

Saint Mary's University

Student Handbook - 2016

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 2016-17 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 11 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. There is an extremely strong 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 26 graduate programs (20 Masters, 5 PhDs, and 1 Graduate Diploma) in collaboration with the Faculty of Arts, the Faculty of Science, and the Sobey School of Business. We welcome the Master of Applied Health Services Research as a new offering in the suite of our graduate programming for 2016-17.

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 closely together with the Offices of the Deans' of Arts, Science, and the Sobey School of Business, as well as the Office of the Vice-President, Academic and Research in the oversight and administration of our graduate programs.

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

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

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



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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Orshy Torok Research Ethics Officer	AT 202	420-5728	ethics@smu.ca

Graduate Program Coordinators/Directors, Managers and other Resource Personnel by Program:

ARTS

MA in Atlantic Canada Studies

Dr. Blake Brown MN 224 420-5762 blake.brown@smu.ca
Program Coordinator

MA in Criminology

Dr. Stephen Schneider MS 415 420-5872 sschneider@smu.ca
Program Coordinator

MBA (CPA Stream)

Dr. David Bateman SB 341 420-5623 david.bateman@smu.ca
Program Director

Master of Finance

Dr. Colin Dodds SB 405 491-6549 colin.dodds@smu.ca
Program Director

Sandra English SB 227 491-6460 master.finance@smu.ca
Program Manager

MMCCU & Graduate Diploma in Co-operative Management

Dr. Sonya Novkovic SB 346 420-5607 s.novkovic@smu.ca
Program Director

Karen Miner SB 330 496-8170 karen.miner@smu.ca
Managing Director

Cathy Mason SB 330 491-6257 cathy.mason@smu.ca
Program Assistant

Master of Technology Entrepreneurship and Innovation

Dr. Dawn Jutla SB 406 491-6441 dawn.jutla@smu.ca
Program Director

Christine Hamblin SB 226 420-5157 sobeymtei@smu.ca
Program Manager

PhD in Business Administration (Management)

Dr. Albert Mills SB 220 420-5778 albert.mills@smu.ca
Program Director

Ellen Shaffner SB 235 496-8232 phdmgt@smu.ca
PhD Administrator

SCIENCE**MSc and PhD in Applied Science**

Dr. Hugh Broders SC 113 496-8193 hugh.broders@smu.ca
Program Coordinator

Keith Bain SC 222 491-6535 keith.bain@smu.ca
Program Manager

MSc and PhD in Astronomy

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Program Coordinator

MSc in Computing and Data Analytics

Dr. Pawan Lingras MN 107 420-5798 pawan.lingras@smu.ca
Program Coordinator

Keith Bain SC 222 491-6535 keith.bain@smu.ca
Program Manager

guidance from their supervisory committee members (where applicable) and from their program coordinator/director.

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

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

Your attention is also directed to 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* their graduate students.

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

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

The supervisory committee:

In some graduate programs with thesis requirements, aside from the thesis supervisor, a supervisory committee consisting of additional faculty members and, sometimes, relevant experts from outside of Saint Mary's may be constituted to aid in the supervision of the thesis research. The other members of the committee can be seen as "secondary" supervisors who can provide advice and act as sounding boards for various aspects of the thesis research. It is recommended that a scheduled meeting of the supervisory committee and the student is held at least once a year to review progress and make recommendations on the research activities. Members of the supervisory committee usually serve as examiners (but not the external examiner) at the thesis 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 2015-2018 Collective Agreement (see 13.1.60 and 13.1.61) between Saint Mary's University and the Saint Mary's University Faculty Union and include:

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

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

Officers and staff of the FGSR:

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

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

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

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

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

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

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

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

The CLARI Network Manager - The Change Lab Action Research Initiative (CLARI) is a cross-province, multi-Post-Secondary Education (PSE) Partnership offering a Network of academic expertise and research capabilities to Nova Scotia communities interested in addressing social and economic system challenges via collaboration and Action Research.

The Grants Facilitator (Social Sciences & Humanities) assist researchers in social sciences and humanities with the writing and preparation of grant applications, principally to SSHRC (the Social Sciences and Humanities Research Council of Canada) but also to other organizations.

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:

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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 students education, and information on the policy and procedures relevant to a student's graduate program, these features will serve students, supervisors and the rest of the University community well. Our goal is to ensure the success of graduate students in their programs and in their future endeavours.

D. References

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 2016-17 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 2016-17 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 Office of Innovation and Community Engagement (contact information is in Section 2 of this Handbook).

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

For questions on Information Technology (IT) Services (e.g. computer connectivity), visit <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/international/the-international-centre.html>; international.centre@smu.ca; 3rd floor, O'Donnell-Hennessey Student Centre, Room 300; Tel: (902) 420-5525).

For questions relating to parking on campus, visit http://www.smu.ca/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://www.smu.ca/academics/fgsr-current-students.html>) can be very useful.

Most graduate programs have web pages that may be helpful to current students. Here are the addresses of Program web pages as of August 2016.

Arts:

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

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

Geography: <http://www.smu.ca/academic/arts/geography/>

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

International Development Studies (MA and PhD): <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 Applied Economics:
<http://www.smu.ca/academic/sobey/mae/welcome.html>

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

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

Master of Technology Entrepreneurship and Innovation:
<http://www.smu.ca/academic/sobey/mtei/>

Graduate Diploma in Co-operative Management:
<http://www.smu.ca/academic/sobey/mm/>

PhD in Business Administration (Management):
<http://www.smu.ca/academics/sobey/phd-in-management.html>

Science:

MSc and PhD in Applied Science:
<http://www.smu.ca/academics/science-departments-and-programs.html>

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

Computing and Data Analytics:
<http://www.smu.ca/academics/msc-in-computing-and-data-analytics.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 2016-17 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 register on-line on or after March 8, 2016. **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
4. On the Main Menu select Student
5. Select Registration
6. Select Add or Drop Classes
7. Select the term you wish to register in.
8. Select Class Search
9. Select Subject and click on Course Search

10. The results of your criteria will be displayed on the next page.
11. Select View Sections 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 Add or Drop 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 must be registered in FGSR9000 for every semester in which they are in their graduate programs.*** This includes the maximum time-for-completion, as well as extension periods (i.e. for students who are granted extensions to their graduate programs).

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

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

Per-course fee programs:

- All students in the MBA, MBA-CMA, MBA (CPA Stream) 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 please visit: <http://www.smu.ca/academics/graduate-tuition-fees.html>

Program-fee programs:

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

Students in program-fee based programs are charged a fee for their entire program. These fees may be charged once at the outset of the program, or in multiple installments during the program. For details on program fee, see the 2016-17 Fee Tables. <http://www.smu.ca/academics/graduate-tuition-fees.html>

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

5.5 Full-time and part-time status

For all students enrolled in the MBA, MBA-CMA, MBA (CPA Stream) 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 2016-17 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 semester.

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 13 of this handbook) which must be endorsed by the supervisor, authorized by the program coordinator, and submitted to the Faculty of Graduate Studies and Research.

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

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

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

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

Categories (i) through (iv) are handled under Paragraph 56(1) (n) of the Canada Revenue Act (see <http://www.cra-arc.gc.ca/tx/tchncl/ncmtx/fls/s1/f2/s1-f2-c3-eng.html>) and are considered “amounts paid or benefits given to persons to enable them to advance their education”. Students normally receive a T4A slip for income tax purposes associated with income from these categories.

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

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

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

these funds. Awardees have the scholarship amounts deposited into their student accounts.

- (iii) FGSR Graduate Fellowships or Graduate Awards
These funds are supplied internally from Saint Mary's and are allocated through the FGSR to the graduate programs. These funds are then allotted to graduate students within the program by the program coordinator/program committee on a merit basis. Awardees have the fellowship/award amount deposited into their student accounts.
- (iv) Fellowships from thesis supervisors' research grants
These funds are provided by research grants held by the Thesis Supervisor. These funds are only available to students whose supervisors hold such grants and are willing and able to budget such scholarships within the grant.

