



**University  
of Victoria**

## **Faculty of Graduate Studies Graduate Supervision Policy**

This policy defines the expectations and responsibilities in the supervisory relationship for graduate students, members of the Faculty of Graduate Studies, academic units, Graduate Advisors, supervisors, supervisory committee members, and the Dean and Associate Deans of Graduate Studies.

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**1. General Responsibilities for every Student and Faculty member in FGS**

Every student and faculty member in the Faculty of Graduate Studies (FGS) has the fundamental responsibilities:

*Academic integrity*

- 1.1 To conduct research in an honest search for knowledge, and designed to foster an environment of academic freedom, integrity, accountability, and public trust, and in a manner free from conflict of interest
- 1.2 To observe the academic standards to which a publication, thesis, dissertation or creative project must conform.
- 1.3 To share all research results from any experiment, protocol, study, or survey between any graduate student and supervisor who have substantially designed, executed, supervised or financially supported the experiment, protocol, study, or survey as per Board of Governors Policy GV0215 Policy on Intellectual Property and any other applicable University of Victoria policy.
- 1.4 To respect the confidential nature of shared data.
- 1.5 To identify appropriately (including through co-authorship) the contributions of all persons who make an intellectual or other substantive contribution to publications, conference presentations, exhibitions or other disseminations of scholarly works in a fashion appropriate for the field of study.
- 1.6 To acknowledge in all publications and presentations the source of all fellowships, grants, or awards (or equivalent) that supported the research.

*Professionalism*

- 1.7 To maintain professional and respectful relationships with students, staff, members of the unit, the university community, and the general public.
- 1.8 To deal directly with individuals whenever possible to resolve disagreements, dissatisfactions, issues, and conflicts. If for any reason the situation cannot be resolved directly, individuals may consult the appropriate University authority as per Section 3: *Accessibility and Assistance*.

*Familiarity with University, FGS, unit, and agency policies*

- 1.9 To observe University regulations as given in Senate and Board of Governors policies. These include, but are not limited to:
  - a. Senate Policies AC1105(A) and AC1105(B):
    - Scholarly Integrity Policy (A): All individuals who are not represented by the University of Victoria Faculty Association.

- Scholarly Integrity Policy (B): All individuals who are represented by the University of Victoria Faculty Association.
  - b. Senate Policy AC1205: Academic Accommodation and Access for Students with Disabilities, as it applies to graduate students.
  - c. Board of Governors Policy GV0200: Policy on Human Rights, Equity and Fairness.
  - d. University of Victoria Policy on Sexualized Violence (*Under development*. Expected May 2017).
  - e. University of Victoria Indigenous Plan (*Under development*. Expected in 2017).
  - f. Board of Governors Policy GV0215: Policy on Intellectual Property.
  - g. Board of Governors Policy AC1200: Guidelines on Conflict of Interest in Student-Faculty Relationships (see Section 10: *Conflict of interest in the supervisory relationship*).
  - h. Board of Governors Policy SS9105: Violence and Threatening Behaviour.
  - i. Senate and Board of Governors Policy AC1300: Resolution of Non-Academic Misconduct Allegations.
  - j. WorkSafeBC policies, regulations and guidelines.
- 1.10 To observe Faculty of Graduate Studies regulations in this document and in the Graduate Calendar, such as the Faculty of Graduate Studies Policy on Academic Integrity.
- 1.11 To observe the rules and procedures of the academic unit.
- 1.12 To observe the relevant policies and reporting requirements of relevant external funding agencies, such as the Tri-Council funding agencies.

## 2. **The Supervisory Relationship**

- 2.1 **The primary academic supervisor:** Every graduate student in a **project, thesis, or dissertation** program will have a primary academic supervisor (hereafter the supervisor or the academic supervisor), who is a mentor and advisor who, as appropriate for the program of study, develops a professional relationship with the student that is conducive to scholarly activities, intellectual enhancement, and professional development. If appropriate, a graduate student may also have a maximum of one co-supervisor.

**Course-based** students are generally not assigned individual supervisors and normally would rely on the Graduate Advisor or equivalent for advice and direction.

The academic supervisor is directly responsible for the supervision of the student's program and, if appropriate and in consultation with the student, is responsible for ensuring the nomination of supervisory committee members (see subsection 2.4, below) within first two sessions (three terms) of registration in the **project, thesis, or dissertation** programs.

The supervisor assists the student in planning the program, and informs and directs students to source material and resources surrounding all program requirements, degree regulations, and general policies of the academic unit, the Faculty of Graduate Studies, the university, and external granting agencies. The academic supervisor provides counsel for all aspects of the program, and stays informed of the student's scholarly activities and progress.

*The supervisor has a fundamental obligation to meet with the student in accordance with unit, program and FGS requirements, and for timely, complete and respectful communication with the student on all academic and scholarly matters.*

- 2.2 **The supervisory committee:** Every student in a **project, thesis, or dissertation** program shall have a supervisory committee consisting of the academic supervisor plus one or more additional members, assigned at an appropriate time, depending

on the student's program. **Course-based** students are generally not assigned a supervisory committee.

*Although the academic supervisor serves as the student's primary advisor, supervisory committee members are expected to be involved in the student's program in accordance with the procedures of FGS and the academic unit, and to be available for timely, complete and respectful consultation with the student in accordance with those procedures.*

- 2.3 **The student:** In entering a graduate degree program, a graduate student makes a commitment to devote the time and effort necessary to complete the program in a timely fashion as defined by the unit's Graduate Handbook (see subsections 5.9 to 5.11), and to be aware of program-related deadlines. The supervisory committee has the right to expect the student to apply themselves to their studies with initiative, respect, and receptiveness to suggestions and criticisms. The student must accept the rules, procedures and standards in place in the program at the University of Victoria and is expected to have knowledge of the university calendar and academic unit's Graduate Handbook for regulations regarding academic and non-academic matters.

