

# Saint Mary's University

Graduate Student Handbook - 2023



## **Preface**

The purpose of this handbook is to provide a useful reference for our graduate students. The information contained within has been compiled from various sources including the 2023-24 Academic Calendar as well as from policies and procedures of the Faculty of the Graduate Studies and Research, and other offices and bodies of Saint Mary's University. We have tried to be as accurate as possible in the information provided, however, if there are discrepancies or inconsistencies between the information provided within this handbook and the original sources, the information in the original sources shall hold precedence.

Due to diversity between academic disciplines and the graduate programs offered across the Faculty of Graduate Studies and Research, it is challenging to write a handbook which applies to all graduate students at Saint Mary's. For more detailed information on a particular graduate program, please contact your program coordinator/director.

# Table of Contents

	<u>Page</u>
1.0 Welcome from the Dean	3
2.0 Who's Who?	4
3.0 Roles and responsibilities	5
3.1 Guiding Principles for Graduate Student Supervision in Canada	9
4.0 Where do I go for help when I have a question regarding my program?	14
5.0 Progression through your graduate program	
5.1 Getting started	17
5.2 Academic advising	17
5.3 Registration	17
5.4 Fees: per-course-fee programs and program-fee programs	18
5.5 Full-time and part-time status	18
5.6 Receipt of stipends, scholarships or salary payments related to your graduate program	20
5.7 Your program of study and research	22
5.8 Supervision of your thesis research	22
5.9 Evaluation Thesis/Program Progress	23
5.10 The thesis defence	24
5.11 Graduating	27
5.12 Time-for-completion, interruptions, and extensions	27
6.0 Academic and Research Integrity	30
7.0 Scholarships and Fellowships	35
8.0 Research Ethics Board (REB) and the Office of Research Ethics	36
8.1 REB Review and Clearance Requirement and Exemption	36
8.2 Research Ethics Education	37
9.0 Animal care and research involving the use of animals	37
10.0 Health and safety	
10.1 Saint Mary's Occupational Health and Safety Policy	38
10.2 Responsibilities of graduate students in regard to OH&S	38
10.2.1 Special responsibilities of graduate students in regard to OH&S when in positions of responsibility for others	39
10.3 Graduate Student Research Activities in Hazardous Settings	39
10.4 On-campus security	40
11.0 Graduate students and Intellectual Property	41
12.0 Conference travel awards	42
13.0 Commonly requested forms	42
14.0 Other Important policies and procedures applying to graduate students and programs	43
14.1 FGSR Policy on Criteria and Selection of Supervisors of Graduate Students at Saint Mary's University	43
14.2 Conflict of Interest in Research	44
14.3 Saint Mary's University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct	50
14.4 Masters Thesis and PhD Dissertation Defence Policy	62
14.5 Policy on Changing Thesis Supervisors	64
15.0 Graduate studies glossary of terms	65
16.0 Academic Calendar of Events	67
17.0 General campus information	
17.1 Campus map	70
17.2 Housing	70
17.3 University health services	70
17.4 Enterprise Information Technology (EIT)	71
17.5 Athletics and recreation	71
17.6 (Other) Important People on Campus	72
18.0 References	73

## 1.0 Welcome from the Dean

Welcome, or welcome back, to the Faculty of Graduate Studies and Research (FGSR). Since August 2017, it has been my distinct honour to serve the faculty, staff, and students of Saint Mary's as the Dean of FGSR. Before starting my role as FGSR Dean, I also served as professor of physics for 17 years here at Saint Mary's University, which all has allowed me to experience first-hand the support of world-class research and scholarship in Arts, Science and Business, at all levels of this University — from individual faculty members to our excellent support staff — right up to the President's Office.

With an impressive diversity of graduate programs and research activities which continue to grow and expand, Saint Mary's can confidently stand as one of the most research-intensive small universities in Canada —even as that descriptor “small” ensures that we maintain our uniquely Santamarian advantages, including the benefit of a strong sense of community and accompanying mutual supports. This all ensures that Saint Mary's University is a great place to pursue graduate studies!

The FGSR oversees all graduate programs in the University, but the administration of each student's program is a collaborative effort between FGSR and the individual graduate program. We work closely together with the Offices of the Deans' of Arts, Science, and the Sobey School of Business – as well as the Office of the Vice-President, Academic and Research – in the oversight and administration of our graduate programs.

Our professors in the Faculties of Arts, Science and the Sobey School of Business offer [30 diverse graduate-level credentials – spanning the range of PhD, Doctoral and Masters programs, one Graduate Diploma, and one Post-Baccalaureate Certificate](#). Our Professional and Research-based programs capitalize on the vast range of expertise areas of our professors, and on Saint Mary's tight community connections to offer high calibre graduate programs across all of the Faculties.

I hope you find this handbook a useful guide to help you navigate through your graduate program. Please be aware that your program may have a handbook of its own to provide program-specific information. Aside from these handbooks, there are many other useful resources available (see the “Where do I go for help?” section of this Handbook for more resources).

Best wishes in the pursuit of knowledge and in your personal and professional growth which are the cornerstones of graduate studies.

Please do not hesitate to contact the staff in the FGSR Office for assistance.



Adam J. Sarty, Ph.D.  
Dean, Faculty of Graduate Studies and Research  
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## 2.0 Who's Who?

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### 3.0 Roles and Responsibilities

This section attempts to clarify the roles and responsibilities of individuals and offices/bodies of the University. Starting with you, the student, and working upwards through the organizational structure of your program and the University, roles and responsibilities are characterized below:

#### **The graduate student:**

Graduate students play special roles in universities. They are students in the traditional sense, but may also have roles as research assistants/collaborators, teaching assistants, and mentors to undergraduate and other graduate students. Many academic committees of the University have positions reserved for graduate students, so they can also have input into the decision making activities of the University. ***It is the particular responsibility of students to ensure that they meet all their program requirements within the regulated time-for-completion of their graduate programs.*** (see Academic Regulation 16 in the 2023-24 Academic Calendar)

The graduate student is ultimately responsible for ensuring that:

- a) relevant courses are taken and pre-requisites are met,
- b) research is carried out appropriately, and
- c) all course, program, and University deadlines and outcomes are met.

Although there are many individuals and university offices/bodies that can assist the graduate student in progressing through their program, it is the student who must take ultimate responsibility for ensuring that their degree requirements are met in a timely manner.

**Graduate students must register for every semester (including summer) until completion of all requirements for the degree** (see Academic Regulation 5 in the 2023-24 Graduate Academic Calendar). This is an active process. Students must register for the appropriate courses and/or thesis/program continuation status on Banner Self Service (<http://selfservice.smu.ca>) every semester until all degree requirements have been met (also see section 5.3 of this Handbook). Students must obtain all required approvals by professors, supervisors, and program coordinators/directors before registering. If a student anticipates that they may have to interrupt their graduate program for any reason, they should talk to their thesis supervisor(s) and program coordinator/director as soon as possible.

In research-based graduate programs, **students should acknowledge the vital role of their thesis supervisor(s)**. Students should maintain communication with their supervisor(s) and, seek and give consideration to their advice. Similarly, students should solicit advice and guidance from their supervisory committee members (where applicable) and from their program coordinator/director.

Graduate students are required to **abide by all policies and procedures of the University**, including, but not limited to, all academic regulations detailed in the Academic Calendar, the Safety Policy (also see section 10.0. of this Handbook), the Freedom of Information/Protection of Privacy Policy, the Policy on the Prevention and Resolution of Harassment and Discrimination, and the Tri-Council Policy on Research Involving Human Subjects (also see section 8.0. of this Handbook).

Of particular importance to all researchers at Saint Mary's is the Senate Policy on Integrity in Research and Scholarly Activity (<http://www.smu.ca/academics/fgsr-current-policies-and-procedures.html>). This Policy identifies the responsibilities of all researchers at Saint Mary's in carrying out research ethically and with integrity. The Policy defines scholarly misconduct and outlines the procedures for investigating allegations of scholarly misconduct. Another policy to become familiar with is on Conflict of Interest in Research. (<http://www.smu.ca/academics/fgsr-current-policies-and-procedures.html>).

Your attention is also directed to the Report of the Expert Committee on Research Integrity by the Council of Canadian Academics (see <https://cca-reports.ca/reports/honesty-accountability-and-trust-fostering-research-integrity-in-canada/>). The following Fundamental Principles of Research Integrity have been extracted from the Report:

1. Conduct research in an honest search for knowledge. (Honesty; Fairness; Trust; Openness)
2. Foster an environment of research integrity, accountability and public trust. (Trust; Accountability)
3. Know your level of competence and your limitations; act accordingly. (Honesty; Trust; Accountability)
4. Avoid conflicts of interest, or if they cannot be avoided, address them in an ethical manner. (Trust; Accountability; Openness)
5. Use research funds responsibly. (Honesty; Accountability)
6. Review the work of others with integrity. (Fairness; Trust)
7. Report on research in a responsible and timely fashion. (Trust; Openness)
8. Treat data with scholarly rigour. (Honesty; Accountability)
9. Treat everyone involved with research fairly and with respect. (Fairness; Trust)

10. Acknowledge all contributors and contributions in research. (Fairness; Accountability; Openness)
11. Engage in the responsible training of researchers. (Fairness; Trust)”

All regulations and policies are available on the Saint Mary’s web site or by contacting the FGSR.

### **The thesis supervisor:**

In research-based graduate programs with a thesis requirement, the thesis supervisor **provides advisement to the student** in the research and thesis development. In optimal circumstances, the supervisor also *mentors* their graduate students.

The thesis supervisor may also offer guidance on course selection; however, the program coordinator/director should be considered the authority in this area. Finally, the thesis supervisor also **monitors the student’s progress** within their program. The thesis supervisor should provide feedback to the student on their progress on a regular basis and, if warranted, bring concerns forward to the graduate coordinator/director and the Dean of the FGSR.

The thesis supervisor should meet with the graduate student on a regular basis. The frequency of these meetings varies in accordance to the student’s progress in their program, but a scheduled meeting at least once a semester is highly recommended.

### **The supervisory committee:**

In some graduate programs with thesis requirements, aside from the thesis supervisor, a supervisory committee consisting of additional faculty members and, sometimes, relevant experts from outside of Saint Mary’s may be constituted to aid in the supervision of the thesis research. The other members of the committee can be seen as “secondary” supervisors who can provide advice and act as sounding boards for various aspects of the thesis research. It is recommended that a scheduled meeting of the supervisory committee and the student is held at least once a year to review progress and make recommendations on the research activities. Members of the supervisory committee usually serve as examiners (but not the external examiner) at the thesis defence (also see section 5.10).

### **The Program Coordinator/Director:**

Program Coordinators/Directors have very important roles in graduate studies at Saint Mary’s. They have oversight for the program, chair the respective Program Committee, and they represent each graduate program on the FGSR Graduate Studies Committee. They have key roles in leading the design and administration of graduate programs, and in advising and monitoring graduate students.

Responsibilities of Graduate Program Coordinators/Directors are defined in the 2022-2025 Collective Agreement (see 13.1.60 and 13.1.61) between Saint Mary’s University and the Saint Mary’s University Faculty Union and include:

- the integration, planning and development of the course offerings which constitute the program;
- the development of the program in consultation with the appropriate Deans and Chairpersons;
- the initiation, formulation and recommendation of academic policies relating to the program;
- the supervision of student progress;
- the advisement of students and the approval of their course selections;



- the dissemination and enforcement of University policies as they affect the program.

Program Coordinators are administratively responsible to the Dean of the FGSR.

### **Officers and staff of the FGSR:**

The Dean of the FGSR is mandated by the Senate and the Board of Governors to be the administrative and academic leader of the FGSR. The following officers and staff report to the Dean of the FGSR.

The Associate Dean – Student Affairs assists the Dean of the FGSR in addressing issues related to the learning, progress and well-being of Graduate Students at Saint Mary's University.

The Administrative Assistant to the Dean provides administrative support to the Dean, Associate Dean, the Graduate Studies Officer and the Research Grant Officer. The Administrative Assistant coordinates many of the daily activities in the office.

The Graduate Studies Officer (GSO) oversees the admissions process and administers scholarships and fellowships. The GSO works closely with the Program Assistant, program coordinators/directors, the Registrar's Office and the Financial Services Office in the admission, monitoring and administration of graduate students and their financial accounts.

The Program Assistant is the main point of contact for the FGSR. They assist the Graduate Studies Officer with all aspects of the admissions process and respond to student enquiries.

The Research Grants Officer (RGO) is responsible for all pre-submission issues related to research grant applications and some post-award issues (e.g. some reporting responsibilities to funding agencies). However, while some post-award financial administration falls into the domain of the RGO, Financial Services is the ultimate authority on post-award financial issues.

The Research Office Assistant provides administrative, financial, and admissions support to both the Faculty of Graduate Studies and Research and the Office of Innovation and Community Engagement.

There are two staff in the Office of Innovation and Community Engagement: the Director and the Industry Liaison Officer. The mandate of this office is to facilitate research relationships and collaborations between faculty members and external partners [i.e. private-sector, public sector (outside of the public granting agencies) and NGO's], as well as to be a means of transfer of applied research outcomes into the private sector (i.e. knowledge and technical transfer). The office is also a resource in negotiating research contracts, intellectual property agreements, etc. Also see section 11.0 in this Handbook

The Research Ethics Officer reports administratively to the Dean of the FGSR. However, due to the mandatory arms-length relationship between Universities and their REBs, the Officer to the REB works on a day-to-day basis with the Chair of the REB who reports to Senate. Also see section 8.0 in this Handbook.

### **3.1 Guiding Principles for Graduate Student Supervision**

The following is a copy of a publication of the Canadian Association of Graduate Studies. The document was adopted as guiding principles on graduate student supervision for the Faculty of Graduate Studies and Research at the April 24, 2009 meeting of the FGSR Faculty Council.

#### **Guiding Principles for Graduate Student Supervision**

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The document was approved at the September 13th 2008 Meeting of the CAGS Board of Directors and the October 18th, 2008 Annual General Meeting of CAGS.

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#### **A. Introduction**

Post-baccalaureate graduate studies are extremely important to the economic and social well-being of Canadians and have an ever increasing role in higher education in Canada. Over the 10 year period between 1995 and 2004, graduate student enrollment increased from approximately 113,000 to 149,000 in Canada<sup>1</sup>. Graduate studies are not only a life and career enhancing activity for students, but also a vital component of research and scholarship in Canada, important drivers of the nation's productivity and essential for global competitiveness. The role of supervisors and supervisory committees, as well as the relationship between students and their supervisors, are key components affecting the success of research-stream students in their programs.

Superimposed upon the student-supervisor relationship are the roles of supervisory committees, graduate program committees, departmental bodies, and offices of faculties/schools of graduate studies. Further complicating the issue of graduate student supervision is the diversity in supervision culture across the University, where the relationship may range from a very structured "master to apprentice" scenario to a very unstructured, "subtle guide of an independent scholar."

Despite the complexity and diversity surrounding supervision of graduate students, the Canadian Association of Graduate Studies felt it important that guiding principles for graduate student supervision be identified and endorsed at a national level. While many excellent guides on graduate student supervision exist within various graduate handbooks, senate or faculty by-laws, and websites within graduate schools across Canada, these are often highly specific to individual departments or graduate programs. This document is meant to identify, at a high level, guiding principles which can apply to all graduate supervisors and students. These principles can be a stand-alone resource or a precursor for graduate schools and programs to customize to their particular academic environment. It is also intended that the document be

applicable to defining roles and responsibilities of graduate students in the student-supervisor relationship as well as for graduate supervisors and administrators of graduate programs across Canada.

Various documents have been utilized and are cited in the preparation of these guiding principles, but in particular, a document from the University of Western Ontario<sup>2</sup> has been used as a “template” for many of the principles identified here. The principles are intended mainly for research masters and doctoral programs, though they may have relevance to “professional” graduate programs where the student works with a supervisor.

## **B. Guiding Principles**

### **1. A Supervisor should be identified in a timely fashion**

One of the most important aspects of graduate training is the timely, clear identification of a supervisor for each graduate student. This individual plays a key role in setting the direction of the graduate student’s research. There are wide variations in the practices of finding such a supervisor, and in the timing of when supervisors are normally assigned to students across discipline, research field and graduate programs. In some fields, students are assigned supervisors before they begin their programs (e.g. commonly the case in engineering, the natural sciences, and some fields in the social sciences), while in others, supervisors are normally assigned after one or more semesters. Whatever the norm for the discipline, field or graduate program, procedures for assigning a supervisor in a timely fashion should be in place and should be followed. Such procedures should also be clearly documented and known to students and faculty.

### **2. Supervisory committees or equivalents should be established early.**

In most graduate programs, a supervisory committee (or an equivalent, such as “second reader”) is also assigned to the graduate student. The supervisory committee normally acts as a supplementary resource for graduate students’ research, helps monitor program progress of graduate students, and approves the thesis for defence. Supervisory committees or their equivalent also can play vital roles in managing/mitigating conflict between supervisor and student should it arise. In order to obtain the maximum benefit from such a committee, it should be established as early as possible in the student’s program.

### **3. Expectations, roles and responsibilities of graduate students and supervisors should be made clear.**

The University and/or individual graduate programs should provide guidelines on the roles of the supervisor and the graduate student. Some faculties/schools of graduate studies recommend that a written agreement or “contract” be signed by supervisor and graduate student on such issues. In these cases, it is important that students have informed consent and are not coerced into signing contracts with which they are not in agreement. Universities should provide workshops for supervisors and graduate students at which the roles of students and supervisors can be discussed.

### **4. Supervisors should be readily accessible to their students, and regular monitoring and feedback should be ensured.**

Graduate study can be a very unfamiliar environment for new graduate students and students who are new to in Canada. Graduate programs tend to be much less

structured than undergraduate programs. Also, the rich cultural diversity in our Universities means that the cultural background of graduate students can be quite different from the norms found within the institution. Because of these realities, it is important that supervisors are highly accessible to provide guidance and feedback to graduate students, but particularly to students for whom both graduate programs and Canada are new. Frequent meetings with graduate students at which academic, research and other issues are addressed, progress is reviewed, evaluation is provided, and future activities are identified are extremely important for the success of students. Most graduate programs require a written report on student's progress to be submitted to departmental, school or faculty offices at least once per year. Such formal procedures, while essential, should not preclude more frequent evaluation of student activities and progress on a more informal basis, such as office or lab meetings, email communications and telephone conversations. When supervisors will be absent from the university for extended periods of time (e.g. field seasons; sabbatical leaves), steps need to be taken to ensure continuation of quality supervision during these absences.

#### **5. Student-supervisor relationships should be professional.**

The relationship between supervisors and students, however friendly and supportive it may become, should always be academic and professional. Relationships that are at odds with an arm's length criterion (e.g., romantic, sexual, family ties) are unacceptable between supervisors and students. If a substantial conflict of interest arises (e.g., when supervisors develop emotional, financial and/or business arrangements with the student) mechanisms should be in place to initiate a change of supervisor.

#### **6. Intellectual debate and challenge should be encouraged and supported.**

Intellectual debate is a fundamental component of university activity. Every effort should be made by both the student and supervisor to recognize and acknowledge that a robust element of academic challenge and questioning is a normal, and indeed, healthy aspect of the student-supervisor relationship.

#### **7. Supervisors should be mentors**

Supervisors have responsibilities beyond the academic supervision of research and writing. Although the mentoring role will vary across disciplines, and will depend on the needs of the individual student, supervisors should be responsible for mentoring students in the following areas: development of appropriate professional skills; applications for funding; networking opportunities with colleagues in academia and beyond; assistance with publications; and career development.

#### **8. Issues of intellectual property and authorship should be made clear.**

Supervisors are responsible for informing students about university policies that govern intellectual property, and about any specific intellectual property issues that are likely to arise from their research. Even when issues are not clearly defined, it is important that students and supervisors have a discussion and reach an agreement early in their relationship regarding issues including rights of authorship, the order of authorship on multi-authored publications, and ownership of data. It is inappropriate for thesis supervisors to ask students to sign over their intellectual property rights as a condition of pursuing thesis research under their supervision.

