

Graduate Student Handbook 2012 - 13



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FACULTY OF
GRADUATE STUDIES
AND RESEARCH

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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 2012-13 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.

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1.0 Welcome from the Dean

Welcome, or welcome back, to the Faculty of Graduate Studies and Research (FGSR). It is a pleasure and an honor to serve you as the Dean. I have now served in the role of Dean of the FGSR for over 7 years. Through the collective effort of students, faculty members, support staff and administrators, the growth and progress we have made in the Faculty, on both the graduate studies and research fronts, have been truly impressive.

Saint Mary's University is a great place to pursue graduate studies. I continue to be extremely impressed with the commitment to graduate studies and research at all levels of the University, from individual Faculty members to the President's Office. The University and the campus are of a size and character which contribute to a strong sense of community, but with the resources and faculty expertise which enable the pursuit of advanced studies at state-of-the-art levels.

We now offer 20 graduate programs (16 Masters and 4 PhDs) in collaboration with the Faculty of Arts, the Faculty of Science, and the Sobey School of Business. Our newest graduate program, the PhD in International Development Studies, is our first PhD program in the Arts disciplines and is being introduced in 2012-13.

The FGSR oversees all graduate programs in the University, but the administration of each student's program is a collaborative effort between the FGSR and the individual graduate program. We work 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 and many other offices in the University.

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 for assistance.



Dr. J. Kevin Vessey
Dean, FGSR
Associate Vice-President Research

2.0 Who's Who?

	<u>Room</u>	<u>Telephone</u>	<u>Email</u>
<u>FGSR Staff:</u>			
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Graduate Program Coordinators/Directors, Managers and other Resource Personnel by Program:

ARTS

MA in Atlantic Canada Studies

Dr. Peter Twohig Program Coordinator	5960 Inglis	420-5477	peter.twohig@smu.ca
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MA in Criminology

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MA in History

Dr. Nicole Neatby Program Coordinator	MN 222	420-5765	nicole.neatby@smu.ca
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MA and PhD in International Development Studies

Dr. Anthony O'Malley Program Coordinator	MS 202	491-6221	aomalley@smu.ca
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MA in Philosophy

Dr. Shelagh Crooks Program Coordinator	MN 526	420-5824	shelagh.crooks@smu.ca
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MA in Theology and Religious Studies (offered jointly with Atlantic School of Theology)

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MA in Women and Gender Studies (in collaboration with MSVU)

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COMMERCE

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Cathy Mason SB 227 491-6257 cathy.mason@smu.ca
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Dr. Albert Mills SB 220 420-5778 albert.mills@smu.ca
Director

Sandra Fougere SB 245 420-5781 sandra.fougere@smu.ca
Secretary, Dept. of Management

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.

The prime responsibility of the graduate student is to meet the requirements of their degree program in a timely manner (see Academic Regulation 16 in the 2012-13 *Academic Calendar*).

The graduate student is ultimately responsible for ensuring that:

- a) relevant courses are taken and pre-requisites are met,
- b) their research is conducted as per relevant student investigator regulations, 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 his/her program, it is the student him/herself who must take ultimate responsibility for ensuring that his/her 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 2012-13 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 he/she may have to interrupt his/her graduate program for any reason, he/she should talk to his/her thesis supervisor(s) and his/her 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 (see Appendix A, also available at: http://fgsr.smu.ca/grad_cur_policy.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. (see Appendix B, also available at: http://fgsr.smu.ca/grad_cur_policy.html).

Your attention is also directed to Report of the Expert Committee on Research Integrity by the Council of Canadian Academics (see http://www.scienceadvice.ca/uploads/eng/assessments%20and%20publications%20and%20news%20releases/research%20integrity/ri_rif.pdf). 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* his/her 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 his/her program. The thesis supervisor should provide feedback to the student on his/her 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 his/her 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 external examiner) at the thesis defense (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 2009-2012 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.

The FGSR, its dean, and its officers:

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 FGSR is an "umbrella" faculty that spans the whole University, with graduate programs situated within the Faculties of Arts, Commerce and Science. While the FGSR is the coordinating and monitoring agency for graduate programs and graduate students, it acts in a highly coordinated fashion with the

three other faculties on the campus. The Dean of the FGSR is responsible to the Vice-President, Academic and Research.

The Graduate Studies Officer oversees the admissions process and administers scholarships and fellowships. The Graduate Studies Officer works closely with 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.

Other officers of the FGSR are the Research Grants Officer and the Industry Liaison Office. These officers mainly interact with graduate students/programs on issues related to graduate fellowships such as research grants, intellectual property and industrial research contacts.

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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This document was prepared by a working group composed of the following members of CAGS:

- Dr. J. Kevin Vessey, Dean of Graduate Studies and Research, Saint Mary's University
- Dr. Gwendolyn Davies, Associate Vice-President of Research, & Dean of Graduate Studies, University of New Brunswick
- Dr. Jonathan C. Driver, Dean of Graduate Studies, Simon Fraser University
- M. Frédéric Lalande, Graduate Student, Université du Québec à Montréal & Président, Conseil national des cycles supérieurs
- Dr. Berry Smith, Vice-Dean, School of Graduate Studies, University of Toronto

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.

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 Canada¹. 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 Ontario² 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 defense. 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 student's 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

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

²Faculty 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 defense procedures):

- People: - program coordinator/director (contact information is in Section 2 of this Handbook)
- Documents: - the 2012-13 Graduate Academic Calendar available from the FGSR Office, or online at: <http://www.smu.ca/registrar/calendar.html>.
- 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 Taylor, the Graduate Studies Officer (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 Officer should be your first contact in sorting out such issues.
- Documents: - the 2012-13 Graduate Academic Calendar available from the FGSR Office, or online at: <http://www.smu.ca/registrar/calendar.html>.

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 Industry Liaison Office (contact information is in Section 2 of this Handbook).

For general inquiries of the FGSR Office, contact 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 <http://www.smu.ca/administration/itss/> and/or the ITSS 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 <http://www.smu.ca/administration/student-services/welcome.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/administration/intercen/welcome.html>; international.centre@smu.ca; 3rd floor, O'Donnell-Hennessey Student Centre, Room 300; Tel: (902) 420-5525). There is also a very comprehensive International Student's Handbook available at: <http://www.smu.ca/administration/intercen/handbook.html>.

For questions relating to parking on campus, visit http://www.smu.ca/administration/facman/park_student.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) or perusing the FGSR web pages (<http://fgsr.smu.ca/>), particularly under the Current Students menu (http://fgsr.smu.ca/grad_cur.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 August 2012.

Arts:

Atlantic Canada Studies: <http://www.smu.ca/academic/arts/acs/welcome.html>

Criminology: <http://www.smu.ca/academic/arts/sociology/>

History: <http://www.stmarys.ca/academic/arts/history/>

International Development Studies: <http://www.smu.ca/academic/arts/ids/>

Philosophy: <http://www.smu.ca/academic/arts/philosophy/ma.html>

Theology & Religious Studies: <http://www.smu.ca/academic/arts/religion/welcome.html>

Women & Gender Studies: <http://www.smu.ca/academic/arts/wstudies/welcome.html>

Commerce:

Executive Master of Business Administration:
<http://www.smu.ca/academic/sobey/emba/welcome.html>

Master of Business Administration (including the MBA-CMA):
<http://www.smu.ca/academic/sobey/mba/welcome.html>

Master of Finance: <http://www.smu.ca/academic/sobey/mfin/welcome.html>

Master of Management - Co-operatives and Credit Unions:
<http://www.smu.ca/academic/sobey/programs/mmccu/welcome.html>

PhD in Business Administration (Management):
<http://www.smu.ca/academic/sobey/programs/phd-mgmt/welcome.html>

Science:

Applied Science:
http://www.smu.ca/academic/science/department/prog_masters.html

Astronomy (MSc and PhD): <http://www.smu.ca/academic/science/ap/grad.html>

Psychology (MSc and PhD): <http://www.smu.ca/academic/science/psych/>

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 ddmmyy format - e.g. 1 December 1986 would be 011286). 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 2012-13 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

You can register for your courses on-line through the "Banner Self-Service" portal of the Saint Mary's web site. Graduate students are in Registration Category A, and therefore can register on-line on or after 13 March 2012. **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.

1. You can register by going to <http://selfservice.smu.ca>
2. Select Enter Secure Area
3. Enter your User ID and PIN as done to Look Up Classes.
4. On the Main Menu select Student Information
5. ***Please read the Registration Priority Information under the Registration menu before proceeding to the next step***
6. Select Registration
7. Select Look Up Classes

8. Select the term you wish to register in.
9. Select the course(s) criteria and select Class Search
10. Your results of your criteria will be displayed on the next page.
11. In the Select column, check the box next to the class you want to register for.
12. Select Register or Add to Worksheet
 - a. Selecting Register automatically registers the course.
 - b. Selecting Add to Worksheet just adds the CRN to the worksheet. You will have to select Submit Changes to register for the course
13. The Current Schedule page will display after you have registered for your courses and under Status will say *Web Registered* for all the classes you are currently enrolled in for that term.
14. Return to Look Up Classes to select additional courses in the current term.
15. When you have completed registration for the September-December term, select the January-April term and select your second term courses. This step is essential for full year (XX/YY) courses.

In addition to the courses identified in the Academic Calendar and by your program coordinator, ***students in program-fee based graduate programs (except MBA-CMA students) 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 MA and MSc students who *started their program prior to September 2004.*
- All students in the MBA and MMCCU 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, see the 2012-13 Fee Tables.

<http://www.smu.ca/administration/financialservices/gradcosts.html>

Program-fee programs:

- All MA and MSc students who started their programs after September 2004
- All students in the MBA-CMA, EMBA and Master of Finance programs (regardless of start date)
- 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, see the 2012-13 Fee Tables.

<http://www.smu.ca/administration/financialservices/gradcosts.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 MA and MSc graduate students who started their programs **prior to September 2004, and for all students enrolled in the MBA or MMCCU 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 2012-13 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 terms, practicum, and internships), and will be in pursuit of their studies as a full-time occupation.

(ii) 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 term.

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 full-time or part-time status by their program coordinator.
- Following admission and for the duration of the minimum time-for-completion, changes in registration status from full-time to part-time or vice-versa will only be permitted with the permission of the program coordinator and the Dean of the Faculty of Graduate Studies and Research, and then 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 full-time students be eligible for funding from the FGSR. Part-time 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 a disclosure form (see section 14 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-Council [NSERC, SSHRC, and CIHR] scholarships; provincial granting agencies such as NSHRF; 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, Joseph 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 <http://www.cra-arc.gc.ca/E/pub/tp/it75r4/it75r4-e.html#p27>) 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 receive their funds (less tuition fees) in three installments at the beginning of each semester, provided they have registered early. Students who have registered by August 17, 2012 may collect their first installment (34% of scholarship less fees) on September 7, 2012. Students who have registered by December 14, 2012 may collect their second installment (33% of scholarship less fees) on January 11, 2013. Students who have registered by April 12, 2013 may collect their third installment (33% of scholarship less fees) on May 3, 2013. MBA students will receive their scholarships in two installments (50% of scholarship less fees) on September 7, 2012 and January 11, 2013, 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 his/her 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 2012-13 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 programs in the Academic Calendar) and submit an acceptable thesis or major research project. In some programs, a master degree or graduate diploma may consist of course-work only and no thesis (e.g. MSc in Astronomy). The course requirements for such non-thesis programs are described in the detailed description of the program in the Academic Calendar. 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 and outcomes applying to graduate students in such courses are of a graduate standard.

Where required, a student shall submit a thesis on a subject approved by the program coordinator in which research has been conducted under the direction of a supervisor appointed by the appropriate program committee. An oral defense in the presence of an examining committee appointed by the program coordinator and the Dean of the Faculty of Graduate Studies and Research is mandatory. Details on the defense process for each program are available through the FGSR and/or program coordinators.

Changes in courses or the thesis topic require the approval of the program coordinator.