*The student has a fundamental obligation to remain in contact with the academic unit and the supervisor, to meet with the supervisor in accordance with FGS, unit and program requirements, and to respond in a timely, complete and respectful manner to reasonable and appropriate requests from the supervisor for information and progress reports on academic and scholarly matters.*

- 2.4 **The arm's length nature of the supervisory relationship:** Student-supervisor relationships are to be professional and free from exploitation and conflict of interest. The relationship between supervisors and students, however friendly and supportive it may become, should always be academic and professional. Relationships that are not at arm's length (e.g., current or past emotional, romantic, sexual, or family ties) are **unacceptable** between the student and the supervisor or between the student and any member of the supervisory committee.\*

If a conflict of interest of this nature, or a conflict of interest involving a financial and/or business relationship, or any other significant conflict of interest, develops between a supervisor and a student, the individuals involved must immediately bring the matter to the attention of the Graduate Advisor and/or the Head of the academic unit who must then take appropriate action as set out under subsection 10.3: *Resolution of conflict of interest in the supervisory relationship* and subsection 10.4: *Resolution of conflict of interest in decision making*.

- 2.5 **Types of supervisory relationships at the University of Victoria:** Every graduate student at the University of Victoria, whether in a course-based program, a project-based program, or a thesis or dissertation program, will have a Faculty supervisor; however, these student-supervisor relationships can be quite different.

**Course and project-based** students will generally follow a set program of study, and may rely on their supervisors for advice on fulfilling program requirements. **Course-based** programs generally do not assign formal supervisors, but rely on the Graduate Advisor or equivalent to fulfill the obligations of the supervisor. **Project-based** students may or may not have occasion to meet with their supervisory committees unless and until there is a final oral examination.

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\* Adapted from *Guiding Principles for Graduate Student Supervision*, from the Canadian Association of Graduate Studies, 2008. <http://www.cags.ca>

Students in a **thesis or dissertation** program will have a substantial independent research component that will require frequent communication with their supervisors and supervisory committees.

While this document recognizes the different nature of the student-supervisor relationship within these different types of graduate programs, unless otherwise stated these policies apply to all graduate students and members of FGS at the University of Victoria.

### **3. Student and Faculty Resources**

There are a number of resources available to assist students and faculty members at the University of Victoria. Students and faculty may ask for confidential advice and/or assistance concerning any aspect of university life from any appropriate authority at the University of Victoria **without fear of reprisal**.

- 3.1 **Student resources within the Faculty of Graduate Studies:** When an issue or conflict arises, the student should normally seek resolution following the chain of authority: starting with their supervisor(s), supervisory committee member(s), Graduate Advisor, Head of the academic unit, Associate Dean of Graduate Studies, and the Dean of Graduate Studies, until the issue is resolved; however, *students may seek confidential advice beginning with an Associate Dean of Graduate Studies.*
- 3.2 **Students with a disability:** The Faculty of Graduate Studies is committed to delivering educational equity and accessibility for students with disabilities, and to support students in achieving their academic goals. Students who wish an academic accommodation are strongly encouraged to seek the advice of the Resource Centre for Students with a Disability (RCSA) or UVic Counselling Services at their earliest convenience.
- 3.3 **Evaluation without Accommodation:** Students with a disability who have undergone academic evaluation without an accommodation (either because an assigned accommodation was not observed or because the student has yet to request or receive an accommodation) may appeal to the Dean of Graduate Studies within 20 business days of the evaluation, who may choose one or more of the following, as appropriate:
  - a. If an academic accommodation assigned by an appropriate authority has not been observed, grant an appropriate academic concession.
  - b. If the student has not undergone assessment for possible accommodation, recommend that the student be assessed by the Resource Centre for Students with a Disability, and/or UVic Counselling Services, and/or University Health Services, as appropriate.
  - c. If an academic accommodation is assigned as a result of 3.3b above, grant an appropriate academic concession.
- 3.4 **Indigenous student resources:** The University of Victoria maintains an Office of Indigenous Affairs that offers support for a wide variety of issues that include: strengthening of identity, processing of colonial trauma, navigating the university environment as an Indigenous learner, and regaining balance and harmony in all aspects of life.

The office is in the First Peoples House located at the centre of campus. Contact information for the Office of Indigenous Affairs can be found on the UVic web site and in the Graduate Calendar. The First People House was built in 2009 to support Indigenous students and to create a welcoming and supportive environment for Indigenous students at the University of Victoria.
- 3.5 **Student-sponsored resources:** Students may seek help and advice from student-sponsored resources located in the Student Union Building or the Graduate Students Centre, including the Graduate Students' Society, the Native Students Union, the

Society for Students with a Disability, the Students of Colour Collective, the UVic Pride Collective, and the Women's Centre.

- 3.6 **Additional student resources:** Students may also request confidential advice and/or assistance from the Ombudsperson, UVic Counselling Services, University Health Services, the Resource Centre for Students with a Disability, the Equity and Human Rights office, the Department of Occupational Health, International Student Services, Safety & Environment and/or Campus Security, as appropriate.
- 3.7 **Faculty resources:** Faculty members may consult in confidence with the Graduate Advisor, Head of the academic unit, Associate Deans of Graduate Studies, and the Dean of Graduate Studies at any time; but for more serious academic concerns may choose to seek advice beginning with an Associate Dean of Graduate Studies.

Faculty members are advised to consult with the Faculty Association in any matter that may involve their rights or responsibilities as defined by the Collective Agreement between the University of Victoria and the Faculty Association.

#### **4. Responsibilities of all Members of the Faculty of Graduate Studies**

Membership in FGS is granted by the Dean of Graduate Studies to qualified scholars within and without the University of Victoria upon the recommendation of the academic unit. Eligibility, categories of membership, and application procedures can be found on the FGS website and in the document, *Membership in the Faculty of Graduate Studies*.

In addition to the responsibilities listed in Section 1, and regardless of whether they are currently involved in a direct supervisory relationship, every member of FGS has the responsibilities:

##### *Professionalism*

- 4.1 To treat all students equitably and to offer advice and criticisms objectively.
- 4.2 To serve as members of graduate student supervisory committees.
- 4.3 To chair Final Oral Examinations.
- 4.4 To provide to all students, whether in the capacity of an Instructor, Laboratory supervisor, Supervisory Committee member, or Supervisor, the expectations, criteria and methods used for evaluation.