## **9. Conflicts should be resolved at the lowest level possible.**

From time to time, conflicts may emerge between the supervisor and the student. Involving more people and higher levels of authority in a conflict can result in exaggeration of the original problem. This makes it harder to resolve and causes more damage to the participants and those around them. Conflicts should be resolved as close as possible to the source of the problem (i.e., at the lowest level of administration). If the student and supervisor cannot find a solution after discussing the problem, they should then involve the supervisory committee or equivalent. If the problem cannot be resolved at the student-supervisor level, it may be dealt with by the program. The University should ensure that appropriate resources (e.g. ombudsperson, equity office) are available to assist. If no satisfactory resolution can be found at the program level, the problem may be referred to the higher administrative levels. All parties should follow procedures congruent with established policies of their universities.

## **10. Continuity is important in graduate supervision.**

The relationship between the student and supervisor is often critical to the student's successful completion of the degree. Continuity of supervision is an integral component of this relationship, since it provides (or should provide) stability, security, an opportunity to establish sufficient mutual knowledge and trust to facilitate effective intellectual debate, and generally an environment that allows optimal focus on the goals of the graduate program. As a consequence, a change in supervisor should be made only for strong and compelling reasons such as a mutually agreed major shift in academic direction of the research, major academic disagreements and/or irreconcilable interpersonal conflicts. It is recognized that some programs may place each new incoming student with an initial or temporary supervisor. In these cases, a subsequent timely change in supervisors, as the student clarifies research interests, is generally a routine matter.

## **11. Alternative supervision should be available.**

Policies and practices should cover situations in which a supervisory relationship cannot be continued, so that the student can continue in the program. These should cover situations beyond the control of the student (e.g. temporary or permanent absence of supervisor), situations that may arise from conflict of interest, and situations that result from personal relations between supervisor and student. Notwithstanding possible delays in time to completion, policies and practices should ensure that a student is not penalized if a change in supervisor is necessary.

## **12. Students have substantial responsibilities for managing their own graduate education**

Students share in the responsibility for the goals that they successfully complete their program, and that it be of high quality. They are responsible for knowing and conforming to the various policies and procedures that may concern academic and research conduct, intellectual property, human subjects, animal welfare, health and safety, as well as degree and program requirements and timelines. They may need to be proactive and take responsibility for ensuring good communication with supervisory committee members, in the meeting of timelines and other program requirements, and in seeking effective advice on academic and other matters. If problems arise in the supervisory relationship, it may be the student who needs to take action and seek advice and remedy from the department or the school. The university, graduate department and supervisor are responsible for providing an appropriate environment for high-quality

graduate education, but success is ultimately in the hands of the student. It is therefore essential that universities inform students of their responsibilities, and provide them with the information and support that they need to carry out their responsibilities

### **C. Conclusion**

As noted in these principles, successful supervision of graduate students depends on a healthy and productive relationship between the supervisor and graduate student, within a milieu that involves several other parties and conditions. At the core of successful supervisor-graduate student relationships are mutual respect and professionalism. When combined with clarity on the respective roles of students, supervisors, and others involved in the students education, and information on the policy and procedures relevant to a student's graduate program, these features will serve students, supervisors and the rest of the University community well. Our goal is to ensure the success of graduate students in their programs and in their future endeavours.

### **D. References**

<sup>1</sup>Canadian Association of Graduate Studies, 2007. 36th Statistical Report, 1992-2004. CAGS, Ottawa, Canada.

<sup>2</sup>Faculty of Graduate Studies, University of Western Ontario, 2007. Principles and Guidelines Regarding Graduate Student Supervision.  
<http://grad.uwo.ca/supervis/supervis.html>

### **E. Other Resources**

Butterwick, S. and Mullins K., 1996. Research on Graduate Student Supervision: The State of the Art. The Centre for Teaching and Academic Growth, University of British Columbia.

Canadian Association of Graduate Studies, 2005. Graduate Studies: A Practical Guide. CAGS, Ottawa, Canada

School of Graduate Studies - University of Toronto, 2002. Graduate Supervision Guidelines for Students, Faculty, and Administrators. University of Toronto, Toronto, Canada

Faculty of Graduate Studies – University of British Columbia, 2007. Handbook of Graduate Supervision. University of British Columbia, Vancouver, Canada

Faculty of Graduate Studies – Simon Fraser University, 2007. Report of the task force on graduate student supervision. Simon Fraser University. Burnaby, Canada.

Canadian Association of Graduate Studies, 2005. A Guide to Intellectual Property for Graduate Students and Postdoctoral Scholars. CAGS, Ottawa, Canada.

## 4.0 Where do I go for help when I have a question regarding my program?

The following is a list of first points of contact and resources available to graduate students:

For questions about your academic program (e.g. courses, thesis defence procedures):

- People: - program coordinator/director (contact information is in Section 2 of this Handbook)
- Documents: - the 2023-24 Graduate Academic Calendar available at: <https://smu-ca-public.courseleaf.com/>  
- program handbooks (if available for your program - check with your program coordinator/director)

For questions about fellowship and scholarship payments or fee assessments:

- People: - Heather Gray or Leah Ray, the Graduate Studies Officers (contact information is in Section 2 of this Handbook). You may be directed to administrators in your program, the Service Centre, or the Registrar's Office, but the Graduate Studies Officers should be your first contact in sorting out such issues.
- Documents: - the 2023-24 Graduate Academic Calendar available at: <https://smu-ca-public.courseleaf.com/>

For questions about your thesis research:

- People: - thesis supervisor  
- other members of your thesis supervisory committee (if applicable)  
- program coordinator/director

For questions on Intellectual Property matters, or if you are interested in commercializing your research, contact the Office of Innovation and Community Engagement (contact information is in Section 2 of this Handbook).

For general inquiries of the FGSR Office, contact the Program Assistant or the Administrative Assistant to the Dean (contact information is in Section 2 of this Handbook).

For questions on Information Technology (IT) Services (e.g. computer connectivity), visit <https://www.smu.ca/academics/enterprise-information-technology.html> and/or the Enterprise Information Technology Help Desk located on the second floor of the Loyola Building, Room L-268 and the first floor of the Atrium Building.

For questions on student services (i.e. services designed to support students' psychological, physical, cultural, spiritual, emotional and educational development), visit <https://www.smu.ca/saas/index.html> and various offices located in the O'Donnell-Hennessey Student Centre.

For international students requiring orientation with Saint Mary's, Halifax and Canada, the International Centre is the best place to start (<http://www.smu.ca/international/the-international-centre.html>; [international.centre@smu.ca](mailto:international.centre@smu.ca); 3rd floor, O'Donnell-Hennessey Student Centre, Room 300; Tel: (902) 420-5525).

For questions relating to parking on campus, visit <http://www.smu.ca/about/facilities-management.html>

Please note: Fellow graduate students and individual professors can often be good sources of information; however, be aware that sometimes information can be misinterpreted or miscommunicated, leading to confusion and frustration. Students are well advised to follow-up on information provided by these sources from documented sources, your program coordinator or relevant FGSR staff.

### University web pages

A large amount of information is available from the University's web pages. Searching the Saint Mary's website ([www.smu.ca](http://www.smu.ca)) or perusing the FGSR web pages (<https://www.smu.ca/fgsr/>), particularly under the Current Students menu (<http://www.smu.ca/academics/fgsr-current-students.html>) can be very useful.

Most graduate programs have web pages that may be helpful to current students. Here are the addresses of Program web pages as of September 2023.

### **Arts:**

Atlantic Canada Studies: <https://www.smu.ca/academics/departments/atlantic-canada-studies-graduate-programs.html>

Criminology: <https://www.smu.ca/criminology/index.html>

Geography: <https://www.smu.ca/geography/index.html>

History: <https://www.smu.ca/history/index.html>

Global Development Studies (MA and PhD): <https://www.smu.ca/gds/>

Philosophy: <https://www.smu.ca/philosophy/index.html>

Theology & Religious Studies: <https://www.smu.ca/religion/index.html>

Women & Gender Studies: <https://smu.ca/academics/departments/women-and-genders-studies.html>

### **Commerce:**

Executive Doctorate of Business Administration:  
<https://www.smu.ca/edba/index.html>

Executive Master of Business Administration:  
<https://www.smu.ca/academics/sobey/executive-master-of-business-administration.html>

Master of Applied Economics:  
<https://smu.ca/academics/sobey/masters-in-applied-economics.html>



Master of Business Administration:  
<https://www.smu.ca/academics/sobey/sobey-mba.html>

Master of Business Administration (CPA Stream)  
<http://www.smu.ca/academics/sobey/mba-cpa-stream.html>

Master of Business Analytics  
<https://www.smu.ca/mban/index.html>

Master of Finance: <https://smu.ca/academics/sobey/master-of-finance.html>

Master of Management - Co-operatives and Credit Unions:  
<https://www.smu.ca/iccm/>

Master of Technology Entrepreneurship and Innovation:  
<https://smu.ca/academics/sobey/master-technology-entrepreneurship-innovation.html>

Graduate Diploma in Co-operative Management:  
<https://www.smu.ca/iccm/>

PhD in Business Administration (Management):  
<https://smu.ca/academics/sobey/phd-in-business-administration.html>

### **Science:**

Applied Science (MSc and PhD):  
<https://www.smu.ca/faculty-of-science/science-departments-and-programs.html>

Astronomy (MSc and PhD): <https://www.smu.ca/astronomy-physics/index.html>

Computing and Data Analytics:  
<http://www.smu.ca/academics/msc-in-computing-and-data-analytics.html>

Psychology (MSc and PhD): <https://www.smu.ca/psychology/index.html>

### **Research Centres:**

Master of Applied Health Services Research: <https://www.smu.ca/academics/master-of-applied-health-services-research.html>

### **Education:**

International Master of Teaching English: <https://www.smu.ca/academics/international-master-of-teaching-english.html>

## 5.0 Progression through your graduate program

### 5.1 Getting started

So, you have arrived on campus. Now what? Please refer to the *General Campus Information* section at the end of this Handbook for information on getting around and getting settled.

*The first person you should seek out is your program coordinator/director and/or the program manager* (contact information is in section 2). They should be able to get you oriented and you can ask them if there is a graduate student handbook specific to your graduate program.

If you have not already done so before arriving on campus, you should activate your Saint Mary's University computer account online at: <https://activate.smu.ca>. You will need your Banner ID which was supplied with your letter of acceptance into your graduate program, and your Banner PIN (initially your birth date in ddmmy format - e.g. 1 December 1993 would be 011293). Once activated, you will be able to access both the "Banner Self-Service" (<http://selfservice.smu.ca>) that enables access to many useful services and personal records (including on-line registration and your timetable) and to SMUport (<http://smuport.smu.ca/>).

**PLEASE keep your personal and contact information on Banner Self-Service up-to-date. This information is extremely important in enabling FGSR and others in the University to contact you.**

### 5.2 Academic advising

The 2023-24 Graduate Academic Calendar specifies the requirements for your program and, in some cases, may indicate the recommended sequence of courses and research work to meet the requirements. For graduate programs that assign thesis supervisors early in the graduate program, the supervisor may also provide useful guidance, but the program coordinator should be considered the authoritative source of information for academic advisement.

### 5.3 Registration

Academic year registration begins in April and continues until the second week of classes each term. Check the [Registration Dates](#) page to find out when to register. Spring and summer session registration begins in February and continues until the first week of classes in each term. **Before registering, all graduate students must consult and receive approval for their courses from the program coordinator** and in some programs, from their thesis supervisor.

#### **Registration Instructions**

Go to [Self Service Banner](#) and follow these instructions to register for courses.

- Select **"Enter Self-Service Banner"**
- Enter your **smu.ca email address** and **password**. [Click here if you need help to access your account.](#)
- Select the "Student" tab at the top
- Select "Registration"
- Select the appropriate term from the drop-down menu and click "Submit"
- Select "Add or Drop Classes"
- Enter the CRN (5-digit number) for the courses, labs and recitations you want to register for in the "Add Classes Worksheet".
- Click "Submit Changes".

**After submitting your changes, two things may appear:**

- A list of successfully added courses (with an option to drop them). You are successfully registered for these courses.
- You may also see a list of courses that could not be added, with error messages explaining why. You are not registered for these courses.

If a course is at capacity, check if there is a Waitlist offered (WL in Banner). Visit the [Waitlist Registration](#) page for information on waitlisting and how to use this option.

Visit [Common Registration Q & A](#) page for more information and tips.

In addition to the courses identified in the Academic Calendar and by your program coordinator, ***students in program-fee based graduate programs must be registered in FGSR9000 for every semester in which they are in their graduate programs.*** This includes the maximum time-for-completion, as well as extension periods (i.e. for students who are granted extensions to their graduate programs).

**5.4 Fees: per-course-fee programs and program-fee programs**

Depending on your graduate program, you may have tuition fees assigned on either a per-course-fee basis or a program-fee basis.

Per-course fee programs:

- All students in the MBA, MBA (CPA Stream), MMCCU and GD CME programs.

Fees are based upon the number of courses enrolled within a semester (i.e. on a per-course basis). For details on per-course fees please visit: <http://www.smu.ca/academics/graduate-tuition-fees.html>

Program-fee programs:

- All MA and MSc students
- All students in the IMTE, EMBA, EDDBA, MAE, MBAN, MFIN, MTEI and MAHSR programs
- All PhD students

Students in program-fee based programs are charged a fee for their entire program. These fees may be charged once at the outset of the program, or in multiple installments during the program. For details on program fee, see the 2023-24 Fee Tables.

<http://www.smu.ca/academics/graduate-tuition-fees.html>

Regardless of whether you are in a per-course or a program-fee based program, fees are assigned to your “student account” accessible through Banner Self-Service.

**5.5 Full-time and part-time status**

For all students enrolled in the MBA, MBA (CPA Stream), MMCCU and GD CME programs (i.e. all per-course-fee programs), full-time or part-time status is identified by course load within the term (see Academic Regulation 8 in the 2023-24 Academic Calendar). In general, a student taking at least nine (9) credit hours within a term will be considered full-time for that term while students registered in less than nine (9) credit hours per term will be considered part-time for that term.

**For all graduate students other than those identified above** (i.e. program-fee-based students), full-time and part-time status is defined as below:

(i) **Full-Time:** a student who is enrolled in a program of study, who makes demands upon the resources of the institution by enrolling in courses, engaging in research, and/or writing a thesis/report under continuing supervision. These students will normally be geographically available to the university, will visit the campus regularly, and will not be engaged in full-time employment (on or off campus) while registered as full-time students (except while undertaking program defined requirements such as co-op work semesters, practica, and internships), and will be in pursuit of their studies as a full-time occupation.

(ii) **Full-Time Continuing:** Full-Time Continuing: a student who is enrolled in a full-time program of study who is beyond their minimum time-for-completion (see [Regulation 19](#)), who makes demands upon the resources of an institution by enrolling in courses, engaging in research, and/or writing a thesis/report under continuing supervision. These students will normally be geographically available to the university, will visit the campus regularly, will not be engaged in full-time employment (on or off campus) and will be in pursuit of their studies as a full-time occupation.

(iii) **Part-Time:** a student who is enrolled part-time in a program of study in an approved graduate degree, certificate, or diploma program. These students will normally be engaged in completing 50% or less of the program requirements per semester.

(iv) **Part-Time Continuing:** a student who is enrolled part-time in a program of study, who has exceeded the minimum time-for-completion of their program (see [Regulation 19](#)). Note: Part-time Continuing is the normal, default status for students beyond their minimum time-for-completion of their program registered as Thesis Continuation.

Regarding full-time and part-time status of graduate students in program-fee based programs, please note the following important points:

- Graduate students will be designated as FT or PT by their Graduate Program Coordinators.
- Following admission, changes in registration status from FT to PT or vice-versa will be allowed ONLY with the permission of the Program Coordinator and the Dean of the FGSR and only when the student's situation changes so as to satisfy the above definitions.
- Only during the minimum time-for-completion of the program will FT students be eligible for funding from the FGSR. PT students are not eligible for funding from the FGSR.
- The normal status for thesis-continuation students is part-time. Under exceptional circumstances, and for a limited period of time, a thesis-continuation student may be identified as full-time. In order for full-time status to apply, students will normally be geographically available to the university, visit the campus regularly, not be engaged in full-time employment (on or off campus) and be in pursuit of their studies as a full-time occupation. Students requesting full-time thesis continuation status are required to complete and sign an application form (see section 13 of this handbook) which must be endorsed by the supervisor, authorized by the program coordinator, and submitted to the Faculty of Graduate Studies and Research.

## **5.6 Receipt of stipends, scholarships or salary payments related to your graduate program:**

If you are a recipient of funding to help support your graduate program, congratulations! In this section we are referring to funds directly related to your graduate program, not “outside” sources of funding such as parents, partners, part-time employment, bank/student loans, etc.

Funding to help support your graduate program may come from various sources, including the following:

- (i) external scholarships/fellowships (e.g. Tri-Agency [NSERC, SSHRC, and CIHR] scholarships; provincial granting agencies such as Research NS, NS Graduate Scholarship; research foundations; individual government agencies and departments; non-governmental agencies, charitable organizations, foreign governments)
- (ii) internal “named” scholarships (e.g. the Bernard Kline Memorial Scholarship, John Despard deBlois Scholarship)
- (iii) FGSR Graduate Fellowships or Graduate Awards
- (iv) fellowships from thesis supervisors’ research grants
- (v) salary from thesis supervisors’ research grants
- (vi) salary from departmental teaching assistantships (TAs)
- (vii) salary from current employers specifically for pursuing your graduate program.

Categories (i) through (iv) are handled under Paragraph 56(1) (n) of the Canada Revenue Act (see <https://www.canada.ca/en/revenue-agency/services/tax/technical-information/income-tax/income-tax-folios-index/series-1-individuals/folio-2-students/income-tax-folio-s1-f2-c3-scholarships-research-grants-other-education-assistance.html>) and are considered “amounts paid or benefits given to persons to enable them to advance their education”. Students normally receive a T4A slip for income tax purposes associated with income from these categories.

Categories (v) through (vii) are employment salary or wages “for services rendered”. Students should receive a T4 slip for Income Tax purposes associated with income from these categories.

Further characterization of fellowship and scholarship funding categories and payment modes:

- (i) External Scholarships and Fellowships  
Payment of funds provided from external scholarships may be handled in two ways.
  - a) The funding agency/organization may deposit the money with Saint Mary’s and the University will oversee its disbursement to you. This is done through deposits to your student account (viewable in Banner Self Service).
  - b) The external granting agency may send the money directly to you, normally in the form of a cheque. If you receive such an award, please inform the FGSR. We would like to recognize your accomplishment and we also like to know about such funding of our students for statistical purposes.

- (ii) Internal “named” scholarships  
The origin of the funds for these scholarships may have been from internal or external sources to the University, but Saint Mary’s now holds and administers these funds. Awardees have the scholarship amounts deposited into their student accounts.
- (iii) FGSR Graduate Fellowships or Graduate Awards  
These funds are supplied internally from Saint Mary’s and are allocated through the FGSR to the graduate programs. These funds are then allotted to graduate students within the program by the program coordinator/program committee on a merit basis. Awardees have the fellowship/award amount deposited into their student accounts.
- (iv) Fellowships from thesis supervisors’ research grants  
These funds are provided by research grants held by the Thesis Supervisor. These funds are only available to students whose supervisors hold such grants and are willing and able to budget such scholarships within the grant.