Graduate students who have been awarded Saint Mary's administered fellowships and scholarships, as detailed above, will receive their funds (less tuition and associated fees) in three installments at the beginning of each semester, provided they have registered early. Students who have registered by August 12, 2016 may collect their first installment (34% of scholarship less fees) on September 9, 2016. Students who have registered by December 9, 2016 may collect their second installment (33% of scholarship less fees) on January 6, 2017. Students who have registered by April 7, 2017 may collect their third installment (33% of scholarship less fees) on May 5, 2017. MBA students will receive their scholarships in two installments (50% of scholarship less fees) on September 9, 2016 and January 6, 2017, 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 2016-17 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 (MRP). In some programs, a master's degree or graduate diploma may consist of course-work only and no thesis or MRP (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 Committee 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 MAE, EMBA, MBA, MMCCU and the MFIN 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* available at <http://www.smu.ca/academics/fgsr-current-forms.html> can be used for this purpose.

The relationship between student and thesis supervisor varies between programs and individuals. In some programs and disciplines, the thesis supervisor's role is as a "sounding board" or guide who the student can call upon when they need advice or direction. In other programs and disciplines, the interaction between student and thesis supervisor is more

frequent, with the student and supervisor interacting on a daily basis (especially in laboratory settings).

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

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

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

5.9 Evaluation of Thesis/Program Progress (extracted from Regulation 28 of the 2016-17 Academic Calendar):

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

The supervisor will prepare a report on the student's progress using the form available from the program or the FGSR (the latter is available at <http://www.smu.ca/academics/fgsr-current-forms.html>). The report must be 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 - In need of improvement
- Not Acceptable

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 - 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 “Not Acceptable”.
- Not Acceptable
If the expected outcomes are not achieved and the supervisor/supervisory committee concludes that the student will not succeed in completing the program, the supervisor/supervisory committee will note the rating of “Not Acceptable” in the supervisor’s report 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 their program. Students who have received an evaluation of “Not Acceptable” 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 “Not Acceptable”. If a student’s progress has been determined to be less than fully satisfactory, the student must be rated “Unsatisfactory - In need of improvement” and actions taken, as outlined above, before a rating of “Not Acceptable” could be considered).

5.10 The thesis defense

The following regulations, policies and procedures are drawn from the 2016-17 Graduate Academic Calendar and the FGSR Master Thesis and PhD Dissertation Defense Policy and Procedures Document (2013).

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 at <http://www.smu.ca/academics/fgsr-current-forms.html>.

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.

- The minimum requirements for the composition of the Examining Committees for Master Theses are:
 - the Thesis Supervisor
 - an examiner who may have been previously involved in the supervision of the student's thesis research
 - an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a Master's degree or equivalent. Examples of equivalent status may be a Doctor of Medicine (M.D.), a lawyer (L.L.B.), or professional Engineer (P.Eng.) with expertise and research experience in the thesis subject.
 - a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)
- The minimum requirements for the composition of the Examining Committees for PhD Theses/Dissertations are:
 - the Thesis Supervisor
 - two examiners who may have been previously involved in the supervision of the student's thesis research
 - an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a PhD, be an expert in the thesis topic, be external to Saint Mary's University, and not be in a conflict of interest with either the PhD candidate or his/her supervisors.
 - a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates).
- A thesis defense date is tentatively set and the thesis is distributed to the examiners for review. This should normally occur four to six weeks before the proposed thesis 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:

- Attendance at Master Theses defenses:
 - Normally the Candidate must be present in person at the defense. Under exceptional circumstances, the candidate may be given permission to attend the defense by video conferencing (see below).
 - At a minimum the Supervisor, one other member of the Examining Committee, and the neutral Chair must be present in person at the defense.
 - An absent Examiner must, prior to the defense, submit a report on the thesis, provide questions to ask the candidate at the defense, and submit a recommendation on the acceptability of the thesis as a written document. The neutral Chair will ask the questions submitted by the absent Examiner, but the assessment of the quality of the answers will be assessed by the other examiners present at the defense.
- Attendance at PhD Theses/Dissertation defenses:
 - The candidate must be present in person at the defense.
 - All members of the Examining Committee as defined in Regulation #16 (d) must be present at the defense. One member of the Examining Committee may be present by two-way video conferencing; all others must be present in person.
- Attendance of Candidates at a Master Theses defenses by video-conferencing:
 - Upon request, and only under exceptional circumstance and with the support of the Examining Committee, a candidate may be given permission by the Coordinator of the Graduate Program to attend the defense by video conference (attendance solely by teleconference is not acceptable).
 - If a Master Thesis candidate is given permission to attend the defense by video-conferencing, the candidate will recognized that attendance by video-conferencing is a privilege and not a right. It is the Candidate's responsibility to ensure that adequate video conferencing technology is in place.
 - Attendance of a candidate by video-conferencing will not be considered grounds for appeal of the outcome of a defense.
 - If a Master Thesis candidate is given permission to attend the defense by video-conferencing, but the video-conferencing technology fails during the defense (the Chair will make the decision on when the technology has failed), the defense will be rescheduled for a later date.
- At the outset of the defense, the chair makes introductions and clarifies the procedures/agenda for the examination.
- The student makes a presentation on his/her thesis, 25-40 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.

In April 2013, the FGSR Council passed the “Policy and Procedures on Master Thesis and PhD Dissertation Defenses.” The document is available at http://www.smu.ca/academic/fgsr/grad_cur_policy.html. The document summarizes/references those Academic Regulations and FGSR Policies/Procedures, as well as addresses additional issues concerning Master Thesis and PhD Dissertation requirements, processes and procedures, including the requirements for attendance (in person and by distance) at defenses.

Every year the FGSR prepares a recommended schedule for the above thesis defense process and posts them on <http://www.smu.ca/academics/fgsr-current-policies-and-procedures.html>.

Timely Handling of Theses for a Spring 2017 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, 2016	Registrar	Submit application to graduate at the Spring Convocation.
March 18*	FGSR Office	The External Examiner Nomination Form (available at: http://www.smu.ca/academics/fgsr-current-forms.html), and a PDF of thesis to Program Coordinator or FGSR Office (for distribution to External Examiner)**.
March 18	Program Coordinator or Supervisor	One copy for each Internal Examiner should be delivered to the Program Coordinator or Supervisor for distribution internally.
April 18	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	Thesis based programs: FGSR must receive two unbound copies of thesis and an electronic version in PDF-A format, the signed title page, and any required forms: (http://www.smu.ca/administration/archives/theses/theses_masters.html) Prior to making all of your copies, Shane in the FGSR office would be happy to review an electronic copy to ensure it meets the formatting guidelines. Electronic copies can be emailed to: shane.costantino@smu.ca
May 12	Senate	Meeting to approve list of graduates for spring convocation
May 18	McNally Theater	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 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 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 2016-17 Academic Calendar):

How long do I have to complete my program?