##### *Cultural awareness*

- 4.5 To be aware that students from different cultural backgrounds may have different expectations in the supervisory relationship, and to provide clear expectations as in subsection 4.4, above.
- 4.6 When supervising Indigenous students, to seek University-sponsored training on Indigenous methods of instruction, ways of learning, and student assessment, such as *Indigenous Cultural Acumen Training (ICAT)*. For more information on *ICAT* contact the Director of Indigenous Community and Academic Engagement.

##### *Responding to graduate student concerns*

- 4.7 To respond to professional and academic concerns of graduate students in a timely and appropriate manner. See Section 3: *Student and Faculty Resources*.
- 4.8 To encourage and, if possible, aid students who are struggling with non-academic matters to seek appropriate assistance. See Section 3: *Student and Faculty Resources*.

### *Accommodations*

- 4.9 To act upon recommendations for accommodation from the Resource Centre for Students with a Disability, UVic Counselling Services, University Health Services, or from any other appropriate authority.

### **5. Responsibilities of the Academic Unit**

Unit policies and procedures pertaining to all aspects of their graduate programs must be consistent with FGS guidelines and regulations. In the event of a conflict between unit and FGS policy, FGS policy shall take precedence. For example, an academic unit may require students and supervisors to meet more often than this policy requires, but it may not require students and supervisors to meet less often.

### *Administration of graduate programs*

Every unit with one or more graduate programs has the responsibilities:

- 5.1 To provide each student with a copy of this policy (or a link to the web-based version of this policy) upon the arrival of a student at the academic unit, and in no case later than 4 weeks from the start of their first term of studies.
- 5.2 To generate, approve and implement policies and procedures pertaining to graduate students in their programs, with leadership provided by the Graduate Advisor and the Head of the academic unit.
- 5.3 To appoint or elect a Regular Member of FGS as Graduate Advisor (or equivalent). The unit may also choose to form a Graduate Studies Committee, by appointment or election, to implement and oversee all policies and procedures of the unit's graduate programs. See Section 6: *Responsibilities of the Graduate Advisor*.
- 5.4 The Head of the academic unit shall forward nominations for membership in the Faculty of Graduate Studies to the Dean of Graduate Studies as per the Graduate Calendar.
- 5.5 To offer graduate courses with a frequency that shall permit students to complete program requirements in a timely manner.
- 5.6 To maintain current electronic records. With the assistance of the graduate secretary, the Head of the Academic unit and the Graduate Advisor together shall ensure that all relevant student data such as the selection of a supervisor, co-supervisor, members of the supervisory committee, and completion of program requirements is, in a timely fashion and as appropriate, entered into the University computer systems or transmitted to Graduate Admission and Records.
- 5.7 To ensure that a supervisor (or equivalent) and, if appropriate, a supervisory committee are in place for every student in accordance with Senate regulations as set out in the current Graduate Calendar. For the appointment of supervisory committees:
  - a. For students in **course-based** programs, the requirement for, procedure for nomination, and timelines for the appointment of committees are determined by the academic unit.
  - b. For students in **thesis or project-based master's** programs or **dissertation** programs, the supervisory committee is to be nominated and approved by the Dean of Graduate Studies within two sessions (three terms) of the first registration in the thesis, project, or dissertation.
- 5.8 To ensure that written communications from prospective supervisors or from the academic unit concerning offers of admission to prospective students include detailed descriptions of funding, any conditions of renewal of funding, the duration of funding, and the proviso that "All offers are subject to formal acceptance and notification to the program of study by Graduate Admissions and Records."



*The Graduate Handbook*

- 5.9 To develop, maintain, and publish on the unit website by July 1, 2018, a **Graduate Student Handbook** (hereafter the Handbook) that describes the policies and procedures surrounding all program requirements. After July 1, 2018, the unit must provide a copy of the unit Handbook (or a link to the web-based version of the unit Handbook), upon the arrival of a student at the academic unit, and in no case later than 4 weeks from the start of their first term of studies.

The Handbook should be written to guide students through their program. The Handbook must include the information required by subsections 5.9, 5.10 and 5.11, but may reference rather than duplicate information in the Graduate Calendar.

- a. The identities, contact information and roles of the primary resource personnel in the academic unit (*i.e.*, Graduate Advisor, Graduate Secretary, Co-op advisor, Head of the academic unit, and student representatives, if applicable).
- b. Graduate course requirements and the anticipated approximate timelines for completion of program milestones.
- c. Procedures and timelines for nominating a supervisory committee that are consistent with FGS guidelines.
- d. Expected minimum frequency with which students and supervisors would normally meet, either by direct meeting, by virtual meeting, or through detailed correspondence, to discuss the student's research (for **thesis and dissertation** students, this interval should normally not exceed 40 business days – *i.e.* supervisors and students should normally meet at least twice per term – unless a delay is required by field work, remote study, supervisor or student vacation, sick leave, *etc.*). See also subsection 7.16: *Provide continuity of supervision*.
- e. Expected minimum frequency with which students would normally meet with their supervisory committee, either by direct meeting or virtual meeting, to discuss the student's research (for **thesis and dissertation** students, this interval normally must not exceed 1 year). See subsection 5.11: *Formal review of student progress*.
- f. Expected maximum length of time required for supervisors and members of the supervisory committee to return comments on a thesis, dissertation or paper to a student (normally not to exceed 20 business days from time of receipt, unless a delay is required by field work, remote study, supervisor or student vacation, sick leave, *etc.*).
- g. Protocols regarding placements, practica, internships, co-op, *etc.*
- h. Permitted thesis and dissertation format(s).
- i. Reference to any other required manuals, policies or documents of the academic unit, as appropriate.
- j. A list of such information and metrics that the student will be required to collect and submit for any instance of formal review, as in subsection 5.11c

If the unit has a doctoral program:

- k. Master's to PhD transfer protocols, if any.
- l. Candidacy examination protocols, including whether students are permitted one or two attempts. The Faculty of Graduate Studies permits a maximum of two attempts.
- m. Whether, upon failure to pass the Candidacy examination(s), the student may be permitted to complete a master's degree.

