Draft Policy v1

Graduate Supervision Policy

Category: Leave this blank; a category will be assigned
Approval: The University Secretary, on the advice of the Policy Advisory Subcommittee, will identify the appropriate approval body(ies), e.g. Board of Trustees, Senate, VPOC, other
Responsibility: Indicate the senior administrative position responsible for the policy (the sponsor)
Date: Date initially approved: Date of last revision:

Definitions:

Academic Supervision: Guidance in the development and completion of Master’s theses, major research papers, or doctoral dissertations and in completing academic program milestones by SGS designated faculty members with appropriate expertise.

Co-Supervision: Joint primary academic mentorship of the Graduate Student by two supervisors.

Faculty Associate Dean (Graduate): The main person of contact between a Faculty Dean, Faculty office personnel, Graduate Students, and the SGS.

Graduate Coordinator: The main person of contact between Graduate Students, the graduate department/Graduate Program and the SGS.

Graduate Program: Academic programs of study at the graduate level grouped by departments and faculties.

Graduate Student: A Graduate Student registered in a program governed by the SGS.

School of Graduate Studies (SGS): The governing body that oversees the conduct of Graduate Programs within the University, or the physical office of this body.
Supervisor: The primary academic mentor to the Graduate Student in the supervisory relationship. Normally, the Supervisor must be a University faculty member and member of the School of Graduate Studies (SGS) and member of the student’s home department.

Supervisory Committee: A committee of Queen’s faculty or appointed members who assist the Supervisor in providing guidance, consultation, and advice on the Graduate Student’s dissertation, thesis, or major research paper. Normally, Supervisory Committee Members are from the Graduate Student’s home department but may also be faculty members in other departments with membership in SGS or may include approved appointed members outside Queen’s University.

University: Refers to Queen’s University.

Purpose:
The purpose of this policy is to outline the roles and responsibilities of Graduate Students, Supervisors, Supervisory Committee, Graduate Programs, and the SGS regarding Academic Supervision for graduate studies within the SGS.

Scope of this Policy:
This policy pertains to all members of the University community who are stakeholders in the graduate supervisory relationship. Therefore, the scope of this policy includes the following stakeholders: Graduate Students registered in research-based Graduate Programs at the University, graduate academic Supervisors, Members of Supervisory Committees, Graduate Programs, and the SGS.

All stakeholders in the graduate supervisory relationship will abide by the University’s policies and relevant collective agreements.

NOTE: For those Graduate Students who are also employees of the University (e.g. employees taking courses on a part-time basis, Graduate Teaching Assistants, Graduate Teaching Fellows, Graduate Research Assistants) this policy applies only to their academic activities as Graduate Students (e.g. thesis/dissertation research).

Policy Statement:
The University is committed to ensuring high-quality, effective supervision to support successful graduate education within an inclusive and supportive scholarly environment. Consistent, high-quality supervision is essential for Graduate Student progress, success, and wellbeing, and for advancing the University’s research profile.
As a foundation for effective graduate supervision at Queen’s, this policy endorses the following principles for graduate supervision:

- **Mutual Respect:** Maintain a positive learning environment by treating one another - Graduate Student and Supervisor - with respect, exercising understanding in times of difficulty and extenuating circumstances, and support for the achievement of milestones.

- **Open Communication:** Early and ongoing communication between Graduate Students and Supervisors/Committee Members is essential to direct and re-direct Graduate Student work and respond to changes in planned activities.

- **Goal-directed Learning and Progress Monitoring:** Discussing and establishing learning and research goals in relation to expectations for advanced research, monitoring goal progress, and mutually revising goals when necessary has been shown to accelerate and encourage Graduate Student progress.

- **Responsive and Timely Feedback:** Be reasonably accessible to Graduate Students by providing reasonable, timely, and actionable feedback and inviting Graduate Students to respond to feedback is a fundamental academic skill that propels Graduate Student work forward.