- a.** The normal academic year of the FGSR is composed of three 4-month semesters running from September 1 to August 31. Full-time students will normally complete their studies through a series of consecutive 4-month semesters. (e.g., three semesters will constitute 12 months of continuous full-time study; six semesters will constitute 24 months of continuous full-time study).
- b.** The FGSR has established normal minimum (often referred to as 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 20 in the 2016-17 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)	5 (15)	7 (21)
MA Criminology	2 (6)	4 (12)	5 (15)	7 (21)
MA Geography	2 (6)	4 (12)	5 (15)	7 (21)
MA History	1 (3)	2 (6)	4 (12)	5 (15)
MA International Development Studies (Category I)	2 (6)	4 (12)	5 (15)	7 (21)
MA International Development 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)
MAEC	1 (3)	2 (6)	4 (12)	5 (15)
MFin	1.2 (3.5)	NA	2.2 (6.5)	NA
EMBA*	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 – CPA**	NA	3 (9)	NA	6 (18)
MMCCU	NA	3 (9)	NA	5 (15)
Graduate Diploma in Co-operative Management	NA	1.7 (5)	NA	2.7 (8)
M of Technology Entrepreneurship and Innovation	1.3 (4)	NA	2.7 (8)	NA
MSc Astronomy	2 (6)	4 (12)	5 (15)	7 (21)
MSc Applied Psychology	2 (6)	4 (12)	5 (15)	7 (21)
MSc Applied Science	2 (6)	4 (12)	5 (15)	7 (21)
MSc Computing and Data Analytics	1.3 (4)	2.7 (8)	2.7 (8)	5.3 (16)
Master of Applied Health Services Research	2 (6)	4 (12)	5 (15)	7 (21)
PhD Applied Science	3 (9)	NA	7 (21)	NA
PhD Astronomy	4 (12)	8 (24)	7 (21)	10 (30)
PhD Business Administration - Management	3 (9)	NA	6.3 (19)	NA
PhD Industrial & Organizational Psychology	3 (9)	6 (18)	7 (21)	10 (30)
PhD International Development Studies	3 (9)	6 (18)	7 (21)	10 (30)
Time-for-completion for Full-time and Part-time refers to students' status when admitted into programs and applies throughout their programs, regardless if their status changes during the programs.				
*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. Leaves of Absences can be granted only twice for Master programs and only three times for PhD programs. Requests for a leave of absence (forms available at <http://www.smu.ca/academics/fqsr-current-forms.html>) must be supported by documentation explaining exceptional personal circumstances which would prevent continuation in the program during the period of time for which the leave applies. The decision of the Dean of the Faculty of Graduate Studies and Research is final. If a leave of absence is granted, the student is considered to be inactive in the program during the period of exemption but must pay the appropriate fees 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 at <http://www.smu.ca/academics/fgsr-current-forms.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 at <http://www.smu.ca/academics/fgsr-current-forms.html>) to their program coordinator. The request should include a letter of support from the student's supervisor or supervisory committee, together with a letter describing in detail the reason for the requested extension and, where applicable, supporting documentation certifying the facts surrounding the request. After the program coordinator has reviewed and approved the application, it is forwarded to the Faculty of Graduate Studies and Research. The decision of the Dean of Graduate Studies and Research is final and the student will be notified of the decision.

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

6.0 Academic and research integrity

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

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

6.1 Academic integrity

Regarding academic integrity, students should familiarize themselves with the Academic Integrity and Student Responsibility section (pages 13-21) of the 2016-17 Graduate Academic Calendar (<http://www.smu.ca/academics/academic-calendar.html>).

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 2016-17 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 2016-17 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 and faculty 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://www.smu.ca/academics/fgsr-current-scholarships-and-awards.html>).

If you have entered your graduate program with a scholarship from an external major granting agency (e.g. NSERC, SSHRC, CIHR, 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 the Tri-Council CGS Master Awards see: http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/CGSM-BESCM_eng.asp. For further information on Tri-Council CGS master awards please contact Heather Taylor (heather.taylor@smu.ca) in the FGSR Office.

For information on scholarships from the *Natural Sciences and Engineering Research Council (NSERC) Doctoral Awards*, see: http://www.nserc-crsng.gc.ca/Students-Etudiants/PG-CS/BellandPostgrad-BelletSuperieures_eng.asp. Contact Heather Taylor (heather.taylor@smu.ca) in the FGSR Office for details on these scholarships.

For SSHRC Doctoral Awards, contact Margaret Schenk (margaret.schenk@smu.ca) in the FGSR Office. Further information can be found at: <http://www.sshrc-crsh.gc.ca/funding-financement/programmes-programmes/fellowships/doctoral-doctorat-eng.aspx>.

For information on scholarships from the *Canadian Institutes for Health Research (CIHR)* at the doctoral level please see: <http://www.cihr-irsc.gc.ca/e/46880.html>. Internally, contact Margaret Schenk (margaret.schenk@smu.ca) in the FGSR Office.

For information on "Scotia Scholars Awards" from the *Nova Scotia Health Research Foundation (NSHRF)*, see <http://www.nshrf.ca/programs-services/programs/research-programs/research->

[trainee-funding/scotia-scholarships](#). The competition for these awards is in the spring. Internally, please contact Heather Taylor (heather.taylor@smu.ca) for further details.

For information on the Nova Scotia Graduate Scholarships (NSGS) at the Master & Doctoral levels see: <http://www.smu.ca/academics/faculty-of-graduate-studies-and-research.html>. For further details on these scholarships please contact Heather Taylor (heather.taylor@smu.ca).

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

8.1 REB Review and Approval Requirement versus Review Exemption

The REB is a Senate Committee mandated to review and approve per [Article 2.1](#) research protocols that involve human participants unless deemed exempt from review [Article 2.2](#), of the [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, TCPS 2](#). The TCPS 2 applies to all faculty, student, staff, funded or unfunded research protocols.

The Policy's online tutorial, the [Course on Research Ethics \(CORE\)](#), is completed by members of the University community. In-house education sessions are provided at the start of each academic term and in addition, tailored in-class sessions may be requested by instructors or students at any time to ethics@smu.ca. Consultation is provided at the Office of Research Ethics.

8.2 Research Ethics Education

There are numerous ways of learning about research ethics and the requirements for submitting an application and managing mid and post study responsibilities throughout the year:

- Familiarizing yourself with the [TCPS 2](#)
- Completing and requesting your students to complete the online [Course on Research Ethics \(CORE\)](#) and obtaining a Certificate of Completion
- Attending one of the [REB education sessions](#) offered at the beginning of each term
- Requesting worthwhile education sessions tailored to your class at ethics@smu.ca
- Reviewing helpful aid materials: [“Doing Research Involving Human Participants? A Quick Reference Guide”](#), [“Procedures for Completing Requests for Ethics Review”](#), peer [FAQ's](#) listed on the REB website and reviewing the [“Research Ethics Review and Approval Process”](#) flowchart

8.3 Certificate of Ethical Acceptability/Continuation for Research Involving Humans

In order to obtain a Certificate of Ethical Acceptability/Continuation from the REB; the research must comply with the policies and guidelines of the:

1. [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans 2 \(TCPS 2\)](#)
2. [Saint Mary's University Senate applicable policies](#)

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](#).

8.5 REB Mandatory Initial and Continuing Review Requirements

8.5.1 INITIAL SUBMISSION REQUIREMENTS ([TCPS 2, Chapter 2, B, Chapter 3, Article 3.2](#))

1. [Form 1](#) application or a [Form 1C](#) if the research is already approved by another Canadian REB
2. [Informed Consent](#) Form/Script having involved an available draft [template document](#).
3. Any supporting documents such as invitation letters, interview protocols/questions/scripts, surveys, feedback forms, debriefing forms, advertisements, scales, etc.; as relevant.)