### *Unit funding policies*

- 5.10 To develop and publish in the Handbook by July 1, 2018 all unit policies on graduate student funding. FGS recognizes that every unit will have different funding policies and that any long-term commitment to a student will be subject to the availability of funds; however, unit policy must include:
- a. Whether students are entitled to funding and, if so, the minimum funding level, and the duration and source(s) of funding, and whether/how the funding is renewable.
  - b. Any conditions beyond those specified by the policies of FGS, the Senate and the Board of Governors upon which student funding is contingent, such as academic standing, academic progress, time in program, *etc.*
  - c. Any conditions beyond those specified by the policies of FGS, the Senate and the Board of Governors upon which withdrawal of financial support would be appropriate.
  - d. The criteria (*e.g.* GPA, publication record, research expenses, *etc.*) for the disbursement of graduate budgets, the selection of nominees, and the recipients of awards.
  - e. The process by which the academic unit shall advertise internal funding opportunities, if any, for students pertaining to stipends, awards, travel, *etc.*

### *Formal review of student progress*

- 5.11 To develop and publish in the Handbook by July 1, 2018 unit policies for regular, formal review of graduate student progress by the supervisory committee and/or program committee. The policy will include the minimum frequency with which progress will be assessed, the basis for assessment, written feedback from the student, and mechanisms for addressing identified deficiencies in skills, knowledge, or expertise and/or less than satisfactory progress, and the consequences of sustained unsatisfactory performance.

Formal assessments of progress for students in **project-based and course-based** programs shall be carried out at the discretion of the academic unit.

Formal assessment of progress for students in **thesis or dissertation programs** shall be carried out at least on an annual basis. The Graduate Advisor may initiate additional assessments upon the advice of the supervisor or supervisory committee. The unit shall establish procedures surrounding assessments, which must include points *a-j*, below:

- a. An opportunity for the student to communicate their progress to the committee and to discuss their research with the committee. Committee members with concerns about student progress must raise these concerns at this meeting to allow the student an opportunity to address them directly.
- b. An opportunity for the committee to discuss student progress in the absence of the student.

The Faculty of Graduate Studies shall implement by July 1, 2018 a campus-wide electronic system for assembling and recording central aspects of the formal review, including:

- c. An annual student report that shall include such information and metrics that the unit finds necessary for a full evaluation of student progress.
- d. A determination as to whether the level of academic progress is satisfactory or unsatisfactory.
- e. Expectations, goals and milestones for the upcoming review period, if appropriate.
- f. The anticipated date of the next formal review, if appropriate.

- g. In the case of two or more determinations of 'unsatisfactory' progress on formal assessments not less than 8 weeks apart, a written recommendation whether or not to request the Graduate Advisor make application to the Dean of Graduate Studies to withdraw the student for 'failure to meet academic standards.' See subsections 6.15 and 12.3.
- h. Names and electronic acknowledgements of all members of the committee, which shall signify that the recommendations reflect the majority finding(s) of the committee.
- i. Name and electronic acknowledgement of the student, which shall signify that they have read and understood the recommendations of the committee.
- j. In the case of a rating of *unsatisfactory*, the name and electronic acknowledgement of the Graduate Advisor signifying that the record has been received and reviewed.

#### *Oversight of graduate students*

- 5.12 The Head of the academic unit together with the Graduate Advisor shall address instances where a student is not fulfilling their responsibilities, such as failure to meet academic standards. Initial attempts to resolve these situations should be made internally, followed, if necessary, by consultation with an Associate Dean or the Dean of Graduate Studies.
- 5.13 The Head of the academic unit together with the Graduate Advisor may choose to meet with any student about whom there is concern in the absence of the supervisor(s) and all members of the supervisory committee. The student has the right to meet either privately or in the presence of an advocate of their choice.

#### *Oversight of academic supervisors*

- 5.14 The Head of the academic unit together with the Graduate Advisor shall address instances where a faculty member is not fulfilling their responsibilities as academic supervisor. Initial attempts to resolve these situations should be made internally, followed, if necessary, by consultation with an Associate Dean or the Dean of Graduate Studies. See Section 12: *Responsibilities of the Dean*.

### **6. Responsibilities of the Graduate Advisor**

In addition to any relevant responsibilities specified in Section 1: *General responsibilities for every student and faculty member in FGS*, Section 4: *Responsibilities of all members of the Faculty of Graduate Studies* and Section 5: *Responsibilities of the Academic unit*, the Graduate Advisor's responsibilities shall include:

#### *Administration*

- 6.1 Together with the Head of the academic unit and the unit's Graduate Studies Committee, if applicable, to direct the unit's graduate program(s).
- 6.2 To chair the unit's Graduate Studies Committee or equivalent, if applicable. See Section 5: *Responsibilities of the Academic Unit*.
- 6.3 To liaise between the unit and FGS.
- 6.4 Normally to serve as the unit's/programs' representative on FGS Council.
- 6.5 To be knowledgeable regarding UVic and FGS policies, procedures, and the current Graduate Calendar and to ensure that unit policies and procedures are consistent with those of FGS.
- 6.6 To be knowledgeable regarding resources available to Indigenous students and their supervisors.

- 6.7 To coordinate a transparent process according to the criteria published in the Handbook as per subsections 5.10d and 5.10e for the administration of the graduate student support budget and adjudication of awards and nominations (e.g., donor awards, Tri-council scholarship rankings, UVic Fellowships/Grad Awards, etc.).

#### *Student consultation and assistance*

- 6.8 To meet in confidence with any student about whom there is concern. The student will have the right to meet either privately or in the presence of an advocate of their choice.
- 6.9 To be knowledgeable regarding protocols and resources involved in the University of Victoria Mental Health Initiatives.
- 6.10 To be knowledgeable regarding protocols and resources involved in assessing and complying with academic, and research accommodations for students with a disability.
- 6.11 To assist students requesting extensions from FGS, to provide information on external scholarships and awards, as well as information about university and program policies and procedures.
- 6.12 To assist students and faculty in addressing problems in the supervisory relationship or supervisory committee membership in an impartial and confidential manner.

