Saint Mary's University

Faculty Handbook - 2023

Saint Mary's University

Table of Contents for 2023-24 Faculty Handbook for Graduate Studies and Research

Introduction

	Page
1.0 Welcome from the Dean	3
2.0 Who's Who?	5
3.0 Roles and responsibilities	6

Graduate Studies

4.0 Guiding Principles for Graduate Student Supervision	11
5.0 Students progression through their graduate program	17
5.1 Getting started	17
5.2 Academic advising	17
5.3 Registration	17
5.4 Fees: per-course-fee programs and program-fee programs	18
5.5 Full-time and part-time status	19
5.6 Receipt of stipends, scholarships or salary payments related to students' graduate programs	20
5.7 Students' programs of study and research	22
5.8 Supervision of student thesis research	22
5.9 Evaluation of thesis research while in progress	23
5.10 The thesis defence	25
5.11 Graduation	28
5.12 Time-for-completion, leaves, and extensions	28
6.0 Scholarships and Fellowships for Graduate students	31
7.0 Commonly requested forms – Current Students	32

Research

8.0 Applying for grants and awards	33
8.1 Researcher Responsibilities	33
8.2 Internal Grants	33
8.3 External Grants	34
8.4 Tri-Agency Open Access Policy on Publications	35
9.0 The Office of Innovation and Community Engagement	36
9.1 Collaborative Research	36
9.2 Technology Transfer	36
9.2.1 Disclosure	37
9.2.2 Funding Opportunities	38
10.0 Academic and Research Integrity	38
10.1 Academic Integrity	39
10.2 Research Integrity	41
11.0 Research Ethics Board (REB) and the Office of Research Ethics	44
11.1 REB Review and Clearance Requirement versus Review Exemption	44
11.2 Supervisory Responsibilities	45
11.3 Research Ethics Education	46
12.0 Research involving the use of animals	46
13.0 Research Agreements Policy	47
14.0 Intellectual Property Management	47
15.0 Commonly requested forms – Research	48

General Information

16.0 Health and safety 48
16.1 Saint Mary's Safety Policy 48
16.2 Supervisors responsibilities towards students in regard to OH&S 48
16.3 Research activities in hazardous settings 49
16.4 On-campus security 50
17.0 Enterprise Information Technology (EIT) 51
18.0 Academic Calendar of Events 52
19.0 Campus Map 55
20.0 References 56

1.0 Welcome from the Dean/Associate Vice-President Research

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

With its recent expansion of an impressive diversity of graduate programs and research activities, Saint Mary's is now poised to solidify our place as the most research-intensive small university in Canada—even as the "small" ensures that we maintain our uniquely Santamarian advantages—including the benefit of a strong sense of community and accompanying mutual supports. We are among the most research-active small universities in Canada, making Saint Mary's University a great place to pursue graduate studies!

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

As we enter the 2023-24 Academic Year, we are well on the way to implementing activities related to our recently renewed Strategic Research and Academic Plans. The actions outlined in both of these Plans are designed to capitalize on our large increases over the last decade in research funding, in admitted graduate students, and in research projects undertaken – all of which will allow us to secure the future vision of research direction and support across Saint Mary's University.

An important part of our research support has been through the FGSR's Office of Innovation and Community Engagement (OICE) which - as part of the Springboard Atlantic program - helps facilitate research relationships between our researchers and communities beyond our campus, as well as aiding in the transfer of technology and other knowledge. Closely connected is our leading role in establishing and running the Change Lab Action Research Initiative (CLARI), a multi-organizational network of 5 universities and the Nova Scotia Community College designed to build a trusted network of research expertise that can support individuals and organizations leading change across Nova Scotia. These efforts and supports will remain essential elements of realizing the goals related to target of "promoting both foundational and community-engaged research" within the President's academic Strategic Initiative of "Discovery and Innovation within a Learner-Centred Environment".