Optional:

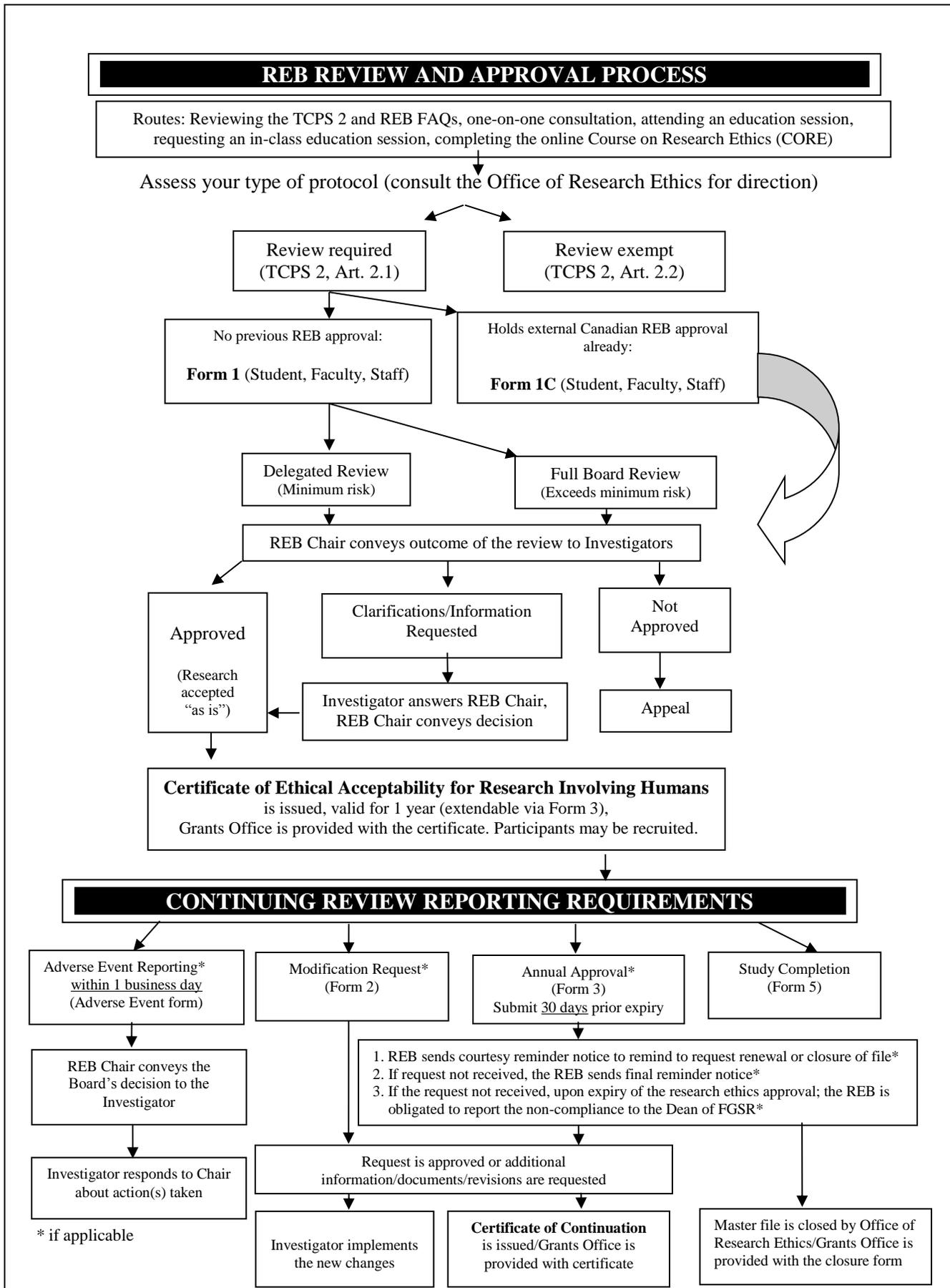
[Form 6](#)- Request for Research Ethics Approval for Undeveloped Project to Facilitate Partial Release of Research Funds (if applicable)

8.5.2 CONTINUING REVIEW REPORTING REQUIREMENTS ([TCPS 2, Article 2.8](#))

- Adverse Events reporting via [Adverse Event form](#) (if applicable)
- Modification requests via [Form 2](#) (if applicable)
- Annual Renewal requests via [Form 3](#) due 30 days prior to approval expiry (if applicable)
- Completion of Research request via [Form 5](#)

The REB anticipates that new learners and existing researcher teams need guidance. For consultation and guidance throughout the lifetime of the study, please contact or visit the Office of Research Ethics (AT 202, 420-5728, ethics@smu.ca).

8.6 REB Initial and Continuing 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 “Animal Use Protocol” form must be completed by the graduate student’s supervisor and is available from the Animal Care Coordinator, Ms. Laura Yetman (animalcare@smu.ca). Review and approval of these forms can be time-consuming, so researchers are encouraged to seek approval early. Scientific Peer Review should occur prior to submission of the Animal Use Protocol forms and is the responsibility of the graduate student to provide proof of peer review. If scientific peer review has not occurred, the protocol may be submitted to the Animal Care Coordinator who will assist in coordinating the scientific peer review process. The SMU Animal Care Committee meets four times a year to review submitted protocols, renewals, and amendments. Further information can be obtained from Animal Care Committee Chairperson Dr. Colleen Barber (colleen.barber@smu.ca).

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

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/_training). The core stream training modules must be completed, as well as any other modules applicable to the proposed protocols. Evidence of successful completion of the applicable modules should be submitted with the subsequent Saint Mary’s Animal Care Protocol Forms. For a complete list of required forms and documents, please contact Ms. Laura Yetman, SMU Animal Care Coordinator (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/about/ohs-resources.html>. An OH&S Committee (<http://www.smu.ca/about/joint-occupational-ohs-committee.htm>) composed of members from across the University acts as an advisory group on OH&S issues and the University’s OH&S Policy.

The University’s Occupational Health and Safety Program Manager is Valerie Wadman. 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 Connie Clarke (connie.clarke@smu.ca; 491-6446) 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 10.3 below.

For more details on the rights and responsibilities of graduate students on OH&S issues, see the University's Safety Policy. Please see Section 10.1. The policy is also available at: <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 10.2 details, University personnel in positions of supervision/responsibility of graduate students are legally responsible for their safety in regard to their approved research activities. That being said, the first step in being able to assess if research involves hazards is a notification from the researcher. With this in mind, *all graduate students involved in thesis research must bring any hazards/risks associated with their proposed or pursued research to the attention of their thesis supervisor(s).*

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

The process involves four steps. The student:

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

To aid students and supervisors in this process, please find the *Graduate Research Hazards Assessment* form on the FGSR website (<http://www.smu.ca/academics/fgsr-current-forms.html>). This form can be submitted to the supervisor and/or supervisory committee when the thesis research is presented or discussed.

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

10.4 On-Campus Security

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

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

Building (McNally Main 016).

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

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

University Security, in conjunction with the Saint Mary's University Student Association, provide a *safe drive home program known as 'Husky Patrol'*. There are two vans that operate Sunday to Friday between the times of 6:30 pm to 12:00 midnight. The service has certain conditions and limits to its geographic range. For details, see <http://www.smusa.ca/husky-patrol>. Students can use this service by contacting the SUB Information Desk at 496-8713 (for off campus pick-ups) or by going to the Student Centre Information Desk. For more information or service inquiries, please call 496-8700

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

11.0 Graduate students and intellectual property

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

Intellectual Property

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

- Students have IP rights and rights to protection under the Canadian copyright and patent legislation, provided they satisfy the requirements of the law.
- Students should discuss with their thesis supervisor very early on, any expectations and the relevant policies concerning authorship on publications, and issues surrounding ownership of IP. Factors to consider include: patent applications, 3rd party licensing, 3rd party funding, confidentiality agreements or other contracts between the University, the supervisor and the student covering these issues.

- Article 15.4 of the Collective Agreement between Saint Mary's University and Saint Mary's University Faculty Union (2015-18) (available at: <http://www.smu.ca/administration/hr/collective.html>) addresses any contractual agreements between the University and Faculty Members in regard to IP.
- In circumstances where there is a potential and interest for thesis research to be commercialized, a thesis supervisor may ask a student to assign his/her intellectual property rights or to sign a non-disclosure agreement. Such agreements should be reviewed and approved by our Office of Innovation and Community Engagement (OICE) *prior to a student signing the agreement*. However, it is inappropriate for a thesis supervisor to require a student to do so as a condition of pursuing thesis research once the thesis work has been established. If graduate students have concerns in this area, please contact the Dean of the FGSR.
- It is inappropriate for graduate students to make contractual relationships with parties inside or outside of the University in regard to their thesis research. If students have questions in this area, they should contact the University's Office of Innovation and Community Engagement.