#### *Report unexpected student absences*

- 6.13 To report to the Dean of Graduate Studies when a supervisor communicates that their student has been unexpectedly absent and cannot be contacted by e-mail or telephone for a period of time long enough to cause concern. FGS recognizes that this period will differ among units, programs, and students.

#### *Recommend actions for a student who receives a grade below B*

- 6.14 To consult with the supervisor(s) on the academic future of a student who has received a grade below B. See subsection 7.14.

#### *Request withdrawal for failure to meet academic standards*

- 6.15 To recommend that the Dean of Graduate Studies withdraw a student when the supervisor, in consultation with the supervisory committee, the Graduate Studies Committee, and the Head of the academic unit, has reasonable grounds to believe that academic progress is not being made and continued supervision will not lead to the satisfactory completion of degree requirements by the student. See subsection 12.3, in *Responsibilities of the Dean and Associate Deans of Graduate Studies*.

The decision to recommend withdrawal is made only after a thorough examination of all aspects of the student's program. Examples of criteria appropriate to consider request for withdrawal of a student for '*failure to meet academic standards*' include, but are not limited to, **documented** instances of:

- a. Academic misconduct, where the appropriate sanction indicated by the Graduate Calendar or any other applicable policy of the University of Victoria is withdrawal.
- b. A rating of 'unsatisfactory' progress (or equivalent) from at least two formal assessments (as in subsection 5.11) held not less than 8 weeks apart. Factors in such ratings might include but are not limited to:
  - b1. Repeated disregard of ethical or safety protocols.
  - b2. Repeated failure to appear at scheduled meetings.
  - b3. Repeated failure to complete assigned tasks.
  - b4. Lack of knowledge, preparation, or ability consistent with the unit's expectations for the program.

- c. A single grade below B with additional indicators of unsatisfactory academic progress.
- d. Two or more grades below B.
- e. One or more grades below C+.
- f. An overall GPA below 5.0.
- g. Failure to pass Candidacy examination(s). Some units may allow more than one attempt. The Faculty of Graduate Studies allows a maximum of two attempts.

### **7. Responsibilities of the Academic Supervisor**

In addition to the responsibilities specified in Section 1, every member of FGS in a direct supervisory relationship has the responsibilities:

#### *Oversight of the student's program*

- 7.1 To maintain contact with the student in accordance with the academic unit's procedures (See subsection 5.9d) through mutually agreed upon regular meetings and to be reasonably available for consultation to discuss program and university related matters.
  - a. Supervisors on vacation may have a reasonable expectation students will not contact them unnecessarily.
  - b. Students may have a reasonable expectation that supervisors will inform them of their anticipated vacation days far enough in advance so as to facilitate timely communication.
- 7.2 To assist the student in forming and, when appropriate, revising a supervisory committee and, in consultation with the student, to call meetings of the supervisory committee on a regular basis and whenever issues relating to student progress need to be addressed. The supervisor shall normally chair meetings of the committee and, if necessary, arbitrate decisions of the committee.
- 7.3 To work in accordance with the academic unit's procedures to document the student's academic progress.
- 7.4 To advise in selecting appropriate course work for the student's program and to involve the supervisory committee at least annually and more often when appropriate in monitoring the student's program.
- 7.5 To inform and direct the student to appropriate source material and campus resources for any and all necessary Ethics or Safety approvals **before** the commencement of research. These include, but are not limited to:
  - a. Any relevant funding agency.
  - b. University of Victoria Human Research Ethics Board.
  - c. University of Victoria Animal Care Committee.
  - d. University of Victoria Laboratory Safety Committee.
  - e. University of Victoria Biosafety Committee.
  - f. University of Victoria Radiation Safety Committee.
  - g. University of Victoria Marine Safety Committee.
  - h. University of Victoria Department of Occupational Health, Safety & Environment.
- 7.6 To assist the student in negotiating a realistic timeline for the completion of the various requirements of the program of study that respects the conditions of any accommodations that the student may have received and which also respects any time limits for graduate student funding set by the academic unit.
- 7.7 To examine thoroughly the work submitted by the student and to make timely, legible, and constructive written comments for improvement on a schedule

negotiated with the student. Supervisors shall evaluate and return comments on a thesis, dissertation or paper to a student in a timely fashion (normally not to exceed 20 business days from time of receipt, unless a delay is required by field work, remote study, supervisor or student vacation, sick leave, etc.).

- 7.8 To determine whether or not a draft of a major paper, thesis, dissertation or creative project is ready for submission to the supervisory committee or for publication or exhibition and, if deemed not to be ready, to provide a rationale to the student in writing.
- 7.9 To encourage and, if possible and appropriate to the field of study, assist the student to attend and participate in conferences and meetings in their field of study.

#### *Provide continuity of supervision*

- 7.10 To make arrangements for alternative/interim supervision of the student if the supervisor is to be out of effective communication for a length of time (normally longer than 40 business days) sufficient to prevent them from meeting their supervisory responsibilities. An interim supervisor is to be appointed through consultation among the supervisor, student and supervisory committee, with the name of the interim supervisor and corresponding period of supervision communicated in writing to the Graduate Advisor and to FGS.

#### *Candidacy preparation*

- 7.11 To work within the academic unit's Candidacy structure and with the academic unit's Graduate Advisor and/or graduate secretary in initiating the steps required to conduct the student's Candidacy examination(s). The student should be notified in writing of the scheduling and expectations of such examinations (which may or may not be negotiable, according to unit policy in the Graduate Calendar or the Handbook).

#### *Student financial support*

- 7.12 To observe the policies of the academic unit with respect to financial support of students (see subsection 5.10).
- 7.13 To restructure, reduce or withdraw financial support from a student only after written justification normally issued not less than 30 business days in advance. The rationale must conform to the unit Handbook, FGS, University policies (see subsections 5.10, 11.2e, 11.4d,e), as well as any existing contractual obligations.

#### *Report unexpected student absences*

- 7.14 To report to the Graduate Advisor when a student under their supervision is unexpectedly absent and cannot be contacted by e-mail or telephone for a period of time long enough to cause concern. FGS recognizes that this period will differ among units, programs, and students.