The purpose of the handbook is to provide a useful reference for new and continuing faculty members on graduate studies and research at Saint Mary's. The information contained within has been compiled from various sources including the 2022-25 SMUFU/SMU Collective Agreement and the 2023-24 Academic Calendar, as well as from policies and procedures of the Faculty of the Graduate Studies and Research, Senate, 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.

I hope you find this handbook to be a useful guide. Please do not hesitate to contact the staff in the FGSR for assistance.

Adam J. Sarty, Ph.D.
Dean, Faculty of Graduate Studies and Research
Associate Vice President, Research

2.0 Who's Who?

FGSR Staff:

Dr. Adam Sarty	Associate Vice President, Research / Dean - FGSR	adam.sarty@smu.ca	902-491-6478
Dr. James O'Brien	Associate Dean, FGSR – Student Affairs	associatedean.fgsr@smu.ca	902-496-8770
Shane Costantino	Administrative Assistant to the Dean	shane.costantino@smu.ca	902-491-6478
Heather Gray	Graduate Studies Officer	heather.gray@smu.ca	902-420-5069
Leah Ray	Graduate Studies Officer	leah.ray@smu.ca	902-491-6646
Tanya Carroll	Program Assistant	fgsr@smu.ca	902-420-5089
Marlene Ramos	Research Grants Officer	rgo@smu.ca	902-420-5186
Kevin Buchan	Director – Office of Innovation & Community Engagement (OICE)	kevin.buchan@smu.ca	902-491-6297
Danielle Goodfellow	Industry Liaison Officer - OICE	danielle.goodfellow@smu.ca	902-420-5270
Vanisa Omicevic	Research Office Assistant - OICE	oice@smu.ca	902-491-6459
Orshy Torok	Research Ethics Officer – REB	ethics@smu.ca	902-420-5728
Caila Henderson	Animal Care Coordinator / Aquatic Facility Manager	animalcare@smu.ca	902-491-6335

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

Commerce			
Applied Economics	Dr. Ather Akbari Brittni Baird	ather.akbari@smu.ca sobeygrad.admissions@smu.ca	902-420-5670 902-420-5010
EMBA / EDBA	Dr. Kevin Kelloway	kevin.kelloway@smu.ca	902-491-6355
MBA	Dr. Chantal Hervieux Brittni Baird	chantal.hervieux@smu.ca sobeygrad.admissions@smu.ca	902-420-5771 902-420-5010
MBA-CPA	Dr. David Bateman Brittni Baird	david.bateman@smu.ca sobeygrad.admissions@smu.ca	902-420-5623 902-420-5010
MBAN	Dr. Michael Zhang	michael.zhang@smu.ca	902-491-8676
MFIN	Dr. Rahman Khokhar	rahman.khokhar@smu.ca	902-491-6371
MMCCU / Grad Diploma	Dr. Claudia De Fuentes Erin Hancock Jude Robertson	claudia.defuentes@smu.ca erin.hancock@smu.ca jude.robertson@smu.ca	902-420-5851 902-802-7897 902-491-6257
MTEI	Dr. Ellen Farrell Dr. Gordon Fullerton Brittni Baird	ellen.farrell@smu.ca gordon.fullerton@smu.ca sobeygrad.admissions@smu.ca	902-420-5693 902-496-8167 902-420-5010
MSc			
Applied Psychology	Dr. Debra Gilin	debra.gilin@smu.ca	902-491-6211
Applied Science	Dr. Kai Ylijoki	kai.ylijoki@smu.ca	902-491-6527