Authorship

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

Resources

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

12.0 Conference travel awards

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

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

- Applicants must be attending the conference for the purpose of presenting a paper or poster
- Applicants must be registered as full-time students in 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 Commonly requested forms

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

- Application for Conference Travel Funds
- Application for Differential Fee Waiver
- Application for Full-time Thesis Continuation Status
- Application for Leave of Absence from Graduate Program
- Application for Visiting, Upgrading and Reactivation Students
- External Examiner Nomination Form
- Graduate Program Extension Request
- Graduate Research Hazards Assessment Notification
- International Travel Funds for Graduate Student Thesis Research
- Progress Reports on Student's Graduate Program
- Thesis and Supervisor Identification Form

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

There are also many forms available from the Service Centre (e.g. Application for Graduation; Letter of Permission) available at: <http://www.smu.ca/academics/ar-service-centre-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/about/financial-services-forms.html>

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

For a complete handling of Academic Regulations that applies to graduate programs, see Section 3 of the Graduate Academic Calendar (see: <http://www.smu.ca/academics/academic-calendar.html>) and the your individual Program requirements within the Calendar. For a complete list of FGSR Policies & Procedures, see: <http://www.smu.ca/academics/fgsr-current-policies-and-procedures.html>

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

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

Policy Statement:

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

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

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

Dispute Resolution:

In the event of a disagreement between a Graduate Program Committee and a full-time faculty member concerning the Committee's evaluation of the faculty member's potential supervision of a student within the specific Graduate Program, the matter shall be forwarded to the Dean of the Faculty of Graduate Studies and Research. The Dean of Graduate Studies shall consult with the graduate program in question, the faculty member, the relevant Deans of Arts, Science or the Sobey School of Business, and any other relevant persons, in order to come to a decision.

The decision of the Dean of Graduate Studies and Research, after due consideration to all parties and their respective contributions to the matter, shall be final, and shall in all cases be guided by the best interests of the students.

14.2 Conflict of Interest in Research

Purpose:

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

Other Relevant Policies:

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

Definitions:

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

Conflict of Interest: Conflict of Interest arises when:

- any activity, undertaking or situation of a University Member or Closely Associated Person, places a University Member in a real, perceived or potential conflict between the University Member's professional obligations, duties or responsibilities to The University and the University Member's or Closely Associated Person's personal, financial or other interests.
- the University Member or Closely Associated Person obtains a financial interest or position of influence in a Business connected to the University Member or Closely Associated Person with which The University has an existing relationship.

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

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

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

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

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

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

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

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

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

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

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

Scope of The Policy:

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

The Policy applies to all University Members.

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

(a) Research conducted within The University facilities by or under the direction of University Members;

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

The Policy Statement:

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

Contextualizing the Policy Statement:

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

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

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

Procedures:

1) On Making Disclosures:

- a) As soon as a University Member becomes aware of a Conflict of Interest in Research, (s)he must make a Disclosure to the Person in Authority. Normally, a disclosure of a Conflict of Interest in Research shall be made in writing. Minor conflicts, such as those that may arise in a committee meeting, may be disclosed verbally to the Person in Authority (i.e. the chair).
- b) Upon receiving an oral Disclosure from the University Member, the Person in Authority may request that the University Member make the Disclosure in writing.
- c) If a Person in Authority becomes aware of a Conflict of Interest in Research or potential Conflict of Interest, (s)he will request a Disclosure in writing from the University Member.

2) On Responding to Disclosures :

- a) The Person in Authority to whom the Disclosure has been made shall decide whether a Conflict of Interest exists, whether it will be permitted to continue and, if so, under what, if any, conditions.
- b) The Person in Authority shall base this decision on a determination of the course of action that is in the best interests of The University and its capacity to fulfill its mission. In making this determination, the Person in Authority may take into account the following factors:
 - i) any possible harm to the interests of students, research participants, clients of university services, or others served by The University, should the Conflict of Interest be permitted to continue;
 - ii) any possible harm to The University or its employees, officers or others acting on its behalf if the Conflict of Interest were allowed to continue;
 - iii) whether reasonable alternate arrangements which do not involve a Conflict of Interest can be made;
 - iv) the consequences to The University and its reputation and future activities of not permitting the Conflict of Interest to continue;
 - v) the consequences to The University and its reputation and future activities of permitting the Conflict of Interest to continue;
 - vi) the educational, research, economic and other interests of The University;

- c) A Person in Authority may require additional information from The University member and may consult with others before making a decision relating to a Conflict of Interest.
- d) A Person in Authority may impose terms and conditions before permitting a Conflict of Interest to continue (see Guidelines below). Such terms and conditions will often include disclosure of information concerning the existence of the Conflict of Interest and/or the Person in Authority's decision, to individuals potentially affected by the Conflict of Interest. A Person in Authority shall not permit a Conflict of Interest situation to continue where there is reason to anticipate that to do so would not be in the best interests of The University.
- e) Where applicable, the decision of the Person in Authority shall be communicated in writing to the University Member.
- f) Notwithstanding any decision by a Person in Authority regarding a Conflict of Interest, the Person in Authority may review any decisions at any time and may vary such decisions.

Compliance:

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

Effect on Collective Agreements:

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

Guidelines:

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

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

The person:

- is from the same University department/program;
- has been a research supervisor or graduate student of the University Member within the past six years;
- is providing letters of support;
- has collaborated with the University Member within the past six years or has plans to collaborate in the immediate future;

- is an employee of a non-academic organization with which the University Member has had collaboration within the past six years.

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

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

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

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

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

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

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

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

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

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

1. Policy on Conflict of Interest and Conflict of Commitment. 2004. University of Regina.

<http://www.uregina.ca/presoff/vpadmin/policymanual/hr/20140.shtml>

2. Policy on Conflict of Interests. 2002. Dalhousie University.

http://senate.dal.ca/Files/policies/Conflict_of_Interest.pdf

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.

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

Application

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

Definitions

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

PART 1 - POLICY STATEMENT

I. Preamble

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

II. Integrity in Scholarly Research

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

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

11. following the ethical principles relevant to one's own discipline;
12. following Senate-approved policies and procedures of the University's Research Ethics Board and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans;
13. following the policies and procedures defined by the University's Animal Care Committee and consistent with the Canadian Council on Animal Care's Guide to the Care and Use of Experimental Animals;
14. following all other the principles and responsibilities defined in the Tri-Council Policy Statement: Integrity in Research and Scholarship.

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

III. Scholarly Misconduct

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

1. fabrication, falsification, or plagiarism, but not including those factors intrinsic to the process of scholarly research, such as honest error, conflicting data or differences in interpretation or judgment of data or experimental design;
2. destruction of one's own or another's research data or records to specifically avoid the detection of wrongdoing or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards;
3. taking unfair advantage of one's privileged access to the work of others, or deliberate misrepresentation of one's own work or that of others.
4. inaccurate attribution of authorship, including attribution of authorship to persons other than those who have contributed sufficiently to take responsibility for the intellectual content, agreeing to be listed as author to a publication for which one made little or no material contribution, or re-publication of one's own previously published work or part thereof, without adequate acknowledgment of the source, or justification;
5. disposing of intellectual property outside the university without due benefit to those entitled to some return;
6. intentionally failing to comply with federal, provincial, or university regulations for the protection of researchers, human participants, the public, or the environment, or for the welfare of laboratory animals or intentional noncompliance with agreements that relate to the conduct of the research; this includes failing to obtain appropriate approvals, permits or certifications before conducting these activities;

7. failing to meet policy requirements or, to comply with applicable policies, laws or regulations, including those of the Tri-Council Agencies, for the conduct of certain types of research activities;
8. failure to reveal any conflict of interest during review of research grant applications or manuscripts, or in testing products for sale or distribution to the public;
9. failure to reveal to the University any financial, direct or indirect, in a company that contracts with the University to undertake research, or to provide research-related materials or services. Financial interest would include, for example, ownership, stock holdings, or a directorship. Stock ownership through a mixed mutual fund managed by a third-party fund manager (such as the case with the University pension scheme), where the individual does not have control on the mix of funds (i.e. it is not a self-directed fund) is excluded and would not form grounds for misconduct.