5.8 Supervision of your thesis research:

The majority of graduate programs require a thesis except for some master programs with non-thesis options (e.g. MSc in Astronomy), and the EMBA, MBA, MMCCU and the Master of Finance programs which may have major research projects (MRP).

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* form in Section 14 of this

Handbook or available at http://fgsr.smu.ca/grad_cur_form.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 she/he needs 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 research while in progress (extracted from Regulation 28 of the 2012-13 Academic Calendar):

A student may be required to provide updates to the supervisor/supervisory committee on the progress of his/her 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 and 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 in Section 14 of this Handbook and from http://fgsr.smu.ca/grad_cur_form.html). The report must be signed by the student who 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 Faculty of Graduate Studies and Research. These evaluations become part of the student's record within 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 and in need of improvement
- unacceptable

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

- satisfactory
The student's progress, relevant to the period of time spent pursuing the research, is sufficient in terms of quality and quantity. In the assessment, leeway must be given for problems that may arise in pursuit of research which are beyond the reasonable control of the student. With a "satisfactory" rating, the student is recommended for continuation on his/her program.
- unsatisfactory and in need of improvement
Progress is not satisfactory. The student's progress, relevant to the period of time spent 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) identifying outcomes to be met by the student within a specified period. After the specified period, 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, the supervisor's new report on the student's progress will include an assessment of "unacceptable."
- unacceptable
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 "unacceptable" in the supervisor's report which will be forwarded 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 required to withdraw from his/her program. Students who have received an evaluation of "unacceptable" and have received notice of a requirement to withdraw have up to thirty 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 "unacceptable". If a student's progress has been determined to be less than fully satisfactory, the student must be rated "unsatisfactory and in need of improvement" and actions taken, as outlined above, before a rating of "unacceptable" could be considered).

5.10 The thesis defense

For all graduate programs with a thesis requirement, the thesis defense 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/administration/archives/theses.html>).

The thesis defense 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 defense 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 defense process *in general*:

Before the defense:

- The thesis is approved for defense. 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 defense.
PLEASE NOTE: If your graduate program does not have a form to approve the thesis for defense, students are encouraged to use the FGSR’s *Thesis Defense External Examiner Nomination Form* available in Section 13.0 of this handbook.

The examination committee is identified. Coincident with approval for the defense, 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; however the minimum requirements 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; for doctoral examining committees, the external examiner must be an expert in the thesis topic, external to Saint Mary’s University, and have no conflict of interest with either the doctoral candidate or his/her supervisors;
 - (iv) a neutral Chair (normally the program coordinator or the Dean of the FGSR).
- A thesis defense date is tentatively set and the thesis is distributed to the examiners for review. This should normally occur six to eight weeks before the proposed thesis defense 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 defense is organized, the room is booked and the event is advertised.
- Prior to the thesis defense, 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 defense, discussions between the external examiner, the thesis supervisor, the program coordinator/director, and the Dean of the FGSR may result in the defense being postponed or cancelled.
- The title/signature page of the thesis is prepared by the student according to the Library's guidelines, and brought to the defense.

During the defense:

- The chair makes introductions and clarifies the procedures/agenda for the examination.
- The student makes a presentation on his/her thesis, 20-40 minutes in duration, depending upon the graduate program's guidelines.
- If the questioning is *in camera*, the audience is asked to leave (often questions from the audience are entertained before the audience is dismissed).
- The questioning by the examiners begins. The order of questioners varies between programs. The questioning normally occurs in several "rounds", with each questioner asking several questions in each round.
- Questioning normally lasts anywhere from 30 minutes to 1 hour.
- For examinations in which the questioning is public, questions from the audience are normally entertained after the examination committee has completed their questioning.
- After the questioning is complete, the student leaves the room while the examination committee deliberates on the outcome of the defense.
- After deliberations, the candidate is informed of the outcome of the deliberations, and if the outcome is positive, the revisions that are required in order to complete the thesis.
- Normally, the thesis supervisor and other examiners who wish to see the thesis following revisions do not sign the title/signature page of the thesis.

After the defense:

- 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 defense sign the title/signature page.
- Copies of the thesis are prepared and submitted to the FGSR according to the Library's "Binding Procedures" available for master students at: http://www.smu.ca/administration/archives/theses/theses_masters.html and for doctoral students at: http://www.smu.ca/administration/archives/theses/theses_phd.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.

Every year the FGSR prepares a recommended schedule for the above thesis defense process and posts them on http://fgsr.smu.ca/grad_cur_policy.html.

Timely Handling of Theses for a Spring 2013 Convocation

IMPORTANT: The following deadlines should be met to ensure that graduate students can graduate in the Spring Convocation. It is highly recommended that the activities be completed in advance of the deadlines. Meeting these deadlines is ultimately the responsibility of the student, but Supervisors and Program Coordinators are encouraged to aid students in the process.

Deadline	Office/Bodies	Activity
October 1, 2012	Registrar	Submit application to graduate at the Spring Convocation.
March 6*	FGSR Office	The External Examiner Nomination Form (available at: http://fgsr.smu.ca/grad_cur_form.html), and one copy of thesis to Program Coordinator or FGSR Office (for distribution to External Examiner)**.
March 6	Program Coordinator or Supervisor	One copy for each Internal Examiner should be delivered to the Program Coordinator or Supervisor for distribution internally.
April 17	Program Coordinator, & Examination Committee	Recommended <i>latest</i> date to hold the thesis defense (note: only allows 2 weeks for revisions and copying of revised thesis before final submission deadline; if revisions are required that will require more than 2 weeks, a Spring graduation is unlikely).
May 1	FGSR	<p>Thesis based programs: FGSR must receive two unbound copies of thesis and an electronic version in PDF format, the signed title page, and any required forms: http://www.smu.ca/administration/archives/theses/theses_masters.html</p> <p>Prior to making all of your copies, Shane in the FGSR office would be happy to review one printed copy to ensure it meets the formatting guidelines.</p> <p>MRP based programs: FGSR must receive an electronic version in PDF format, the signed title page, and any required forms: http://www.smu.ca/administration/archives/theses/theses_research.html</p> <p>Electronic copies can be emailed to: fgsr@smu.ca</p>
May 10	Senate	Meeting to approve list of graduates for spring convocation
May 17	Halifax Metro Centre	Spring Convocation

*Receipt of the thesis by this date is absolutely necessary to allow time for shipping the thesis to the External Examiner and to give the External Examiner adequate time to review and comment on the thesis. For programs in which the FGSR Office facilitates thesis defenses, see the attached “Behind the Scenes” description regarding procedures for holding a defense.

** 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 defense 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 late 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 he/she intends to graduate (available from the Registrar's Office and at <http://www.smu.ca/servicecentre/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 defense 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 2012-13 Academic Calendar):

How long do I have to complete my program?

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 the 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 a 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 (see Academic Regulation 19 in the 2012-13 Graduate Calendar).

Minimum and Maximum Time-for-Completion of Programs

Minimum and Maximum Time-for-Completion of Graduate Programs				
Graduate Program	Minimum number of years (semesters)		Maximum number of years (semesters)	
	Full-time	Part-time	Full-time	Part-time
MA Atlantic Canada Studies	2 (6)	4 (12)	6 (18)	6 (18)
MA Criminology	2 (6)	4 (12)	5 (15)	7 (21)
MA History	1 (3)	2 (6)	4 (12)	5 (15)
MA Intl. Dev. Studies (Category I)	2 (6)	4 (12)	5 (15)	7 (21)
MA Intl. Dev. Studies (Category II)	1 (3)	2 (6)	4 (12)	5 (15)
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)
Masters of Finance*	1.2 (3.5)	NA	1.2 (3.5)	NA
Executive MBA*	2 (6)	NA	2 (6)	NA
MBA	2 (6)	4 (12)	5 (15)	7 (21)
MBA (Accelerated)	1 (3)	2 (6)	4 (12)	5 (15)
MBA – CMA**	NA	3 (9)	NA	6 (18)
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)
PhD Astronomy	4 (12)	8 (24)	7 (21)	10 (30)
PhD Business Admin. - Management	3 (9)	NA	6.3 (19)	NA
PhD Ind./Org. Psychology	3 (9)	6 (18)	7 (21)	10 (30)
PhD Intl. Dev. Studies	3 (9)	6 (18)	TBD	10 (30)
*Full-time “lock-step” program with defined courses in a prescribed sequence. **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. Requests for a leave of absence (forms available from Section 14.0 in this handbook or http://fgsr.smu.ca/grad_cur_form.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 as outlined in Section 4 of the Academic Calendar. Time spent away from one’s graduate program while on a leave of absence, does not contribute to the time-for-completion. Students returning from a leave of absence must re-activate their status by completing an application for visiting, upgrading and

reactivation students (forms available from Section 13.0 in this handbook or http://fgsr.smu.ca/grad_cur_form.html).

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 from Section 14.0 in this handbook or http://fgsr.smu.ca/grad_cur_form.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 doctoral 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 (pages 14 -22) of the 2012-13 Graduate Academic Calendar (<http://www.smu.ca/webfiles/GradCalendar2012-13primo.pdf>).

The following is extracted from that section of the Calendar:

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

- 1. HONESTY: An academic community of integrity advances the quest for truth and knowledge by requiring intellectual and personal honesty in learning, teaching, research and service.*
- 2. TRUST: An academic community of integrity fosters a climate of mutual trust, encourages the free exchange of ideas, and enables all to reach their highest potential.*
- 3. FAIRNESS: An academic community of integrity establishes clear standards, practices, and procedures and expects fairness in the interactions of students, faculty, and administrators.*
- 4. RESPECT: An academic community of integrity recognizes the participatory nature of the learning process and honours and respects a wide range of opinions and ideas.*
- 5. RESPONSIBILITY: An academic community of integrity upholds personal accountability and depends upon action in the face of wrongdoing.”*

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 2012-13 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 2012-13 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, research subjects);*
- 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 (<http://www.rcr.ethics.gc.ca/eng/policy-politique/framework-cadre/>). The Tri-Council's Framework indicates that breaches of Agencies' policies include, but are not limited to:

- Fabrication; Falsification; Destruction of research records; Plagiarism; Redundant publications; Invalid authorship; Inadequate acknowledgement; Mismanagement of Conflict of Interest.
- Misrepresentation in an Agency Application or Related Document by:
 - Providing incomplete, inaccurate or false information in a grant or award application;

- Applying for and/or holding an Agency award when deemed ineligible by NSERC, SSHRC, CIHR . . . for reasons of breach of responsible conduct of research policies;
- Listing of co-applicants, collaborators or partners without their agreement.
- Mismanagement of Grants or Award Funds
- Breaches of Agency Policies or Requirements for Certain Types of Research: Failing to obtain appropriate approvals, permits or certifications before conducting research activities.

In regard to the last bulleted point above, graduate students who will be using humans as research (i.e. experimental) participants (this includes any involvement of humans, even survey subjects) or will be using animals in their research must follow specific policies and procedures.

6.2.1. Research integrity for research involving human participants

All graduate students involved in research (funded or unfunded) using humans as research participants must have their research vetted and approved by the Saint Mary's Research Ethics Board (REB; see: <http://www.smu.ca/academic/reb/>). Every publically funded research institution across Canada has an REB which is governed by the Government of Canada's Panel on Research Ethics (PRE; <http://www.pre.ethics.gc.ca/eng/index/>) and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans 2 (TCPS 2; <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/>). Section 8 of this Handbook is entirely dedicated to the policies and procedures around Saint Mary's REB and the TCPS2. Students involved in research using humans as research participants should refer to this section of the Handbook, and more importantly, contact the REB Office. Graduate students are also strongly recommended to take the online tutorial TCPS 2: CORE (Course on Research Ethics; <http://tcps2core.ca/welcome>).

6.2.2. Research integrity for research involving animals

For 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, graduate students must receive certification from the Animal Care Committee. The Saint Mary's Animal Care Committee (animalcare@smu.ca) follows the standards (i.e., guidelines and policies) of the Canadian Council on Animal Care (CCAC; <http://www.ccac.ca/en>). 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 (<http://fgsr.smu.ca/>) 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://fgsr.smu.ca/grad_cur_award.html).