	Keith Bain	keith.bain@smu.ca	902-491-6535
Astronomy	Dr. Luigi Gallo	astrogc@ap.smu.ca	902-420-5637
Computing & Data Analytics	Dr. Pawan Lingras Keith Bain	pawan.lingras@smu.ca keith.bain@smu.ca	902-420-5798 902-491-6535
MA:			
Atlantic Canada Studies	Dr. Alexander MacLeod	alexander.macleod@smu.ca	902-491-6222
Criminology	Dr. Stephen Schneider	stephen.schneider@smu.ca	902-420-5872
Geography	Dr. Mat Novak	m.novak@smu.ca	902-491-6541
History	Dr. Nicole Neatby	nicole.neatby@smu.ca	902-420-5765
Global Development Studies	Dr. Kate Ervine	kate.ervine@smu.ca	902-491-6224
Philosophy	Dr. Todd Calder	todd.calder@smu.ca	902-420-5826
Women & Gender Studies	Dr. Michele Byers	michele.byers@smu.ca	902-420-5482
Theology and Religious Studies	Dr. Syedadnan Hussain	syedadnan.hussain@smu.ca	902-496-8217
PhD:			
Applied Science	Dr. Kai Ylijoki Keith Bain	kai.ylijoki@smu.ca keith.bain@smu.ca	902-491-6527 902-491-6535
Astronomy	Dr. Luigi Gallo	astrogc@ap.smu.ca	902-420-5637
Business Administration	Dr. Ashraf Al Zaman Hannah Wood	ashraf.zaman@smu.ca hannah.wood@smu.ca	902-491-6272 902-420-6529
I/O Psychology	Dr. Debra Gilin	debra.gilin@smu.ca	902-491-6211
Global Development Studies	Dr. Kate Ervine	kate.ervine@smu.ca	902-491-6224
Education:			
Int'l Master of Teaching English	Dr. Esther Enns Keith Bain	esther.enns@smu.ca keith.bain@smu.ca	902-420-5009 902-491-6535
Graduate Programs – Research Centres:			
Master of Applied Health Services Research	Dr. Steven Smith	mahsr@smu.ca	902-491-6889

3.0 Roles and Responsibilities

This section attempts to clarify the roles and responsibilities of individuals (including Faculty members) and offices/bodies of the University relative to Graduate Studies and Research.

Relationships between the Dean of the FGSR/Associate Vice-President Research, the Vice-President (Academic and Research), and the Deans of the Faculties of Arts, Science, and the Sobey School of Business:

Because the FGSR is a pan-University faculty that works in an integrative fashion with the Vice-President, Academic and Research (VPAR), and the Deans of the Faculties of Arts, Science, and the Sobey School of Business (SSB), it is important for all to understand the relationships between these positions.

The VPAR is ultimately responsible for all academic programs (graduate and undergraduate) and the research/scholarly activities of the University. The Dean of the FGSR, as well as the other Deans, report directly to the VPAR.

The VPAR and the Dean of the FGSR work closely together on leading, facilitating and administering the research activities of the University, including strategic research planning. The VPAR has delegated much of the day-to-day administrative responsibilities for the research activities of the University to the Dean of the FGSR, but the VPAR retains ultimate approval/signing authority on many aspects (e.g. ultimate sign-off on many research grant applications).

The Dean of the FGSR is the lead on academic issues for graduate programming in the University, but works closely with the other Deans on these issues. All Graduate Program Coordinators report to the Dean of the FGSR on all graduate academic issues including curriculum, academic programming and student progress/satisfaction. However, per the Collective Agreement with the Saint Mary's University Faculty Union, the Dean of the FGSR does not have authority on teaching assignments (graduate or otherwise) or faculty personnel issues; these responsibilities lie with the relevant Dean of Arts, Science, or the Sobey School of Business, to whom the Faculty member reports (i.e. unless clearly stated otherwise, "Dean" in the Collective Agreement refers to the relevant Dean of Arts, Science, or the Sobey School of Business, not the Dean of the FGSR). Collective Agreement Articles which do involve the Dean of the FGSR include 10.1.10 (f) Appointment of Research Fellows; 13.1.63 Programme Coordinators (as relevant for Graduate Program Coordinators); 14.1.10 Faculty Councils; and 16.6 Research Stipends. Similarly, assignment of office and research space falls to the relevant Dean of Arts, Science or the Sobey School of Business, not the Dean of the FGSR (except for some specifically assigned research space on campus - 5960 Inglis Street).