- **Leveraging Resources for Wellbeing and Success:** Leveraging university-wide resources (e.g., SGS, Graduate Student Wellness Services, Centre for Teaching and Learning, Employee and Family Assistance Program) can support both Graduate Students and Supervisors in fulfilling their roles and responsibilities.

### Roles & Responsibilities:

**Supervisor:** The role of the Supervisor is to serve as the primary academic mentor to the Graduate Student and provide oversight on their progress and research. By agreeing to work with a Graduate Student, the Supervisor will foster the intellectual and professional growth of their Graduate Students so that the Graduate Student can become competent contributors to their field of specialization.

In accordance with the policies and procedures of the faculty member’s respective Graduate Program, their Faculty, the Queen’s QUFA Collective Agreement and the SGS, the primary responsibilities of the Supervisors are to:

- Participate in graduate supervision orientation and training offered by SGS, the Centre for Teaching and Learning, or equivalent, normally within one year of appointment to the University.

- Be familiar with and follow the rules, procedures, and regulations related to supervision and graduate studies as outlined in the department, Faculty, the Queen’s-QUFA Collective Agreement and SGS, including the sequence of program components and supervisory requirements.

- Discuss with the Graduate Student:
  - Graduate Program rules, regulations, and standards for coursework, qualifying/comprehensive examinations, research proposal, and thesis/dissertation research;
  - Learning and research goals in relation to expectations for advanced research;
• Supports available to the Graduate Student in developing (or revising as needed) a plan to achieve their goals
• A communication approach that will work for both parties including frequency and form of communication, including expectations for supervisory meetings;
• Goals for conference attendance, publishing, research, teaching, other employment opportunities, and engagement in academic community activities, encouraging the Graduate Student (when applicable) to disseminate research findings through publication, presentation or creation of artistic or other works;
• Ownership of intellectual property and authorship on publications (and where appropriate, establish in writing), following University guidelines and policies, relevant collective agreements, the SGS regulations as found in the Academic Calendar, and the SGS Graduate Supervision Handbook.

• Respond to Graduate Student’s submitted or presented work fairly and with constructive feedback to support continuous progress and in a timely manner following departmental expectations and as agreed upon between student and supervisor.
• Monitor the Graduate Student’s progress as required by SGS and as applicable within the student’s department/program/Faculty through annual progress monitoring and reporting procedures, assessments of Graduate Student work, and regular communication with the Graduate Student.
• Support the Graduate Student in any reasonable funding request and particularly those sanctioned by the University (e.g., tri-council funding).
• In collaboration with the Graduate Student, facilitate the establishment of a Supervisory Committee (when required) and facilitate program milestones (e.g., coursework selection, qualifying/comprehensive exam, proposal defense, thesis/dissertation defense).
• Work to negotiate differences of opinion; when conflicts or differences in expectations arise, seek department, Faculty, or SGS support to resolve conflicts.
• If a Graduate Student expresses distress, direct them to Queen’s Student Wellness Services, Campus Security and Emergency Services, or other University resources as appropriate following the University’s guidelines; in the event that a Graduate Student makes a disclosure of sexual violence, adhere to requirements as detailed in the Policy on Sexual Violence Involving Queen’s University Students.
• In coordination with the department/Faculty and Queen’s Student Accessibility Services (where relevant), ensure all Graduate Student academic extenuating circumstances accommodations and/or disability-related accommodation needs are met to the maximum extent possible following the SGS Protocol for Short-term Academic Consideration and the SGS regulation on Accommodation for Graduate Students with Disabilities.
• Maintain an academic and professional Graduate Student-Supervisor relationship that abides by all applicable University policies and applicable collective agreements, including but not limited to, the SGS Conflict of Interest regulation as found in the Academic Calendar, University’s Conflict of Interest policy, the University’s harassment and discrimination policies and procedures, and human rights standards as outlined by the University’s Human Rights Advisory Services.