Graduate students who have been awarded Saint Mary’s administered fellowships and scholarships, as detailed above, will normally receive their funds (less tuition and associated fees) in three installments at the beginning of each semester, provided they have registered early. Students who have registered by August 4, 2023 may collect their first installment (34% of scholarship less fees) on September 8, 2023. Students who have registered by December 1, 2023 may collect their second installment (33% of scholarship less fees) on January 5, 2024. Students who have registered by April 5, 2024 may collect their third installment (33% of scholarship less fees) on May 3, 2024. MBA students will normally receive their scholarships in two installments (50% of scholarship less fees) on September 8, 2023 and January 5, 2024, provided they have registered early.

Further characterization of salary funding categories and payment modes:

- (v) Salary from thesis supervisors’ research grants  
This may seem similar to category (iv) funding above, but an important difference is that the funding is paid as a salary for services rendered *which are not directly related to the student thesis research* (e.g. data analysis for a supervisor’s research project which is not a component of the student’s thesis research). The student is normally employed as a casual employee by the supervisor’s department and is paid through Saint Mary’s Payroll Services.
- (vi) Salary from departmental teaching assistantships (TAs)  
Some departments hire graduate students as teaching assistants, normally in undergraduate laboratories and classes. These are administered through individual departments and students are paid through Saint Mary’s Payroll Services.
- (vii) Salary from current employer for pursuit of a graduate program  
Some students attend graduate school under the permission/direction of a current employer, normally as a career development process. Employers may pay for the student to pursue their graduate program as a component of their job. Employers and employees/students negotiate the salary and terms. Saint Mary’s has no role in such funding situations; however, the FGSR would appreciate being informed of such employer support for statistical purposes.

## **5.7 Your program of study and research (extracted/modified from the 2023-24 Academic Calendar):**

Students entering with an honours degree (or equivalent) must complete a minimum number of credit hours of course work as defined by the program (see detailed descriptions of the individual [graduate programs](#) in the Graduate Studies Academic Calendar) and, where applicable, submit an acceptable thesis or masters research project (MRP). In some programs, a master's degree or graduate diploma may consist of course-work only and no thesis or MRP. The course requirements for such non-thesis programs are described in the detailed description of the program. Courses in all programs must be at the 5000 level or above, but where advisable, courses at the 4000 level may be included in a program, provided that the requirements applying to graduate students in such courses are of a graduate standard. It is the particular responsibility of students to ensure that they meet all their program requirements within the regulated time-for-completion of their graduate programs (see Graduate Academic Regulation 19).

Where required, a student shall submit a thesis on a subject approved by the Graduate Program Coordinator (GPC) in which research has been conducted under the direction of a supervisor appointed by the appropriate GPC. A public oral defense in the presence of an Examining Committee appointed by the GPC and the Dean of the FGSR is mandatory. Details on the defence process for each program are available through the FGSR and/or Program Coordinators.

Changes in either the program of courses or the topic of the thesis require the approval of the Supervisory Committee and the Graduate Program Coordinator.

## **5.8 Supervision of your thesis research:**

All students in programs with a thesis requirement will be assigned a thesis supervisor. The timing of the assignment of a thesis supervisor varies from program to program. In some programs (e.g. MSc in Applied Science), the supervisor is assigned as the student is accepted into the program. In others, some period of time may pass (normally one or two semesters) before a supervisor is appointed. If you start your program without a thesis supervisor, see your program coordinator/director soon after commencing study in your program to clarify how and when your supervisor will be assigned.

In some programs, aside from a thesis supervisor, a supervisory committee of one or several other supervisors may also be constituted. These secondary supervisors are also a resource to you in pursuing your thesis research activity. A meeting with your supervisory committee can be called at any time, but normally a meeting is held at least once a year.

Check with your program coordinator/director and/or the program's graduate handbook (if applicable) if the program has a form to officially identify your thesis supervisor(s). If not, the *Graduate Student's Thesis and Supervisors Identification* available at <http://www.smu.ca/academics/fgsr-current-forms.html> can be used for this purpose.

The relationship between student and thesis supervisor varies between programs and individuals. In some programs and disciplines, the thesis supervisor's role is as a "sounding board" or guide who the student can call upon when they need advice or direction. In other programs and disciplines, the interaction between student and thesis supervisor is more frequent, with the student and supervisor interacting on a daily basis (especially in laboratory settings).

Regardless of the variances in student-supervisor alliances, the following guidelines make for a good working relationship between student and supervisor:

- mutual respect
- open communication
- a good understanding of one another's roles and responsibilities in the pursuit of the research

Aside from these guidelines, students and their supervisors are required to abide by all policies and procedures of the University, including, but not limited to, all academic regulations detailed in the Academic Calendar, the Safety Policy, the Freedom of Information/Protection of Privacy Policy, the Policy on the Prevention and Resolution of Harassment and Discrimination, the Research Integrity Policy, and the Tri-Council Policy of Research Involving Human Subjects (see section 8.0.). All of these regulations and policies are available on the Saint Mary's web site or by contacting the FGSR. Also see section 3.1 of this handbook on Guiding Principles for Graduate Student Supervision.

### **5.9 Evaluation of Thesis/Program Progress (extracted from Regulation 28 of the 2023-24 Academic Calendar):**

A student may be required to provide updates to the supervisor/supervisory committee on the progress of their thesis research. If required, a student will be given a minimum of thirty days notice to provide an update to the supervisor/supervisory committee. The update will be in the form of a meeting at which the student will present a written report on their research activities/progress, and address questions and comments from the supervisor/supervisory committee on the report and research progress.

The supervisor will prepare a report on the student's progress using the form available from the program or the FGSR (the latter is available at <http://www.smu.ca/academics/fgsr-current-forms.html>). The report must be witnessed by the student's signature and the student is free to make comments regarding the report. The report, which will include an evaluation at one of the three assessment levels indicated below, will be sent to the Program Coordinator for signature and forwarded to the Dean of the FGSR. These evaluations become part of the student's record within the FGSR, but are not recorded on the student's transcript.

The progress in a student's program can be assessed at three levels:

- Satisfactory
- Unsatisfactory - In need of improvement
- Not Acceptable

The actions coming forth from the assignment of the above assessments are:

- Satisfactory  
The students' progress in their research relevant to the period of time working pursuing the research is at least sufficient in terms of quality and quantity. In the assessment, leeway must be given for problems that may arise in pursuit of the research which are beyond the reasonable control of the student. With a Satisfactory rating, the student is recommended for continuation of his/her Program.
- Unsatisfactory - In need of improvement  
Progress is not satisfactory. The students' progress in their research relative to the period of time working pursuing the research is insufficient in terms of quality and/or quantity. With an "Unsatisfactory" rating, the Supervisor's report on the progress of the student must include a timeline (minimum of 4 months; maximum of 12 months) with



outcomes for the student to achieve within the specified period. After the specified period in the timeline, another update will be provided by the student per the procedures identified above. If the expected outcomes have been achieved successfully, a student will be assigned a “Satisfactory” rating. If the expected outcomes are not achieved in a satisfactory manner, the Supervisor’s new report on the student’s progress will include an assessment of “Not Acceptable.”

- **Not Acceptable**

If the expected outcomes are not achieved and the Supervisor/Supervisory Committee concludes that the student will not succeed in completing the Program, the Supervisor/Supervisory Committee will note the rating of “Not Acceptable” in the Supervisor’s report and forward this report to the Program Coordinator. The Program Coordinator will review the case and make an independent recommendation to the Dean of Graduate Studies and Research. Upon the recommendation of the Dean of Graduate Studies and Research, the student will be dismissed from their Program. Students who have received an evaluation of “Not Acceptable” and have received notice of dismissal have up to thirty (30) days to make an appeal in writing to the Senate Committee on Academic Appeals. (**Note:** The Supervisor/Supervisory Committee cannot change a student’s assessment directly from a “Satisfactory” rating to “Not Acceptable”. If a student’s progress has been determined to be less than fully satisfactory, the student must be rated “Unsatisfactory - In Need of Improvement” and actions as defined above taken before a rating of “Not Acceptable” could be considered.)

## **5.10 The thesis defence**

The following regulations, policies and procedures are drawn from the 2023-24 Graduate Academic Calendar and the FGSR Master Thesis and PhD Dissertation Defence Policy and Procedures Document.

For all graduate programs with a thesis requirement, the thesis defence is the culmination of all of the “blood, sweat and tears” that go into researching and preparing the thesis.

Early in preparing the thesis, students should refer to the Library’s guidelines on thesis formatting (<http://www.smu.ca/academics/archives/thesis-forms-procedures.html>).

The thesis defence process is administered at the program coordinator/director level, but with varying levels of aid and oversight by the FGSR for different graduate programs. For example, the FGSR is highly engaged in the defence procedures of all doctoral programs. For details of the procedures within your individual program, see your program coordinator/director.

Remember that progression through a graduate program is ultimately the student’s responsibility. Do not assume that the procedures listed below happen “automatically”. Check with your supervisor, program coordinator, and the FGSR, as applicable, to make sure that things are proceeding as they should.

The following is an attempt to explain the thesis defence process *in general*:

### **Before the defence:**

- The thesis is approved for defence. Once the thesis is complete (or nearly complete), the student is given approval by the supervisor/supervisory committee and/or the program coordinator/director that the thesis can go forward to a defence.

PLEASE NOTE: If your graduate program does not have a form to approve the thesis for defence, students are encouraged to use the FGSR's *Thesis Defence External Examiner Nomination Form* available at <http://www.smu.ca/academics/fgsr-current-forms.html>. Coincident with approval for the defence, the examination committee should be identified by the supervisor/supervisory committee and/or the program coordinator/director. The composition of examination committees varies between programs.

- The minimum requirements for the composition of the Examining Committees for Master Theses are:
  - the Thesis Supervisor
  - an examiner who may have been previously involved in the supervision of the student's thesis research
  - an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a Master's degree or equivalent. Examples of equivalent status may be a Doctor of Medicine (M.D.), a lawyer (L.L.B.), or professional Engineer (P.Eng.) with expertise and research experience in the thesis subject.
  - a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)
- The minimum requirements for the composition of the Examining Committees for PhD Theses/Dissertations are:
  - the Thesis Supervisor
  - two examiners who may have been previously involved in the supervision of the student's thesis research
  - an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a PhD, be an expert in the thesis topic, be external to Saint Mary's University, and not be in a conflict of interest with either the PhD candidate or their supervisor.
  - a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates).
- A thesis defence date is tentatively set and the thesis is distributed to the examiners for review. This should normally occur four to six weeks before the proposed thesis defence date. Examination of a thesis is a time-consuming process and examiners, especially the external, must be given adequate time to review the thesis and prepare a report.
- The defence is organized and the event is advertised.
- Prior to the thesis defence, the external examiner's report is received. PLEASE NOTE: If the external examiner has serious concerns that could bring into question whether the thesis is ready for defence, discussions between the external examiner, the thesis supervisor, the program coordinator/director, and the Dean of the FGSR may result in the defence being postponed or cancelled.
- The title/signature page of the thesis is prepared by the student according to the Library's guidelines, and circulated amongst the committee after the defence.

## **During the defence:**

The procedures for both a Masters and a PhD defence can be found on the FGSR website at:

<https://www.smu.ca/fgsr/fgsr-current-policies-and-procedures.html>

## **After the defence:**

- The student revises the thesis according to the instructions of the examiners and under the supervision of the supervisor.
- Once all revisions are complete and approved by the relevant examiners, those who withheld their signatures at the defence sign the title/signature page.
- An electronic copy of the thesis is submitted to the FGSR according to the Library's Procedures, available at: <https://www.smu.ca/academics/archives/thesis-forms-procedures.html>.
- A "Change of Grade Form" for the thesis course must be submitted to the FGSR office by the thesis supervisor or the program coordinator/director.

In April 2013, the FGSR Council passed the "Policy and Procedures on Master Thesis and PhD Dissertation Defences." The document is available at <http://www.smu.ca/academics/fgsr-current-policies-and-procedures.html>. The document summarizes/references those Academic Regulations and FGSR Policies/Procedures, as well as addresses additional issues concerning Master Thesis and PhD Dissertation requirements, processes and procedures, including the requirements for attendance (in person and by distance) at defences.

## **Thesis Submission / Convocation Deadlines**

Please see below for details on the submission of your thesis and for deadlines you need to be aware of.

For final submission of your thesis, FGSR must receive an electronic version in PDF format, the signed title page, and any required forms: (<http://www.smu.ca/academics/archives/thesis-forms-procedures.html>)

**Prior to submitting your thesis, Shane in the FGSR office would be happy to review a PDF version of the it to ensure that it meets the formatting guidelines.**  
**[shane.costantino@smu.ca](mailto:shane.costantino@smu.ca)**

## **Winter Convocation (January)**

- The deadline for final submission is the last day the university is open prior to the Christmas break. This date varies year to year and can be found on the HR website (<http://www.smu.ca/about/holiday-schedule.html#d.en.45153>)
- The student should defend at least two weeks prior to the submission deadline to ensure they have adequate time to complete their revisions.
- The External Examiner should receive the thesis one month prior to the defence date\*.
  - The External Examiner Nomination Form is available at: <http://www.smu.ca/academics/fgsr-current-forms.html>\*\*.

### **Spring Convocation (May)**

- The deadline for final submission is **May 1**.
- The student should defend no later than mid-April to ensure they have adequate time to complete their revisions.
- The External Examiner should receive the thesis one month prior to the defence date\*.
  - The External Examiner Nomination Form is available at:  
<http://www.smu.ca/academics/fgsr-current-forms.html>\*\*.

### **Fall Convocation (September)**

- The deadline for final submission is **September 1**.
- The student should defend no later than mid-August to ensure they have adequate time to complete their revisions.
- The External Examiner should receive the thesis one month prior to the defence date\*.
  - The External Examiner Nomination Form is available at:  
<http://www.smu.ca/academics/fgsr-current-forms.html> \*\*.

\*Receipt of the thesis by this date is absolutely necessary to give the External Examiner adequate time to review and comment on the thesis

\*\* The External Examiner must already have been contacted by the Program Coordinator or Supervisor and have agreed to examine the thesis in the given time frame. If the External Examiner is to attend the defence in person, it is the responsibility of the Program Coordinator/Supervisor to make arrangements for the Examiner's visit.

### **5.11 Graduating:**

To graduate, students must successfully meet all the requirements of their graduate program as defined by the Academic Calendar.

Fall Convocation normally held in September/October, January Convocation is normally held in late January and the Spring Convocation normally in late May. A student must submit an Application for Graduation the semester before they intend to graduate (available from the Registrar's Office and at <https://www.smu.ca/academics/student-forms.html>). For deadlines for applications for graduation and convocation, see section 16.0 of this Handbook).

*For programs with a thesis requirement:* Sometimes students underestimate the amount of time required between submitting a thesis for defence and having it examined, defended, revised, and finalized. Students need to be realistic in considering the time needed to complete all requirements; otherwise, meeting the deadlines for graduation can be very stressful.

### **5.12. Time-for-completion, interruptions, and extensions to programs (extracted/modified from the 2023-24 Academic Calendar):**

How long do I have to complete my program?

a. The normal academic year of the FGSR is composed of three 4-month semesters running from September 1 to August 31. Full-time students will normally complete their studies through a series of consecutive 4-month semesters. (e.g., three semesters will constitute 12 months of continuous full-time study; six semesters will constitute 24 months of continuous full-time study).

b. The FGSR has established normal minimum (often referred to as residency period) and maximum completion times for each program (see following table). Normally, Full-Time (FT) students will complete their program within the defined time periods. For Part-Time (PT) students, the minimum period will be double that defined for FT students.

c. If a student (FT or PT) does not complete the program within the minimum period, they must be registered as a FT Continuing or PT Continuing student until they complete the program, provided they do not exceed the maximum time for completion of a program

d. If a student (FT or PT) does not complete their program within the maximum period, they are not entitled to continue their program, unless they have applied for and been granted an Extension to their graduate program (see Graduate Academic Regulation 20).

### Time for-Completion of Graduate Programs

<b>Graduate Program</b>	<b>Minimum Number of Years (Semesters) - Full-time</b>	<b>Minimum Number of Years (Semesters) - Part-time</b>	<b>Maximum Number of Years (Semesters) - Full-time</b>	<b>Maximum Number of Years (Semesters) - Part-time</b>
International Master of Teaching English	1.3 (4)	NA	2.7 (8)	NA
MA Atlantic Canada Studies	2 (6)	4 (12)	5 (15)	7 (21)
MA Criminology	2 (6)	4 (12)	5 (15)	7 (21)
MA Geography	2 (6)	4 (12)	5 (15)	7 (21)
MA History	1 (3)	2 (6)	4 (12)	5 (15)
MA Global Development Studies (Category I)	2 (6)	4 (12)	5 (15)	7 (21)
MA Global Development Studies (Category II)	1 (3)	2 (6)	4 (12)	5 (15)
MA Global Development Studies (16 months)	1.3 (4)	2.7 (8)	5 (15)	7 (21)
MA Philosophy	1 (3)	2 (6)	4 (12)	5 (15)
MA Theology and Religious Studies	1 (3)	2 (6)	4 (12)	5 (15)
MA Women and Gender Studies	2 (6)	4 (12)	5 (15)	7 (21)
PBCAE	0.7 (2)	2 (6)	2 (6)	4 (12)
MAEC	1 (3)	2 (6)	4 (12)	5 (15)
MFIN	1 (3)	NA	2 (6)	NA
EMBA (16 Months) <sup>1</sup>	1.3 (4)	NA	1.3 (4)	NA
MBA	2 (6)	4 (12)	5 (15)	7 (21)
MBA - (CPA Stream) <sup>1</sup>	1(3)	NA	4(12)	NA
MMCCU	NA	3 (9)	NA	5 (15)
Graduate Diploma in Co-operative Management	NA	1.7 (5)	NA	2.7 (8)

<b>Graduate Program</b>	<b>Minimum Number of Years (Semesters) - Full-time</b>	<b>Minimum Number of Years (Semesters) - Part-time</b>	<b>Maximum Number of Years (Semesters) - Full-time</b>	<b>Maximum Number of Years (Semesters) - Part-time</b>
M of Technology Entrepreneurship and Innovation	1.3 (4)	NA	2.7 (8)	NA
MSc Astronomy	2 (6)	4 (12)	5 (15)	7 (21)
MSc Applied Psychology	2 (6)	4 (12)	5 (15)	7 (21)
MSc Applied Science	2 (6)	4 (12)	5 (15)	7 (21)
MSc Computing and Data Analytics	1.3 (4)	2.7 (8)	2.7 (8)	5.3 (16)
Master of Applied Health Services Research	2 (6)	4 (12)	5 (15)	7 (21)
PhD Applied Science	3 (9)	NA	7 (21)	NA
PhD Astronomy	4 (12)	8 (24)	7 (21)	10 (30)
PhD Business Administration - Management	3 (9)	NA	6.3 (19)	NA
PhD Industrial & Organizational Psychology	3 (9)	6 (18)	7 (21)	10 (30)
PhD International Development Studies	3 (9)	6 (18)	7 (21)	10 (30)

Time-for-completion for Full-time and Part-time refers to students' status when admitted into programs and applies throughout their programs, regardless if their status changes during the programs.

- 1 Full-time "lock-step" program with defined courses in a prescribed sequence.
  - 2 Part-time "lock-step" program with defined courses in a prescribed sequence.
- NA = Not Applicable

Interruptions to programs (leave of absence):

In exceptional circumstances, a leave of absence from a graduate program for a period of up to a maximum of one year may be granted. Leaves of Absences can be granted only twice for Master programs and only three times for PhD programs. Requests for a leave of absence (forms available at <https://www.smu.ca/academics/fgsr-current-forms.html>) must be supported by documentation explaining exceptional personal circumstances which would prevent continuation in the program during the period of time for which the leave applies. The decision of the Dean of the Faculty of Graduate Studies and Research is final. If a leave of absence is granted, the student is considered to be inactive in the program during the period of exemption but must pay the appropriate fees. Time spent away from one's graduate program while on a

leave of absence, does not contribute to the time-for-completion. Students are expected to apply prior to or during the term for which the leave will take place. Students returning from an approved leave of absence must re-activate their status by submitting an Application for Reactivation into Graduate Program (forms available at <https://www.smu.ca/academics/fgsr-current-forms.html>). Reactivation of a student's program must be approved by the Program Coordinator and the Dean of the FGSR.