A useful example of "the division of labour" between the Dean of the FGSR and the others Deans can be illustrated in the handling of a graduate student's "issue" about a graduate class. While the student may approach the office of either the Dean of the FGSR or the Faculty of Arts, Science, or SSB to whom the professor of the class is assigned, the Dean of the FGSR will address academic, curriculum, or student conduct issues associated with such an "issue" while the other relevant Dean would address any faculty personnel issues that may be relevant.

While the relationship between the Dean of the FGSR and the other Dean of Arts, Science, or SSB may seem confusing, do not hesitate to approach either one in regard to issues involving graduate studies or research. The Deans have very good working relationships and will steer you in the right direction to address your issue.

Officers and staff of the FGSR:

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

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

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

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

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

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

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

There are two staff in the Office of Innovation and Community Engagement: the Director and the Industry Liaison Officer. The mandate of this office is to facilitate research relationships and collaborations between faculty members and external partners [i.e. private-sector, public sector (outside of the public granting agencies) and NGO's], as well as to be a means of transfer of applied research outcomes into the private sector (i.e. knowledge and technical transfer). The office is also a resource in negotiating research contracts, intellectual property agreements, etc. Also see section 9.0 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 11.0 in this Handbook.

Committees of the FGSR:

There are six formal Committees of the FGSR. These are the Faculty Council, the FGSR Curriculum Committee, FGSR Executive Committee, the Graduate Student Awards Committee, FGSR Faculty Research Awards Committee, the Research Advisory Council and the College of Defence Chairs. The membership, roles and responsibilities of these committees can be seen in detail at: http://www.smu.ca/academics/fgsr-committees.html.

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 2018-2021 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.

Faculty Members of the FGSR:

Your role in research/scholarly activity is vitally important to the University, and for those that have the opportunity within their fields and disciplines, teaching of graduate courses and supervision of graduate student research as well. As these are components of evaluation for promotion and tenure, they are important to you as well in terms of career progress. As you proceed in these roles, you need to be aware of relevant policies and procedures of the University in regard to graduate studies and research. These include, but are not limited to:

- Conflict of Interest in Research
- Senate Policy Statement on Integrity in Research and Scholarship
- Research Agreements Policy
- Research Ethics
- Financial Services and Reporting
- Research Grants - General Policy

Numerous articles in the 2018-21 Collective Agreement between Saint Mary's University and SMUFU apply to graduate teaching and research/scholarly activities. (http://www.smu.ca/about/collective-agreements.html#d.en.45147).

The FGSR Faculty Council has adopted the Canadian Association of Graduate Studies' Guiding Principles for Graduate Student Supervision as guiding principles on graduate student supervision for the FGSR at Saint Mary's University. These Guiding Principles can be seen in Section 4.0 of this Handbook, or at:
http://www.smu.ca/webfiles/GuidingPrinciplesforGraduateStudentSupervisioninCanada.pdf

Thesis Supervisors and Thesis Supervisory Committees:

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.

Graduate Academic Regulation 28 "Evaluation of Thesis/Program Progress" in the 2023-24 Graduate Academic Calendar indicates that the progress of students in thesis-based programs must be formally evaluated annually. Theses Supervisors, if not the whole Supervisory Committee (see below), should be involved in this evaluation. Assessment of student progress and actions coming forth from such assessments are as defined in regulations 28 c. and 28 d. of the Graduate Academic Calendar.