Graduate Student: The role of the Graduate Student is to focus on learning and research to complete their academic requirements including their dissertation, thesis, or major research paper within the expected time frame in accordance with enrolment status (i.e. full-time or part-time). By agreeing to work with a Supervisor, a Graduate Student enters into an academic partnership
that will support the Graduate Student’s academic development and contributions to their field of specialization.

The primary responsibilities of the Graduate Student are to:

- Be familiar with the policies, procedures, and regulations of the Graduate Program, the SGS, and the University and ensure all required training is obtained (e.g., lab safety, research ethics).
- Early in the supervisory relationship, access resources and/or training offered by SGS, the Centre for Teaching and Learning, or equivalent to gain an understanding of principles and practices for engaging in a successful Graduate Student-Supervisor partnership.
- Be familiar with the Student Code of Conduct.
- Conduct research with the highest standard of ethical and scientific practice; adhere to the University and Tri-Council policies on research.
- Follow and adhere to principles of academic integrity as articulated in departmental/Faculty, SGS Academic Calendar, and the University’s Academic Integrity policies, procedures, and regulations.
- Maintain an academic and professional Graduate Student-Supervisor relationship that abides by the SGS Conflict of Interest regulation as found in the Academic Calendar, University’s Conflict of Interest policy, the University’s harassment and discrimination policies and procedures, and human rights standards as outlined by the University’s Human Rights Advisory Services.
- Consult with Queen’s Student Accommodation Services and review the SGS regulation on Accommodations for Students with Disabilities if an accommodation(s) is sought in connection with a disability and discuss all accommodation needs with your Supervisor and Graduate Program Coordinator.
- Follow the SGS Protocol for Short-term Academic Consideration should the Graduate Student encounter an extenuating circumstance that impacts or has impacted their academic requirement(s).
- Complete annual progress reports as required by SGS and as applicable within the department/program/Faculty through annual progress monitoring and reporting procedures.

With the Supervisor, discuss:

- Graduate Program rules, regulations, and standards for coursework, proposal, proposal defense, thesis/dissertation research, and thesis/dissertation defense;
- A communication approach that will work for the Graduate Student and Supervisor including frequency and form of communication and expectations for supervisory meetings;
- Goals for conference attendance, publishing, research, teaching, other employment opportunities, and engagement in academic community activities;
- Learning and research goals and develop a plan to achieve these goals.
- Funding opportunities and apply for internal and external competitions that are mutually deemed beneficial and appropriate.
- Periods that the Graduate Student will be unavailable including vacation time (typically 10 business days in accordance with SGS Vacation Guidelines) to ensure there is minimal disruption to Graduate Student research and academic progress.
With the Supervisor and Supervisory Committee:

- Establish and discuss a research plan and timeline for progress monitoring, meetings, and sharing of work.
- Respond to constructive feedback in a timely manner.
- Discuss ownership of intellectual property and authorship on publications (and, where appropriate, establish in writing), following University guidelines and policies, relevant collective agreements, SGS regulations as found in the Academic Calendar, and guidelines in the SGS Graduate Supervision Handbook.
- Promptly discuss changes in circumstances that could affect performance or progress in research or program of study; give serious consideration to the advice and constructive feedback offered by your Supervisor and/or Supervisory Committee. Seek advice from other department/Faculty, SGS, or University units or resources as needed.

**Supervisory Committee Members:** The primary role of the Supervisory Committee is to broaden and deepen the Graduate Student’s experience and range of expertise and is typically convened following a Graduate Student’s required coursework period. The Supervisory Committee assists the Supervisor in providing guidance, consultation, and advice on the Graduate Student's dissertation, thesis, or major research paper.