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

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

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

PART 2 - PROCEDURES FOR REPORTING 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. Anonymous allegations will normally not be entertained and will be considered only if relevant facts are publicly available or otherwise independently verifiable.
2. The Dean of Research may bring forth an allegation on his/her own behalf, although such a procedure should be used rarely and only when warranted by the circumstances. If the allegation is against the Dean of Research or anyone associated with his/her research program for which the Dean of Research could be seen to be in a conflict of interest, it should be made to the Vice President.
3. Upon receiving an allegation, the Dean of Research may take immediate action if warranted to protect Tri-Council Agency or other funding agencies funds. Immediate actions could include freezing grant accounts, requiring a second authorized signature from an institutional representative on all expenses charged to the researcher's grant accounts, or other measures, as appropriate.
4. Upon receiving an allegation, the Dean of Research shall inform the individual(s) named of the allegation. If the circumstances allow, the Dean of Research will attempt a resolution by mediation between the parties. Upon his/her discretion, the Dean of Research may involve the University's Conflict Resolution Advisor and/or others to aid in the mediation process. If this mediation is successful, no further action will be taken, and the file shall be destroyed. If mediation is not successful, the matter will proceed to the stage of informal and confidential inquiry.

II. Informal and Confidential Inquiry

1. Upon receiving an allegation which cannot be settled immediately by mediation, the Dean of Research must determine, as promptly and prudently as possible, the merit of the allegation. To avoid any conflict of interest, in cases where the Dean of Research has made an allegation, a designate shall be used to determine its merit.
2. It should be emphasized that this initial inquiry is informal and should allow the flexibility for the Dean of Research to consult, clarify, investigate and mediate as each unique situation requires.
3. During this initial inquiry, the Dean of Research shall maintain the highest possible degree of confidentiality so as to protect the reputation and careers of all involved, as well as the reputation of the University. If the Dean of Research finds that there is not sufficient substance in the allegation to warrant further investigation, the allegations shall be dismissed, no action taken, and the file destroyed.
4. If in the Dean of Research's judgment there are grounds to believe that the allegation has merit, the Dean of Research shall recommend that the allegation be presented to the Vice President. Although this stage of the process should normally be completed within one calendar month of receiving the allegation,

prudent management of an allegation may in some instances involve a longer period of time. For the allegation to proceed to the Vice President, the allegation(s) must be written and signed by the person or persons making the allegation, and include all pertinent details of the allegation and be accompanied by such supporting evidence as may be available. The individual(s) named in the allegation shall be informed in writing that the manner has been referred to the Vice President.

III. Formal Investigation:

1. If the Vice President determines that the allegation has no merit, all practical steps shall immediately be taken together by the Dean of Research and the Vice President to redress any harm that may have been done by the allegation.
2. If the Vice President determines that the allegation has merit, he/she will consider the seriousness of the case and consult with the Dean of Research, then determine whether or not a formal investigation shall proceed. The individual(s) involved will be informed in writing (with a copy to the Faculty Union if a faculty member or professional librarian is involved and/or the relevant staff union if a staff member is involved).
3. If the Vice President determines that the allegation has merit and constitutes serious scholarly misconduct, he/she will immediately convey this conclusion to the Dean of Research. The Dean of Research, on behalf of the University, will bring a formal charge against the named individual(s). Simultaneously, the Vice President will initiate a formal investigation. All relevant parties (including bargaining unit representatives) are to be notified in writing that a formal investigation is being undertaken.
4. If it is deemed not warranted to bring a formal charge, the Vice President, in consultation with the Dean of Research, will deal with the situation in an appropriate manner. The person making the allegation (if not the Dean of Research) may appeal in confidence to the President if he/she believes the informal investigation has not adequately dealt with the allegation.
5. Except where the allegation is deemed to have been mischievous, knowingly inappropriate or malicious, the Vice President and the Dean of Research will take whatever practical and reasonable actions may be necessary to protect the person making the allegation from possible acts of coercion or retribution by the individual(s) alleged to be involved in the scholarly misconduct. This is especially important if the person making the allegation is a graduate student supervised by the individual alleged to be involved in the scholarly misconduct, or is a visiting researcher/professor whose residency at the University has been facilitated and or is dependent upon the individual alleged to be involved in the scholarly misconduct or is a research employee (including post-doctoral fellows and research associates) whose "pay and rations" are directly dependent upon grant or contract funds for which the individual alleged to be involved in scholarly misconduct is the signing authority.
6. In the case of the Vice President proceeding with a formal investigation, an investigative committee consisting of three persons with experience in the general area of research and scholarship involved in the particular case will be

appointed by the Vice President. No member of the department or equivalent unit in which the individual(s) accused hold(s) membership shall be among the three persons appointed. Persons external to the University may be appointed if deemed appropriate or necessary, and is required in cases where the individual(s) named in the allegation hold funds from one or more of the Tri-Council Agencies.

7. The Vice President will present the investigative committee with a list of the formal charges and turn over all relevant materials.
8. The committee will undertake a formal investigation following the procedures set forth in Appendix II to this document. It will examine and should have access to all materials necessary to carry out the investigation.
9. The committee will address the charges of scholarly misconduct and determine whether or not they have merit. The committee will not comment on any action to be taken.
10. At any time during the process, the University shall take necessary steps to protect the funds of any external granting/contracting agencies involved. Where required, the University will notify the appropriate funding agencies.
11. The committee will ensure that it is cognizant of all real or apparent conflict of interest on the part of those involved in the inquiry, including both those accused and those making the allegations.
12. The committee may seek impartial expert opinions (from outside the University if required), as necessary and appropriate, to ensure that the investigation is thorough and authoritative.
13. The committee will keep copies of all materials it has collected and any tape recordings of its hearings so that they are available for transcription if required.
14. All parties will be kept informed of the committee's proceedings and will be given ample opportunity to respond to any allegations or counter-allegations. All individuals involved will have the right to be represented by an advocate in responding to the committee's investigations, and at any hearings that are conducted.
15. When the committee makes the final decision, which ordinarily should be within two calendar months of the initiation of the formal investigation, it will provide the Vice President with a written report. The Vice President will provide a copy of the report to the individual(s) named and to the Research Officer.
16. Completion of the formal investigation process should ordinarily not involve the elapse of more than three calendar months from the date the first allegation is received by the Dean of Research. Any extension beyond three months should be justified to all parties by the Vice President. An adjournment requested by the person accused is considered justification for an extension of the same duration.

IV. Action Taken Based Upon the Investigation

1. When no scholarly misconduct is found, every effort will be made by the Vice President and the Dean of Research to protect the reputation(s) of individual(s) named from undue harm, as well as the reputation of the University.
2. In cases where scholarly misconduct is judged to have occurred, the Vice President and the Dean of Research will discuss with the President appropriate action based on the nature and seriousness of the misconduct.
3. After consultation (as outlined in Part 2, Section IV.2. above), the President will implement appropriate penalties, reprimands and/or remedies that are consistent with the nature and seriousness of the misconduct involved. A penalty involving dismissal or suspension of a faculty or staff member from the University shall be recommended by the Vice President to the President of the University. Where the faculty or staff member is covered by a collective bargaining agreement, actions shall be pursuant to the provisions of that agreement.
4. Where required by them, the Vice President will notify the appropriate funding agencies of the action being followed. In some instances, the nature of the misconduct may require its referral to law enforcement agencies.
5. All records will be maintained by the Vice President in accordance with the appropriate agreements or regulations. If the allegations are deemed to have been groundless, these records should be destroyed in accordance with University practices unless they are useful to the protection of the individual's reputation.