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

The graduate student:

Graduate students play special roles in universities. They are students in the traditional sense, but may also have roles as research assistants/collaborators, teaching assistants, and mentors to undergraduate and other graduate students. Many academic committees of the University have positions reserved for graduate students, so they can also have input into the decision making activities of the University.
The prime responsibility of the graduate student is to meet the requirements of their degree program in a timely manner (see Academic Regulation 16 in the 2023-24 *Academic Calendar)*

The graduate student is ultimately responsible for ensuring that:

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

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

Graduate students must register for every semester (including summer) until completion of all requirements for the degree (see Academic Regulation 5 in the 2023-24 Graduate Academic Calendar). This is an active process. Students must register for the appropriate courses and/or thesis/program continuation status on Banner Self Service (http://selfservice.smu.ca) every semester until all degree requirements have been met (also see section 5.3. of this Handbook). Students must obtain all required approvals by professors,

supervisors, and program coordinators/directors before registering. If a student anticipates that they may have to interrupt their graduate program for any reason, they should talk to their thesis supervisor(s) and program coordinator/director as soon as possible.

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

Graduate students are required to ***abide by all policies and procedures of the University,*** including, but not limited to, all academic regulations detailed in the Academic Calendar, the Safety Policy (also see section 16.0. 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 11.0. 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).

4.0 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

Copyright © Canadian Association of Graduate Studies (CAGS) 2008

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

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

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

A. Introduction

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

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

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

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

B. Guiding Principles

1. A Supervisor should be identified in a timely fashion

One of the most important aspects of graduate training is the timely, clear identification of a supervisor for each graduate student. This individual plays a key role in setting the direction of the graduate student's research. There are wide variations in the practices of

finding such a supervisor, and in the timing of when supervisors are normally assigned to students across discipline, research field and graduate programs. In some fields, students are assigned supervisors before they begin their programs (e.g. commonly the case in engineering, the natural sciences, and some fields in the social sciences), while in others, supervisors are normally assigned after one or more semesters. Whatever the norm for the discipline, field or graduate program, procedures for assigning a supervisor in a timely fashion should be in place and should be followed. Such procedures should also be clearly documented and known to students and faculty.

2. Supervisory committees or equivalents should be established early.

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

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

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

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

Graduate study can be a very unfamiliar environment for new graduate students and students who are new to in Canada. Graduate programs tend to be much less structured than undergraduate programs. Also, the rich cultural diversity in our Universities means that the cultural background of graduate students can be quite different from the norms found within the institution. Because of these realities, it is important that supervisors are highly accessible to provide guidance and feedback to graduate students, but particularly to students for whom both graduate programs and Canada are new. Frequent meetings with graduate students at which academic, research and other issues are addressed, progress is reviewed, evaluation is provided, and future activities are identified are extremely important for the success of students. Most graduate programs require a written report on student's progress to be submitted to departmental, school or faculty offices at least once per year. Such formal procedures, while essential, should not preclude more frequent evaluation of student activities and progress on a more informal basis, such as office or lab meetings, email communications and telephone conversations. When supervisors will be absent from

the university for extended periods of time (e.g. field seasons; sabbatical leaves), steps need to be taken to ensure continuation of quality supervision during these absences.

5. Student-supervisor relationships should be professional.

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

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

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

7. Supervisors should be mentors

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

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

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

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

From time to time, conflicts may emerge between the supervisor and the student. Involving more people and higher levels of authority in a conflict can result in exaggeration of the original problem. This makes it harder to resolve and causes more damage to the participants and those around them. Conflicts should be resolved as close as possible to the source of the problem (i.e., at the lowest level of administration). If the student and supervisor cannot find a solution after discussing the problem, they should then involve the supervisory committee or equivalent. If the problem cannot be

resolved at the student-supervisor level, it may be dealt with by the program. The University should ensure that appropriate resources (e.g. ombudsperson, equity office) are available to assist. If no satisfactory resolution can be found at the program level, the problem may be referred to the higher administrative levels. All parties should follow procedures congruent with established policies of their universities.

10. Continuity is important in graduate supervision.

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

11. Alternative supervision should be available.

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

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

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

E. Other Resources

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

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

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

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

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

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

5.0 Students progression through their graduate program
(extracted from the Graduate Student Handbook)

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 1993 would be 011293). Once activated, you will be able to access both the "Banner Self-Service" (http://selfservice.smu.ca) that enables access to many useful services and personal records (including on-line registration and your timetable) and to SMUport (http://smuport.smu.ca/).