#### Extensions to graduate programs:

Circumstances may sometimes justify an extension to a student's graduate program beyond the normal maximum time-for-completion identified above. An extension to a graduate program may be considered under any of the following conditions:

- (i) illness, family strife, or unforeseen family responsibilities\*
- (ii) pursuit of an employment opportunity which makes a positive contribution to the student's graduate program\*
- (iii) unforeseen difficulties in pursuit of the thesis research beyond the control of the student.

\*Note: In cases (i) and (ii) above, it is highly preferable that students apply for leave of absences from their programs at the time of the incident/situation.

A student applying for an extension should submit a written request on the appropriate FGSR form (available at <https://www.smu.ca/academics/fgsr-current-forms.html>) to their program coordinator. The request should include a letter of support from the student's supervisor or supervisory committee, together with a letter describing in detail the reason for the requested extension and, where applicable, supporting documentation certifying the facts surrounding the request. After the program coordinator has reviewed and approved the application, it is forwarded to the Faculty of Graduate Studies and Research. The decision of the Dean of Graduate Studies and Research is final and the student will be notified of the decision.

Extension to a program will be for a maximum of one year in length per request. Extensions can be granted only twice for Master programs and only three times for PhD programs. Students at or beyond their normal maximum program period who are denied extensions, will not be able to continue their graduate program. Students who do not complete their program within the maximum number of allowable extensions will not be able to continue their graduate program. Extensions will not be granted retroactively to a student who has failed to register for one or more previous semesters and is beyond their maximum program period.

## **6.0 Academic and research integrity**

In graduate school, academic and research integrity must be adhered to the highest standards. As students at the highest levels of academic training and as future leaders in your fields, the importance of learning, adopting and living the tenets of academic and research integrity within graduate school cannot be understated. Wherever you may find yourself in the future, be it in academe, private sector organizations, government departments and agencies, or the not-for-profit sector, all are guided and regulated by codes of ethics, policies, regulations and laws to inform, regulate and enforce integrity in the workplace. Therefore, learning and following the regulations and policies relating to academic and research integrity while at Saint Mary's will not only serve you well here, but also position you well for ethical behavior in your future endeavours.

At Saint Mary's, graduate students are responsible for informing themselves and adhering to policies on two broad areas of integrity: academic and research.

## **6.1 Academic integrity**

Regarding academic integrity, students should familiarize themselves with the Academic Integrity and Student Responsibility section of the 2023-24 Graduate Academic Calendar (<https://smu-ca-public.courseleaf.com/>).

The following is extracted from that section of the Calendar:

An academic community flourishes when its members are committed to these fundamental values:

1. **Respect:** An academic community of integrity is a community where individual growth of all members is advanced through the cultivation of mutual respect in an atmosphere of academic freedom.

We strive to create an environment where everyone recognizes their responsibility to respect the rights of other members of the university community, and nurtures a climate of respect, fairness, and civility toward others while embracing everyone's dignity, freedom, and diversity.

2. **Communication:** In an academic community of integrity, it is acknowledged that a shared point of view is not always possible, and that civil debate and discourse is necessary for intellectual growth even in the face of disagreement.

Through respectful and vigorous discussion and debate, individual freedoms may flourish without threatening the privileges or freedoms of others.

As new and emerging technologies change communication, all members of the academic community commit to continually be mindful of the safety, privacy, and confidentiality of others as well as that of their own.

3. **Responsibility & Accountability:** Personal behavior and actions have consequences. All members of the academic community commit to the responsible enjoyment and exercise of their rights, with respect for the rights of others.

All members of the academic community will be trustworthy and answerable for their conduct, decisions, and obligations, and will comply with all applicable laws, regulations, policies and procedures.

4. **Stewardship:** Members of an academic community of integrity value their community's property, infrastructure, and resources as assets that allow them to accomplish their work. All members of the academic community will use university resources ethically and in a wise and prudent manner to achieve our educational mission and strategic objectives.
5. **Excellence & Leadership:** Members of an academic community of integrity know that through scholarly inquiry, academic freedom improves through working and learning together.
6. **Honesty & Integrity:** Members of an academic community of integrity act and communicate truthfully and candidly as they uphold the university's values, and they make decisions based on the pursuit of truth and the honest search for knowledge.



All members of the academic community conduct themselves with integrity in learning, teaching and research.

Our conduct as community members should protect and promote the University's pursuit of the advancement of research and scholarship.

7. **Safety:** Members of the academic community will not endanger others, intentionally or recklessly. When situations arise where someone is in danger we will strive to act to alert the person, or the proper authorities, to the danger.

*To adhere to academic integrity within the University, students must familiarize themselves with the Academic Regulations that have been put in place by the Senate of Saint Mary's University. These can be found in Section 2 of the 2023-24 Graduate Academic Calendar. **These Regulations cover everything from registration to submitting theses.** The following is extracted from the introduction of the Academic Regulations section of the Calendar:*

*"Academic regulations exist to assist the students in academic matters; to delineate the terms of students' contract with the University; and to maintain the integrity of the University's academic programs. While regulations enable the system to operate smoothly and effectively, they also facilitate growth, development, and responsibility in students. Saint Mary's makes every effort to ensure that advice on academic matters is available to its students, but in the final analysis it is the students' responsibility to seek such advice."*

***"Students, members of faculty, and administrative officers concerned with academic matters are all expected to be familiar with the rules, regulations, and procedures of the University as published in this Academic Calendar. The University reserves the right to approve academic programs and timetables, and to control access to courses and individual classes. It is the particular responsibility of students to ensure that the courses which they take are appropriate for their academic program, involve no timetable conflicts, and collectively satisfy all the requirements of that program."***

While Section 2 of the 2023-24 Graduate Academic Calendar cites all of the University's regulations on academic integrity and the procedures for investigating and acting upon breaches of academic integrity by the University, your professors, thesis supervisors, and the Office of the FSGR are also excellent sources for information and interpretation of these regulations.

While the vast majority of students complete their studies and thesis research without issue, students must be aware that breaches of academic integrity carry penalties up to and including expulsion from the University. However, more important than the threat of penalties to dissuade students from acts of academic dishonesty, all students should strive to conduct themselves in the most honest and responsible manner because in so doing, they are learning ways and means of conducting themselves that will serve them well in their future professional endeavours.

## **6.2 Research integrity**

While the fundamental values referenced above in terms of academic integrity apply to research integrity as well (i.e., personal honesty, mutual trust, fairness, respect and personal accountability), research integrity comes with an additional suite of responsibilities that come from funding and governmental agencies.

All researchers (including graduate students) at Saint Mary's University should be familiar with the two very important policies passed by the University's Senate: (1) Saint Mary's University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct; and (2) Saint Mary's University Policy on Conflict of Interest in Research.

The following is extracted from the Policy on Integrity in Research and Scholarship:

*“The common good of society depends upon the search for knowledge, its free exposition, and the recognition of contributions to, and ownership of intellectual property. Academic freedom in universities is essential to both these purposes in the teaching function of the university as well as in its scholarship and research. At the same time, academic freedom presupposes the duty to use that freedom in a manner consistent with the scholarly obligation to base research and teaching on an honest search for knowledge. An honest search for knowledge rules out fraud and other research misconduct. Saint Mary's University is committed to promoting and nurturing a culture of integrity in research, and to ensuring that procedures are in place to assist scholars and students in meeting their professional obligations to integrity and to ethical conduct in research.*

*Saint Mary's University is committed to excellence in scholarly activities and as such is committed to assuring that the highest standards of scholarly integrity are to be understood and practiced. As a scholarly community, the University, and all the individuals that comprise it, have a responsibility to maintain the highest standards of scholarship which include such components as:*

- 1. rigorous attention to citing the contributions of others (including students); this may involve joint authorship on publications;*
- 2. using unpublished or published work of others only with permission and with due acknowledgement;*
- 3. respecting the privileged access to information or ideas obtained from confidential manuscripts or applications;*
- 4. respecting the privileged access to information or ideas obtained from duly executed non-disclosure and confidentiality agreements between the University and outside parties;*
- 5. careful planning of research protocols, ensuring that methods of data collection and storage, and methods of analysis are appropriate;*
- 6. using scholarly and scientific rigour and integrity in obtaining, recording and analyzing data, and in reporting and publishing results;*
- 7. proper use of all research resources (funds, equipment and materials);*
- 8. revealing to sponsors, universities, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products or be permitted to undertake work sponsored from outside sources;*
- 9. following the regulations of the University and the requirements of granting agencies;*
- 10. appropriately and fairly recognizing the contribution of others from within or beyond the University Community to the creation of intellectual property*
- 11. following the ethical principles relevant to one's own discipline;*
- 12. following Senate-approved policies and procedures of the University's Research Ethics Board and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans;*

13. following the policies and procedures defined by the University's Animal Care Committee and consistent with the Canadian Council on Animal Care's Guide to the Care and Use of Experimental Animals;

14. following all other the principles and responsibilities defined in the Tri-Council Policy Statement: Integrity in Research and Scholarship..”

The following is extracted from the Policy on Conflict of Interest in Research:

*“The Conflict of Interest in Research Policy (hereafter, referred to as The Policy) is aimed at ensuring and maintaining the public's confidence in Research carried out by The University, in University Members who conduct or support the Research, and in External Sponsors that fund the Research. In this regard, those University Members, External Sponsors and The University share a responsibility to ensure that the integrity of Research is not compromised by real, perceived or potential Conflicts of Interest.*

*A University Member shall not participate in a decision, process or activity involving Research at The University that involves Conflict of Interest unless such decision or process has been approved in advance by the Person in Authority [as defined in the Policy] responsible for such decision or process and, if such approval has been given, any terms or conditions made by the Person in Authority regarding such decision or process are fulfilled.”*

Aside from these internal policies, all researchers are required to follow regulations and policies of relevant funding and governmental agencies. For example, all researchers at Saint Mary's are required to follow the Government of Canada's Tri-Council Funding Agencies' (i.e., NSERC, SSHRC and CIHR) Responsible Conduct of Research Framework (<https://rcr.ethics.gc.ca/eng/framework-cadre-2021.html>). The Tri-Council's Framework indicates that breaches of Agencies' policies include, but are not limited to:

- a. Fabrication: Making up data, source material, methodologies or findings, including graphs and images.
- b. Falsification: Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without appropriate acknowledgement, such that the research record is not accurately represented.
- c. Destruction of research data or records: The destruction of one's own or another's research data or records or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards. This also includes the destruction of data or records to avoid the detection of wrongdoing.
- d. Plagiarism: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate referencing and, if required, without permission.
- e. Redundant publication or self-plagiarism: The re-publication of one's own previously published work or part thereof, including data, in any language, without adequate acknowledgment of the source, or justification.
- f. Invalid authorship: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have made a substantial contribution to, and who accept responsibility for, the contents, of a publication or document.

- g. Inadequate acknowledgement: Failure to appropriately recognize contributors.
- h. Mismanagement of Conflict of Interest: Failure to appropriately identify and address any real, potential or perceived conflict of interest, in accordance with the Institution's policy on conflict of interest in research, preventing one or more of the objectives of the RCR Framework (Article 1.3) from being met.

### **6.2.1. Research integrity for research involving human participants**

Saint Mary's University values scientific research and believes that research involving humans as participants should balance the need for scientific inquiry with the need to protect the welfare of participants. Committed to the advancement of knowledge and the training of students, Saint Mary's University promotes good research and recognizes that ethical research is an integral part of scientific inquiry. Saint Mary's University endorses the principles of the Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans 2 (2022 and subsequent revisions and amendments; hereafter referred to as the TCPS 2). This important document can be found here: [https://ethique.gc.ca/eng/policy-politique\\_tcps2-eptc2\\_2022.html](https://ethique.gc.ca/eng/policy-politique_tcps2-eptc2_2022.html)

The Saint Mary's University Research Ethics Board (REB) applies the principles of the TCPS 2 and outlines provisions designed to promote ethical research. If your research involves human participants, please check with the REB office to see whether ethics clearance from the REB office is required before you start.

Contact:

Orshy Torok | Research Ethics Officer

Saint Mary's University  
923 Robie Street, Atrium 202  
Halifax, NS B3H 3C3  
Phone: 902 420 5728  
Fax: 902 496 8772  
Email: [ethics@smu.ca](mailto:ethics@smu.ca)  
Web: <http://www.smu.ca/academic/reb/>

### **6.2.2. Research integrity for research involving animals**

For faculty and students using animals in their research, the ethical use and care of animals is an integral part of research integrity at Saint Mary's University. If thesis research involves the use of live animals, including in the field, graduate students must receive approval from the Animal Care Committee. The Saint Mary's Animal Care Committee ([animalcare@smu.ca](mailto:animalcare@smu.ca)) follows the standards (i.e., guidelines and policies) of the Canadian Council on Animal Care (CCAC; <https://ccac.ca/>). Section 9 of this handbook gives more details on the certification process.

## **7.0 Scholarships and Fellowships**

Most internal scholarships and fellowships do not require an application. However, check the "Opportunities & Deadlines" window of the FGSR website (<https://www.smu.ca/fgsr/>) and be alert for messages from your program coordinator for further scholarship and fellowship opportunities.

The FGSR website also provides links to external sites with scholarship opportunities and useful scholarship search engines/databases (<http://www.smu.ca/academics/fgsr-current-scholarships-and-awards.html>).

If you have entered your graduate program with a scholarship from an external major granting agency (e.g. NSERC, SSHRC, CIHR, Research Nova Scotia), congratulations! If not, you still may be eligible to apply for a competition if within a defined period of commencing your graduate program.

For information on the Tri-Agency CGS Master Awards see: [http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/CGSM-BESCM\\_eng.asp](http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/CGSM-BESCM_eng.asp). For further information on Tri-Agency CGS master awards please contact Heather Gray ([heather.gray@smu.ca](mailto:heather.gray@smu.ca)) in the FGSR Office.

For information on the Tri-Agency CGS *Doctoral Awards*, see: [http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/CGSD-BESCD\\_eng.asp](http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/CGSD-BESCD_eng.asp). Contact Heather Gray ([heather.gray@smu.ca](mailto:heather.gray@smu.ca)) in the FGSR Office for details on these scholarships.

For information on “Scotia Scholars Awards” from Research NS see [Scotia Scholars Award – Research Nova Scotia \(researchns.ca\)](http://www.researchns.ca). The competition for these awards is in the spring. Internally, please contact Heather Gray ([heather.gray@smu.ca](mailto:heather.gray@smu.ca)) for further details.

For information on the Nova Scotia Graduate Scholarships (NSGS) at the Master & Doctoral levels see: <http://www.smu.ca/academics/fgsr-graduate-students.html>. For further details on these scholarships please contact Heather Gray ([heather.gray@smu.ca](mailto:heather.gray@smu.ca)).

## **8.0 Research Ethics Board (REB) and the Office of Research Ethics**

### **8.1 REB Review and Clearance Requirement and Exemption**

The REB provides a service to the Saint Mary’s University community by working with researchers (faculty, staff, and students) to identify and resolve ethical issues in their research with the goal of protecting the interests of participants, maximizing the expected benefits of the research, and minimizing potential harms to participants.

The REB reviews the ethical aspects of research and clears, rejects, or recommends changes to submitted research projects that involve human participants and that fall under the jurisdiction of Saint Mary’s University and the purview of the TCPS 2. In rare instances, the REB may also suspend or revoke research ethics clearance to research projects that are later determined to jeopardize the welfare of human participants.

Applications (involving funded or unfunded research) submitted to the REB may include faculty research, staff research, graduate research projects (e.g., master’s theses, doctoral theses, major research projects, dissertations, or any other research activities involving humans), undergraduate research projects involving humans (e.g., honours theses, directed research). Pilot studies (i.e., a smaller version of a main study) may also require REB review.

Because some pedagogical activities resemble research activities from the perspective of a human participant, course-based research activities that involve students collecting data from human participants may require REB review.

Collaborative research projects involving research partners or participants from other institutions or First Nation, Inuit, and Métis communities may require external local review in addition to SMU REB review.

**When embarking on a new research endeavor involving humans, you are encouraged to discuss the matter with the Research Ethics Officer or Research Ethics Board Chair to determine whether your proposed activities constitutes research as per the TCPS 2.**

Research applications must be submitted to the REB by faculty (i.e., full-time, part-time, and adjunct), librarians, staff, and post-doctoral fellows, unless the aforementioned are also students. All student applications must be submitted directly by the faculty supervisor.

Note that research projects that involve the use of secondary data may also require ethics review.

## 8.2 Research Ethics Education

There are numerous ways of learning about research ethics and the requirements for submitting an application and managing the ethical aspects of research involving humans:

- Reading the TCPS 2 ([https://ethique.gc.ca/eng/policy-politique\\_tcps2-eptc2\\_2022.html](https://ethique.gc.ca/eng/policy-politique_tcps2-eptc2_2022.html))
- Completing the online [Course on Research Ethics \(CORE-2022\)](#) and obtaining a Certificate of Completion
- Requesting education sessions at [ethics@smu.ca](mailto:ethics@smu.ca)

Forms, policies, procedures, and additional resources are available on the REB website: <https://smu.ca/research/research-ethics-board.html>

## 9.0 Animal care and research involving the use of animals

If faculty or thesis research is to involve the use of live vertebrate or higher invertebrate (e.g. cephalopods) animals, graduate students must receive certification from the Animal Care Committee that the experimental procedures proposed have been approved and that the care and treatment of animals is in accordance with the principles outlined by the Canadian Council on Animal Care (CCAC). An “Animal Use Protocol” form must be completed by the graduate student’s supervisor and is available from the Animal Care Committee Coordinator, Caila Henderson ([animalcare@smu.ca](mailto:animalcare@smu.ca)) or from the [SMU Animal Care Committee website](#). Review and approval is outlined [here](#). Researchers are encouraged to seek approval early. [Scientific Peer Review](#) should occur prior to submission of the Animal Use Protocol forms and is the responsibility of the graduate student’s supervisor to provide proof of peer review. If scientific peer review has not occurred, the protocol may be submitted to the Animal Care Coordinator who will assist in coordinating the scientific peer-review process. The SMU Animal Care Committee meets to review submitted protocols, renewals, and amendments. The submission and review meeting schedule can be found on the website. Further information can be obtained from Animal Care Committee Acting Chairperson Dr. Susan Bjornson ([susan.bjornson@smu.ca](mailto:susan.bjornson@smu.ca)).

The CCAC requires that “all personnel involved with the ethical use of animals in science must be competent and adequately trained in the principles of ethical use and care of animals.” (Source: CCAC website: <https://ccac.ca/en/training/>)

To comply with these requirements, Saint Mary’s University Animal Care Committee will not approve animal use protocols unless the graduate student has completed the required

training. The required training modules are available from the CCAC's website (<https://ccac.ca/en/training/modules/>). The core stream training modules must be completed, as well as any other modules applicable to the proposed protocols. More information on training requirements is available on the [SMU Animal Care Committee website](#). Evidence of successful completion of the applicable modules should be submitted with the subsequent Saint Mary's Animal Care Protocol Forms. For a complete list of required forms and documents, please contact the Animal Care Committee Coordinator, Caila Henderson ([animalcare@smu.ca](mailto:animalcare@smu.ca)).

## **10.0 Health and Safety**

Health and safety are important to everyone. As members of a large institution involved in research activities with roles of responsibility for others (e.g. as teaching assistants), health and safety have heightened importance.