If you have entered your graduate program with a scholarship from an external major granting agency (e.g. NSERC, SSHRC, CIHR, NSHRF), 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 scholarships from the *Natural Sciences and Engineering Research Council (NSERC)*, see: http://www.nserc-crsng.gc.ca/index_eng.asp. The internal university deadline for CGS-M, PGS-M, CGS-D and PGS-D for this winter’s competition is October 19, 2012. Contact Susan Dore (susan.dore@smu.ca) in the Science Advising Centre or Heather Taylor (heather.taylor@smu.ca) in the Faculty of Graduate Studies and Research for details on these scholarships.

For information on scholarships from the *Social Science and Humanities Research Council (SSHRC)*, see: <http://www.sshrc-crsh.gc.ca/funding-financement/index-eng.aspx>. The internal university deadline for CGS-M applications in SSHRC disciplines for this winter’s competition is November 9, 2012. For information on CGS master awards in SSHRC disciplines, contact Heather Taylor (heather.taylor@smu.ca) in the FGSR Office. For SSHRC doctoral Awards, contact Margaret Schenk (margaret.schenk@smu.ca) in the FGSR Office.

For information on scholarships from the *Canadian Institutes for Health Research (CIHR)* at the masters and doctoral level please see: <http://www.researchnet-recherchenet.ca/rnr16/srch.do?all=1&search=true&org=CIHR&sort=program&masterList=true&view=currentOpps&fodAgency=CIHR&fodLanguage=E>. Internally, contact Margaret Schenk (margaret.schenk@smu.ca) in the FGSR Office.

For information on “Student Research Awards” from the *Nova Scotia Health Research Foundation (NSHRF)*, see <http://www.nshrf.ca/AbsPage.aspx?ID=1179&siteid=1&lang=1>. The competition for these awards is in the spring.

8.0 Research Ethics Board (REB)

8.1 REB Review Requirement and Review Exemption

The REB is a Senate Committee, mandated to review and approve research protocols that involve human participants for the institution. The REB must apply the federal Interagency Advisory Panel on Research Ethics policy called *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans 2 (TCPS 2)*. The TCPS 2 requires that all faculty, student, staff, funded or unfunded research protocols be brought before the REB for review and approval (Article 2.1), unless deemed exempt from review (Article 2.2).

<http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter2-chapitre2/#toc02-1a>

CORE, the Course on Research Ethics, is an online tutorial of the Policy:

<http://tcps2core.ca/welcome> In-house education sessions are provided each academic term as well as per request.

8.2 Research Ethics Education

There are several ways of learning about research ethics and the requirements for submitting an application throughout the year:

- Familiarize yourself with the TCPS 2
- Complete the online Course on Research Ethics (CORE), be sure to print your certificate of completion
- Attend one of the REB education sessions offered each term
- Read the Frequently Asked Questions from other students, faculty and staff listed on the REB website for information and tips
- Visit the Office of Research Ethics (AT 211) with your questions or for a consultation particular to your own research plans as it relates to ethics
- Read the “Procedures for Completing Requests for Ethics Review”
- Review the “REB Pre and Post Research Ethics Review Process” flowchart
- Prepare and manage your work according to your deadline
- Be sure to ask your questions and seek guidance throughout the process

8.3 Certificate of Ethical Acceptability/Continuation for Research Involving Humans

In order to recruit participants into a research study a Certificate of Acceptability for Research Involving Humans is required. In order to obtain a Certificate of Ethical Acceptability and a year after a Continuation from the REB; the research must comply with the policies and below guidelines, all covered during the application process:

1. *Tri- Council Policy Statement: Ethical Conduct for Research Involving Humans 2 (TCPS 2)* <http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/Default/>
2. Saint Mary’s University Senate <http://www.smu.ca/policy/welcome.html>
3. Saint Mary’s University Research Ethics Board <http://www.smu.ca/academic/reb/policies.html>

8.4 Non-compliance

The REB is obligated to report any cases in which a research protocol does not hold a valid Certificate of Ethical Acceptability/Continuation to the Dean of Graduate Studies and Research under the provision of the Saint Mary's University Policy on Integrity in Research and Scholarship and Procedures for Reporting and Investigating Scholarly Misconduct: <http://fgsr.smu.ca/documents/SenatePolicyStatementonIntegrityinResearchandScholarship.pdf>

8.5 REB Mandatory Pre and Post Approval Requirements

<http://www.smu.ca/webfiles/ProceduresForCompletingRequestsforEthicsReview-Jan2012.pdf>

8.5.1 PRE APPROVAL SUBMISSION REQUIREMENTS

<http://www.smu.ca/academic/reb/preapp.html>

- Application form (1B or 1C if already approved by another REB)
- Informed Consent (Template document: <http://www.smu.ca/academic/reb/forms.html>)
- Supporting Documents (Invitation letters, Interview protocols/questions, Surveys, Feedback Forms, Debriefing forms, Advertisement, Scales, etc.)
- Partial release of funds, Form 6 (if applicable)

8.5.2 POST APPROVAL REPORTING REQUIREMENTS

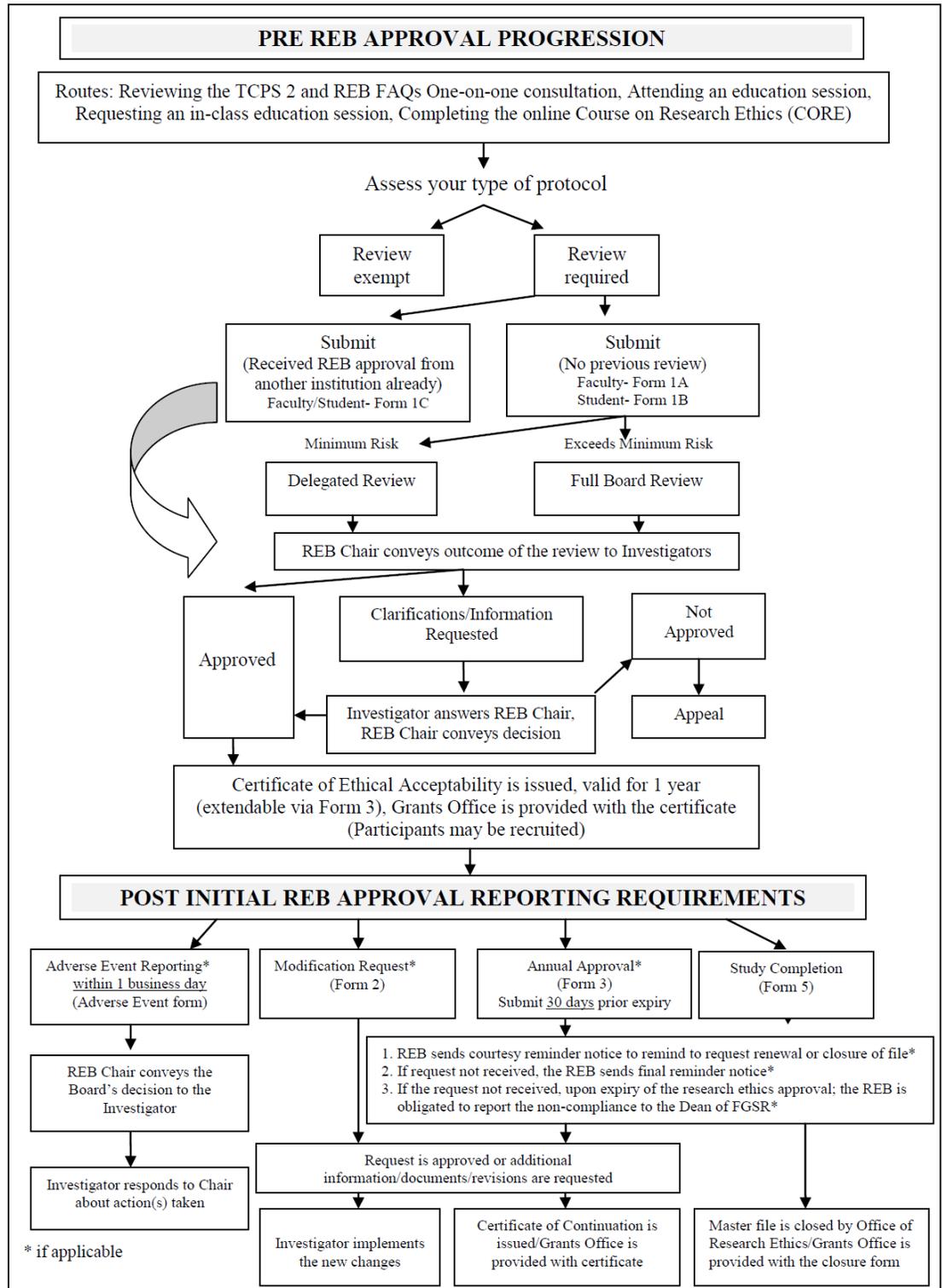
<http://www.smu.ca/academic/reb/postapp.html>

- Adverse Events (if applicable) via Adverse Event form
- Modification (if applicable) via Form 2
- Annual Renewal (if applicable) via Form 3 (Submit 30 days prior to approval expiry)
- Completion of Research via Form 5

For consultation and guidance please contact or visit the Office of Research Ethics (AT 211, 420-5728, ethics@smu.ca)

The REB website also provides a link to the TCPS 2, policy information, an extensive FAQ section including submission tips, the REB forms, and information about research ethics education (<http://www.smu.ca/academic/reb/welcome.html>)

8.6 REB Pre and Post Research Ethics Review Process



9.0 Animal care and research involving the use of animals

If thesis research is to involve the use of live 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 “Assurance of Animal Care” form must be completed and is available from the Animal Care Coordinator (animalcare@smu.ca). Approval of these forms can be time-consuming, so researchers are encouraged to seek approval early. Further information can be obtained from Animal Care Committee Chairperson Dr. Thomas Kozloski (thomas.kozloski@smu.ca).

The CCAC requires that “all personnel involved with the care and use of animals in research, teaching and testing must be adequately trained and must possess:

- adequate knowledge of the principles of experimental animal science relevant to their area of work (laboratory, field, or agriculture)
- the technical skills required for any procedure they must carry out
- an appreciation of the ethical issues of using animals for scientific purposes in Canada”

(Source: CCAC website: http://www.ccac.ca/en/_education/syllabus)

To be in compliance with these requirements, Saint Mary’s University Animal Care Committee will not approve protocols involving the use of vertebrate or higher invertebrate animals (i.e. squid, octopus, etc.) unless the graduate student has completed the required training. The required training modules are available from the CCAC’s website (http://www.ccac.ca/en/_education/niaut). The core stream training modules must be completed, as well as any other modules applicable to the proposed protocols. Upon successful completion of the applicable modules, a certificate will be granted and should be submitted with the subsequent Saint Mary’s Animal Care Protocol Forms. Further information can be obtained from Animal Care Coordinator Tara Inman (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: <http://www.smu.ca/administration/ohs/welcome.html>. There is also a very useful OH&S brochure, containing the Safety Policy and other useful information available at <http://www.smu.ca/administration/ohs/booklet.html>. An OH&S Committee (<http://www.smu.ca/administration/ohs/johsc.html>) 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. Ms. Wadman's contact information is: 420-5658; valerie.wadman@smu.ca.

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 Courtney Merriam (courtney.merriam@smu.ca; 420-5494) in the Office of the Dean of Science 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 well being 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 9.3 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 9.1. The policy is also available at: <http://www.smu.ca/administration/ohs/policies.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 <http://www.ccohs.ca/oshanswers/legisl/billc45.html>).

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 9.2 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 available in Section 13 of this Handbook and from the FGSR website. 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 <http://www.smusa.ca/husky-patrol>. Students can use this service by contacting the SUB Information Desk at 496-8755 for off campus pick-ups or by going to the Student Centre Information Desk. For more information or service inquiries, please call 496-8700.