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

5.2 Academic advising

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

5.3 Registration

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

Registration Instructions
Go to Self Service Banner and follow these instructions to register for courses.

- Select **"Enter Self-Service Banner"**
- Enter your **smu.ca email address** and **password**. Click here if you need help to access your account.
- Select the "Student" tab at the top
- Select "Registration"
- Select the appropriate term from the drop-down menu and click "Submit"
- Select "Add or Drop Classes"

- Enter the CRN (5-digit number) for the courses, labs and recitations you want to register for in the "Add Classes Worksheet".
- Click "Submit Changes".

After submitting your changes, two things may appear:

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

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

Visit Common Registration Q & A page for more information and tips.

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

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

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

Per-course fee programs:

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

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

Program-fee programs:

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

Students in program-fee based programs are charged a fee for their entire program. These fees may be charged once at the outset of the program, or in multiple installments during the program. For details on program fee, see the 2023-24 Fee Tables. http://www.smu.ca/academics/graduate-tuition-fees.html

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

5.5 Full-time and part-time status

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

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

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

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

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

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

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

- Graduate students will be designated as FT or PT by their Graduate Program Coordinators.
- Following admission, changes in registration status from FT to PT or vice-versa will be allowed ONLY with the permission of the Program Coordinator and the Dean of the FGSR and only when the student's situation changes so as to satisfy the above definitions.
- Only during the minimum time-for-completion of the program will FT students be eligible for funding from the FGSR. PT students are not eligible for funding from the FGSR.
- The normal status for thesis-continuation students is part-time. Under exceptional circumstances, and for a limited period of time, a thesis-continuation student may be

identified as full-time. In order for full-time status to apply, students will normally be geographically available to the university, visit the campus regularly, not be engaged in full-time employment (on or off campus) and be in pursuit of their studies as a full-time occupation. Students requesting full-time thesis continuation status are required to complete and sign an application form (https://smu.ca/academics/fgsr-current-forms.html) which must be endorsed by the supervisor, authorized by the program coordinator, and submitted to the Faculty of Graduate Studies and Research.

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

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

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

(i) external scholarships/fellowships (e.g. Tri-Agency [NSERC, SSHRC, and CIHR] scholarships; provincial granting agencies such as Research NS, NS Graduate Scholarship; research foundations; individual government agencies and departments; non-governmental agencies, charitable organizations, foreign governments)

(ii) internal "named" scholarships (e.g. the Bernard Kline Memorial Scholarship, John Despard deBlois Scholarship)

(iii) FGSR Graduate Fellowships or Graduate Awards

(iv) fellowships from thesis supervisors' research grants

(v) salary from thesis supervisors' research grants

(vi) salary from departmental teaching assistantships (TAs)

(vii) salary from current employers specifically for pursuing your graduate program.

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

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

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

(i) External Scholarships and Fellowships

Payment of funds provided from external scholarships may be handled in two ways.

a) The funding agency/organization may deposit the money with Saint Mary's and the University will oversee its disbursement to you. This is done through deposits to your student account (viewable in Banner Self Service).

b) The external granting agency may send the money directly to you, normally in the form of a cheque. If you receive such an award, please inform the FGSR. We would like to recognize your accomplishment and we also like to know about such funding of our students for statistical purposes.

(ii) Internal "named" scholarships

The origin of the funds for these scholarships may have been from internal or external sources to the University, but Saint Mary's now holds and administers these funds. Awardees have the scholarship amounts deposited into their student accounts.

(iii) FGSR Graduate Fellowships or Graduate Awards

These funds are supplied internally from Saint Mary's and are allocated through the FGSR to the graduate programs. These funds are then allotted to graduate students within the program by the program coordinator/program committee on a merit basis. Awardees have the fellowship/award amount deposited into their student accounts.

