.queensu.ca/secretariat/sites/webpublish.queensu.ca.uslcwww/files/files/policies/senateandtrustees/AcademicIntegrity.pdf

Copyright and Your Thesis Guide: http://library.queensu.ca/copyright/thesis

Off-Campus Activity Safety Policy (OCASP): http://www.queensu.ca/secretariat/policies/board-policies/campus-activity-safety-policy

PhD Oral Thesis Examination Form: http://www.queensu.ca/sgs/sites/webpublish.queensu.ca.sgswww/files/files/PHD_OralThesisExamForm_18JULY2016.pdf

Harassment/Discrimination Complaint Policy and Procedure: http://www.queensu.ca/secretariat/policies/senate/harassmentdiscrimination-complaint-policy-and-procedure

Appeals against Academic Decisions. School of Graduate Studies: http://queensu.ca/sgs/graduate-calendar/general-regulations

Resources on Graduate Supervision

Guiding Principles for Graduate Student Supervision. Canadian Association of Graduate Studies. http://www.cags.ca/publications.php

How to Make the Most out of your Supervisory Relationship: Advice from Supervisors & Students: Advice for Graduate Students. Student Wellness Services, Queen's. http://queensu.ca/sgs/current-students/graduate-supervision

R. James and G. Baldwin, *Eleven Practices for Effective Post Graduate Supervisors.* University of Melbourne. http://gradresearch.unimelb.edu.au/staff/supervisors.

Supervising a Doctorate. Vitae (UK): https://www.vitae.ac.uk/doing-research/doing-research/supervising-a-doctorate

Fostering a Strong Supervisory Relationship. How can Supvervisors Assist? Advice for Supervisors: http://queensu.ca/sgs/faculty-staff/supervision

Working with your PhD Supervisor. FindAPhD: https://www.findaphd.com/advice/doing/you-and-your-phd-supervisor.aspx

Queen's Student Support Services and Resources

Career Services: http://careers.queensu.ca/

Student Accessibility Services: http://queensu.ca/studentwellness/accessibility-services

School of Graduate Studies: http://www.queensu.ca/sgs/

SGPS Student Advisor Program: https://sgps.ca/sgps-student-advisor-program/

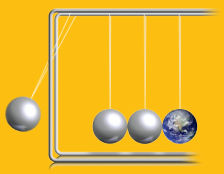
SGS Habitat: http://www.queensu.ca/sgs/current-students/sgs-habitat

SGS Expanding Horizons: http://www.queensu.ca/exph/

Student Academic Success Services: http://sass.queensu.ca/

Queen's University International Centre: http://quic.queensu.ca/

Student Wellness Services: http://www.queensu.ca/studentwellness/home



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