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 does not have a defined policy related directly to graduate student IP, nonetheless, there are a few conditions to consider:

- #1- Students have IP rights and rights to protection under the Canadian copyright and patent legislation, provided they satisfy the requirements of the law.
- #2- 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. This may result in a number of commercialization-related activities including: patent applications, 3rd party licensing, 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 (2009-12) (available at:

<http://www.smu.ca/administration/hr/collective.html>) addresses any contractual agreements between the University and Faculty Members in regard to IP.

- #3- In circumstances where there is a potential and interest for thesis research to be commercialized, a thesis supervisor may ask a student to assign his/her intellectual property rights or to sign a non-disclosure 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.
- #4- 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 Industry Liaison Office.

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/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 Industry Liaison Office at: (902) 420-5270 or via e-mail: ilo@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 in Section 13 of this Handbook and from http://fgsr.smu.ca/grad_cur_form.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 a graduate program at Saint Mary’s University
- Applicants may only receive funding from this program once during the course of their studies

13.0 Graduate student societies/organizations

Graduate students fall under the Saint Mary's University Student Association (SMUSA), and there is no graduate student union *per se*. However, numerous graduate student societies and organizations, formal and informal, exist on campus. These groups can be very useful organizations for making contacts with fellow students, support and fun! The following is a list of these groups (known to FGSR) and contact information:

Criminology Graduate Student Committee
crim.grad@smu.ca

Executive MBA Class
James Allan, President
james.allen329@gmail.com

IDS Grad Society
Jill McPherson, President
mcperson.jill@gmail.com
<http://husky1.smu.ca/%7Eidsgradsoc/home.htm>

MBA Society
Angie McLeod, President
angela.McLeod@smu.ca
<http://husky1.stmarys.ca/~mbasociety/>

Psychology Graduate Society
Kate Calnan
katecalnan@gmail.com

14.0 Commonly requested forms

The following are forms created and used by the FGSR. Electronic versions of these forms are also available at: http://fgsr.smu.ca/grad_cur_form.html.

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 Registrar's Office (e.g. Application for Graduation; Letter of Permission) available at: <http://www.smu.ca/registrar/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: <http://www.smu.ca/administration/businessoffice/forms.html>

14.1 Graduate Application for Visiting, Upgrading and Reactivation Students

Instructions

This application should be completed if you wish to take graduate level courses as a Visiting, Upgrading or Reactivation student.

Forward application to:

Graduate Studies Officer
Faculty of Graduate Studies and Research
Saint Mary's University
923 Robie St, Atrium 210
Halifax, Nova Scotia, Canada B3H 3C3
Email: fgsr@smu.ca or Fax: 902-496-8772

Documents submitted to Saint Mary's University in support of the application for admission will become the property of Saint Mary's University and cannot be returned. Please allow 3-4 weeks for processing (or longer during peak times) before calling to enquire about the status of your application.

Application Categories

Visiting – students intending to take graduate level courses at Saint Mary's University on a "Letter of Permission" from their "Home Institution".

Note: Visiting students must submit a "Letter of Permission" to the Faculty of Graduate Studies and Research at Saint Mary's University and have approval from the appropriate Graduate Program Coordinator at Saint Mary's University.

Upgrading – students intending to take graduate level courses at Saint Mary's University after completing a degree program. **Please ensure that all official post-secondary transcripts are forwarded directly to the Faculty of Graduate Studies and Research from the institutions attended.** Students must have approval from the appropriate Graduate Program Coordinator at Saint Mary's University.

Reactivation – former Saint Mary's University students who satisfy all of the following:

- Returning to the same academic program.
- Did not attend Saint Mary's University for the entire preceding academic year or withdrew during the preceding academic year.
- Students must have approval from the appropriate Saint Mary's University program coordinator.
- Not be beyond the maximum period for their Graduate Program.

Application Deadlines

- **August 1 for September – December semester; December 1 for January – April semester; and April 1 for May – August semester**

Applications received after these deadlines will be considered on an individual basis. If an application cannot be processed due to time constraints, it will be considered for the next available session.

Residence Options

Students interested in living in residence should apply directly to the Residence Department. Applications for Single Student Housing are available to download at www.smu.ca/administration/resoffic/app.html or by calling 902.420.5598.

Students with Special Needs

Saint Mary's University provides support services to students with disabilities. Applicants are invited to complete the Centre's on-line registration form at www.smu.ca/administration/student services/atlcentr/apply.html, by calling 902.420.5452 or by e-mailing atlantic.centre@smu.ca. Students should forward relevant documentation regarding their particular disability directly to the Atlantic Centre for Students with Disabilities. Staff at the Atlantic Centre will review the documentation and arrange an interview with the applicant.

GRADUATE APPLICATION
For VISITING, UPGRADING AND REACTIVATION ADMISSION

Have you previously applied, attended or worked at Saint Mary's University? No Yes

Saint Mary's student identification #: (if known) A

Personal Information (Please clearly indicate upper and lower case letters)

Last Name (Surname/Family Name)

Previous Family Name (if applicable)

First Name

Middle Name

Street Address (please indicate address to which all university correspondence will be mailed)

City/Town

Province/State

Postal/Zip Code

Country

Phone Number (home)

(work)

(fax)

E-mail Address

Applicant's Gender

Date of Birth (D/M/Y)

Social Insurance Number

Country of Birth

Male Female

Citizenship

Immigration Status (non-Canadians)

Date of entry into Canada

Permanent Resident Student Visa Landed Immigr

(D/M/Y)

Start Date (Indicate year e.g. Sept 2012)

(Please check one)

Sept

Jan

May

Full-time studies

20

20

20

Part-time studies

Admission Categories (Please check one category)

VISITING

UPGRADING

REACTIVATION

* If you have selected **VISITING**, please include the name and program of "Home Institution" _____

Mailing address of "Home Institution" _____

A signed letter of permission from your home institution must accompany this form.

* If you have selected **UPGRADING**, list degree(s) and institutions(s) attended: _____

Please provide a list of courses you wish to take: _____

All post-secondary transcripts must accompany this form.

* If you have selected **REACTIVATION**, please check the academic program that you are re-entering

- PhD Astronomy
- PhD Business Admin (Management)
- PhD I/O Psychology
- PhD International Development Studies

- MA-Atlantic Canada Studies MA-Criminology MA-History MA-IDS
- MA-Philosophy MA-Theology & Religious Studies MA-Women & Gender Studies

- MSc-Applied Psychology MSc-Applied Science MSc-Astronomy

- EMBA MBA MBA-CMA MMCCU Master of Finance

How many credits did you earn? _____ Please indicate date of last registration at Saint Mary's _____
(D/M/Y)

Academic Record

Educational/Training Institution	City/Province/State/Count	From:		To:		Degree/Diploma/Level Obtained
		Month	Year	Month	Year	

Indicate all post-secondary institutions attended. Failure to disclose will invalidate this application. Include additional page if more space is required.

Freedom of Information and Protection of Privacy

Saint Mary's University gathers and maintains information used for the purposes of admission, registration and other fundamental activities related to being a member of the university community, and a public post-secondary institution in the Province of Nova Scotia, such as contact information regarding university programs, services, university advancement and development. If admitted, it will form part of the student record and may be disclosed to faculty or members of the university staff for officially recognized and legitimate use. In signing an application for admission, any information placed into your student record will be protected and used in compliance with Nova Scotia's Freedom of Information and Protection of Privacy Act 1993, c.5, s.1.

Regulations relating to all academic matters and student conduct on campus are made by the Board of Governors and the Senate of the university. In making this application, the student agrees to abide by all regulations, from time to time promulgated by the university. Attendance refers to both full-time and part-time and even applies in cases of withdrawal before completion of an academic year or program.

Signature _____

Date _____

Approved by: Graduate Program Coordinator
Signature
Date

For FGSR use only	
Processed <input type="checkbox"/>	Date _____
Copy to Registrar <input type="checkbox"/>	

14.2 Application for Differential Fee Waiver Funds

Application for Differential Fee Waiver Funds

Note: A small fund is available to provide minimal assistance to students who are required to pay differential fees. Due to limitation in the amount available only the most needy students can expect to receive support from this fund. In order to apply for support from this fund, the following information must be provided.

PRINT CLEARLY IN BLACK OR BLUE INK

Student's personal data

Mr. Mrs. Ms. Student number: _____

Name: _____

Address: _____

E-Mail: _____

Marital status: Do you have dependents? Yes No

Single Married If yes, number: _____

Divorced Common-law Other Ages _____

Canadian citizen Permanent resident Student status: Full-time Part-time

International student VISA

Program of study: _____

Number of courses completed: _____ Number of courses yet to be completed: _____

Tuition fees outstanding: _____ Differential fees associated with outstanding tuition fees: _____

Budget Information (September – April of current academic year)

<i>Expenses (per month X 12 months)</i>		<i>Resources</i>	
Rent or Room and Board	\$ _____	Summer savings	\$ _____
Food	\$ _____	Net Employment earnings	\$ _____
Telephone	\$ _____	Parent contribution	\$ _____
Electricity	\$ _____	Spouse contribution	\$ _____
Heat	\$ _____	Federal student loan	\$ _____
Water	\$ _____	Provincial student loan	\$ _____
Local transportation	\$ _____	Scholarships	\$ _____
Child care	\$ _____	Bursaries	\$ _____
Medical/dental	\$ _____	Church contribution	\$ _____
Misc: laundry/toiletries, etc.	\$ _____	Training allowance	\$ _____
Other Expenses		Sponsorship	\$ _____
University residence	\$ _____	Income assistance	\$ _____
University meal plan	\$ _____	Child tax credit	\$ _____
Tuition and fees	\$ _____	Child support	\$ _____
Books and supplies	\$ _____	Investments/RRSPs	\$ _____
Return transportation - ONCE	\$ _____	Other – specify	\$ _____
per academic year			
Other – specify	\$ _____		
Total expenses	\$ _____	Total resources	\$ _____
Total expenses minus Total Resources = Financial need		\$ _____	

Employment

Place of Employment during Summer _____ Position _____

Net Earnings \$ _____ Summer Savings \$ _____
Place of Employment (Academic Year) _____ Position _____
Full-time Part-time Net Employment Earnings (monthly) \$ _____ x 8 = \$ _____

Parent/Spouse Data

Occupation of parent(s) _____ Annual Gross Income \$ _____
_____ Annual Gross Income \$ _____
Occupation of spouse _____ Annual Gross Income \$ _____
Number of dependents in family _____ Number attending university _____
Do you live with your parents during the academic year? Yes No
If no, how many roommates do you have? _____

Comments

Please provide a full explanation of your financial circumstances. Explain why you wish to be considered for Differential Fee Waiver assistance. If there are special circumstances which limit the support provided by your parent(s) or spouse, please explain. **Limit is one page per application.**

Declaration: READ CAREFULLY BEFORE SIGNING!

I declare that the foregoing information is, to my knowledge, a true, complete and accurate statement of my financial status, and I hereby request consideration for assistance from the funds made available for this purpose by Saint Mary's University.

I understand that the submission of false information may be subject to proceedings under the Discipline System for students (see the current Calendar for the section on Student Discipline) and will result in the disqualification of my Application for Differential Fee Waiver.

I authorize the release by Saint Mary's University of information about any financial assistance that may be awarded to me as a result of this application.

I authorize Saint Mary's University to contact my sources of income for verification.

Signature: _____ **Date:** _____

Did you remember to..... **Multiply all of your expenses by 12?**
 Total your expenses and resources?

- Incomplete application will not be considered!
- Differential Fee Waiver funds are applied to the student's account.
- **Please do not call or drop by the office for results.** The results of your application will be mailed to you by the FGSR Office.

For Office Use Only:

Student Account Balance \$ _____ QPA _____
Award Amount \$ _____ Date _____

Approval:

Dean, Faculty of Graduate Studies and Research

Date:

14.3 Application Form for Conference Travel Funds (Graduate Student)

This program has been established by the Faculty of Graduate Studies and Research to assist graduate students with travel and accommodation expenses associated with presenting a paper or poster at a conference. Maximum funding support available under this program is \$500.