(iv) Fellowships from thesis supervisors' research grants

These funds are provided by research grants held by the Thesis Supervisor. These funds are only available to students whose supervisors hold such grants and are willing and able to budget such scholarships within the grant.

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

Further characterization of salary funding categories and payment modes:

(v) Salary from thesis supervisors' research grants

This may seem similar to category (iv) funding above, but an important difference is that the funding is paid as a salary for services rendered *which are not directly related to the student thesis research* (e.g. data analysis for a supervisor's research project which is not a component of the student's thesis research). The student is normally employed as a casual employee by the supervisor's department and is paid through Saint Mary's Payroll Services.

(vi) Salary from departmental teaching assistantships (TAs)
Some departments hire graduate students as teaching assistants, normally in undergraduate laboratories and classes. These are administered through individual departments and students are paid through Saint Mary's Payroll Services.

(vii) Salary from current employer for pursuit of a graduate program
Some students attend graduate school under the permission/direction of a current employer, normally as a career development process. Employers may pay for the student to pursue their graduate program as a component of their job. Employers and employees/students negotiate the salary and terms. Saint Mary's has no role in such funding situations; however, the FGSR would appreciate being informed of such employer support for statistical purposes.

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

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

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

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

5.8 Supervision of your thesis research:

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

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

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

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

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

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

Aside from these guidelines, students and their supervisors are required to abide by all policies and procedures of the University, including, but not limited to, all academic regulations detailed in the Academic Calendar, the Safety Policy, the Freedom of Information/Protection of Privacy Policy, the Policy on the Prevention and Resolution of Harassment and Discrimination, the Research Integrity Policy, and the Tri-Council Policy of Research Involving Human Subjects (see section 11.0.). All of these regulations and policies are available on the Saint Mary's web site or by contacting the FGSR. Also see section 4.0 of this handbook on Guiding Principles for Graduate Student Supervision.

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

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

The supervisor will prepare a report on the student's progress using the form available from the program or the FGSR (the latter is available at http://www.smu.ca/academics/fgsr-current-forms.html). The report must be witnessed by the student's signature and the student is free to make comments regarding the report. The report, which will include an evaluation at one of the three assessment levels indicated below, will be sent to the Program Coordinator for signature

and forwarded to the Dean of the FGSR. These evaluations become part of the student's record within the FGSR, but are not recorded on the student's transcript.

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

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

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

- Satisfactory
  The students' progress in their research relevant to the period of time working pursuing the research is at least sufficient in terms of quality and quantity. In the assessment, leeway must be given for problems that may arise in pursuit of the research which are beyond the reasonable control of the student. With a Satisfactory rating, the student is recommended for continuation of his/her Program.

- Unsatisfactory - In need of improvement
  Progress is not satisfactory. The students' progress in their research relative to the period of time working pursuing the research is insufficient in terms of quality and/or quantity. With an "Unsatisfactory" rating, the Supervisor's report on the progress of the student must include a timeline (minimum of 4 months; maximum of 12 months) with outcomes for the student to achieve within the specified period. After the specified period in the timeline, another update will be provided by the student per the procedures identified above. If the expected outcomes have been achieved successfully, a student will be assigned a "Satisfactory" rating. If the expected outcomes are not achieved in a satisfactory manner, the Supervisor's new report on the student's progress will include an assessment of "Not Acceptable."

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

5.10 The thesis defence

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

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

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

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

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

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

Before the defence:

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

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

- The minimum requirements for the composition of the Examining Committees for Master Theses are:
  - the Thesis Supervisor
  - an examiner who may have been previously involved in the supervision of the student's thesis research
  - an "external" examiner who has not been previously involved in the supervision of the student's thesis research; the external examiner must hold a Master's degree or equivalent. Examples of equivalent status may be a Doctor of Medicine (M.D.), a lawyer (L.L.B.), or professional Engineer (P.Eng.) with expertise and research experience in the thesis subject.
  - a neutral Chair (normally the Program Coordinator or the Dean of the FGSR or their delegates)

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

- A thesis defence date is tentatively set and the thesis is distributed to the examiners for review. This should normally occur four to six weeks before the proposed thesis defence date. Examination of a thesis is a time-consuming process and examiners, especially the external, must be given adequate time to review the thesis and prepare a report.