#### *Recommend actions for a student who receives a grade below B*

- 7.15 To make a recommendation to the Dean of Graduate Studies on the academic future of any student who receives a grade below B. A grade below B is considered to be '*unacceptable work revealing some deficiencies in knowledge, understanding or techniques.*' A submitted grade below B shall cause the Dean to initiate a review of the student's progress. Supervisors will be asked to recommend whether:
  - a. The student should be withdrawn (See subsection 7.16, below).
  - b. The student should be permitted to continue, in which case the supervisor must recommend one of:
    - b1. The student must repeat the course (or take a similar course) and achieve a grade of B or greater, or

- b2. The student undertake an academic assignment designed to mitigate the identified deficit, or
- b3. The grade below B is a result of a mistaken or late grade which will be changed, or
- b4. That no remediation is necessary. As long as the grade is above F, the student may continue in their studies with the same program requirements as before.

*Note that this option is normally not available to students who were admitted under a waiver, such as mature students, if the course in question was within or taken concurrently with the first 3.0 units of course work in the student's program.*

Supervisors may consult with the supervisory committee and/or the Graduate Advisor in reaching a decision.

*Request withdrawal for failure to meet academic standards*

- 7.16 To recommend to the Graduate Advisor the withdrawal of a student in cases where academic progress is not being made, and where the supervisor believes that continued supervision will not lead to the satisfactory completion of degree requirements. Such grounds would include but not be limited to, two consecutive determinations of 'unsatisfactory' arising from instances of formal review as in subsection 5.11. The Graduate Advisor shall make a determination together with the supervisory committee whether or not to request withdrawal of the student of the Dean of Graduate Studies. See subsections 5.11 in *Responsibilities of the Academic Unit*, 6.15, in *Responsibilities of the Graduate Advisor* and subsection 12.3, *Responsibilities of the Dean and Associate Deans of Graduate Study*.

**8. Responsibilities of Members of the Supervisory Committee**

In addition to the responsibilities specified in Section 1, every member of a supervisory committee has the responsibilities:

*Oversight of the student's program*

- 8.1 To be available to meet with the student in a timely manner in accord with program and unit policy, to discuss program or university related matters. Committee members on vacation may have a reasonable expectation students will not contact them unnecessarily.
- 8.2 In consultation with the student's supervisor, to call and/or attend meetings of the supervisory committee on a regular basis, including participation in formal assessment processes as in subsection 5.11, above, and whenever issues relating to student progress need to be addressed.
- 8.3 To advise, in consultation with the supervisor and the student, on an appropriate program of study that will allow the student to complete in a timely fashion.
- 8.4 To participate, in accordance with the academic unit's supervisory procedures, in the evaluation of the proposed work plan.
- 8.5 To guide, in accordance with the academic unit's supervisory procedures, the student in the implementation of the work plan.
- 8.6 To ensure, in consultation with the supervisor, that the student is aware of normal expectations concerning the length, quality, style, and standard presentation of the paper, thesis, dissertation or creative project.
- 8.7 To evaluate and return within a reasonable time frame (normally not to exceed 20 business days from time of receipt, unless a delay is required by field work, remote study, supervisor or student vacation, sick leave, etc.) and in a legible manner,

drafts of the thesis, dissertation or creative project in accordance with the academic unit's supervisory procedures.

- 8.8 To aid in the arbitration of problems that may arise between the student and the supervisor, or to seek consultation from the Graduate Advisor.
- 8.9 To serve, in **project, thesis, and dissertation** programs, on the final oral examination committee.

*Recommend actions for a student who receives a grade below B*

- 8.10 To consult, if appropriate, with the supervisor on the academic future of a student who has received a grade below B. See subsection 7.15.

## **9. Responsibilities of the Student**

In addition to the responsibilities specified in Section 1, every student in FGS has the responsibilities:

*Consultation and confidential advice*

- 9.1 To seek advice on matters related to their program, progress, academic standing, or potential conflicts of interest. Students may meet in confidence (together with an advocate of their choice, if desired) with their supervisor, members of the supervisory committee, the Graduate Advisor, Head of the academic unit, Associate Dean and Dean of Graduate Studies without fear of reprisal.

*Withdrawal for failure to meet academic standards*

- 9.2 Upon application from the Graduate Advisor to the Dean of Graduate Studies requesting withdrawal of the student for failure to meet academic standards, the student may request a meeting with the Dean of Graduate Studies to discuss the circumstances surrounding the request for withdrawal.

*Current registration and student visa status*

- 9.3 To maintain registration throughout the program and (for international students) to ensure that student visas and (where applicable) employment authorization documents are kept up to date.

*Academic progress*

- 9.4 To conform to program requirements.
- 9.5 To show dedicated efforts to gain the background knowledge and skills needed to pursue and complete the research or creative project successfully.
- 9.6 To develop, in conjunction with the supervisor, a timeline for completion of all stages of the degree program, and to adhere to a schedule to meet appropriate deadlines.
- 9.7 To assist the supervisor in forming and, when appropriate, revising the membership of the supervisory committee.
- 9.8 To work with the supervisor and supervisory committee to call meetings on a regular basis and whenever issues relating to student progress need to be addressed.
- 9.9 To communicate current contact information to the supervisor, the Graduate Advisor, and Graduate Admissions and Records.

*Professionalism*

- 9.10 To maintain contact with the supervisor through mutually agreed upon regular communication consistent with the unit's policies (see subsection 5.9d), and to be reasonably available for consultation as needed.



Students must monitor their official University of Victoria e-mail account for important messages from their supervisor(s), academic units, the Faculty of Graduate Studies, or the University of Victoria.

Students have the absolute right to use their official University of Victoria e-mail account for electronic communications with their supervisor(s), academic units, the Faculty of Graduate Studies, or the University of Victoria.