Completed application forms are to be submitted to the **Dean, Faculty of Graduate Studies and Research, Atrium Building Room 210**. There are two competitions per fiscal year with deadlines for submissions of April 1 and October 1. Applications will be vetted and decisions on funding will be made by the FGSR Awards Committee.

Eligibility criteria:

- Applicants must be attending the conference for the purpose of presenting a paper or poster
- Applicants must be registered as full-time students in a graduate program at Saint Mary's University
- Applicants may only receive funding from this program once (1) during the course of their Studies

Selection criteria:

- The proposed budget (reliability, reasonableness).
- Impact of the conference participation on the applicant's graduate program and on the profile of Saint Mary's as assessed by:
 - The explanation/justification provided by the applicant;
 - The potential impact of presenting at the conference on Saint Mary's profile;
 - The opportunities for publication of the conference presentation to a broad audience.

Complete applications must include:

- Application form (all sections)
- Budget of estimated expenses (complete the appropriate section in application form)
- Letter of acceptance from conference organizers *and/or* copy of conference program indicating student's participation
- Abstract of the paper

Section I – Applicant details

Name: _____ Student #: _____

Graduate Program: _____ Supervisor's name: _____

Program: _____

Current Status: Full-time Part-time Year Degree Expected: _____

Local Address: _____

Mailing Address: _____

Address: _____

E-mail: _____ Phone: _____

Have you previously received FGSR travel funding? Y / N

Section II – Conference Information

Title of Conference: _____

Date: _____

Location: _____

Presenting: Paper Poster

Title of Paper or Poster: _____

Section III – Estimated Costs

Registration Fees \$ _____

Transportation (_____) \$ _____

Lodging (_____ nights @ \$ _____ each) \$ _____

Meals \$ _____

TOTAL EXPENSES \$ _____

Amount of Request \$ _____

Other funding you have secured to defray the cost of presenting at this conference \$ _____

List additional sources of funding you have applied for and/or received. Include departmental support as appropriate. If your application for funding was denied, indicate why.

Describe your efforts to secure additional funding and indicate the sources consulted. What efforts have you made to reduce costs?

Section IV – Potential Impact of Conference Participation

On attached page(s) please provide:

- (i) An explanation of the potential impact of the conference participation on your graduate program and/or your scholarly activity/research program (up to 1 page).
- (ii) An explanation of the potential impact of presenting at the conference on Saint Mary's profile (up to 1/2 page).
- (iii) A brief explanation of the opportunities for publication of the conference presentation (if applicable) to a broader audience.

Section V – Verification of Applicant Information

I affirm that the above information is true and correct.

Applicant's Name: _____

Date: _____

Applicant's Signature: _____

Section VI– Approval and Recommendations

This section is to be completed by the student's supervisor

- I confirm that this student has maintained a good standing within the program.
- I confirm that this conference is important for this student's particular field of study.

Comment on the importance of the conference to the student:

Name: _____

Signature: _____

Date: _____

This section is to be completed and signed by the Graduate Program Coordinator.

- I confirm that this student has maintained a good standing within the program.
- I confirm that this conference is important for this student's particular field of study.
- I recommend that this student attend this conference for the following reasons:

Name: _____

Signature: _____

Date: _____

Updated July 2010

14.4 Thesis and Supervisor(s) Identification

Graduate Student's Thesis and Supervisor(s) Identification

The purpose of this form is to officially record the name(s) of the Supervisor(s) and tentative title/topic of the thesis research. Once completed, please forward to the Dean of the FGSR.

Student and Thesis Identification

Student's name: _____

Student I.D. Number: A email Address: _____

Graduate Program: _____

Date program started: _____

Thesis title (may be tentative): _____

Proposed courses: _____

Student's Signature: _____

Date: _____

Thesis Supervisor(s) Identification

The following agree to serve in a supervisory role for the above named student in the above named thesis

Primary Supervisor:	Name	Affiliation	Signature
Supervisory	_____	_____	_____

Committee Member:	Name	Affiliation	Signature
Supervisory	_____	_____	_____

Committee Member:	Name	Affiliation	Signature
Supervisory	_____	_____	_____

Committee Member:	Name	Affiliation	Signature
Supervisory	_____	_____	_____

Approval by the Graduate Program Coordinator/Director

The Program Coordinator/Director agrees that the above named Supervisor(s) is/are appropriate to supervise the above named student.

Program Coordinator/Director _____

Date _____

For FGSR use only

Date received: _____

Dean of the Faculty of Graduate Studies and Research _____

Date _____

14.5 Graduate Research Hazards Assessment

Graduate Research Hazards Assessment Updated: May 2010

University personnel in positions of supervision/responsibility of graduate students have ethical and legal responsibilities for the students' safety in regard to their approved research activities. The purpose of this 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. This form should be seen as the initiation of the management of the risk associated with hazards in graduate research, not the complete process. As hazards and risks associated with research activities change, it is students' responsibility to bring these to the attention of their Supervisors.

This form should be completed as soon as possible as the thesis research is being developed/designed and updated/resubmitted if the hazards/risks change.

While graduate students are individuals of the age of majority with the right of self-determination, without appropriate assessment and oversight of the graduate students' abilities to manage the risks associated with doing research in hazardous settings, the Supervisors and the University may be in legally culpable in the case of death or bodily harm to the graduate students and they are found to have been negligent. With this in mind, **Supervisors reserve the right to refuse approval of thesis research proposals when the risks to the graduate students 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 graduate students from the field when the risks (anticipated or newly arising) to the graduate students are assessed to be greater than can be reasonably managed.**

Procedures:

- The student prepares the thesis research proposal and completes Sections I to VII of the Graduate Research Hazards Assessment form, as applicable.
- When the research proposal is discussed with the Supervisor/Supervisory Committee, the information provided by the student in Graduate Research Hazards Assessment form should also be considered.
- If the Supervisor/Supervisory Committee cannot sign the certification as detailed in Section VIII, the Program Coordinator should be notified and normally the student will revise his/her proposal and/or the information within the Graduate Research Hazards Assessment according to the recommendations of the Supervisor/Supervisory Committee.
- Only once the Supervisor/Supervisory Committee is satisfied that any risks associated with the thesis research are manageable, should they sign the certification in Section VIII.
- The Graduate Program Coordinator will make his/her comments and forward the Form to the Dean of the FGSR.
- The graduate student can only move forward on his/her research until he/she has notification of the approval of the Graduate Research Hazards Assessment from the Dean.
- If the hazards or risks associated with the proposed research changes, the student must notify the Supervisor/Supervisory Committee as soon as possible. The Supervisor/Supervisory Committee will notify the Program Coordinator and the Dean of the FGSR as applicable/needed.

***Vetting of your GRHA by FGSR normally takes a minimum of 10 working days.**

**Graduate Research Hazards Assessment Form
FGSR, Saint Mary's University**

Section I – Student Identification

Name: _____ Student #: _____

Graduate Program: _____ Supervisor's name: _____

Local Address: _____

E-mail: _____ Phone: _____

- This is an original notification, or
- This is an update on an original notification that was dated

Thesis research title: _____

Brief description of the thesis research: _____

Section II – Hazard Assessment Declaration

Note: "Hazards" are defined here as substances, materials, equipment, or situations that may result in risks to the graduate student beyond the normal risks that the average Canadian university student is exposed in carrying out their normal daily activities. For example, using normal means of commuting to the University to carry out the research would not be defined as a hazard here. Road-testing an experimental bicycle prototype in commuter traffic would be defined as a hazard.

Please check one of the following:

- A. My thesis research will not involve any hazards (go to Section VII).
- B. My thesis research will involve hazards (go to Section III)

Section III – Identification of Hazards

My thesis research will be carried out:

- A. Only on campus
- B. On and off campus

My research will involve the following hazardous substances (check off as many of the following that apply):

- A. Biohazards (e.g. infectious materials)
- B. Dangerous chemicals (corrosive, carcinogenic, explosive, inflammable, toxins)
- C. Substances under high pressure
- D. Radio-active materials
- E. Other (list details/examples):

My research will involve the following potentially hazardous situations (check off as many of the following that apply):

- A. International travel* (list proposed countries):
- B. Field work in isolated settings or hazardous environments (e.g. unpopulated rural sites; wilderness; marine environments; industrial settings; dangerous urban settings)
- C. Use of hazardous equipment (e.g. chain saws, tractors)
- D. Interviews/interactions with criminal elements or other potentially dangerous individuals (list details/examples):

- E. Other potentially hazardous situations (list details/examples):

*Students engaged in international travel should contact Saint Mary's International Activities Office (420-5177).

Section IV – Personal Risk Assessment

Based upon the Hazards identified in Section III, please provide details on the hazards and explain in your own words your assessment of the level and nature of the risk associated with the hazard(s) (use an additional page if necessary):

Examples:

(1) I will be using perchloric acid in my experiments. Perchloric acid is extremely corrosive, and when mixed with organic substances, can be explosive. Crystalline perchloric acid is extremely dangerous and can explode at elevated temperatures . . .

(2) I propose to do my research in Egypt in the summer of 2007. Although armed hostilities have not taken place there for some time, the volatile situation in the middle-east region means one should be aware of all possibilities. There has also been several isolated bomb attacks of tourism sites in the recent past. The most dangerous settings are in the border regions with Gaza and in the tourism region along the Red Sea. . .

Section V – Proposed Risk Management Strategy

Based upon the Hazards and Risk Assessment identified in Sections III and IV, please explain in your own words your previous experience in handling such risks and how you would propose to manage the risk associated with the hazard(s) (use an additional page if necessary):

Examples:

(1) I am familiar with normal laboratory practices from working in a laboratory as a summer lab assistant. However, I have never handled perchloric acid before. I will receive WHMIS training in my Department and specific training on the safe handling and use of perchloric acid by my Supervisor. MSDS data sheets on perchloric acid exist in the lab. Perchloric acid will only be used within fumehoods specially designed to handle such corrosive/explosive substance, located in Room X and Y in the Science Building. We have a practice in our lab that if anyone is using perchloric acid, there must be at least one other person present on the floor at all times. . .

(2) I have travelled extensively in western Europe and throughout North America as a tourist. However, I have never travelled in the Middle East or carried out research abroad. As per procedures at Saint Mary's, I will attend a pre-departure meeting at the International Activities office on the risk associated with traveling in the Middle East and in Egypt in particular. My research will be taking place in Cairo and I will not be traveling near the border with Gaza or in tourism regions along the Red Sea. Upon arrival in Egypt, I will register with the Canadian Embassy. . .

Section VI – Certification by the Graduate Student

I certify that I have completed this Graduate Research Hazards Assessment form to the best of my ability and I have not knowingly withheld any information on my understanding of the hazards and risks associated with my proposed research.

I recognize that if the risk associated with my proposed research is assessed to be unmanageable by my thesis Supervisor(s) or at higher levels in the University, I will be required to modify the proposed research in a manner that will satisfy the concerns of my Supervisor(s)/the University.

Student's signature

Date

Section VII – Assessment by the Supervisor/Supervisory Committee

I/We have reviewed the student's research proposal and have discussed with the student the information provided in this form. I/We have found that the hazards are well identified, that the risks are well assessed, and that the risk management strategy will enable the risks to be reasonably well managed.

If for any reason, Supervisor(s) are not in agreement with the above statement, they should withhold their signature(s) and bring the issue to the attention of the Graduate Program Coordinator. Alternatives will have to be explored so that any risks associated with the proposed research can be manageable.

Once the form is signed, a copy should be forwarded to the Program Coordinator/Director.