V. Recourse:

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

Pertinent References

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APPENDIX I - GUIDELINES FOR INVESTIGATORS IN SCHOLARLY RESEARCH

INTRODUCTION

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

I. SUPERVISION OF RESEARCH TRAINEES

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

Recommendations

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

ethical conduct of studies involving healthy volunteers or patients, animals, radioactive or other hazardous substances, and recombinant DNA.

II. DATA GATHERING, STORAGE AND RETENTION

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

Recommendations

1. Custody of all original primary research data must be retained by the unit or department in which they are generated. An investigator may make copies of the primary data for his/her own use.
2. Original experimental results should be recorded, when possible, in bound books with numbered pages. An index should be maintained to facilitate access to data.
3. Where appropriate, machine print-outs should be affixed to or referenced from the research notebooks.
4. Primary data should remain in the research unit or department at all times and should be preserved as long as there is any reasonable need to refer to them. The head of each research unit or department chair must decide whether to preserve such primary data for a given number of years or for the life of the unit or research project. In no instance, however, should primary data be destroyed while investigators, colleagues or readers of published results may raise questions answerable only to reference such data.

III. AUTHORSHIP

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

Recommendations

1. Criteria for authorship of a manuscript should be determined and announced by each department or research unit. The only reasonable criterion should be that the co-author has made a significant intellectual or practical contribution. The concept of "honorary authorship" is unacceptable.
2. The first author should assure the head of each research unit or department chairperson that he/she has reviewed all the primary data on which the report is based and provide a

brief description of the role of each co-author. (In multi-institutional collaborations, the senior investigator in each institution should prepare such statements.)

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

IV. PUBLICATION PRACTICES

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

Recommendations

1. The number of publications to be reviewed at the time of faculty appointment or promotion should be limited in order to encourage and reward bibliographies containing fewer but more substantive publications rather than those including many insubstantial or fragmented reports. (It is suggested by the Harvard Medical School Guidelines, for example, that no more than 5 papers be reviewed for appointment as Assistant Professor, no more than 7 for Associate Professor and no more than 10 for Professor).
2. Simultaneous submissions of multiple, similar abstracts or manuscripts to journals is unacceptable.

V. LABORATORY GUIDELINES

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

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

APPENDIX II

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

1. The person charged must be provided with full information concerning the allegations against him or her.
2. The person charged must have a full opportunity to be heard and to reply to those allegations (*audi alteram partem*).

3. If the person charged requests an adjournment, a reasonable period for adjournment should be allowed.
4. The person charged should be entitled to call witnesses and question (i.e. cross-examine) the witness giving evidence against him or her.
5. A record of all proceedings should be kept.
6. The person charged should be provided with a record of the evidence in the proceedings if there is a further right of appeal.
7. The investigative committee has a duty to listen fairly to both sides, and to reach a decision untainted by bias.
8. Decisions arrived at must be based on the evidence available to the committee which in turn would be available to the person charged and thereby subject to cross-examination or refutation by him or her. If there is any relevant evidence available, it must be submitted as evidence in order to have a bearing on a decision.
9. The person charged must be provided with reasons for any decisions or recommendations which the committee makes. A final point to be made is that any administrative procedures agreed to should not simply receive the approval of the relevant governing bodies but must also correspond to the principles outline above. The fact that an institution might contend that it followed its duly approved rule book to the letter would not provide immunity to rulings to a higher court that the rules contained in it were improper in that they were deemed to have contravened these principles.

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

14.4 Masters Thesis and PhD Dissertation Defense Policy

FGSR Policy and Procedures on Master Thesis and PhD Dissertation Defenses

Approved by FGSR Council on 24 April 2013

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

Scope:

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

Academic Regulations related to Master Thesis and PhD Dissertation Defenses:

- **Language of Instruction and Examination** (Regulation #15 in the 2016-17 Graduate Academic Calendar):
 - The language of instruction for all graduate programs is English. Likewise, all theses will be written and examined in English. The only exception to this policy is where the nature of the scholarly topic requires that the thesis be written, in whole or in part, in a language other than English. The rare exceptions for use of a language other than English in a thesis must have approval in writing from the student's supervisor, the Program Coordinator, and the Dean of the FGSR. The Supervisor and Program Coordinator must also ensure that qualified thesis examiners, fluent in the language presented in the thesis, are available for examination of the thesis. Even if the thesis is written, in whole or in part, in a language other than English, the thesis examination will be carried out in English.
- **Program Requirements** (with reference to thesis/dissertation procedures in Regulation #16 (d) in the 2016-17 Graduate Academic Calendar):
 - Where required, a student shall submit a thesis on a subject approved by the Program Committee in which research has been conducted under the direction of a supervisor appointed by the appropriate Program Committee. An oral defense in the presence of an Examining Committee appointed by the Program Coordinator and the Dean of the FGSR is mandatory.
 - The minimum requirements for the composition of the Examining Committees for Master Theses are:
 - (i) the Thesis Supervisor
 - (ii) an examiner who may have been previously involved in the supervision of the student's thesis research
 - (iii) an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must

hold a Master's degree or equivalent. Examples of equivalent status may be a Doctor of Medicine (M.D.), a lawyer (L.L.B.), or professional Engineer (P.Eng.) with expertise and research experience in the thesis subject.

- (iv) a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)
- The minimum requirements for the composition of the Examining Committees for PhD Theses/Dissertations are:
 - (i) the Thesis Supervisor
 - (ii) two examiners who may have been previously involved in the supervision of the student's thesis research
 - (iii) an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a PhD, be an expert in the thesis topic, be external to Saint Mary's University, and not be in a conflict of interest with either the PhD candidate or his/her supervisors.
 - (iv) a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)

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

- PhD Thesis Defense Procedures - Defense Agenda
- PhD Thesis Defense - Outcomes

FGSR procedure documents related to Master Thesis and PhD Dissertation Defenses

(available on the FGSR website):

- Thesis Defense Procedures - Behind the Scenes
- Submitting the Completed, Revised Thesis after the Defense

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

- External Examiner Nomination Form (Masters and PhD)

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

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

Additional Master Thesis and PhD Dissertation defense requirements, processes and procedures defined by this Policy:

- Attendance at Master Theses defenses:
 - Normally the Candidate must be present in person at the defense. Under exceptional circumstances, the candidate may be given permission to attend the defense by video conferencing (see below).
 - At a minimum the Supervisor, one other member of the Examining Committee, and the neutral Chair must be present in person at the defense.
 - An absent Examiner must, prior to the defense, submit a report on the thesis, provide questions to ask the candidate at the defense, and submit a

recommendation on the acceptability of the thesis as a written document. The neutral Chair will ask the questions submitted by the absent Examiner, but the assessment of the quality of the answers will be assessed by the other examiners present at the defense.

- Attendance of Candidates at a Master Theses defenses by video-conferencing:
 - Upon request, and only under exceptional circumstance and with the support of the Examining Committee, a candidate may be given permission by the Coordinator of the Graduate Program to attend the defense by video conference (attendance solely by teleconference is not acceptable).
 - If a Master Thesis candidate is given permission to attend the defense by video-conferencing, the candidate must recognize that attendance by video-conferencing is a privilege and not a right. It is the Candidate's responsibility to ensure that adequate video conferencing technology is in place.
 - Attendance of a candidate by video-conferencing will not be considered grounds for appeal of the outcome of a defense.
 - If a Master Thesis candidate is given permission to attend the defense by video-conferencing, but the video-conferencing technology fails during the defense (the Chair will make the decision on when the technology has failed), the defense will be reschedule for a later date.
- Attendance at PhD Theses/Dissertation defenses:
 - The candidate must be present in person at the defense.
 - All members of the Examining Committee as defined in Regulation #16 (d) must be present at the defense. Normally only one member of the Examining Committee may be present by two-way video conferencing; all others must be present in person.