- 9.11 To accept objectively and to respond professionally to the advice and criticisms received from the supervisor and other members of the supervisory committee.
- 9.12 To recognize that the supervisor and other members of the supervisory committee have teaching, research and service obligations that may preclude immediate responses. This would include student requests to faculty members for letters of reference, for which students must note:
  - a. Permission of the faculty member must be obtained. Faculty members have the option to decline to provide a letter of reference, including cases where insufficient advance notice is given.
  - b. Students must inquire of a faculty member well in advance of the deadline(s) as to what types of material the student must provide, such as academic transcript, examples of writing, statement of goals, *etc.*

#### *Workplace etiquette*

- 9.13 To be thoughtful and reasonably frugal in using resources provided by the supervisor and by the University, and to assist in obtaining additional resources for research where applicable, appropriate, and possible.
- 9.14 To maintain a workplace that is tidy, safe and healthy.
- 9.15 To terminate the work and clean up and vacate the workspace and return all office, lab, and building keys when program requirements have been met so as to leave the place to another student.
- 9.16 To deliver to the supervisor when the academic work has been concluded all original laboratory books, notes, manuscripts, electronic files, samples, equipment, *etc.* The student may generate and retain copies of all materials that they authored that are not covered by any confidentiality agreement that the **University of Victoria** has made with an external group, agency or business.
- 9.17 To return when the academic work has been concluded or when return is requested all borrowed materials to the academic unit, library or reading room, *etc.*

#### *Vacation, leaves of absence, and temporary and permanent withdrawal*

- 9.18 To inform their supervisors of their intention to take vacation days or leaves of absence, as set out in the Graduate Calendar. Unless otherwise stated in the Handbook, students must seek permission from their supervisors to work off campus for any extended period of time such as when required by field work, remote study, *etc.*
- 9.19 To inform the supervisor of any temporary or permanent withdrawal from the program, personal leaves or other extended absences, and the general reasons for the absence. *Students are strongly encouraged not to disclose health assessments, diagnoses, treatments, or any other personal or confidential information related to the leave.*

#### *Application for Funding*

- 9.20 To apply, if eligible and as appropriate and available, for any internal stipends, scholarships and awards.

- 9.21 To apply, if eligible and as appropriate, for external stipends, scholarships, such as the Tri-Council Graduate Scholarships, Vanier Canada Graduate Scholarships, *etc.*

### **10. Conflict of Interest in the Supervisory Relationship**

All supervisors, supervisory committee members and students have the responsibility to be aware of situations of potential conflict of interest or roles and conflict of commitment and to deal with them according to official university guidelines. In addition, all students and supervisors have the responsibilities:

#### *Arm's length relationship between supervisor and committee members and the student*

- 10.1 To maintain an arm's length relationship between supervisor and student, or between a member of the supervisory committee and student. If a substantial conflict of interest arises (*e.g.*, the existence or development of emotional, romantic, sexual, family, or financial and/or business relationship) the individuals involved must immediately bring the matter to the attention of the Graduate Advisor and the Head of the academic unit who will deal with the matter as per subsection 10.3: *Resolution of conflict of interest in the supervisory relationship.*

#### *Appointment of co-supervisors and supervisory committee members*

- 10.2 To avoid making or accepting appointment to a supervisory committee (or as co-supervisor) that would represent a conflict of interest.
- a. Co-supervisors and/or committee members with significant personal or financial interests in common should avoid serving on the same supervisory committee where possible.
  - b. Should members of supervisory committee have or develop significant personal or financial interests in common they must:
    - b1. Notify the student at the outset of the student's program of study, or at the first opportunity after the conflict develops.
    - b2. Notify the Head of the academic unit and ensure that at least one additional member not in conflict is appointed to the supervisory committee.

#### *Resolution of conflict of interest in the supervisory relationship*

- 10.3 To resolve issues of conflict of interest that arise between students and supervisors:
- a. Issues concerning conflicts of interest involving intellectual property or joint business ventures may be resolved as per Board of Governors Policy GV0215 Policy on Intellectual Property or other relevant University policy, or may be referred to the Office of Research Services.
  - b. Substantial personal conflicts of interest (*e.g.*, emotional, romantic, sexual, family ties), whether past or present, between supervisor and student shall immediately terminate the supervisory relationship and the Graduate Advisor shall normally act as supervisor for the student until a new supervisor can be determined. The former supervisor, co-supervisor and/or the academic unit shall be responsible for the maintenance of any existing or promised financial support for a period to be determined by the Dean of Graduate Studies.
  - c. In the case where such a conflict is between a member of the supervisory committee and student, the member shall resign from the supervisory committee.

#### *Resolution of conflict of interest in decision making*

- 10.4 To make decisions free from conflict of interest. In the case where the Graduate Advisor is in any perceived or actual conflict of interest with regard to the student or the decision being made, a member of the unit's Graduate Studies Committee (*see*

Section 6: *Responsibilities of the Graduate Advisor*) or any Regular Member of FGS not in such conflict shall be appointed by the Head of the academic unit (or by the Dean of Graduate Studies should the Head be in conflict) as Acting Graduate Advisor for this case.

### **11. Dissolution of the Supervisory Relationship**

In all cases, it is unprofessional for a withdrawing student, supervisor or supervisory committee member to engage in personal recriminations related to the termination of a supervisory relationship.

- 11.1 Upon the dissolution of the supervisory relationship between the student and the primary academic supervisor(s), the determination of whether it was the student or the supervisor(s) who was withdrawing (or both) shall be made by the Dean of Graduate Studies.

#### *Withdrawal of the Academic Supervisor*

- 11.2 When, in consultation with the supervisory committee, the Head of the academic unit and the Graduate Advisor, it is clear that the supervisor and student are unable to resolve interpersonal conflicts that are impeding satisfactory academic progress, or when a student's research goals have diverged from their initial directions such that the supervisor's expertise is no longer appropriate, the academic supervisor may withdraw. It is important to note:
- a. In the case where the supervisor is withdrawing, the academic unit remains responsible for continuity of supervision and for locating a new supervisor.
  - b. The supervisor must normally give at least 30 business days' written notice of the withdrawal of supervision to the student, the Graduate Advisor, and the Faculty of Graduate Studies.
  - c. The supervisory relationship shall normally remain in place until another supervisor is determined or the student is withdrawn. In the case where it is not feasible for the supervisory relationship to continue, the Graduate Advisor shall normally assume the role as supervisor for the purposes of administration until another supervisor is in place.
  - d. The appointment of a replacement supervisor shall be negotiated by the Graduate Advisor, the student, and the replacement supervisor in consultation with the members of the supervisory committee.
  - e. In the case where the withdrawing supervisor is providing financial support to the student, any restructuring, reduction or withdrawal of support shall be determined in consultation with the Dean of Graduate Studies.
  - f. Any unit financial support must continue within any previously set requirements.