Supervisor's name

Signature

Date

Supervisory Committee Members:

Name

Signature

Date

Name

Signature

Date

Name

Signature

Date

Section VIII – for Graduate Program Coordinator/Director’s Office use only*

_____ Signature

Comments: _____

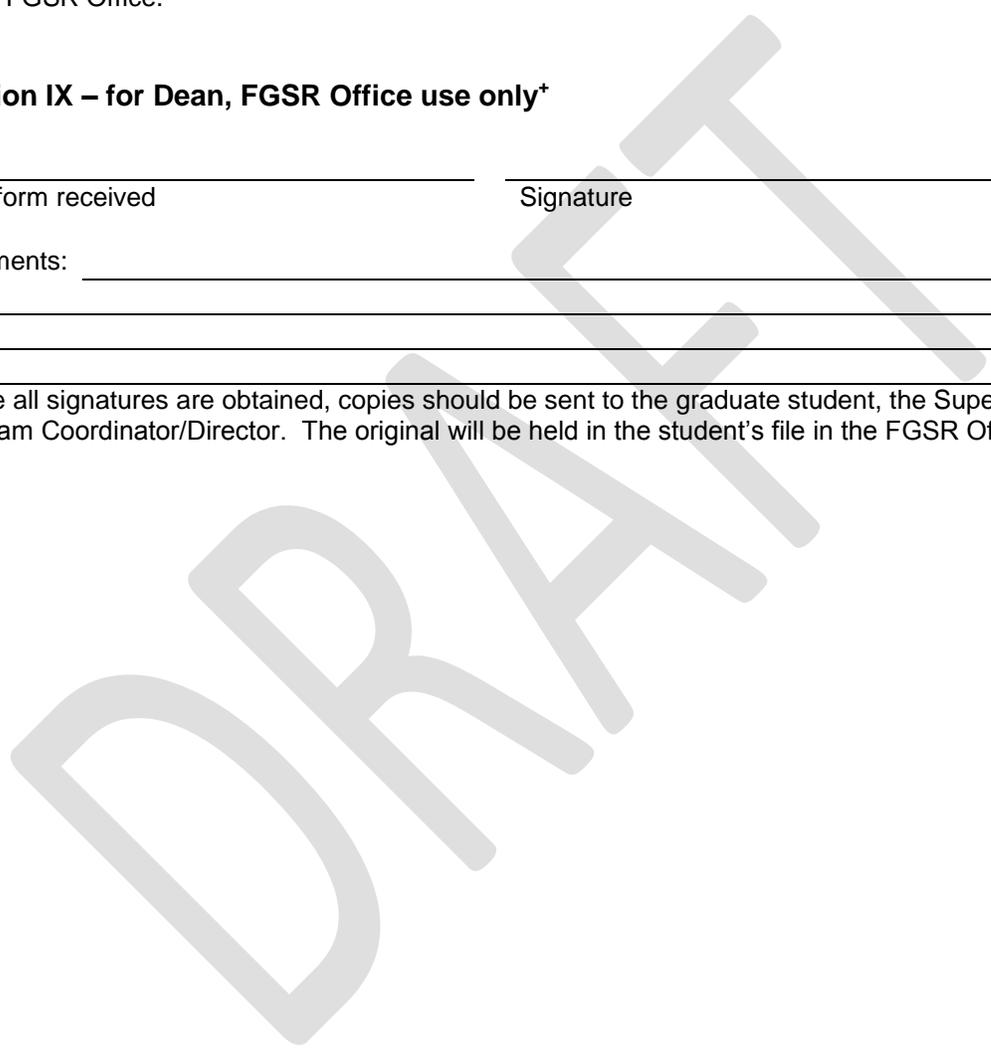
*Graduate Program Coordinator/Director should keep a copy of the form for their files and forward original to the FGSR Office.

Section IX – for Dean, FGSR Office use only*

_____ Signature

Comments: _____

*Once all signatures are obtained, copies should be sent to the graduate student, the Supervisor, and the Program Coordinator/Director. The original will be held in the student’s file in the FGSR Office.



14.6 Progress Report on Student's Graduate Program

The purpose of this form is to officially record the progress of graduate students within their program of study and research. The report should be completed after official meetings of the student with the Supervisor/Supervisory Committee (normally at least once per year). Attach a separate sheet if additional space is required for any section. Once completed, please forward to the Dean of the FGSR.

Student Identification

Student's name: _____
Student I.D. Number: A E-mail Address: _____
Graduate Program: _____
Date program started: _____
Intended completion date: _____
Date of last Progress Report: _____

Course Work Status

Course Work Completed: Yes No → if no, anticipated date of completion (mm/yy): _____

Please identify courses completed: _____

Please identify courses not yet completed: _____

Thesis Research Status (if applicable)

Thesis title (may be tentative): _____

Thesis Proposal Approved: Yes No

Number of times student has met with Supervisory Committee in last 12 months: _____

(if no meetings, please explain why): _____

Comprehensive/Candidacy Examination Status (if applicable)

Comprehensive/Candidacy Exam Completed:

Yes No → if no, anticipated date of completion (mm/yy): _____

Student's Progress

Outline the goals met last year:

Rating of Student's Progress (please refer to Regulation 28 in the Graduate Academic Calendar for full descriptions of the rating levels):

- Satisfactory (Student meets or exceeds minimum expectations)
- Unsatisfactory – In Need of Improvement (Supervisor must attach a plan with milestones and timelines to enable the student's progress to move into the "Satisfactory" rating within a 4 to 12 month period).
- Not Acceptable (Can only be given after failure to meet conditions set from a previous "Unsatisfactory" rating; student will normally be required to withdraw from her/his program).

For a student with a "Satisfactory" rating, outline the goals for the next year:

Supervisors' Signatures*

	Name (please print)	Signature	Date
Primary Supervisor	_____	_____	_____
Co-supervisor (if applicable)	_____	_____	_____
Supervisory Committee Member	_____	_____	_____
Supervisory Committee Member	_____	_____	_____
Supervisory Committee Member	_____	_____	_____

*The number of required committee members varies by graduate program.

Student Declaration

The above portions of this form and any attachments were completed prior to my signing. I have read and I understand my Progress Report. I would like to add the following comments to my Report:
Comments:

Signature

Date

For Graduate Program Coordinator/Director use only

Comments:

Program Coordinator/Director

Date

For FGSR use only

Date received:

Comments:

Dean, FGSR

Date

Distribution: Original with FGSR; copies to student, Primary Supervisor and Program Coordinator/Director

Updated: January 2008

14.7 Application for Full-time Thesis Continuation Status

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:

1. be geographically available to the university,
2. visit the campus regularly,
3. not be engaged in full-time employment (on or off campus) and
4. be in pursuit of their studies as a full-time occupation.

Students requesting full-time thesis continuation status are required to complete and sign the attached disclosure and to append the letter of justification. The form must be endorsed by the Supervisor, authorized by the Program Coordinator, and submitted to the Faculty of Graduate Studies and Research. Students will only be contacted if there are questions about the eligibility for full-time thesis status. ***It is a serious offense for an individual applying for full-time thesis continuation status to misrepresent her/himself in regard to the above criteria.***

<p>Part A – This section to be completed by the student</p> <p>Student Name: _____ Student I.D.: _____</p> <p>Address: _____</p> <p>Phone #: _____ E-mail: _____</p> <p>Program of study: _____</p> <p>Thesis title: _____</p> <p>Period of time for which full-time thesis continuation status is requested (indicate semester(s) and year(s) as applicable):</p> <p><input type="checkbox"/> Sept to Dec 20____ <input type="checkbox"/> Jan to Apr 20____ <input type="checkbox"/> May to Aug 20____</p> <p>I confirm that, in accordance with the above criteria, I am a full-time thesis continuation student.</p> <p>Student Signature: _____ Date: _____</p> <p>Attach a letter to justify the request for full-time thesis continuation status (this should include your employment situation, availability to the campus/thesis supervisor, research/writing activities for the requested period, anticipated thesis completion date, etc.)</p>
<p>Part B – This section to be completed by the Supervisor</p> <p>I confirm that, to the best of my knowledge and in accordance with the above criteria, _____ is a full-time thesis continuation student.</p> <p>Supervisor's Signature: _____ Date: _____</p>
<p>Part C – This section to be completed by the Program Coordinator</p> <p>I acknowledge receipt of the request by _____ for full-time thesis continuation status.</p> <p>Program Coordinator's Signature: _____ Date: _____</p>
<p>Part D – FGSR use only</p> <p>Date Received: _____ Received by: _____</p>

14.8 Thesis Defense External Examiner Nomination

Instructions: Complete this form and return it to the Dean of the Faculty of Graduate Studies and Research along with a copy of the student's thesis. The student's Supervisor is asked to ensure that the nominee for External Examiner is willing to accept the task before submitting the name to the Graduate Program Coordinator. The External Examiner for a PhD thesis must be from outside the University. External Examiners for Masters' theses may be from inside the University, but must not have served in a supervisory or advisory role on the student's thesis or thesis research.

Candidate Information

Name: _____
Student I.D. Number: _____ E-mail Address: _____
Program: _____
Thesis Title: _____
Thesis Defense Date:(proposed) _____

External Examiner Nomination Information

Nominee's Name & Title: _____
Phone Number: _____
E-Mail Address: _____
Mailing Address: _____

It is anticipated that the External Examiner:

- i) will attend the Thesis Defense
 in person (travel costs and arrangements are not the responsibility of the Faculty of Graduate Studies and Research); or
 by conference call.
ii) will not attend the Thesis Defense in person (Chair will pose the questions provided by the External Examiner in his/her report at the Thesis Defense).

The nominee has been informally contacted and is willing to serve in this capacity.

Supervisor's Name and Signature _____ Date _____

Thesis Submission

By signing below, members of the student's supervisory committee agree that:

1) a comprehensive review of the submission has been conducted; 2) in the opinion of the committee, the work has reached a point where examination is appropriate; and 3) all committee members agree that the thesis is suitable for submission to the External Examiner.

Committee Member 1:	(name)	(signature)
Committee Member 2:	(name)	(signature)
Committee Member 3 :	(name)	(signature)

Approval of selected examiner and external examination

Coordinator of Program _____ Date _____

Dean of the Faculty of Graduate Studies and Research _____ Date _____

Updated: February 2008

14.9 Application for Leave of Absence from a Graduate Program

Policy and Procedures for Leave of Absences from Graduate Programs

Updated: May 2012

Students who, due to exceptional personal circumstances, are prevented from actively pursuing their course of study and research within the normal period of their Graduate Program may apply for a Leave of Absence during the course of their absence. If granted, students must pay the associated fees for each semester during the course of their absence.

The maximum leave period provided under this policy is twelve (12) months. The period for which a graduate student is granted a leave does not count towards the students time-to-completion of their program (i.e. the clock is “stopped”, while the student is on leave). At the end of the period of approved Leave of Absence the student must reactivate their program by completing the application form for “Visiting, Upgrading and Reactivation Students” available on the FGSR web site. Reactivation of a program requires approval from the Program and the Dean of the FGSR. If a student is receiving funding from the University in support of their graduate program at the time she/he takes a Leave of Absence, she/he is not guaranteed to receive the funding upon reactivation of her/his program.

Procedure for students:

To apply for a Leave of Absence the:

1. student must document in a letter to the appropriate Program Coordinator the reasons they require a leave of absence
2. student must complete the “*Application for Leave of Absence from Graduate Program*” available on the FGSR website
3. student must send the “*Application for Leave of Absence from Graduate Program*” form and letter to the Research Supervisor and Program Coordinator for approval
4. Research Supervisor and Program Coordinator must complete the University Approvals section of the “*Application for Leave of Absence from Graduate Program*” form
5. Program Coordinator must forward the letter and completed “*Application for Leave of Absence from Graduate Program*” form to the Dean of the Faculty of Graduate Studies and Research (FGSR) for decision
6. Dean of the FGSR makes final decision about the request and provides written documentation to the student

Students who have been granted a leave of absence should note that they must:

1. Pay the appropriate fees for **each semester** they remain in this status
2. Reactivate their program at the end of the of their approved Leave of Absence period by completing the application form for “Visiting, Upgrading and Reactivation Students” available on the FGSR web site.

In all cases the Dean of the FGSR reserves the right to approve or deny any application for Leave of Absence. The decision of the Dean of the FGSR is final.