The primary responsibilities of Supervisory Committee Members are to:

- Be familiar with and follow the rules, procedures, and regulations related to supervision and graduate studies as outlined in the department, Faculty, and SGS, including the sequence of program components and supervisory requirements.
- Monitor the Graduate Student’s progress in conjunction with the Supervisor by assessing and providing feedback on the Graduate Student’s submitted or presented work (e.g., proposal).
- Broaden and deepen the Graduate Student’s experience and range of expertise.
- Respond with constructive feedback to work submitted by the Graduate Student to support continuous improvement and in a timely manner following student’s departmental/program expectations and as agreed upon between student and supervisor.
- Discuss with the Graduate Student (and where appropriate establish in writing) ownership of intellectual property and authorship on publications following University guidelines and policies, SGS regulations as found in the Academic Calendar, and guidelines in the SGS Graduate Supervision Handbook.
- If a Graduate Student expresses distress, direct them to Queen’s Student Wellness Services, Campus Security and Emergency Services, or other University resources as appropriate following the University’s guidelines; in the event that a Graduate Student makes a disclosure of sexual violence, adhere to requirements as detailed in the Policy on Sexual Violence Involving Queen’s University Students.

**Graduate Programs:** The role of the Graduate Program administrators (i.e., graduate department coordinators, graduate chairs, and Faculty Associate Deans in departmentalized faculties) in Graduate Student supervision is to create a supportive and inclusive departmental learning environment to facilitate effective supervision, Graduate Student learning, and research.
The primary responsibilities of Graduate Program administrators are to:

- Be familiar with and support the rules, procedures, and regulations related supervision and graduate studies as outlined in the department, Faculty, and SGS, including the sequence of program components and supervisory requirements.
- Inform and orient new and continuing Graduate Students of program expectations, policies, and requirements including supervision process and procedures.
- Annually monitor progress of Graduate Students in conjunction with Graduate Students’ Supervisors.
- Ensure that arrangements are made for an alternate Supervisor if the regular Supervisor either departs, is absent for an extended period, or when a conflict of interest cannot be resolved to the point of dissolution of the supervisory relationship.
- Arrange for or facilitate consultation and mediation when a conflict arises within the supervisory relationship, referring to University partners, when necessary or appropriate.
- In consultation with the primary Supervisor, coordinate and oversee interim forms of supervision or changes to supervision when the need arises.
- Ensure a safe and inclusive working environment for Graduate Students and Supervisors.
- In coordination with the Supervisor and Queen’s Student Accommodation Services, ensure all Graduate Student accommodation needs are met to the maximum extent possible following the SGS Accommodation for Graduate Students with Disabilities policy.
- If a Graduate Student expresses distress, direct them to Queen’s Student Wellness Services, Campus Security and Emergency Services, or other University resources as appropriate following the University’s guidelines; in the event that a Graduate Student makes a disclosure of sexual violence, adhere to requirements as detailed in the Policy on Sexual Violence Involving Queen’s University Students.

**School of Graduate Studies (SGS):** The role of the SGS in Graduate Student supervision is to ensure systemic policies and procedures that facilitate effective graduate supervision are in place and are known to and accessible by all stakeholders. The SGS will work closely with Graduate Students, departments, and faculties and other partners both within and outside the University to promote excellence and foster an enriched and collegial environment for the pursuit of graduate education.

The primary responsibilities of the SGS are to:

- Ensure policies and resources are available to support graduate supervision across departments and faculties; develop new policies and resources as conditions evolve to ensure the University continues to facilitate graduate supervisory success.
- Provide support and training for new and continuing faculty on graduate supervision.
- Annually monitor Graduate Student program progress and consider requests for extension, changes in study status, and other extenuating circumstances.
- In consultation with Graduate Program administrator (i.e., graduate department coordinators, graduate chairs, and Faculty Associate Deans in departmentalized faculties), arrange for consultation and mediation when a conflict arises within the supervisory relationship, referring to University partners, when necessary or appropriate.
- Ensure a safe and inclusive learning environment for Graduate Students and Supervisors.
- In coordination with the Supervisor, department/Faculty, and Queen’s Student Accommodation Services, ensure all Graduate Student accommodation needs are met to the
maximum extent possible following the SGS Accommodation for Graduate Students with Disabilities policy.