#### *Withdrawal of a supervisory committee member*

- 11.3 When, in consultation with the supervisor, other members of the supervisory committee and the Graduate Advisor, the student and committee member are unable to resolve interpersonal conflicts that are impeding satisfactory academic progress, or when the research goals have diverged from their initial directions such that the member's expertise is no longer appropriate, a committee member may withdraw from a student's committee. It is important to note:
- a. The committee member must give at least 10 business days' written notice of the withdrawal from the committee to the student, the Graduate Advisor and the Faculty of Graduate Studies.

- b. The committee member must negotiate such a change so as to minimize any negative impact on the student's program.

*Transfer of the student to a new supervisor*

- 11.4 When, in consultation with the supervisory committee, the Head of the academic unit and the Graduate Advisor, it is clear that the supervisor(s) and student are unable to resolve interpersonal conflicts that are impeding satisfactory academic progress toward degree requirements, or when a student's research goals have diverged from their initial directions such that the supervisor's expertise is no longer appropriate, a student may seek a change of academic supervision.
  - a. In the case where the student is withdrawing from the supervisory relationship, the student may seek advice from the Graduate Advisor or Head of the academic unit, but it is the responsibility of the student to locate a new supervisor.
  - b. Agreement of the new supervisor is required.
  - c. Although consultation is strongly encouraged, agreement of the current supervisor is not required.
  - d. Any financial support from the current supervisor may be discontinued upon the notice of withdrawal.
  - e. In the case where transfer is within an academic unit, any unit financial support to the student must continue within any previously set requirements.
- 11.5 After transfer to a new supervisor, the student has the right to include in their project, thesis, or dissertation relevant materials produced by the student in the course of their current studies:
  - a. that are in the public domain, and/or
  - b. for which the student holds the permission of the copyright holder, and/or
  - c. for which the student holds sole intellectual property rights,<sup>†</sup> and/or
  - d. for which the student and the former supervisor share sole intellectual property rights<sup>†</sup> and for which the student has written permission from the former supervisor.

The Faculty of Graduate Studies expects that former supervisors shall give reasonable consideration to offering students leaving their supervision permission to include for publication in a project, thesis, or dissertation those materials produced by the student in the course of their studies for which the student and the supervisor share sole intellectual property rights.<sup>†</sup>

<sup>†</sup>As per Board of Governors Policy GV0215 Policy on Intellectual Property and any other applicable University of Victoria policy.

## **12. Responsibilities of the Dean and Associate Deans of Graduate Studies**

The Dean and the Associate Deans have the responsibilities:

*Student concerns and consultation*

- 12.1 To meet on a confidential basis with any student at any point in their studies, or the supervisor of a student in any point in their studies, to discuss academic concerns. Consultation will normally begin with an Associate Dean who, if the student concern has an academic basis, will advise the student directly and will otherwise direct the student to the appropriate campus resource or authority. Appointments can be arranged by writing directly to the Associate Dean or to the designated assistant listed on the Faculty of Graduate Studies web site.

*Non-compliance with these policies by a student*

- 12.2 Student compliance is generally managed at the unit level, starting with the supervisor and supervisory committee, and involving the Graduate Advisor and Head of the academic unit if it is alleged that the student continues to display non-compliance. Members of the academic unit may seek the advice of the Associate Deans or Dean of Graduate Studies at any time.

*Withdrawal for failure to meet academic standards*

- 12.3 Only the Dean of Graduate Studies may withdraw a student for *failure to meet academic standards*. Requests to withdraw a student must be made in writing by the Graduate Advisor to the Dean directly or through an Associate Dean as per subsection 6.15.
- 12.4 Upon application from a Graduate Advisor requesting withdrawal of a student for failure to meet academic standards, and before consenting to withdraw the student, the Dean of Graduate Studies may invite the student to discuss the circumstances surrounding the request for withdrawal.

*Non-compliance with these policies by an academic supervisor*

- 12.5 In the case of alleged non-compliance with these supervisory guidelines by an academic supervisor or supervisory committee member, the Dean of the Faculty of Graduate Studies has the responsibilities:
- a. To request a written report from the person making the allegation.
  - b. To review the written report of noncompliance.
  - c. To provide an opportunity for a consultative process with the parties involved.
  - d. Where, in the opinion of the Dean, a report of noncompliance provides evidence of "misconduct" as that term is defined in the University's Policy on Scholarly Integrity, the Dean may make a complaint under the University's Policy on Scholarly Integrity and the report shall thereafter be dealt with in accordance with that Policy.
  - e. Where, in the opinion of the Dean, a report of noncompliance does not provide evidence of "misconduct" as that term is defined in the University's Policy on Scholarly Integrity or does not warrant invoking the University's Policy on Scholarly Integrity, the Dean shall forward a copy of the report to the student's academic supervisor and the members of the student's supervisory committee with an invitation to send a response to the Dean. The Dean may also, when appropriate, forward a copy of the report to the student.

After reviewing any responses to the report, the Dean may choose one or more of the options below:

- f. Where the Dean determines that the matter can be satisfactorily resolved with a written decision, the Dean shall send a letter to the person who made the report and all persons to whom a copy of the report was sent.
- g. Where the Dean determines that the matter requires intervention, meet with the person who made the report, the student's academic supervisor, and the student's supervisory committee, either together or separately, to discuss the report and the responses to the report in order:
  - g.1 To seek a resolution of any conflicts among the parties.
  - g.2 To discuss methods of compliance in the future.

- g.3 To propose education and remedial strategies for particular parties. This may include assigning a member of the Faculty of Graduate Studies to act as a mentor or co-supervisor for the parties, as appropriate.
- h. Initiate procedures under appropriate articles of the Collective Agreement.

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