Application for Leave of Absence from Graduate Program

Student's name: _____ **Student ID #:** _____

Mailing address: _____

E-mail address: _____ **Phone #:** _____

Student's research supervisor: _____

Program of study (please check one):

Arts

Degree:

- Atlantic Canada Studies
- Criminology
- History
- IDS
- Philosophy
- Theology and Religious Studies
- Women and Gender Studies

- PhD - IDS

Commerce

Degree:

- EMBA
- MBA
- MBA-CMA
- Master of Finance
- Master of Mgmt of Cooperatives and Credit Unions

- PhD Business Administration (Management)

Science

Degree:

- Astronomy
- Applied Psychology
- Applied Science

- PhD - Astronomy
- PhD - I/O Psychology

Reason for leave of absence request (*Student must attach a letter of request addressed to the Program Coordinator, and any other supporting documents*)

I hereby apply for a leave of absence for (indicate both semester(s) and year(s) applicable):

- Sept to Dec 20__
- May to Aug 20__
- Jan to Apr 20__

Student's declaration of understanding:

If my request is granted, I understand that a) I will not be classified as an "active" student; b) the maximum time permitted in this status is twelve (12) months; c) I must pay the requisite fee for "leave of absence", d) I must file an Application Form for Visiting, Upgrading and Reactivation Students with the FGSR to re-activate my status, which will not automatically be granted, and e) upon reactivation of my Program, I am not guaranteed to receive funding from the University that I may have been receiving when I took my Leave.

Signature: _____ **Date:** _____

University Approvals (where approval is denied, indicate reason on reverse)

Granted: Yes No Research Supervisor _____
Granted: Yes No Program Coordinator _____
Granted: Yes No Dean, FGSR _____

Distribution: Registrar
Dean FGSR
Financial Services
Program Coordinator
Student

14.10 Graduate Program Extension Request

Guidelines for Granting Extensions to Graduate Programs

These Guidelines were approved by the FGSR Graduate Studies Committee in July, 2005.

Circumstances may sometimes justify an Extension to a student's Graduate Program beyond the normal maximum period identified in the SMU Calendar.

- 1) An Extension to a Graduate Program may be considered under any of the following conditions which have interfered with the student's ability to complete her/his Program within the normal maximum period:
 - a) Illness, family strife, or unforeseen family responsibilities*
 - b) Pursuit of an employment opportunity which was a positive experience towards the student's Graduate Program*
 - c) Unforeseen difficulties beyond the control of the student in pursuit of the thesis research.

*Note: In cases (a) and (b) above, it is highly preferable that the student apply for a Leave of Absence from their Programs at the time of the incident/situation which "stops the clock" on their normal time-to-completion for their Program.

- 2) A student applying for an Extension should submit a written request on the proper FGSR form (available on the FGSR website) to the Coordinator or Chair of his/her program or department (the latter normally in the case of interdisciplinary programs). The request should include a letter of support from the student's research supervisor or supervisory committee where this is applicable, together with a letter describing in detail the reasons for the requested extension and supporting documentation, where applicable, certifying the facts surrounding the request. After the program or department has reviewed the application and has approved it at the departmental or program level, it will then be forwarded to the Dean of Graduate Studies and Research along with a letter of support from the Program Coordinator or departmental Chair.
- 3) The Extension to a Program will be for a maximum of 1 year in length per request. Extensions can be granted at maxima of only twice for Master's programs and only three times for PhD programs.
- 4) A student at or beyond her/his normal maximum Program period who is denied an Extension will normally be required to withdraw from her/his Graduate Program.
- 5) A student who does not complete her/his Program within the maximum number of allowable Extensions will normally be required to withdraw from her/his Graduate Program.
- 6) Extensions will not be granted retroactively to a student who abandoned her/his Program (i.e. failed to register for one or more semester) and is beyond their normal maximum Program period.

Updated: February 2008

Graduate Program Extension Request

Part A – This section to be completed by the student

Student Name: _____ Student I.D. _____

Address: _____

Phone #: _____ E-mail: _____

Program of study: _____

Thesis/MRP title: _____

Supervisor(s): _____

Student Signature: _____ Date: _____

NOTE: A letter from the student giving the reasons for and the duration of the extension MUST be attached to this form.

Part B – This section must be completed by Graduate Studies Program Coordinator

Continuation Request:

Recommended Yes No Date _____

Comments (or attach letter):

If continuation request granted, revised completion date will be: _____

anticipated graduation will be: Spring Fall Year: _____

Program Coordinator's signature: _____

Part C - This section to be completed by the Faculty of Graduate Studies & Research.

Continuation Request Status:

Granted Not Granted

Comments/Conditions:

Date _____ **Signature:** _____

Notification of decision to: Registrar / Student / Program Coordinator

**Application Form for International Travel Funds
Graduate Student Thesis Field Research
Social Sciences and Humanities**

Updated: August, 2009

The Faculty of Graduate Studies and Research has been given permission from SSHRC to utilize a portion of the University's SSHRC General Research Fund for a three-year period (from 2009-2010 to 2011-2012) to support field research travel for full-time graduate students working in SSHRC-eligible disciplines. These travel funds will be allocated by the Awards Committee of the Faculty of Graduate Studies and Research to applicants who will be carrying out research activities towards their Masters or PhD theses in international settings (outside of the United States of America and Canada).

Graduate Program Coordinators (GPC) will be notified of the availability of travel support for graduate students conducting their thesis fieldwork outside of Canada and the United States of America. The maximum support provided to a single student during their program will be \$2,000. The intention of the award is to cover return transportation costs (air, train and bus travel) only.

Applications are due at the respective GPC on **March 15** of each year. The GPC will submit the applications with recommendations to the FGSR Office by **April 1** of each year.

Travel funds must be utilized within 12 months of being awarded. If unused during that time period, the funds return to the pool for the subsequent year's allocation.

Application Procedures and Selection Criteria:

1. Within, and as attachments to, the application form, the applicants must
 - provide an up-to-date Saint Mary's University transcript;
 - provide a letter from the Graduate Program Coordinator indicating the stage of the applicant within their Program (normally all coursework should be completed);
 - provide a summary (two pages, single spaced) of the research objectives, protocol, and outcome and other necessary instruments for successfully completing field research, including identifying and contacting necessary local contacts, prior to leaving for thesis fieldwork abroad . Within the summary, the applicant should also indicate how the field research is necessary/linked to fulfilling the thesis objectives.
 - indicate that he/she is prepared to embark upon their field research within six (6) months of having been identified as an awardee of the Travel Funds; and
 - not be a recipient of any other grants or awards in support of the travel in excess of \$3,000.
2. Completed applications will be received and evaluated initially by each of the respective GPC.
3. The GPC will rank the applicants in terms of the merit of each application. Merit is here understood as cogency of the proposed field research, its potential for advancing knowledge in

the graduate student's area of research, and its relevance to international activities as detailed in the University's 2008-2011 Academic Plan.

4. Each GPC will then forward the applications and the ranked list of applicants to FGSR for consideration by the FGSR Awards Committee.
5. The FGSR Awards Committee will evaluate all applications from across the Faculty; however, it shall not alter the ranking of the candidates from within a program with regard to their merit, as this has been determined by those closest to the candidate's work.
6. Amount of awards will be the amount the student has requested for eligible expenses up to the maximum amount of \$2,000 (i.e. an all-or-nothing strategy; awarding many small awards below what the student has requested is to be avoided).
7. Awardees must complete and submit a Graduate Research Hazards Assessment Form (available at www.smu.ca/academic/fgsr/documents/GraduateResearchHazardsAssessmentForm-Dec2008.doc) before travel and attend a pre-departure briefing from the International Activities Office (contact miyuki.arai@SMU.CA).
8. Awardees must also follow the SMU Administration Policies and Procedures on Travel, including submission of receipts, boarding passes and a Travel Expense Report (contact the FGSR for SMU's Policies and Procedures on Travel).

International Travel Funds for Graduate Student Thesis Field Research

Section 1 – Applicant Details

Name: _____ Student I.D. #: _____
 Address: _____
 E-mail: _____ Phone: _____
 Program: _____ Intended Destination: _____

I acknowledge that if I am successful, I must receive approval of a Graduate Research Hazards Assessment and attend a pre-departure briefing from the International Activities Office before traveling.

Applicant's Signature: _____ Date: _____

Section II – Required Information

Attachments: Current Official Transcript
 Letter from Graduate Program Coordinator
 Summary of Research Objectives, Protocol and Outcome

Section III – Estimated Costs (transportation only; e.g. air and ground travel) or attach budget

_____	\$	_____
_____	\$	_____
_____	\$	_____
_____	\$	_____
TOTAL EXPENSES	\$	_____
Amount of Request	\$	_____
Other funding secured to defray the cost of travel (must not exceed \$3,000).	\$	_____

List additional sources of funding you have applied for and/or received to defray travel costs

List all sources of funding you have received to support your graduate program (i.e. fellowships, scholarships, teaching assistantships, etc)

Section IV – Approval

Yes No Amt \$ _____

Chair, Graduate Program Coordinator _____ Date: _____

Reason, if not approved _____

Dean, Graduate Studies and Research _____ Date: _____

15.0 Graduate studies glossary of terms

Course-fee-based graduate programs/students: Applies to all graduate students in the MBA and the MMCCU programs and graduate students in MA and MSc programs who initiated their programs prior to September 2004 (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 thesis 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. Please note that this does not apply to some “lock-step” programs such as the EMBA and the Master of Finance.

FGSR9000: A “pseudo-course” in which [Program-Fee-Based Graduate Students](#) should register in every semester in their graduate program (excluding MBA-CMA students). 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).

[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](#).

Graduate Studies Officer: Housed within the offices of the FGSR (Atrium, Room 210), the Graduate Studies Officer, [Heather Taylor](#), is the coordinator for the application process for all graduate programs and is 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 form for [“Visiting, Upgrading and Reactivation Students” 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 who took up their graduate programs as of September 2004 or later, all PhD students, and students in the EMBA, the MBA-CMA and the Master of Finance 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](#) (except MBA-CMA students).

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 a [“Visiting, Upgrading and Reactivation Students” 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 108. The Graduate Studies Officer, [Heather Taylor](#) (Atrium, Room 210), may also be of assistance to students with questions for the Registrar.

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 his/her 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.

Upgrading graduate student: Students with a previous degree (graduate or undergraduate) taking graduate courses at Saint Mary’s University. Upgrading graduate students must apply for entry into Saint Mary’s by filling out a [“Visiting, Upgrading and Reactivation Students” form available on the FGSR web site](#) and submitting it to the FGSR. Please ensure that all official post-secondary transcripts are forwarded directly to the FGSR from previous institutions attended. Upgrading students must have approval from the appropriate Saint Mary’s University graduate program coordinator/director.

Visiting graduate student: Students enrolled in a graduate program at another university who take course(s) at Saint Mary’s University on a “Letter of Permission” from their “home institution”. Visiting students must submit a “Letter of Permission” to the Faculty of Graduate Studies and Research at Saint Mary’s University and have approval from the appropriate Saint Mary’s University graduate program coordinator/director. Visiting students must apply for entry into Saint Mary’s by filling out a [“Visiting, Upgrading and Reactivation Students” form available on the FGSR web site](#) and submitting it to the FGSR.

16.0 Academic Calendar of Events

Registration Dates		
June 22, 2012	Friday	Spring term (May-June) ends.
July 3, 2012	Tuesday	Summer term (July-August) begins.
July 9, 2012	Monday	Last day for registering and changing a summer term (July-August) course
August 20, 2012	Monday	Summer term (July-August) ends. Graduate summer term (May-August) ends.
September 5, 2012	Wednesday	Classes begin.
September 14, 2012	Friday	Last day for registering and changing a fall term (September-December) course.
November 13, 2012	Tuesday	Last day for withdrawing, without academic penalty, from three (3) credit hour or six (6) credit hour courses taught only in the fall term (September-December).
November 28, 2012	Wednesday	Last day of classes for the fall term.
January 7, 2013	Monday	Classes resume.
January 16, 2013	Wednesday	Last day for registering in a winter term (January-April) course.
February 15, 2013	Friday	Last day for withdrawing, without academic penalty, from six (6) credit hour courses taught from September to April.
March 15, 2013	Friday	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 (January-April)
April 4, 2013	Thursday	Last day of classes for the winter term.