### **10.1 Saint Mary's Occupational Health and Safety Policy**

Saint Mary's Safety Policy is available at the University's Occupational Health and Safety (OH&S) website: <https://smu.ca/about/occupational-health-and-safety.html>. There is also a very useful OH&S brochure, containing the Safety Policy and other useful information available at <http://www.smu.ca/about/ohs-resources.html>. An OH&S Committee (<http://www.smu.ca/about/joint-occupational-ohs-committee.htm>) composed of members from across the University acts as an advisory group on OH&S issues and the University's OH&S Policy.

The University's Occupational Health and Safety Program Manager is Valerie Wadman ([valerie.wadman@smu.ca](mailto:valerie.wadman@smu.ca); 420-5658)

Because of the nature of risks to which graduate students can be exposed pursuing research in scientific laboratory and field settings, the Faculty of Science has developed a series of documents, guidelines and policies on research activities for their faculty, staff and students. Please contact Valerie Wadman ([valerie.wadman@smu.ca](mailto:valerie.wadman@smu.ca); 420-5658) for further information.

### **10.2 Responsibilities of Graduate Students in regard to OH&S**

Extracted from the University's OH&S Policy:

"All faculty, staff and students are responsible for safe thinking and safe working practices and procedures so as to safeguard their own individual health and wellbeing as well as that of all colleagues and members of the Saint Mary's community."

The above statement means that we are all responsible for our own safety, as well as the safety of others in the workplace. In the course of our activities we are responsible for bringing safety issues to the attention of our superiors and the right to be properly trained in the use of any hazardous materials or equipment. Please see Section 10.3 below.

For more details on the rights and responsibilities of graduate students on OH&S issues, see the University's Safety Policy. Please see Section 10.1. The policy is also available at: <https://smu.ca/about/occupational-health-and-safety.html>.

### **10.2.1 Special responsibilities of graduate students in regard to OH&S when in positions of responsibility for others**

When graduate students are placed in positions of responsibility for others, such as assisting in laboratory classes, special responsibilities fall upon them in terms of OH&S. Saint Mary's University complies with the Occupational Health and Safety Act and accompanying Regulations of the Province of Nova Scotia. Of particular importance is Bill C-45, an act of the Canadian Parliament that amended the Canadian Criminal Code in regard to responsibilities and consequences of persons in positions of responsibility of others on OH&S issues (see [Westray Bill \(Bill C-45\) - Overview : OSH Answers \(ccohs.ca\)](#)).

Section 217.1 of Bill C-45 imposes a legal duty to those who direct others in their work to take reasonable steps in preventing bodily harm to persons they direct. Since Section 217.1 imposes a legal duty of persons directing work to protect everyone in the workplace, those persons are open to charges of criminal negligence. This means that if someone comes to harm due to negligence of persons in positions of supervision/responsibility (e.g. a graduate student in the role of a TA of a lab of undergraduates; a professor supervising the thesis research of a graduate student), that person may not only be liable for damages under a civil case, but also under criminal law.

In simple terms, anyone in a position of responsibility for others in the workplace must act reasonably to ensure that those for whom they are providing supervision are properly informed of hazards and risks, and trained in how to address the hazards so that risks are manageable and appropriately monitored in their activities.

### **10.3 Graduate Student Research Activities in Hazardous Settings**

Most thesis research is in benign settings; however, some research may expose graduate students to hazardous substances and/or situations. What often comes to mind when people think of hazardous research settings, is the scientific laboratory where hazardous substances may be used. However, research can also take place in hazardous settings, such as in some foreign countries, wilderness settings, or even in times or places in Halifax where safety may be an issue.

As section 10.2 details, University personnel in positions of supervision/responsibility of graduate students are legally responsible for their safety in regard to their approved research activities. That being said, the first step in being able to assess if research involves hazards is a notification from the researcher. *With this in mind, all graduate students involved in thesis research must bring any hazards/risks associated with their proposed or pursued research to the attention of their thesis supervisor(s).*

From the identification of a hazard associated with proposed or pursued thesis research an assessment of the risks associated with the hazard must be completed. The development of a risk management strategy and ongoing monitoring/updating of the risk by the graduate student is required if the research is pursued.

The process involves four steps. The student:

- 1) identifies the hazard;
- 2) assesses the risks associated with the hazard;
- 3) implements a strategy to manage the risk;
- 4) monitors the risks and updates the risk management strategy as necessary.

To aid students and supervisors in this process, please find the *Graduate Research Hazards Assessment* form on the FGSR website (<http://www.smu.ca/academics/fgsr-current-forms.html>).



This form can be submitted to the supervisor and/or supervisory committee when the thesis research is presented or discussed.

**IMPORTANT:** While graduate students are individuals of the age of majority with the right of self-determination, without appropriate assessment and oversight of the graduate student's ability to manage the risks associated with doing research in hazardous settings, the supervisor and the University may be in a position of legal negligence should harm come to the student. With this in mind, **supervisors reserve the right to refuse approval of thesis research proposals when the risks to a graduate student are assessed to be greater than can be reasonably managed. Similarly, the University reserves the right to override the approval of thesis research and/or to recall a graduate student from the field when the risks (anticipated or newly arising) to the graduate student are assessed to be greater than can be reasonably managed.**

#### **10.4 On-Campus Security**

Being largely a public access facility with long hours of operation, security at the University can be challenging and needs to be on everyone's mind. *Do not leave lap-tops, wallets, purses, etc. unattended for even short periods of time.* It is amazing how bold and fast criminals can be when an opportunity presents itself.

University Security Services (420-5577) is located on the lower level of the McNally Building (McNally Main 016).

The Emergency contact number is 420-5000. *This is an emergency phone only. Do not call this number if you do not have an emergency.* For general inquiries call 420-5577.

Study and thesis research often result in graduate students being on campus at irregular hours. The University Security Department provides additional services to students, faculty, and staff working after hours on campus. *Graduate students working after hours should notify the University Security Department at 420-5577.* Security staff are then aware of their presence and will frequent the work area during patrols. This service is available to provide those individuals working outside of regular business hours an additional measure of comfort.

University Security, in conjunction with the Saint Mary's University Student Association, provide a *safe drive home program known as 'Husky Patrol'*. There are two vans that operate Sunday to Friday between the times of 6:30 pm to 12:00 midnight. The service has certain conditions and limits to its geographic range. For details, see <https://smusa.ca/services/> or phone 902-496-8713.

Saint Mary's University Security also offers the safe walk program to all members of the University community and visitors. A University Security Officer will provide an escort on the University property. The request can be made by contacting University Security at 902-420-5577. This is a 24 hour, 7 day a week service offered by University Security.

## 11.0 Graduate students and intellectual property

In the course of their research, graduate students may create intellectual property (IP) either on their own or in concert with others (e.g. supervisors, other students). Graduate students have certain rights to the protection of this IP, both for recognition of their role in its creation and in cases where there may be opportunities for the IP to be commercialized.

### Intellectual Property

Currently, Saint Mary's University does not have a defined policy related directly to graduate student IP, nonetheless, there are a few conditions to consider:

- Students have IP rights and rights to protection under the Canadian copyright and patent legislation, provided they satisfy the requirements of the law.
- Students should discuss with their thesis supervisor very early on, any expectations and the relevant policies concerning authorship on publications, and issues surrounding ownership of IP. Factors to consider include: patent applications, third party licensing, third party funding, confidentiality agreements or other contracts between the University, the supervisor and the student covering these issues.
- Article 15.4 of the Collective Agreement between Saint Mary's University and Saint Mary's University Faculty Union (2018-21) (available at: [www.smu.ca/webfiles/SMUFUCASeptember12022toAugust312025-DraftNewAgreement-April2420232.pdf](http://www.smu.ca/webfiles/SMUFUCASeptember12022toAugust312025-DraftNewAgreement-April2420232.pdf)) addresses any contractual agreements between the University and Faculty Members in regard to IP.
- In circumstances where there is a potential and interest for thesis research to be commercialized, a thesis supervisor may ask a student to assign their intellectual property rights or to sign a non-disclosure agreement. Such agreements should be reviewed and approved by our Office of Innovation and Community Engagement (OICE) *prior to a student signing the agreement*. However, it is inappropriate for a thesis supervisor to require a student to do so as a condition of pursuing thesis research once the thesis work has been established. If graduate students have concerns in this area, please contact the Dean of the FGSR.
- It is inappropriate for graduate students to make contractual relationships with parties inside or outside of the University in regard to their thesis research. If students have questions in this area, they should contact the University's Office of Innovation and Community Engagement.

### Authorship

In many situations authorship of publications arising from thesis research includes the graduate student, the thesis supervisor, as well as, other contributors. There is no universally accepted order of authors on research publications. The order of authors varies between discipline, journals and personal preference. *It is important for graduate students to discuss with their supervisor the issue of authorship to avoid confusion and possible conflict in this regard.* If a disagreement arises, it would be useful to contact the program coordinator/director and/or the Dean of the FGSR to help facilitate a resolution.

## Resources

- What exactly is IP? What are the types of IP? What are my rights as a graduate student relative to IP? For the answer to these and other important issues in regard to IP graduate students are encouraged to refer to an excellent publication of the Canadian Association of Graduate Students, entitled “A Guide to Intellectual Property for Graduate Students and Postdoctoral Scholars” available at:  
[http://www.cags.ca/documents/publications/working/Guide\\_Intellectual\\_Property.pdf](http://www.cags.ca/documents/publications/working/Guide_Intellectual_Property.pdf)
- The University and funding agencies that support the research are also implicated when IP is realized. For more information on these relationships and possible funding opportunities, graduate students should contact the University’s Office of Innovation and Community Engagement at: (902) 420-5270 or via e-mail: [oice@smu.ca](mailto:oice@smu.ca).

## 12.0 Conference travel awards

Saint Mary’s University has established a fund, administered by the FGSR, to assist graduate students with travel and accommodation expenses associated with presenting a paper or poster at a conference. There are two competitions per year (April and October) and the maximum funding support available under this program is \$500. Application forms are available from <https://smu.ca/academics/fgsr-current-forms.html>.

To be eligible to apply for one of these awards graduate students must meet the following criteria/conditions:

- Applicants must be attending the conference for the purpose of presenting a paper or poster
- Applicants must be registered as full-time students (in good standing) in a graduate program at Saint Mary’s University
- Applicants from Masters programs may only receive funding from this competition once (1) during the course of their studies. Applicants from PhD programs may receive funding from this competition twice (2) during the course of their studies.

## 13.0 Commonly requested forms

The following are forms created and used by the FGSR. Electronic versions of these and other forms are available at: <https://www.smu.ca/fgsr/fgsr-current-forms.html>.

- Application for Conference Travel Funds
- Application for International Graduate Student Bursary
- Application for Full-time Thesis Continuation Status
- Application for Leave of Absence from Graduate Program
- Application for Reactivation into Graduate Program
- External Examiner Nomination Form
- Graduate Program Extension Request
- Graduate Research Hazards Assessment Notification
- International Travel Funds for Graduate Student Thesis Research
- Progress Reports on Student’s Graduate Program
- Thesis and Supervisor Identification Form

Individual graduate programs may also provide their students with forms associated with their programs. Please check with your program coordinator/director and/or your graduate program handbook (if applicable) for such forms.

There are also many forms available from the Service Centre (e.g. Application for Graduation; Letter of Permission) available at: <https://www.smu.ca/academics/student-forms.html>.

For graduate students who are traveling on university business whose travel costs are being supported by university funds (e.g. supervisor's research grants, FGSR Conference Travel Award), Travel Advance and Expense Report forms are available from the Financial Services website at: <https://smuhalifax.sharepoint.com/sites/fspa>.

## **14.0 Other important policies and procedures applying to graduate students and programs**

For a complete handling of Academic Regulations that apply to graduate programs, please refer to the Graduate Academic Calendar (see: <https://smu-ca-public.courseleaf.com/>) and your individual Program requirements within the Calendar. For a complete list of FGSR Policies & Procedures, see: <https://www.smu.ca/fgsr/fgsr-current-policies-and-procedures.html>.

### **14.1 FGSR Policy on Criteria and Selection of Supervisors of Graduate Students at Saint Mary's University**

The development of future researchers and societal leaders within graduate schools depends on responsible and effective supervision of graduate students. In addition to having relevant expertise, supervising research and writing, and guiding students through their graduate programs, supervisors should also strive to be mentors to their graduate students (see FGSR's Guiding Principles for Graduate Student Supervision). Specifically, a potential supervisor must demonstrate both scholarly experience and prior supervisory skills that are demonstrably relevant to the content and goals of the graduate program(s) in which they are contributing.

#### **Policy Statement:**

A department or program's Graduate Program Committee shall have the responsibility and authority to determine who may supervise graduate students within its graduate program. In addition to any particular departmental or program requirements, the Faculty of Graduate Studies and Research requires that a supervisor be a full-time Faculty member or Professor Emeritus of Saint Mary's University, or appointed to the University as an Adjunct Professor for the period of supervision of the graduate student (see Graduate Academic Regulation 16.e).

In evaluating a potential supervisor, Graduate Program Committees will normally adhere to the following guidelines. A supervisor shall:

- 1) hold an earned PhD in a relevant discipline;
- 2) have a demonstrable record of scholarly work, both past and present, as defined by the Collective Agreement between Saint Mary's University and Saint Mary's University Faculty Union, relevant to the Graduate Program ;
- 3) be able to provide evidence of having supervised (or co-supervised) thesis research at the appropriate level (e.g., at least at the Honour's level for supervision of a Master's student; at least at the Master's level for supervision of a PhD student); and
- 4) have been a member of a graduate student supervisory committee.

### Dispute Resolution:

In the event of a disagreement between a Graduate Program Committee and a full-time faculty member concerning the Committee's evaluation of the faculty member's potential supervision of a student within the specific Graduate Program, the matter shall be forwarded to the Dean of the Faculty of Graduate Studies and Research. The Dean of Graduate Studies shall consult with the graduate program in question, the faculty member, the relevant Deans of Arts, Science or the Sobey School of Business, and any other relevant persons, in order to come to a decision. The decision of the Dean of Graduate Studies and Research, after due consideration to all parties and their respective contributions to the matter, shall be final, and shall in all cases be guided by the best interests of the students.

### **14.2 Conflict of Interest in Research**

Effective date: January 1, 2009

**Name: Conflict of Interest in Research**

**Policy Number:** 8-1004

**Origin:** FGSR Research Committee

**Approved:** January 16, 2009

**Issuing Authority:** Senate

**Responsibility:** Vice President, Academic and Research

**Revision Date(s):** NA

**Effective Date:** January 1, 2009

Purpose:

The Conflict of Interest in Research Policy (hereafter, referred to as The Policy) is aimed at ensuring and maintaining the public's confidence in Research carried out by The University, in University Members who conduct or support the Research, and in External Sponsors that fund the Research. In this regard, those University Members, External Sponsors and The University share a responsibility to ensure that the integrity of Research is not compromised by real, perceived or potential Conflicts of Interest.

Other Relevant Policies:

- Saint Mary's University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct (Senate; VP, Academic and Research)
- Senate Policy on Ethical Conduct for Research Involving Humans (Senate, VP, Academic and Research)
- Policy 4-1009: Procurement – Conflict of Interest (VP, Finance)
- Research Agreements Policy (VP, Finance; VP, Academic and Research)
- Policy SMU0001: Nepotism Policy (VP, Administration)

Definitions:

**Closely Associated Persons:** Persons related by blood, adoption, marriage, or common law marriage to University Members, persons with whom University Members have intimate personal relationships, or persons who are former, current or prospective business or research associates of the University Member.

**Conflict of Interest:** Conflict of Interest arises when

- any activity, undertaking or situation of a University Member or Closely Associated Person, places a University Member in a real, perceived or potential conflict between the University Member's professional obligations, duties or responsibilities to The University

and the University Member's or Closely Associated Person's personal, financial or other interests.

- the University Member or Closely Associated Person obtains a financial interest or position of influence in a Business connected to the University Member or Closely Associated Person with which The University has an existing relationship.

**Conflict of Interest in Research:** Conflict of Interest as it relates, directly or indirectly, to any Research activities, projects or programs of, or affiliated with, The University. (Also see examples of Conflicts of Interest in Research in Appendix 1).

**Disclosure:** Provision of full particulars of the matter giving rise to and the nature of the Conflict of Interest.

**Business:** Any corporation, partnership, sole proprietorship, firm, franchise, association, organization, holding company, joint stock company, business or real estate trust or society, or any other separate legal entity organized, whether for profit, non-for-profit or charitable purposes.

**External Sponsors:** Bodies and individuals external to The University, including but not limited to, the Federal Granting Agencies (NSERC, SSHRC and CIHR), other federal and provincial government funding agencies (e.g. ACOA, CRC, CFI, NSHRF), federal, provincial and municipal government departments, federal and provincial crown corporations, non-governmental organizations, research foundations, philanthropic organizations, private-sector companies, industry associations and private citizens which provides funding for Research carried out by University Members.

**Financial Interest:** An interest in a Business consisting of (a) any stock, stock option or similar ownership interest, but excluding any interest arising solely by reason of investment in such business by a mutual fund, pension fund, or other institutional investment fund over which the university member does not exercise control; or (b) receipt of, or the right or expectation to receive, any income, participation in or benefit from such Business or elsewhere whether in the form of a fee (e.g. consulting), business, salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology, rent, capital gain, real or personal property, or any other form of compensation, or any combination of the foregoing;

**Personal Interests:** The personal, private, or Financial Interest of a University Member or Closely Associated Person. These can include interests which are not directly monetary in nature.

**Person(s) in Authority:** The person overseeing and/or responsible for a decision, process or activity related to or involving Research at The University. A Person in Authority can be, but is not limited to, a Committee Chair, a Department Chair, a Dean, a Vice-President or the President.

**Research:** All studies, investigations, and scholarly activity of a basic, applied or commercialization nature whether funded from within The University, by External Sponsors or self-funded, and the direct or in-direct support of the same, that are conducted by University Members under the auspices of The University.

**The University:** Saint Mary's University as an institution and all its constituent University Members, including entities partially owned or controlled by The University.

The Policy: Saint Mary's University Conflict of Interest in Research Policy.

University Member(s): Faculty, undergraduate students taking part in Research, graduate students, postdoctoral fellows and other personnel involved directly or indirectly in Research, including, but not limited to, research assistants and associates, technical staff, adjunct professors, visiting professors, and university administrators and officials representing The University.

Scope of The Policy:

The Policy applies to all Research funded by The University, External Sponsors, and Research that a University Member is funding personally.

The Policy applies to all University Members.

The Policy governs all Research activities that can reasonably be conducted "under the auspices" of The University. Such Research includes:

- (a) Research conducted within The University facilities by or under the direction of University Members;
- (b) Research conducted or directed by University Members under the direction or sponsorship of The University at facilities external to The University;

The Policy Statement:

**A University Member shall not participate in a decision, process or activity involving Research at The University that involves Conflict of Interest unless such decision or process has been approved in advance by the Person in Authority responsible for such decision or process and, if such approval has been given, any terms or conditions made by the Person in Authority regarding such decision or process are fulfilled.**

Contextualizing the Policy Statement:

1. In the university environment, it is inevitable that Conflict of Interest in Research will sometimes arise. **It is the ethical responsibility of everyone who acts on behalf of The University to ensure that decisions and actions which affect The University and those it serves are taken in the best interests of The University and are not influenced by Personal Interests, or the interests of a Closely Associated Person.**
2. A central tenet of the proper handling of Conflict of Interest is Disclosure. **Any University Member who is aware, or has reasonable grounds to believe, that (s)he is in a Conflict of Interest in Research must self-disclose the nature of the Conflict of Interest to the Person in Authority.** Disclosure in and of itself does not necessarily preclude the University Member participation in the process or activity related to the Research (see Procedures below).
3. All University Members are required to maintain the integrity of the Research enterprise at The University. That being said, **any University Member who is aware, or has reasonable grounds to believe, that an undisclosed Conflict of Interest exists is required to report it to the Person in Authority.** If the Person in Authority has well-founded reason to believe that a University Member intentionally withheld Disclosure of a Conflict of Interest in Research, the Person in Authority should refer to the "Senate University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct" for possible action.
4. Being in a Conflict of Interest does not necessarily mean that a University Member will not be able to have some role in the relevant decision, process or activity. However, that role will come with clearly defined terms and conditions identified by the Person in Authority. **University Members found to be in Conflict of Interest must immediately respond to the direction of**

**the Person in Authority to address the Conflict of Interest.** Normally, the University Member will not participate in The University decision or process that involves a Conflict of Interest, but shall instead declare the Conflict of Interest and then remove her/himself from the decision or process in question. A University Member will not participate in any activity that involves a Conflict of Interest unless such activity has been approved in advance by the Person in Authority and, if such approval has been given, any terms or conditions made by the Person in Authority regarding such activity are fulfilled (see Procedures below).