15.0 Graduate studies glossary of terms

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

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

Graduate Studies Officer: Housed within the offices of the FGSR (Atrium, Room 210), the Graduate Studies 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, all PhD students, and students in the MAE, EMBA, MFIN and MTEI programs. Tuition fees are based on the entire program (i.e. NOT on a per-course basis) and are charged at the start of each semester during a student’s [Residency Period](#). Program-fee-based graduate students should enroll in [FGSR9000](#).

Reactivation of a graduate program: Any student who does not register in a given semester for any reason (e.g. withdrew from the program; was granted a leave of absence), must apply for a reactivation to their graduate program by filling out 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 101. The Graduate Studies Officer, [Heather Taylor](#) (Atrium, Room 210), may also be of assistance to students with questions for the Registrar.

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

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

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

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

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

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

Term Dates

May 9, 2016	Spring term & Graduate Summer term begins.
June 23, 2016	Spring term ends.
July 4, 2016	Summer term begins.
August 19, 2016	Summer term ends.
September 7, 2016	Fall term begins.
September 16, 2016	Last day to register and/or drop Fall courses with 100% refund.
November 30, 2016	Last day of classes- Fall term.
December 17, 2016	Fall term & exam period ends.
January 4, 2017	Winter term begins.
January 13, 2017	Last day to register and/or drop Winter courses with 100% refund.
March 30, 2017	Last day of classes- Winter term.
April 19, 2017	Winter term & exam period ends.

Final Exam Dates

April 7 & 8, 2016	Study days. No classes.
April 9, 2016	Start of formal final examinations
April 22, 2016	End of final exams and end of the Winter term. (Note: Subject to change.)
Dec 1 & 2, 2016	Study days. No classes.
Dec 3, 2016	Start of formal final examinations.
Dec 17, 2016	End of final exams and end of the Winter term. (Note: Subject to change.)
Mar 31 & Apr 1, 2017	Study days. No classes.
Apr 3, 2017	Start of formal final examinations
Apr 19, 2017	End of final exams and end of the Winter term. (Note: Subject to change.)

Graduation Dates

Visit smu.ca/graduation for more graduation details.

May 18-20, 2016	Spring Convocation Week 2016.
Jun 1, 2016	Last day to apply for Fall Convocation.
Sep 30 & Oct 1, 2016	Fall Convocations
Aug 1, 2016	Last day to apply for Winter Convocation.
Oct 1, 2016	Last day to apply for Spring Convocation.
Jan 20, 2017	Winter Convocation

Holidays

Administrative offices will be closed and no classes/exams will be held on the following holidays, unless otherwise noted:

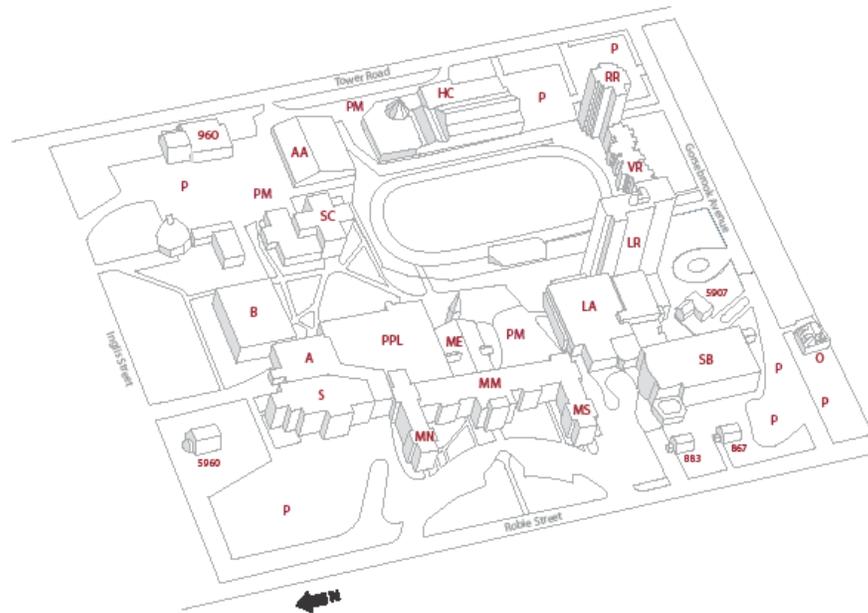
Mar 25, 2016	Good Friday
Mar 28, 2016	Easter Monday
May 23, 2016	Victoria Day
Jul 1, 2016	Canada Day
Aug 1, 2016	Natal Day
Oct 10, 2016	Thanksgiving Day
Nov 9 -10, 2016	Fall Break (Admin. offices open)
Nov 11, 2016	Remembrance Day
Dec 8, 2016	Patronal Feast of the University
Feb 20, 2017	Nova Scotia Heritage Day
Feb 21- Feb 25, 2017	Winter Break (Admin. offices open)
Apr 14, 2017	Good Friday
Apr 17, 2017	Easter Monday

17.0 General Campus Information

17.1 Campus Map



CAMPUS MAP



A Atrium	ME McNally East	PPL Patrick Power Library	883 883 Robie St
AA Alumni Arena	MM McNally Main	RR Rice Residence	867 867 Robie St
B Burke Building	MN McNally North	S Science Building	960 TESL / BDC
HC Homburg Centre for Health and Wellness	MS McNally South	SB Sobey Building	5907 5907 Gorsebrook Ave
LA Loyola Academic Complex	O The Oaks	SC O'Donnell Hennessey Student Centre	5960 Gorsebrook Research Institute
LR Loyola Residence	P Parking	VR Vanier Residence	
	PM Parking Meters		

17.2 Housing

For information on Campus Family & Graduate Housing visit <http://www.smu.ca/administration/resoffic/family.html> or telephone (902) 420-5598.

17.3 University Health Services

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

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

Tel: 420-5611 or 496-8778

After hours nurse, telephone 471-8129

Also see: <http://www.smu.ca/administration/studentservices/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 7,000 student devices in addition to the 1,900 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 Self-service. In SMUport, the university's web portal, students can connect with the campus community, and obtain on-line course information through Brightspace. 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.

Four general access labs, four common computing areas, and several departmental labs across campus hold over 400 workstations. Some general access labs are open 24 hours per day, 7 days a week. 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 (www.smu.ca/itss), phone (902) 496-8111 or 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: Dr. Robert Summerby-Murray;
president@smu.ca

Acting Vice-President Academic and Research: Dr. Esther Enns;
vpacademic@smu.ca

Associate Vice President,
Enrolment Services and Registrar: Dr. Paul Dixon;
registrar@smu.ca

Dean, Faculty of Graduate Studies & Research: Dr. J. Kevin Vessey;
Associate Vice President - Research
kevin.vessey@smu.ca

Dean, Faculty of Arts: Dr. Margaret MacDonald
margaret.macdonald@smu.ca

Acting Dean, Faculty of Science: Dr. Kathy Singfield;
kathy.singfield@smu.ca

Dean, Faculty of Commerce: Dr. Patricia Bradshaw;
patricia.bradshaw@smu.ca

Director, Student Services: Mr. Tom Brophy;
student.services@smu.ca

Acting Director, International Activities: Ms. Maureen Woodhouse;
maureen.woodhouse@smu.ca

18.0 References

2016-17 Academic Calendar, Saint Mary's University
(<http://www.smu.ca/academics/academic-calendar.html>)

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

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, 2015-18 (<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/about/ohs-resources.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://www.smu.ca/webfiles/SenatePolicyStatementonIntegrityinResearchandScholarship.pdf>)

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

Scholarships, Fellowships, Bursaries, Prizes, Research Grants and Financial Assistance, Canada Revenue Agency Bulletin IT-75R4 (<http://www.cra-arc.gc.ca/tx/tchncl/ncmtx/fls/s1/f2/s1-f2-c3-hstry-eng.html>)

The Tri-Council Policy of Research Involving Human Subjects
(<http://www.smu.ca/academic/reb/tri.html>)