Payment Deadlines		
May 11, 2012	Friday	Last day for final payment of spring term (May-June) and graduate summer term (May-August) tuition fees.
July 9, 2012	Monday	Last day for final payment of summer term (July-August) tuition fees.
September 14, 2012	Friday	Last day for final payment of fall term (September-December) tuition fees.

January 16, 2013	Wednesday	Last day for final payment of winter term (January-April) tuition fees.
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Graduation Dates		
June 29, 2012	Friday	Deadline for filing an "Application to Graduate" for Fall (October) Convocation 2012.
October 1, 2012	Monday	Deadline for filing an "Application to Graduate" for Winter (January) Convocation 2013 or Spring (May) Convocations 2013.
October 14, 2012	Sunday	Fall Convocation
January 20, 2013	Sunday	January Convocation (tentative)
May 17, 2013	Friday	Spring Convocations - Halifax Metro Centre (tentative)

Final Exam Dates		
November 29, 2012	Thursday	Study Day. No classes or exams.
November 30, 2012	Friday	Start of formal final examinations in three (3) credit hour courses and formal mid-year examinations in six (6) credit hour courses.
December 18, 2012	Tuesday	End of final examinations and end of the fall term. <i>Note: Subject to change should it not be possible to schedule all formal examinations in the designated timeframe.</i>
April 5, 2013	Friday	Study Day. No classes or exams.
April 8, 2013	Monday	Start of formal examinations.
April 25, 2013	Thursday	End of final examinations and end of the Winter term. <i>Note: Subject to change should it not be possible to schedule all formal examinations in the designated timeframe.</i>

Holidays		
July 2, 2012	Monday	Canada Day Observed. University Closed. No Classes.

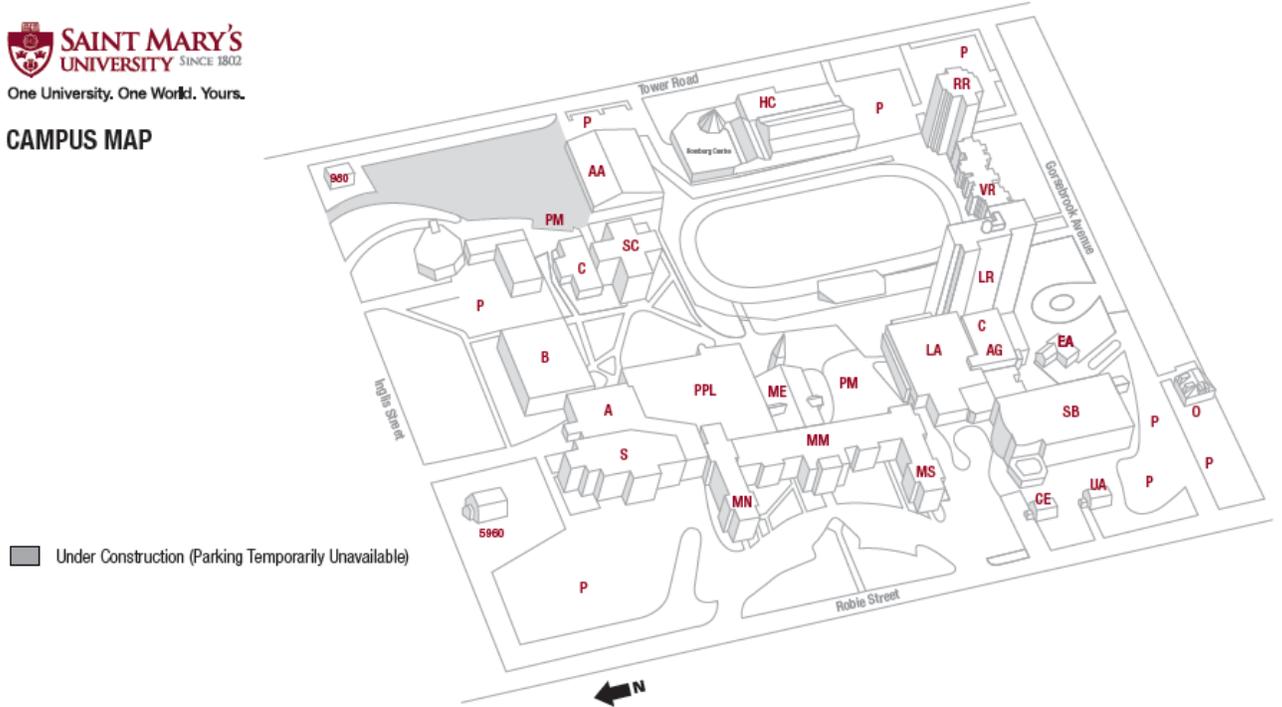
August 6, 2012	Monday	Natal Day. University Closed. No Classes.
September 3, 2012	Monday	Labour Day. University Closed. Service Centre and Service Expo open limited hours.
October 8, 2012	Monday	Thanksgiving Day. University Closed. No Classes.
November 12, 2012	Monday	University closed in lieu of Remembrance Day. No Classes.
December 8, 2012	Saturday	Patronal Feast of the University. Normally no examinations are scheduled on this day.
December 21, 2012 - January 3, 2013	Friday - Thursday	University closes for the holidays at noon on Friday December 21, 2012. University re-opens on Thursday January 3, 2013.
February 18, 2013 - February 23, 2013	Monday - Saturday	Winter Break. No classes.
March 29, 2013	Friday	Good Friday. University Closed. No Classes.
April 1, 2013	Monday	Easter Monday. University Closed. No Classes.

17.0 General Campus Information

17.1 Campus Map



CAMPUS MAP



A Atrium	LA Loyola Academic Complex	P Parking	HC Homburg Centre for Health and Wellness
AA Alumni Arena	LR Loyola Residence	PM Parking Meters	UA Development/Alumni
AG Art Gallery	ME McNally East Wing	PPL Patrick Power Library	VR Vanier Residence
B Burke Building	MM McNally Main	RR Rice Residence	980 TESL Centre
C Cafeteria	MN McNally North Wing	S Science Building	5960 Gorsebrook Research Institute for Atlantic Canada Studies
CE Continuing Education	MS McNally South Wing	SB Sobey Building	
EA External Affairs	O The Oaks/International Activities	SC O'Donnell Hennessey Student Centre	

All main buildings are wheelchair accessible and most are connected by tunnels or walkways.

17.2 Housing

For information on Campus Family & Graduate Housing visit

<http://www.smu.ca/administration/resoffic/family.html> or telephone (902) 420-5589.

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 or 496-8778
After hours nurse, telephone 471-8129

Also see: <http://www.smu.ca/administration/student-services/health.html>

17.4 Information Technology Systems and Support

Information Technology Systems and Support (ITSS) 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 6,700 student devices in addition to the 1,800 university computers in labs, classrooms, and faculty and administrative offices. As well as the network services, students living in residence are provided with telephone and voice mail services.

Most on-line services are supported by ITSS including SMUPort and Banner Self-service. In SMUPort, the university's web portal, students can connect with the campus community, and obtain on-line course information through course tools and Blackboard. Banner Self-service 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.

Six general access computer labs and several departmental labs across campus hold over 400 workstations. Some general access labs are open 24 hours per day, 7 days a week. In the labs, 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. Labs are also equipped with laser printers, and colour printing is provided through the campus Print Centre.

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 3 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 ITSS in a number of ways. The department maintains documentation on how to use the technology services on campus. Lab assistants are on hand through the day and evening during the academic year to aid students in the labs. ITSS operates two Help Desk locations to provide support in person, by telephone or email.

For further information visit the ITSS web page (www.smu.ca/itss), phone (902) 496-8111, or email 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 Tower (<http://www.smu.ca/athletics/tower/>), during the fall and winter semesters and a summer membership can be purchase for a very reasonable fee.

17.6 (Other) Important people on campus

President: president@smu.ca	Dr. J. Collin Dodds;
Vice-President Academic and Research: vpacademic@smu.ca	Dr. David Gauthier;
Associate Vice President, Enrolment Services and Registrar: registrar@smu.ca	Dr. Paul Dixon;
Dean, Faculty of Graduate Studies & Research: kevin.vessey@smu.ca	Dr. J. Kevin Vessey;
Dean, Faculty of Arts: esther.enns@smu.ca	Dr. Esther Enns;
Dean, Faculty of Science: steven.smith@smu.ca	Dr. Steven Smith;
Dean, Faculty of Commerce: patricia.bradshaw@smu.ca	Dr. Patricia Bradshaw;
Director, Student Services keith.hotchkiss@smu.ca	Mr. Keith Hotchkiss;
Acting Director, International Activities maureen.woodhouse@smu.ca	Ms. Maureen Woodhouse;

18.0 References

2012-13 Academic Calendar, Saint Mary's University

<http://www.smu.ca/servicecentre/calendar.html>

A Guide to Intellectual Property for Graduate Students and Postdoctoral Scholars,
Canadian Association of Graduate Students

http://www.cags.ca/documents/publications/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, 2009-12 (<http://www.smu.ca/administration/hr/collective.html>)

Freedom of Information/Protection of Privacy Policy, Saint Mary's University

<http://www.smu.ca/administration/foipop/>

Occupational Health & Safety Orientation Booklet, Saint Mary's University

<http://www.smu.ca/administration/ohs/booklet.html>

Policy on the Prevention and Resolution of Harassment and Discrimination, Saint Mary's
University (<http://www.smu.ca/policy/documents/6-2013Harrassment.pdf>)

Policies on Integrity and Research in Scholarship Procedures for Reporting Misconduct,
Saint Mary's University

<http://fgsr.smu.ca/documents/SenatePolicyStatementonIntergrityinResearchandScholarship.pdf>

Safety Policy, Saint Mary's University (<http://www.smu.ca/administration/ohs/policies.html>)

Scholarships, Fellowships, Bursaries, Prizes, Research Grants and Financial
Assistance, Canada Revenue Agency Bulletin IT-75R4 ([http://www.cra-](http://www.cra-arc.gc.ca/E/pub/tp/it75r4/it75r4-e.html#p27)

[arc.gc.ca/E/pub/tp/it75r4/it75r4-e.html#p27](http://www.cra-arc.gc.ca/E/pub/tp/it75r4/it75r4-e.html#p27))

The Tri-Council Policy of Research Involving Human Subjects

<http://www.smu.ca/academic/reb/tri.html>

Appendix A

SAINT MARY'S UNIVERSITY POLICY ON INTEGRITY IN RESEARCH AND SCHOLARSHIP AND PROCEDURES FOR REPORTING AND INVESTIGATING SCHOLARLY MISCONDUCT

Original Approved: 8 May 1995

Revision(s) Approved: 16 January 2009

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 postdoctoral 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.

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, research subjects);
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.

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. 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;
3. disposing of intellectual property outside the university without due benefit to those entitled to some return.
4. intentionally failing to comply with federal, provincial, or university regulations for the protection of researchers, human subjects, the public, or for the welfare of laboratory animals, or intentional noncompliance with agreements that relate to the conduct of the research;
5. failure to reveal any conflict of interest during review of research grant applications or manuscripts, or in testing products for sale of distribution to the public;
6. failure to reveal to the University any financial interest, 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 AND 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.
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 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.

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 I 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 counterallegations. 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 ;

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

CIHR, NSERC and SSHRC, Conflict of Interest/Conflict of Commitment – An Issues Paper, http://www.nserc.gc.ca/institution/coi/toc_e.htm#intro; Updated: August 2004.

CIHR, NSERC and SSHRC, Tri-Council Policy Statement: Integrity in Research and Scholarship, http://www.nserc.ca/professors_e.asp?nav=profnav&lbi=p9; Updated: February, 2006.

Filteau, C., Legal Matters Pertaining to Graduate Studies, Ontario Council on Graduate Studies, Council of Ontario Universities, November 1990.

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

Savage, Donald C, Fraud and Misconduct in Academic Research and Scholarly Activity, CAUT, Ottawa, 1991.

APPENDIX I

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.

Appendix B

Name: Conflict of Interest in Research

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 in 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. Its 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 polices 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

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

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

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.