5. It is highly likely that a Research decision, process or activity may relate to a number of policies that contain conflict of interest provisions (e.g. other policies of The University, policies and procedures related to the funding from the External Sponsor). **In cases where a decision, process or activity associated with Research at The University may involve other policies of The University which address Conflict of Interest, or the conflict of interest policies of External Sponsors, the Person in Authority will make a determination on which policy sets a higher standard in its handling of Conflict of Interest and that standard will apply to the decision, process or activity.**

Procedures:

1) On Making Disclosures:

a) As soon as a University Member becomes aware of a Conflict of Interest in Research, (s)he must make a Disclosure to the Person in Authority. Normally, a disclosure of a Conflict of Interest in Research shall be made in writing. Minor conflicts, such as those that may arise in a committee meeting, may be disclosed verbally to the Person in Authority (i.e. the chair).

b) Upon receiving an oral Disclosure from the University Member, the Person in Authority may request that the University Member make the Disclosure in writing.

c) If a Person in Authority becomes aware of a Conflict of Interest in Research or potential Conflict of Interest, (s)he will request a Disclosure in writing from the University Member.

2) On Responding to Disclosures:

a) The Person in Authority to whom the Disclosure has been made shall decide whether a Conflict of Interest exists, whether it will be permitted to continue and, if so, under what, if any, conditions.

b) The Person in Authority shall base this decision on a determination of the course of action that is in the best interests of The University and its capacity to fulfill its mission. In making this determination, the Person in Authority may take into account the following factors:

i) any possible harm to the interests of students, research participants, clients of university services, or others served by The University, should the Conflict of Interest be permitted to continue;

ii) any possible harm to The University or its employees, officers or others acting on its behalf if the Conflict of Interest were allowed to continue;

iii) whether reasonable alternate arrangements which do not involve a Conflict of Interest can be made;



iv) the consequences to The University and its reputation and future activities of not permitting the Conflict of Interest to continue;

v) the consequences to The University and its reputation and future activities of permitting the Conflict of Interest to continue;

vi) the educational, research, economic and other interests of The University;

c) A Person in Authority may require additional information from The University member and may consult with others before making a decision relating to a Conflict of Interest.

d) A Person in Authority may impose terms and conditions before permitting a Conflict of Interest to continue (see Guidelines below). Such terms and conditions will often include disclosure of information concerning the existence of the Conflict of Interest and/or the Person in Authority's decision, to individuals potentially affected by the Conflict of Interest. A Person in Authority shall not permit a Conflict of Interest situation to continue where there is reason to anticipate that to do so would not be in the best interests of The University.

e) Where applicable, the decision of the Person in Authority shall be communicated in writing to the University Member.

f) Notwithstanding any decision by a Person in Authority regarding a Conflict of Interest, the Person in Authority may review any decisions at any time and may vary such decisions.

#### Compliance:

The intent of The Policy is to assist The University in the management of Conflict of Interest in Research. It is expected that all University Members will comply fully with The Policy, including all requirements for Disclosure. Failure to do so shall constitute a breach of The Policy and grounds for disciplinary action in accordance with the applicable collective agreement, employment contract, or other applicable disciplinary process of The University, including those contained in the "Senate Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct."

#### Effect on Collective Agreements:

Nothing in The Policy shall be construed as limiting any right of grievance or arbitration permitted under an applicable collective agreement, or the right of The University to discipline a University Member for failure to comply with this policy.

#### Guidelines:

The following guidelines are in the form of answers to questions and are for the purpose of aiding University Members and Persons in Authority in assessing if Conflicts of Interests in research exist and options for handling Conflicts of Interest, including terms and conditions for enabling University Members to be involved in decisions or process where Conflict of Interest in Research exist. The situations presented below are only examples and the list is not exhaustive.

1) In reviewing and adjudication processes (e.g. grant applications, scholarly article reviews) and in the selection of external examiners for theses, who would be in a Conflict of Interest with University Member as a Closely Associated Person?

The person:

- is from the same University department/program;
- has been a research supervisor or graduate student of the University Member within the past six years;
- is providing letters of support;
- has collaborated with the University Member within the past six years or has plans to collaborate in the immediate future;
- is an employee of a non-academic organization with which the University Member has had collaboration within the past six years.

2) In adjudication work in committees, and for what are considered minor Conflicts of Interests (e.g. a committee member is from the same Faculty or Department but has no personal relationship or research collaboration with the University Member), what are some conditions which might enable a committee member to continue in the committee's work?

The Person in Authority could require the committee member in the Conflict of Interest to:

- disclose the Conflict of Interest to the committee;
- leave the room when the application is being adjudicated;
- take part in the discussion around the application, but leave the room when the application is voted upon;
- or, take part in the discussion around the application, but not take part in the vote on the application.

3) In adjudication work in committees, if a committee member is also an applicant, (s)he is clearly in a Conflict of Interest. Under what conditions might a committee member continue in the committee's work?

The Person in Authority could require the committee member in the Conflict of Interest to:

- disclose the Conflict of Interest to the committee and leave the room when her/his application is being adjudicated and voted upon.

4) If a potential graduate student falls into the category of Closely Associated Person, but the relationship to a University Member is not particularly close (e.g. a blood relative, but not closely related; a former business associate, but one which the University Member has had no relationship or dealings in the past six years), under what conditions might the University Member be involved in the thesis supervision of the student?

The Person in Authority could allow the University Member in the Conflict of Interest to:

- serve on the supervisory committee, but not be the primary supervisor;
- or, serve as a co-supervisor of the student

References/sources (passages of this policy were adapted from the following):

1. Policy on Conflict of Interest and Conflict of Commitment. 2004. University of Regina. <http://www.uregina.ca/presoff/vpadmin/policymanual/hr/20140.shtml>

2. Policy on Conflict of Interests. 2002. Dalhousie University. [http://senate.dal.ca/Files/policies/Conflict\\_of\\_Interest.pdf](http://senate.dal.ca/Files/policies/Conflict_of_Interest.pdf)

3. Conflict of Interest/Conflict of Commitment – An Issues Paper. 2004. The Federal Granting Agencies (NSERC, SSHRC & CIHR). [http://www.nserc.gc.ca/institution/coi/toc\\_e.htm#intro](http://www.nserc.gc.ca/institution/coi/toc_e.htm#intro)

4. Notification of Intent to Apply for a Discovery Grant. 2008. NSERC.  
<http://www.nserc.gc.ca/forms/instructions/180/e.asp>

5. Schedule 14: Conflicts of Interest of the 2008 Memorandum of Understanding Between Saint Mary's University and The Federal Granting Agencies, namely the Natural Sciences and Engineering Research Council (NSERC), the Social Sciences and Humanities Research Council (SSHRC) and the Canadian Institutes of Health Research (CIHR).  
[http://www.nserc.gc.ca/institution/mou\\_sch14\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch14_e.htm)

## **APPENDIX 1**

### **Examples of Conflicts on Interest in Research**

Conflicts on Interest in Research situations take many forms. Examples include, but are not limited to, cases in which a University Member:

- conducts a review, assessment or evaluation of a project or colleague, the outcome of which may affect the University Member's Personal Interests;
- conducts or participates in a research project which may affect his or her Financial Interests or those of a related Business;
- is party to a decision on the part of The University to enter into any sort of research contract that may affect a Closely Associated Person's Financial Interests;
- supervises a research associate, post-doctoral fellow, graduate or undergraduate student employed by a business in which the University Member has a Financial Interest;
- supervises a graduate or an undergraduate student who is a Closely Associated Person of the University Member;
- uses The University resources in more than an incidental manner for private Business purposes;
- uses information acquired in the course of University activities, which is not in the public domain, to advance their Personal or Financial Interests or those of a related Business.

### **14.3 Saint Mary's University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct**

#### **Application**

The policy and the procedures contained in this document apply to all members of the University community engaged in any form of research activity.

#### **Definitions**

1. "the University" – refers to Saint Mary's University

2. “granting agencies” refers to any agency or organization that provides grants and/or contracts for the funding of research, including, but not limited to, the three major federal funding agencies, NSERC (the Natural Sciences and Engineering Research Council of Canada), SSHRC (the Social Sciences and Humanities Research Council of Canada), and CIHR (Canadian Institutes of Health Research).
3. “University Community” – all full-time and part-time faculty and staff, all full-time and part-time students (both undergraduate and graduate), all post-doctoral fellows and research associates, all non-salaried visiting researchers/professors (including students from other institutions; hereafter called visiting researchers/professors in this document), and all people hired on term positions and/or casual employment positions at Saint Mary's University.
4. “Dean of Research” – refers to the Dean of the Faculty of Graduate Studies and Research of Saint Mary's University or the person designated by the Vice President, Academic and Research to carry out the responsibilities of the Dean of the Faculty of Graduate Studies and Research.
5. “Vice President” – refers to the Vice President Academic and Research of Saint Mary's University.
6. “named individual(s)” – refers to the individual or individuals who are accused of scholarly misconduct (i.e. the person or persons charged) as described by this document and are named in an allegation.
7. “all parties” – refers in the case of a formal investigation to all persons making an allegation and all persons charged with an allegation of scholarly misconduct as defined under this policy.
8. “the committee” – refers to the investigative committee established to conduct a formal investigation.
9. “Tri-Council Agency(ies)” refer to one or more of the Government of Canada’s federal granting agencies, namely the Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council, (NSERC), and the Social Science and Humanities Research Council (SSHRC).

## **PART 1**

### **POLICY STATEMENT**

#### **I. Preamble**

The common good of society depends upon the search for knowledge, its free exposition, and the recognition of contributions to, and ownership of intellectual property. Academic freedom in universities is essential to both these purposes in the teaching function of the university as well as in its scholarship and research. At the same time, academic freedom presupposes the duty to use that freedom in a manner consistent with the scholarly obligation to base research and teaching on an honest search for knowledge. An honest search for knowledge rules out fraud and other research misconduct. Saint Mary's University is committed to promoting and nurturing a culture of integrity in research, and to ensuring that procedures are in place to assist scholars and students in meeting their professional obligations to integrity and to ethical conduct in research.

## II. Integrity in Scholarly Research

Saint Mary's University is committed to excellence in scholarly activities and as such is committed to assuring that the highest standards of scholarly integrity are to be understood and practiced. As a scholarly community, the University, and all the individuals that comprise it, have a responsibility to maintain the highest standards of scholarship which include such components as:

1. rigorous attention to citing the contributions of others (including students); this may involve joint authorship on publications;
2. using unpublished or published work of others only with permission and with due acknowledgement;
3. respecting the privileged access to information or ideas obtained from confidential manuscripts or applications;
4. respecting the privileged access to information or ideas obtained from duly executed non-disclosure and confidentiality agreements between the University and outside parties;
5. careful planning of research protocols, ensuring that methods of data collection and storage, and methods of analysis are appropriate;
6. using scholarly and scientific rigour and integrity in obtaining, recording and analyzing data, and in reporting and publishing results;
7. proper use of all research resources (funds, equipment and materials);
8. revealing to sponsors, universities, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products or be permitted to undertake work sponsored from outside sources;
9. following the regulations of the University and the requirements of granting agencies;
10. appropriately and fairly recognizing the contribution of others from within or beyond the University Community to the creation of intellectual property
11. following the ethical principles relevant to one's own discipline;
12. following Senate-approved policies and procedures of the University's Research Ethics Board and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans;
13. following the policies and procedures defined by the University's Animal Care Committee and consistent with the Canadian Council on Animal Care's Guide to the Care and Use of Experimental Animals;
14. following all other the principles and responsibilities defined in the Tri-Council Policy Statement: Integrity in Research and Scholarship.

The faculty of the university and employees hired to conduct research have a particular responsibility to uphold the highest standards of scholarly behavior, and are referred to the “Guidelines for Investigators in Scholarly Research” attached as Appendix I.

### **III. Scholarly Misconduct**

The phrase “scholarly misconduct”, as used in this document, includes but is not limited to the following:

1. fabrication, falsification, or plagiarism, but not including those factors intrinsic to the process of scholarly research, such as honest error, conflicting data or differences in interpretation or judgment of data or experimental design;
2. destruction of one’s own or another’s research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards;
3. taking unfair advantage of one’s privileged access to the work of others, or deliberate misrepresentation of one’s own work or that of others.
4. inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, agreeing to be listed as author to a publication for which one made little or no material contribution, or re-publication of one’s own previously published work or part thereof, without adequate acknowledgment of the source, or justification;
5. disposing of intellectual property outside the university without due benefit to those entitled to some return;
6. intentionally failing to comply with federal, provincial, or university regulations for the protection of researchers, human participants, the public, or the environment, or for the welfare of laboratory animals or intentional noncompliance with agreements that relate to the conduct of the research; this includes failing to obtain appropriate approvals, permits or certifications before conducting these activities;
7. failing to meet policy requirements or, to comply with applicable policies, laws or regulations, including those of the Tri-Council Agencies, for the conduct of certain types of research activities;
8. failure to reveal any conflict of interest during review of research grant applications or manuscripts, or in testing products for sale or distribution to the public;
9. failure to reveal to the University any financial, direct or indirect, in a company that contracts with the University to undertake research, or to provide research-related materials or services. Financial interest would include, for example, ownership, stock holdings, or a directorship. Stock ownership through a mixed mutual fund managed by a third-party fund manager (such as the case with the University pension scheme), where the individual does not have control on the mix of funds (i.e. it is not a self-directed fund) is excluded and would not form grounds for misconduct.

Saint Mary's University will not tolerate scholarly misconduct within the University Community. It will take appropriate measures to maintain an environment that promotes scholarly integrity. Further, it will take accusations of scholarly misconduct seriously and, as quickly as possible, determine their validity and take appropriate action. In doing so, the University will seek to protect the integrity of academic scholarship even, if need be, at the expense of the University's reputation.

It must be recognized however, that not all actions that fail to meet the highest standards of scholarship constitute scholarly misconduct. Scholarly misconduct is related to and involves the notion of a conscious or deliberate deception or action, and even such misconduct has degrees of seriousness.

Ensuring that the University Community is free from scholarly misconduct is ultimately an individual as well as a collective responsibility.

## **Part 2**

### **PROCEDURES FOR REPORTING INVESTIGATING SCHOLARLY MISCONDUCT**

Allegations of scholarly misconduct against individuals associated with the University will be taken seriously by the University. Such allegations will be treated in such a way as to protect, to the maximum extent possible, both those bringing the allegations and those named in the allegations. All inquiries and investigations will be completed as quickly as possible while respecting due process and natural justice. The following procedures are intended to ensure that due process, natural justice and the rules of procedural fairness are achieved.

These procedures are to address scholarly misconduct on the part of anyone involved in research activities within the University, but they are not intended to replace agreements

or procedures which already exist within the University or those which obtain in collective bargaining agreements between the University and its employee groups. The procedures apply to all faculty and staff of the University, all visiting researchers/professors, and all organizations within the University involved in research. They apply to undergraduate and graduate students insofar as they are involved in either funded or unfunded research projects (including thesis projects), but do not apply to scholarly misconduct related to course work.

#### **I. Allegations**

1. Members of the university who hold what they believe to be well-founded suspicions of scholarly misconduct or who have allegations of scholarly misconduct reported to them, should report the matter to the Dean of Research. The reported allegation may be written or verbal. Anonymous allegations will normally not be entertained and will be considered only if relevant facts are publicly available or otherwise independently verifiable.

2. The Dean of Research may bring forth an allegation on his/her own behalf, although such a procedure should be used rarely and only when warranted by the circumstances. If the allegation is against the Dean of Research or anyone associated with his/her research program for which the Dean of Research could be seen to be in a conflict of interest, it should be made to the Vice President.

3. Upon receiving an allegation, the Dean of Research may take immediate action if warranted to protect Tri-Council Agency or other funding agencies funds. Immediate actions could include freezing grant accounts, requiring a second authorized signature from an institutional representative on all expenses charged to the researcher's grant accounts, or other measures, as appropriate.

4. Upon receiving an allegation, the Dean of Research shall inform the individual(s) named of the allegation. If the circumstances allow, the Dean of Research will attempt a resolution by mediation between the parties. Upon his/her discretion, the Dean of Research may involve the University's Conflict Resolution Advisor and/or others to aid in the mediation process. If this mediation is successful, no further action will be taken, and the file shall be destroyed. If mediation is not successful, the matter will proceed to the stage of informal and confidential inquiry.

## **II. Informal and Confidential Inquiry**

1. Upon receiving an allegation which cannot be settled immediately by mediation, the Dean of Research must determine, as promptly and prudently as possible, the merit of the allegation. To avoid any conflict of interest, in cases where the Dean of Research has made an allegation, a designate shall be used to determine its merit.

2. It should be emphasized that this initial inquiry is informal and should allow the flexibility for the Dean of Research to consult, clarify, investigate and mediate as each unique situation requires.

3. During this initial inquiry, the Dean of Research shall maintain the highest possible degree of confidentiality so as to protect the reputation and careers of all involved, as well as the reputation of the University. If the Dean of Research finds that there is not sufficient substance in the allegation to warrant further investigation, the allegations shall be dismissed, no action taken, and the file destroyed.

4. If in the Dean of Research's judgment there are grounds to believe that the allegation has merit, the Dean of Research shall recommend that the allegation be presented to the Vice President. Although this stage of the process should normally be completed within one calendar month of receiving the allegation, prudent management of an allegation may in some instances involve a longer period of time. For the allegation to proceed to the Vice President, the allegation(s) must be written and signed by the person or persons making the allegation, and include all pertinent details of the allegation and be accompanied by such supporting evidence as may be available. The individual(s) named in the allegation shall be informed in writing that the manner has been referred to the Vice President.

## **III. Formal Investigation:**

1. If the Vice President determines that the allegation has no merit, all practical steps shall immediately be taken together by the Dean of Research and the Vice President to redress any harm that may have been done by the allegation.

2. If the Vice President determines that the allegation has merit, he/she will consider the seriousness of the case and consult with the Dean of Research, then determine whether or not a formal investigation shall proceed. The individual(s) involved will be informed in writing (with a



copy to the Faculty Union if a faculty member or professional librarian is involved and/or the relevant staff union if a staff member is involved).

3. If the Vice President determines that the allegation has merit and constitutes serious scholarly misconduct, he/she will immediately convey this conclusion to the Dean of Research. The Dean of Research, on behalf of the University, will bring a formal charge against the named individual(s). Simultaneously, the Vice President will initiate a formal investigation. All relevant parties (including bargaining unit representatives) are to be notified in writing that a formal investigation is being undertaken.

4. If it is deemed not warranted to bring a formal charge, the Vice President, in consultation with the Dean of Research, will deal with the situation in an appropriate manner. The person making the allegation (if not the Dean of Research) may appeal in confidence to the President if he/she believes the informal investigation has not adequately dealt with the allegation.