- If a student expresses distress, leverage and direct them to Queen’s Student Wellness Services, Campus Security and Emergency Services, or other University resources as appropriate following the University’s guidelines; in the event that a Graduate Student makes a disclosure of sexual violence, adhere to requirements as detailed in the Policy on Sexual Violence Involving Queen’s University Students.

Leaves:

Throughout a Graduate Student’s program, a Supervisor, Committee Member, or Graduate Student may take leave (e.g., maternity or medical, and in the case of faculty members, academic) from their primary responsibilities as outlined above.

In such cases where a Supervisor takes leave, depending on the duration and nature of the leave, the Supervisor will, in coordination with their Department Head or Dean, as applicable, communicate with the Graduate Student their intentions to either (a) continue to offer supervision, or (b) propose that an alternate Supervisor be appointed. In the latter case, the Graduate Program administrator may arrange for an alternate Supervisor or may serve as the interim Supervisor. Members of the Supervisory Committee may also be called upon to take a more active role in cases where Supervisors are absent for extended periods of time.

In such cases where a Supervisory Committee Member takes leave, the Committee Member will, in consultation with the Department Head or Dean, as applicable, discuss with the Graduate Student and Supervisor their intentions to either (a) continue to offer Supervisory Committee support, or (b) propose that an alternate Committee Member be appointed. In the latter case, the Supervisor and Graduate Student will discuss and select an alternate Committee Member.

In such cases where a Graduate Student takes leave (see leave options), the Graduate Student will notify their Supervisor and Graduate Program administrator (i.e., graduate department coordinators, graduate chairs, and Faculty Associate Deans in departmentalized faculties) of their decision and subsequently follow SGS procedures. It is assumed that the Graduate Student’s academic work will be suspended during their leave period; however, Graduate Students continue to have access to Queen’s Student Wellness Services, library services, and SGS resources and services.

Complaint Resolution Process:

Should an individual - Graduate Student, Supervisor, or Committee Member - wish to pursue a complaint regarding this Policy, they may do so by lodging their complaint with SGS after the conflict resolution and mediation procedures have been followed as outlined in the SGS Graduate Supervision Handbook. To lodge a complaint with SGS, Graduate Students, Supervisors, or Committee Members should submit their concerns in relation to the Policy in writing to SGS with relevant documentation, if applicable. The SGS will respond to the complaint within 10 business days. The SGS Associate Dean or delegate will complete an initial review of the complaint in relation to the Policy. SGS will employ a consultative process to work towards mutual resolution of complaints, which, unless the details of the complaint must be addressed pursuant to a superseding University policy and/or collective agreement, will not be grounds for disciplinary action. Participation in such a process will not preclude the Graduate Student, Graduate Supervisor and/or Committee Member from availing themselves to applicable procedures pursuant to other
relevant University policies and/or collective agreements. The SGS Associate Dean or delegate will meet with the parties to discuss concerns and possible resolutions. In collaboration with relevant campus partners, through open communication between all parties, and according to relevant University policies, guidelines, and/or collective agreements, the SGS Associate Dean or delegate will recommend steps for resolution. If the complaint does not fundamentally pertain to the Supervisory Policy statement, but rather, to a superseding University policy and/or collective agreement, the complaint will be forwarded to the relevant University office. Depending on the nature of the complaint, the SGS may involve various campus partners in an attempt to resolve the dispute including, for example, Human Resources, the Human Rights and Equity Office, Faculty Relations Office, Office of the University Ombudsman, and the Dean’s Office of the Graduate Student’s home department.

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Harassment/Discrimination Complaint Policy and Procedure

Human rights standards as outlined by the University’s Human Rights Advisory Services

Queen’s University Academic Integrity policies

Queen’s University policies on research, including intellectual property

School of Graduate Studies: Academic Calendar

Queen’s University Student Code of Conduct

Queen’s University Faculty Association Collective Agreement

Policy on Sexual Violence Involving Queen’s University Students