5. Except where the allegation is deemed to have been mischievous, knowingly inappropriate or malicious, the Vice President and the Dean of Research will take whatever practical and reasonable actions may be necessary to protect the person making the allegation from possible acts of coercion or retribution by the individual(s) alleged to be involved in the scholarly misconduct. This is especially important if the person making the allegation is a graduate student supervised by the individual alleged to be involved in the scholarly misconduct, or is a visiting researcher/professor whose residency at the University has been facilitated and or is dependent upon the individual alleged to be involved in the scholarly misconduct or is a research employee (including post-doctoral fellows and research associates) whose "pay and rations" are directly dependent upon grant or contract funds for which the individual alleged to be involved in scholarly misconduct is the signing authority.

6. In the case of the Vice President proceeding with a formal investigation, an investigative committee consisting of three persons with experience in the general area of research and scholarship involved in the particular case will be appointed by the Vice President. No member of the department or equivalent unit in which the individual(s) accused hold(s) membership shall be among the three persons appointed. Persons external to the University may be appointed if deemed appropriate or necessary, and is required in cases where the individual(s) named in the allegation hold funds from one or more of the Tri-Council Agencies.

7. The Vice President will present the investigative committee with a list of the formal charges and turn over all relevant materials.

8. The committee will undertake a formal investigation following the procedures set forth in Appendix II to this document. It will examine and should have access to all materials necessary to carry out the investigation.

9. The committee will address the charges of scholarly misconduct and determine whether or not they have merit. The committee will not comment on any action to be taken.

10. At any time during the process, the University shall take necessary steps to protect the funds of any external granting/contracting agencies involved. Where required, the University will notify the appropriate funding agencies.

11. The committee will ensure that it is cognizant of all real or apparent conflict of interest on the part of those involved in the inquiry, including both those accused and those making the allegations.

12. The committee may seek impartial expert opinions (from outside the University if required), as necessary and appropriate, to ensure that the investigation is thorough and authoritative.

13. The committee will keep copies of all materials it has collected and any tape recordings of its hearings so that they are available for transcription if required.

14. All parties will be kept informed of the committee's proceedings and will be given ample opportunity to respond to any allegations or counter-allegations. All individuals involved will have the right to be represented by an advocate in responding to the committee's investigations, and at any hearings that are conducted.

15. When the committee makes the final decision, which ordinarily should be within two calendar months of the initiation of the formal investigation, it will provide the Vice President with a written report. The Vice President will provide a copy of the report to the individual(s) named and to the Research Officer.

16. Completion of the formal investigation process should ordinarily not involve the elapse of more than three calendar months from the date the first allegation is received by the Dean of Research. Any extension beyond three months should be justified to all parties by the Vice President. An adjournment requested by the person accused is considered justification for an extension of the same duration.

#### **IV. Action Taken Based Upon the Investigation**

1. When no scholarly misconduct is found, every effort will be made by the Vice President and the Dean of Research to protect the reputation(s) of individual(s) named from undue harm, as well as the reputation of the University.

2. In cases where scholarly misconduct is judged to have occurred, the Vice President and the Dean of Research will discuss with the President appropriate action based on the nature and seriousness of the misconduct.

3. After consultation (as outlined in Part 2, Section IV.2. above), the President will implement appropriate penalties, reprimands and/or remedies that are consistent with the nature and seriousness of the misconduct involved. A penalty involving dismissal or suspension of a faculty or staff member from the University shall be recommended by the Vice President to the President of the University. Where the faculty or staff member is covered by a collective bargaining agreement, actions shall be pursuant to the provisions of that agreement.

4. Where required by them, the Vice President will notify the appropriate funding agencies of the action being followed. In some instances, the nature of the misconduct may require its referral to law enforcement agencies.

5. All records will be maintained by the Vice President in accordance with the appropriate agreements or regulations. If the allegations are deemed to have been groundless, these records should be destroyed in accordance with University practices unless they are useful to the protection of the individual's reputation.

## **V. Recourse:**

Any named individual(s) have recourse to their collective bargaining representatives, or to the courts as appropriate.

## **Pertinent References**

Canadian Association for Graduate Studies, A Guide to Intellectual Property

for Graduate Students and Postdoctoral Scholars, Ottawa, 2005

[http://www.cags.ca/pdf/Guide\\_Intellectual\\_Property.pdf](http://www.cags.ca/pdf/Guide_Intellectual_Property.pdf) ;

Cameron, D. Academic Freedom and the Canadian University, AUCC Research File: 1(3), 2003.

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<http://www.caut.ca/en/policies/fraud.asp>, Ottawa, Approved: November 2003.

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Harvard Medical School, Faculty Policies on Integrity in Science, Faculty of Medicine, Harvard University, Boston MA, July 1994.

Panel on Responsible Conduct of Research, The Tri-Agency Framework: Responsible Conduct of Research, [http://www.rcr.ethics.gc.ca/\\_doc/Framework-CadreReference\\_eng.pdf](http://www.rcr.ethics.gc.ca/_doc/Framework-CadreReference_eng.pdf), 2011.

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## **APPENDIX I**

### **GUIDELINES FOR INVESTIGATORS IN SCHOLARLY RESEARCH**

#### **INTRODUCTION**

These guidelines describe practices generally accepted by members of the academic community. The primary intent of codifying them is to bring them to the attention of those beginning their careers in scholarly research and to remind others of generally accepted procedures of scholarly behavior. These recommendations are not intended as rules, but rather as guidelines from which each group of investigators can formulate its own set of specific procedures to ensure the quality and integrity of its research. These guidelines are based upon the Faculty Policies on Integrity in Science of the Faculty of Medicine at Harvard University.

## **I. SUPERVISION OF RESEARCH TRAINEES**

Careful supervision of new investigators by their preceptors is in the best interest of the university, the preceptor, the trainee, and the scholarly community. The complexity of research methods, the necessity for caution in interpreting possibly ambiguous data, and the need for advanced statistical and non-statistical analysis, all require an active role for the preceptor in the guidance of new investigators. This is particularly true in the common circumstance of a trainee who arrives in a research unit without substantial experience in scholarly research.

### **Recommendations**

1. The responsibility for supervision of each junior investigator should be specifically assigned to some faculty member in each research unit or department.
2. The ratio of trainees to preceptors should be small enough that close interaction is possible for scientific interchange as well as oversight of the research at all stages.
3. The preceptor should supervise the design of experiments and the processes of acquiring, recording, examining, interpreting, and storing data. (A preceptor who limits his/her role to the editing of manuscripts does not provide adequate supervision).
4. Collegial discussions among all preceptors and trainees constituting a research unit or department should be held regularly, both to contribute to the scholarly efforts of the members of the group and to provide informal peer review.
5. The preceptor should provide each new investigator (whether student, postdoctoral fellow, or junior faculty) with applicable governmental and institutional requirements for ethical conduct of studies involving healthy volunteers or patients, animals, radioactive or other hazardous substances, and recombinant DNA.

## **II. DATA GATHERING, STORAGE AND RETENTION**

A common denominator in most cases of alleged scholarly misconduct has been the absence of a complete set of verifiable data or information record. The retention of accurately recorded and retrievable results is of utmost importance for the progress of scholarly inquiry. A researcher must have access to his/her original results in order to respond to questions including, but not limited to, those that may arise without any implication of impropriety. Moreover, errors may be mistaken for misconduct when, for example, the primary experimental results are unavailable. In addition, when statistical analysis is required in the interpretation of data, it should be used in the design of studies as well as in the evaluation of results.

### **Recommendations**

1. Custody of all original primary research data must be retained by the unit or department in which they are generated. An investigator may make copies of the primary data for his/her own use.
2. Original experimental results should be recorded, when possible, in bound books with numbered pages. An index should be maintained to facilitate access to data.

3. Where appropriate, machine print-outs should be affixed to or referenced from the research notebooks.

4. Primary data should remain in the research unit or department at all times and should be preserved as long as there is any reasonable need to refer to them. The head of each research unit or department chair must decide whether to preserve such primary data for a given number of years or for the life of the unit or research project. In no instance, however, should primary data be destroyed while investigators, colleagues or readers of published results may raise questions answerable only to reference such data.

### **III. AUTHORSHIP**

A gradual diffusion of responsibility for multi-authored or collaborative studies has led to the publication of papers for which no single author was prepared to take full responsibility. Two critical safeguards in the publication of accurate, scholarly reports are the active participation of each co-author in verifying that part of a manuscript that falls within his/her specialty area and the designation of one author who is responsible for the validity of the entire manuscript.

#### **Recommendations**

1. Criteria for authorship of a manuscript should be determined and announced by each department or research unit. The only reasonable criterion should be that the co-author has made a significant intellectual or practical contribution. The concept of "honorary authorship" is unacceptable.

2. The first author should assure the head of each research unit or department chairperson that he/she has reviewed all the primary data on which the report is based and provide a brief description of the role of each co-author. (In multi-institutional collaborations, the senior investigator in each institution should prepare such statements.)

3. Appended to the final draft of the manuscript should be a signed statement from each co-author indicating that he/she has reviewed and approved the manuscript to the extent possible, given individual expertise.

### **IV. PUBLICATION PRACTICES**

Certain practices that make it difficult for reviewer and reader to follow a complete experimental sequence: the rapid publication of data without adequate tests of reproducibility or assessment of significance, the publication of fragments of a study, and the submission of multiple, similar abstracts or manuscripts differing only slightly in context. In such circumstances, if any of the work is questioned, it is difficult to determine whether the research was done inaccurately, the methods were described imperfectly, the statistical analyses were flawed, or inappropriate conclusions were drawn. Investigators should review each proposed manuscript with these principles in minds.

#### **Recommendations**

1. The number of publications to be reviewed at the time of faculty appointment or promotion should be limited in order to encourage and reward bibliographies containing fewer but more substantive publications rather than those including many insubstantial or fragmented reports. (It is suggested by the Harvard Medical School Guidelines, for example, that no more than 5

papers be reviewed for appointment as Assistant Professor, no more than 7 for Associate Professor and no more than 10 for Professor).

2. Simultaneous submissions of multiple, similar abstracts or manuscripts to journals is unacceptable.

## **V. LABORATORY GUIDELINES**

Because each research unit and/or department addresses different scientific problems with different methods, each unit and department should develop its own specific guidelines to identify practices that seem most likely to enhance the quality of research conducted by its members. Those guidelines should be provided to all members of the unit or department and to new investigators upon starting work.

Adapted from: Harvard Medical School, Faculty Policies on Integrity in Science, Faculty of Medicine, Harvard University, Boston MA., July 1994.

### **APPENDIX II**

Procedures for the conduct of a Formal Investigation by the Investigative Committee into allegations of scholarly misconduct at Saint Mary's University:

1. The person charged must be provided with full information concerning the allegations against him or her.
2. The person charged must have a full opportunity to be heard and to reply to those allegations (*audi alteram partem*).
3. If the person charged requests an adjournment, a reasonable period for adjournment should be allowed.
4. The person charged should be entitled to call witnesses and question (i.e. cross-examine) the witness giving evidence against him or her.
5. A record of all proceedings should be kept.
6. The person charged should be provided with a record of the evidence in the proceedings if there is a further right of appeal.
7. The investigative committee has a duty to listen fairly to both sides, and to reach a decision untainted by bias.
8. Decisions arrived at must be based on the evidence available to the committee which in turn would be available to the person charged and thereby subject to cross-examination or refutation by him or her. If there is any relevant evidence available, it must be submitted as evidence in order to have a bearing on a decision.
9. The person charged must be provided with reasons for any decisions or recommendations which the committee makes. A final point to be made is that any administrative procedures agreed to should not simply receive the approval of the relevant governing bodies but must also

correspond to the principles outline above. The fact that an institution might contend that it followed its duly approved rule book to the letter would not provide immunity to rulings to a higher court that the rules contained in it were improper in that they were deemed to have contravened these principles.

Adapted from: Filteau, C. Legal Matters Pertaining to Graduate Studies. Ontario council on Graduate Studies. Council of Ontario Universities. November 1990. Pg.33.

#### **14.4 Masters Thesis and PhD Dissertation Defence Policy**

##### **FGSR Policy and Procedures on Master Thesis and PhD Dissertation Defences**

**Approved by FGSR Council on 24 April 2013**

The processes and procedures around Master Thesis and PhD Dissertation defences are prescribed in a number of existing Academic Regulations, FGSR Policies, FGSR procedural guidelines, and individual graduate program procedures and guidelines. This document summarizes/references those Academic Regulations and FGSR Policies/Procedures, as well as addresses additional issues concerning Master Thesis and PhD Dissertation requirements, processes and procedures.

##### **Scope:**

Processes and procedures around PhD Dissertations are the responsibility of the FGSR. For Master theses, individual program have significant oversight (and responsibility) for processes and procedures, but these must adhere to the Academic Regulations set out in the Graduate Academic Calendar and they should follow policies/recommendations/guidelines set out by the FGSR. Master programs also have the choice of engaging the FGSR in oversight of thesis defences, or handle the defence process themselves within the program. This Policy does not address Master Research Project (MRPs). The content, process and procedures around MRPs and their examination are defined by the individual graduate programs (e.g. MBA, MFIN).

##### **Academic Regulations related to Master Thesis and PhD Dissertation Defences:**

- **Language of Instruction and Examination** (Regulation #15 in the 2023-24 Graduate Academic Calendar):
  - The language of instruction for all graduate programs is English. Likewise, all theses will be written and examined in English. The only exception to this policy is where the nature of the scholarly topic requires that the thesis be written, in whole or in part, in a language other than English. The rare exceptions for use of a language other than English in a thesis must have approval in writing from the student's supervisor, the Program Coordinator, and the Dean of the FGSR. The Supervisor and Program Coordinator must also ensure that qualified thesis examiners, fluent in the language presented in the thesis, are available for examination of the thesis. Even if the thesis is written, in whole or in part, in a language other than English, the thesis examination will be carried out in English.
- **Program Requirements** (with reference to thesis/dissertation procedures in Regulation #16 (d) in the 2023-24 Graduate Academic Calendar):
  - Where required, a student shall submit a thesis on a subject approved by the Program Committee in which research has been conducted under the direction of a supervisor appointed by the appropriate Program Committee. An oral defence in the presence of an Examining Committee appointed by the Program Coordinator and the Dean of the FGSR is mandatory.

- The minimum requirements for the composition of the Examining Committees for Master Theses are:
  - (i) the Thesis Supervisor
  - (ii) an examiner who may have been previously involved in the supervision of the student's thesis research
  - (iii) an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a Master's degree or equivalent. Examples of equivalent status may be a Doctor of Medicine (M.D.), a lawyer (L.L.B.), or professional Engineer (P.Eng.) with expertise and research experience in the thesis subject.
  - (iv) a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)
- The minimum requirements for the composition of the Examining Committees for PhD Theses/Dissertations are:
  - (i) the Thesis Supervisor
  - (ii) two examiners who may have been previously involved in the supervision of the student's thesis research
  - (iii) an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a PhD, be an expert in the thesis topic, be external to Saint Mary's University, and not be in a conflict of interest with either the PhD candidate or their supervisor.
  - (iv) a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)

**FGSR Policies related to Master Thesis and PhD Dissertation Defences** (available on the FGSR website):

- Masters Defence - Procedures
- PhD Defence - Procedures

**FGSR procedure documents related to Master Thesis and PhD Dissertation Defences** (available on the FGSR website):

- Submitting the Completed, Revised Thesis after the Defence

**FGSR forms related to Master Thesis and PhD Dissertation Defences** (available on the FGSR website):

- External Examiner Nomination Form (Masters and PhD)

**Other University and FGSR Policies and Academic Regulations related to Master Thesis and PhD Dissertation Defences** (available on the University's Policy and Procedures website):

- Graduate Academic Regulation #33 - Academic Integrity
- Conflict of Interest in Research
- Senate Policy on Research Integrity in Research and Scholarship



## **14.5 Policy on Changing Thesis Supervisors**

Approved by FGSR Council, 21 April 2017

### **Related Policies:**

- Saint Mary's University Policy on Conflict of Interest in Research
- Saint Mary's University Policy on Integrity in Research and Scholarship
- FGSR Guiding Principles for Graduate Student Supervision

### **Introduction:**

In rare cases, there may be cause for a graduate student to change her/his thesis supervisor. The need for such change may include:

- Supervisor leaves the university: The supervisor retires, leaves the university to work somewhere else or is on sick leave for more than a year. Except for sick leaves, if the student has almost completed his or her thesis this may not be an issue, as long as the supervisor is still affiliated with Saint Mary's (e.g. through Adjunct or Emeritus status) and available for support. If the student is still early in their program, and the supervisor is no longer willing to supervise the student, the University/Program has the responsibility to make their best effort to help the student find a new supervisor.
- Student changes area of interest: Sometimes, a student's research focus changes or shifts to such an extent that the supervisor feels he or she no longer has the appropriate background to supervise the research. Also, a student may lose interest completely in his or her research and wish to change fields entirely.
- Incompatibility of graduate student and supervisor: Sometimes two individuals simply don't get along and it interferes with the ability of the thesis research to continue.

Changing supervisors is a big step. It can be stressful, take time and the outcome may not be totally satisfactory to everyone. **Before taking such a drastic step**, supervisors and students are encouraged to consider and address the following questions:

- Has the student and supervisor discussed the problem or conflict?
- Has the conversation about the problem been sufficiently clear that both student and supervisor agree on the problem?
- Has the student and supervisor attempted to remedy the problem?
- Have the supervisory committee members been involved in the discussions and their advice sought?
- Has the student and supervisor consulted with the FGSR Associate Dean – Student Affairs and/or the University's Conflict Resolution Officer?
- Has the student and supervisor explored the implications of changing supervisors?
- Have student and supervisor considered whether there is anyone else in the graduate program who might have the knowledge, experience, time and interest to supervise the student?

### **The Policy:**

Individual graduate programs, under the leadership of their Graduate Program Coordinators, are responsible for adjudicating any problems in the relationship between a graduate student and her or his thesis supervisor. If it is deemed that a change of supervisor is necessary, programs are primarily responsible for ensuring that the process proceeds fairly and with as little harm as possible to both parties. However, the FGSR should be consulted and it can play a supporting role. If the graduate student and/or supervisor is considering a change supervisors, (s)he/they should:

- Discuss this with the Graduate Program Coordinator (GPC) for the program.
- Attempt to resolve the issue through discussion with the GPC, and, if warranted, the FGSR Associate Dean – Student Affairs, and the University’s Conflict Resolution Officer.
- Ensure that both "old" and "new" supervisors are part of the decision, and consult with the full supervisory committee when appropriate.
- Ensure that the GPC (or Program if applicable) Committee approves the change.
- Ensures that FGSR is informed.

When warranted, the University is required to make best efforts to find a new thesis supervisor, however, it must be recognized that this may not always be possible. Students also need to be aware that changing supervisors may affect their stipend if the former supervisor was contributing to the stipend from his/her research funds. Both students and supervisors should be aware that there are potential intellectual property issues to resolve in changing theses supervisors.

*Nota bene:* Adapted from <https://www.grad.ubc.ca/handbook-graduate-supervision/ending-relationship> .

## 15.0 Graduate studies glossary of terms

**Course-fee-based graduate programs/students:** Applies to all graduate students in the MBA, MBA (CPA Stream) and the MMCCU (Masters & Diploma) programs (all other students are in program-fee-based graduate programs). Tuition fees are based on a cost-per-course basis. Students who have completed all course work, but are still enrolled in their programs to complete their thesis or master research project (MRP) should register in the appropriate program continuation course for their program.

**Extension to graduate programs:** If a graduate student has been unable to complete their graduate program within the maximum allowable [time-for-completion](#) for their program due to circumstances beyond their control, they may apply for an extension to their program for up to one year.

**FGSR9000:** A “pseudo-course” in which [Program-Fee-Based Graduate Students](#) should register in every semester in their graduate program. There is no FGSR9000 course *per se* (i.e. no class to attend or credit to receive). Registering in FGSR9000 simply indicates to the computerized registration system that you enrolled as a graduate student, and this is especially important if you are not registering in any other course work in a given semester (e.g. doing thesis research only).

**Graduate Hazards Research Assessment (GRHA):** The purpose of the GRHA form is (1) to bring to the attention any possible hazards that a graduate student may be exposed in carrying out their proposed research activities, (2) to provide an initial risk assessment, and (3) propose an initial risk management strategy.

**Graduate Studies Officer:** Housed within the offices of the FGSR (Atrium, Room 210), the Graduate Studies Officers, [Heather Gray](#) and [Leah Ray](#) coordinate the application process for all graduate programs and are instrumental in working with the [Service Centre](#) in setting up the accounts from which students are paid their scholarships/stipends.

**Leave of absence:** Students who, due to exceptional personal circumstances, are prevented from actively pursuing their course of study and research within the normal period of their program may apply for a leave of absence. At the end of the period of approved absence the

student must reactivate their program by completing the "[Application for Reactivation in Graduate Program](#)" form available on the FGSR web site.

**Program coordinator/director:** [Each of the graduate programs has a graduate program coordinator or director](#). Each of these coordinators chairs the respective graduate program committee. Program coordinators are very important contacts for all graduate students and the main liaison between the graduate program and the FGSR. In case of questions about your program, the program coordinator should be your first contact.

**Program-fee-based graduate programs/students:** Applies to MA and MSc students, all PhD students, and students in the IMTE, MAE, EDDBA, EMBA, MBAN, MFIN and MTEI programs. Tuition fees are based on the entire program (i.e. NOT on a per-course basis) and are charged at the start of each semester during a student's [Residency Period](#). Program-fee-based graduate students should enroll in [FGSR9000](#).

**Reactivation of a graduate program:** Any student who does not register in a given semester for any reason (e.g. withdrew from the program; was granted a leave of absence), must apply for a reactivation to their graduate program by filling out the "[Application for Reactivation in Graduate Program](#)" form available on the FGSR web site and submitting it to the FGSR prior to attempting to register.

**Residency period:** The minimum allowable [time-for-completion](#) of a graduate program and is normally coincident with the minimum period to complete all required course work in a graduate program. Residency periods vary among programs and are identified in the Academic Calendar for each program.

**Registrar:** The transcript and course registration people. If graduate students have any questions associated with what is on their transcripts (i.e. the student's academic record), they should contact the Registrar, located in McNally Main 101. The Graduate Studies Officers, [Heather Gray](#) or [Leah Ray](#), may also be of assistance to students with questions for the Registrar.

**Service Centre:** Located in McNally Main 108, the Service Centre oversees the assigning and collection of tuition and student fees. Students who have questions about their fees are advised to first contact the [Graduate Studies Officer](#).

**Student account:** An account set up by the University into which tuition and student fees are charged, and where scholarship/fellowship funds provided by the University are deposited.

**Supervisor:** For thesis-based programs, graduate students will be assigned a supervisor for their thesis research. Depending upon the program, the supervisor may be assigned at the time of acceptance into the program, or within a specified period once the student has commenced their program.

**Supervisory committee:** For thesis-based programs, and dependent upon the program, a supervisory committee normally consists of one to three other faculty members, aside from the supervisor, who aids in the supervision and normally, the examination of the thesis research.

**Time-for-completion:** The normal time allowed for completion of a graduate program. This period includes the residency period, plus time allowed for the completion of the thesis. Time-for-completion varies among programs and is identified in the Academic Calendar for each Program.

## 16.0 Academic Calendar of Events

Date	Event
<b>2023</b>	
<b>July</b>	
3 (Monday)	Administrative Offices closed. No classes – Canada Day.
5 (Wednesday)	Second Summer Session (Undergraduate) classes begin.
<b>7 (Friday)</b>	<b>Last day for registering and changing courses in the summer term.</b>
<b>10 (Monday)</b>	<b>a. Last day for dropping courses in the summer term (July – Aug).</b> <b>b. Last day for final payment of summer term tuition fees.</b>
<b>August</b>	
1 (Tuesday)	Deadline for filing applications for winter 2024 Convocation.
3 (Thursday)	Last day for withdrawing, without academic penalty, from summer term (Reference: Academic Regulation 16).
7 (Monday)	Administrative Offices closed. No classes – Natal Day.
16 (Wednesday)	Last day of classes in Graduate Summer Session and in Second Summer Session (summer term-Undergraduate).
17- 18 (Thursday - Friday)	Study Days
19- 22 (Saturday - Tuesday)	Formal final examination period. <b>Summer term ends.</b>
<b>September</b>	
4 (Monday)	Administrative Offices closed. No classes - Labour Day.
5 (Tuesday)	Academic year begins.
6 (Wednesday)	<b>CLASSES BEGIN.</b>
<b>12 (Tuesday)</b>	<b>Last day for registering and changing courses in the fall term (September – December).</b>
<b>15 (Friday)</b>	<b>a. Last day for dropping courses in the fall term (September – December).</b> <b>b. Last day for final payment of fall term tuition fees.</b>
22 - 23 (Friday - Saturday)	Fall Convocation.
29 (Friday)	Administrative Offices closed. No classes - Alternative day for National Day for Truth and Reconciliation
<b>October</b>	
3 (Tuesday)	Deadline for filing applications for spring 2024 Convocation.
9 (Monday)	Administrative Offices closed. No classes - Thanksgiving Day.
<b>November</b>	
6 - 12 (Monday - Sunday)	Fall Break. No classes.
11 (Saturday)	No classes – Remembrance Day.
20 (Monday)	Last day for withdrawing, without academic penalty, from three (3) credit hour or six (6) credit hour courses taught only in the fall term (Reference: Academic Regulation 16).
<b>December</b>	
6 (Wednesday)	Last day of classes in fall term date.

Date	Event
7 (Thursday)	Study Day. No classes.
8 (Friday)	Patronal Feast of the University. Administrative offices closed. Study Day.
9 (Saturday)	Start of formal final examinations in three (3) credit hour courses and formal mid-year examinations in six (6) credit hour courses.
20 (Wednesday)	End of final exams and end of the fall term. <b>Note:</b> Subject to change should it not be possible to schedule all formal examinations in the designated timeframe.
<b>2024</b>	
<b>January</b>	
4 (Thursday)	Administrative Offices open. Academic year resumes.
8 (Monday)	<b>CLASSES RESUME.</b>
<b>12 (Friday)</b>	<b>Last day for registering and changing courses in the winter term (January – April).</b>
<b>17 (Wednesday)</b>	<b>a. Last day for dropping courses in the winter term (January – April). b. Last day for final payment of winter term tuition fees.</b>
26 - 27 (Friday - Saturday)	Winter Convocation
<b>February</b>	
14 (Wednesday)	Last day for withdrawing, without academic penalty, from six (6) credit hour courses taught from September to April (Reference: Academic Regulation 16).
19 (Monday)	Administrative Offices closed. No classes - Heritage Day.
19 - 25 (Monday - Sunday)	Winter Break. No classes.
<b>March</b>	
14 (Thursday)	Last day for withdrawing, without academic penalty, from three (3) credit hour courses or six (6) credit hour courses taught only in the Winter term (Reference: Academic Regulation 16).
29 (Friday)	Administrative Offices closed. No classes - Good Friday.
<b>April</b>	
1 (Monday)	Administrative Offices closed. No classes - Easter Monday
8 (Monday)	Last day of classes in winter term.
9 -10 (Tuesday - Wednesday)	Study day. No classes.
11 (Thursday)	Start of formal final examinations.
22 (Monday)	End of formal final examinations and end of the winter term. <b>Note:</b> Subject to change should it not be possible to schedule all formal examinations in the designated timeframe.
<b>May</b>	
6 (Monday)	Summer Sessions begin for graduate and undergraduate courses.
<b>8 (Wednesday)</b>	<b>Last day for registering and changing courses in the spring term.</b>
<b>9 (Thursday)</b>	<b>a. Last day for dropping courses in the spring term (May – June). b. Last day for final payment of spring term tuition fees.</b>
13 - 18 (Monday - Saturday)	Spring Convocation Week

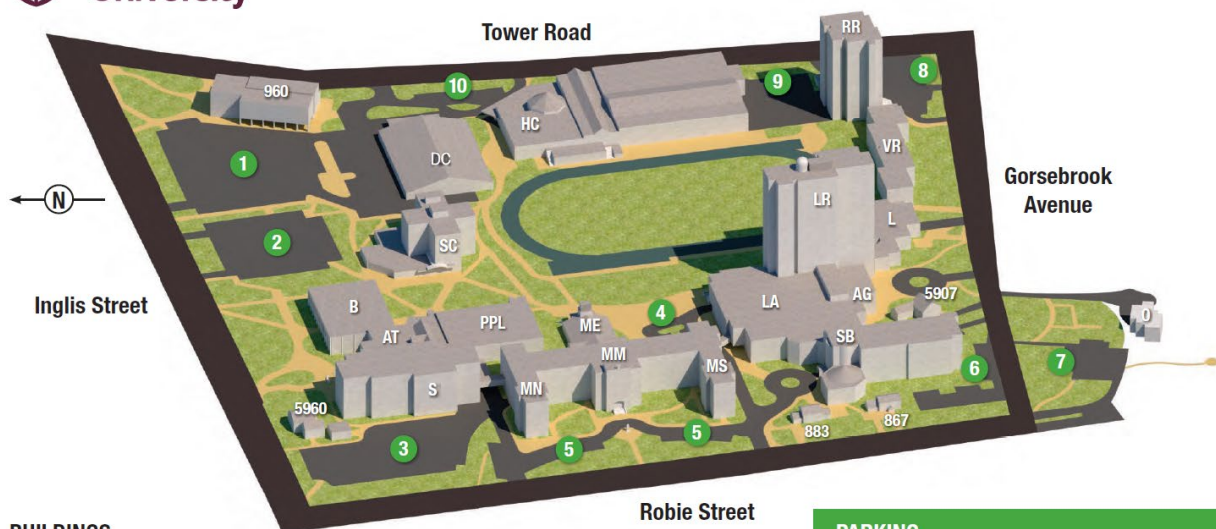
Date	Event
20 (Monday)	Administrative Offices closed. No classes – Victoria Day.
<b>June</b>	
3 (Monday)	Deadline for filing applications for fall 2024 Convocation.
5 (Wednesday)	Last day for withdrawing, without academic penalty, from spring term (Reference: Academic Regulation 16).
17 (Monday)	Last day of classes in First Summer Session (spring term-Undergraduate).
18 - 19 (Tuesday - Wednesday)	Study Days. No Classes.
20 - 22 (Thursday - Saturday)	Formal final examination period. <b>Spring term ends.</b>
<b>July</b>	
1 (Monday)	Administrative Offices closed. No classes – Canada Day.
3 (Wednesday)	Second Summer Session (Undergraduate) classes begin.
<b>5 ( Friday)</b>	<b>Last day for registering and changing courses in the summer term.</b>
<b>8 (Monday)</b>	<b>a. Last day for dropping courses in the summer term (July – Aug).</b> <b>b. Last day for final payment of summer term tuition fees.</b>
<b>August</b>	
1 (Thursday)	Deadline for filing applications for winter 2025 Convocation.
3 (Saturday)	Last day for withdrawing, without academic penalty, from summer term (Reference: Academic Regulation 16).
5 (Monday)	Administrative Offices closed. No classes – Natal Day.
13 (Tuesday)	Last day of classes in Graduate Summer Session and in Second Summer Session (summer term-Undergraduate).
14- 15 (Wednesday - Thursday)	Study Days.
16 - 19 (Friday - Monday)	Formal final examination period. <b>Summer term ends.</b>

## 17.0 General Campus Information

### 17.1 Campus Map



**Saint Mary's  
University**



#### BUILDINGS

<b>AG</b>	Art Gallery
<b>AT</b>	Atrium
<b>B</b>	Burke Building
<b>DC</b>	The Dauphinee Centre
<b>HC</b>	Homburg Centre for Health &
<b>L</b>	Wellness Link Building
<b>LA</b>	Loyola Academic Complex
<b>LR</b>	Loyola Residence
<b>ME</b>	McNally East
<b>MM</b>	McNally Main
<b>MN</b>	McNally North
<b>MS</b>	McNally South

<b>O</b>	The Oaks
<b>PPL</b>	Patrick Power Library
<b>RR</b>	Rice Residence
<b>S</b>	Science Building
<b>SB</b>	Sobey Building
<b>SC</b>	O'Donnell Hennessey Student Centre
<b>VR</b>	Vanier Residence
<b>867</b>	867 Robie St.
<b>883</b>	883 Robie St.
<b>960</b>	960 Tower Rd.
<b>5907</b>	5907 Gorsebrook Ave.
<b>5960</b>	5960 Inglis St.

#### PARKING

<b>1.</b>	Arena - General, Meters, Accessible
<b>2.</b>	Inglis Street - General, Pay & Display
<b>3.</b>	Science - General, Meters, Faculty, Accessible
<b>4.</b>	McNally East - Meters, Accessible
<b>5.</b>	McNally Main - Faculty, Accessible
<b>6.</b>	Sobey / Gorsebrook - General, Faculty
<b>7.</b>	Oaks - General
<b>8.</b>	Rice - General, Meters, Accessible
<b>9.</b>	Homburg Members Parking Only
<b>10.</b>	Tower Rd - Meters, Accessible

### 17.2 Housing

For information on Campus Family & Graduate Housing visit <https://www.smu.ca/gradstudies/graduate-and-family-housing.html> or telephone (902) 420-5598.

### 17.3 University Health Services

The Student Health Center offers health care to all students at the University. Realizing that students have a busy schedule the Student Health Center will do everything possible to keep students healthy, be supportive and treat illness and injuries quickly so that class absences will be kept to a minimum. Education, including knowledge of current health issues, testing, and counseling are available at the Student Health Center.

The Student Health Center is located on the 4th floor of the Student Centre.

Tel: 420-5611

Email: [student.health@smu.ca](mailto:student.health@smu.ca)

Also see: <https://www.smu.ca/healthclinic/index.html>

## **17.4 Enterprise Information Technology (EIT)**

Enterprise Information Technology (EIT) provides the technology and related services to support the teaching, learning, and research of students. Technology is viewed as a basic necessity and spans the campus from the classrooms to residence rooms. Data communication and Internet services are provided through a network providing students with ready access to wired and wireless connections in all buildings and many outdoor spaces on campus. This network supports over 7,000 student devices in addition to the 1,900 university computers in labs, classrooms, and faculty and administrative offices.

All Students, Faculty & Staff have access to the 'SMU Safe' Android and iOS application. This application provides emergency contact details for University Services along with functionality to place emergency calls to the SMU security desk and 911 services. The application also features an optional 'virtual walk-home' service, where SMU Security desk can monitor an individual (perhaps as they walk home to residence at night) and can alert emergency services if they do not arrive as planned. The SMUSafe App is available in both the Apple and Google App stores.

Most on-line services are supported by EIT including SMUport and Self-Service Banner. In SMUport, the university's web portal, students can connect with the campus community, and obtain on-line course information through Brightspace. Self-Service Banner provides students with on-line course information and registration.

The department supports the classroom learning environment by equipping them with the latest multimedia presentation tools.

Four general access labs, four common computing areas, and several departmental labs across campus hold over 400 workstations. Some general access labs are open 24 hours per day, 7 days a week. EIT makes all academic software available to students and faculty through our [SMU AppsAnywhere](#) Implementation. Here, students and faculty can find a wide range of software for their purposes including statistics, graphics, charting and map drawing, CAD, financial and mathematical applications, and business productivity suites. Because AppsAnywhere is web-based this software is available anywhere and anytime via an individual's personal device. Printing is available in common computing areas, as well as in some computer labs.

The University's Evergreen program allows our technology to be replaced on a scheduled basis to keep it current. As a result, all computer lab, classroom and office systems are less than 4 years old. Audio Visual projectors and large TV's or monitors in teaching classrooms are on a 4 year refresh cycle.

Assistance is provided to all students by EIT in a number of ways. The department maintains documentation on how to use the technology services on campus. EIT operates two Help Desk locations to provide support in person, by telephone or email.

For further information visit ([www.smu.ca/eit](http://www.smu.ca/eit)), phone (902) 496-8111 or [HelpDesk@smu.ca](mailto:HelpDesk@smu.ca).

## **17.5 Athletics and recreation**

Saint Mary's has excellent sport facilities on campus. Through their SMUSA fee payments, students have access to the sports and recreational facility, The Homburg Centre for Health and Wellness (<https://www.smu.ca/campus-life/smufit-main.html>).



## **17.6 (Other) Important people on campus**

President: <a href="mailto:president@smu.ca">president@smu.ca</a>	Dr. Robert Summerby-Murray
Interim Vice-President Academic and Research: <a href="mailto:vpacademic@smu.ca">vpacademic@smu.ca</a>	Dr. Madine VanderPlaat
Associate Vice President, Academic & Enrolment Management / Registrar <a href="mailto:registrar@smu.ca">registrar@smu.ca</a>	Dan Seneker
Dean, Faculty of Graduate Studies & Research: Associate Vice President - Research <a href="mailto:adam.sarty@smu.ca">adam.sarty@smu.ca</a>	Dr. Adam Sarty
Dean, Faculty of Arts: <a href="mailto:mary.ingraham@smu.ca">mary.ingraham@smu.ca</a>	Dr. Mary Ingraham
Interim Dean, Faculty of Science: <a href="mailto:sam.veres@smu.ca">sam.veres@smu.ca</a>	Dr. Sam Veres
Interim Dean, Faculty of Commerce: <a href="mailto:mark.raymond@smu.ca">mark.raymond@smu.ca</a>	Dr. Mark Raymond
Director, Student Affairs & Services <a href="mailto:tom.brophy@smu.ca">tom.brophy@smu.ca</a>	Tom Brophy
Director, Global Learning and Intercultural Support <a href="mailto:miyuki.arai@smu.ca">miyuki.arai@smu.ca</a>	Miyuki Arai

## 18.0 References

2023-24 Academic Calendar, Saint Mary's University  
(<https://smu-ca-public.courseleaf.com/graduate/>)

A Guide to Intellectual Property for Graduate Students and Postdoctoral Scholars, Canadian Association of Graduate Students  
([http://www.cags.ca/documents/publications/working/Guide\\_Intellectual\\_Property.pdf](http://www.cags.ca/documents/publications/working/Guide_Intellectual_Property.pdf))

OHS Answers, Bill C-45 - Amendments to the Criminal Code Affecting the Criminal Liability of Organizations, Canadian Centre for Occupational Health and Safety  
(<http://www.ccohs.ca/oshanswers/legisl/billc45.html>)

Collective Agreement between Saint Mary's University and Saint Mary's University Faculty Union, 2022-25 (<https://smu.ca/about/collective-agreements.html>)

- Freedom of Information/Protection of Privacy Policy, Saint Mary's University
  - Occupational Health & Safety Orientation Booklet, Saint Mary's University
  - Policy on the Prevention and Resolution of Harassment and Discrimination, Saint Mary's University
  - Policies on Integrity and Research in Scholarship Procedures for Reporting Misconduct, Saint Mary's University
  - Safety Policy, Saint Mary's University
  - Conflict of Interest in Research, Saint Mary's University
- (<https://www.smu.ca/about/policies-and-procedures-alphabetical-listing.html>)

Scholarships, Fellowships, Bursaries, Prizes, Research Grants and Financial Assistance, Canada Revenue Agency Bulletin IT-75R4 (<https://www.canada.ca/en/revenue-agency/services/tax/technical-information/income-tax/income-tax-folios-index/series-1-individuals/folio-2-students/income-tax-folio-s1-f2-c3-scholarships-research-grants-other-education-assistance.html>)

The Tri-Council Policy of Research Involving Human Subjects  
([https://ethics.gc.ca/eng/policy-politique\\_tcps2-eptc2\\_2022.html](https://ethics.gc.ca/eng/policy-politique_tcps2-eptc2_2022.html))