- The defence is organized and the event is advertised.

- Prior to the thesis defence, the external examiner's report is received. PLEASE NOTE: If the external examiner has serious concerns that could bring into question whether the thesis is ready for defence, discussions between the external examiner, the thesis supervisor, the program coordinator/director, and the Dean of the FGSR may result in the defence being postponed or cancelled.

- The title/signature page of the thesis is prepared by the student according to the Library's guidelines, and circulated amongst the committee after the defence.

During the defence:

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

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

After the defence:

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

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

Thesis Submission / Convocation Deadlines

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

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

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

Winter Convocation (January)

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

Spring Convocation (May)

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

Fall Convocation (September)

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

*Receipt of the thesis by this date is absolutely necessary to give the External Examiner adequate time to review and comment on the thesis
** The External Examiner must already have been contacted by the Program Coordinator or Supervisor and have agreed to examine the thesis in the given time frame. If the External Examiner is to attend the defence in person, it is the responsibility of the Program Coordinator/Supervisor to make arrangements for the Examiner's visit.

5.11 Graduating:

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

Fall Convocation normally held in September/October, January Convocation is normally held in late January and the Spring Convocation normally in late May. A student must submit an Application for Graduation the semester before they intend to graduate (available from the Registrar's Office and at https://www.smu.ca/academics/student-forms.html). For deadlines for applications for graduation and convocation, see section 18.0 of this Handbook).

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

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

How long do I have to complete my program?

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

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

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

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

Time for-Completion of Graduate Programs

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

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

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

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

Interruptions to programs (leave of absence):

In exceptional circumstances, a leave of absence from a graduate program for a period of up to a maximum of one year may be granted. Leaves of Absences can be granted only twice for Master programs and only three times for PhD programs. Requests for a leave of absence (forms available at https://www.smu.ca/academics/fgsr-current-forms.html) must be supported by documentation explaining exceptional personal circumstances which would prevent continuation in the program during the period of time for which the leave applies. The decision of the Dean of the Faculty of Graduate Studies and Research is final. If a leave of absence is granted, the student is considered to be inactive in the program during the period of exemption but must pay the appropriate fees. Time spent away from one's graduate program while on a leave of absence, does not contribute to the time-for-completion. Students are expected to

apply prior to or during the term for which the leave will take place. Students returning from an approved leave of absence must re-activate their status by submitting an Application for Reactivation into Graduate Program (forms available at https://www.smu.ca/academics/fgsr-current-forms.html). Reactivation of a student's program must be approved by the Program Coordinator and the Dean of the FGSR.

Extensions to graduate programs:

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

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

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

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

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

6.0 Scholarships and Fellowships for Graduate students

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

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

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

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

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

For information on "Scotia Scholars Awards" from Research NS see Scotia Scholars Award – Research Nova Scotia (researchns.ca). The competition for these awards is in the spring. Internally, please contact Heather Gray (heather.gray@smu.ca) for further details.

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

7.0 Commonly Requested Forms – Current Students

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

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

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

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

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

8.0 Research

The Research Grants Officer (RGO) is responsible for pre-submission and post-award matters related to research grant applications; this includes assisting with preparing grant applications, obtaining official University or Institutional signatures and assuring compliance with University and Tri-Council policies, and preparing the transfer of funds agreements between institutions. Additionally, the RGO is responsible for some post-award matters, such as reporting responsibilities to the Tri-Council and the CFI. However, Saint Mary's Financial Services is the ultimate authority on post-award financial issues.

Please feel free to contact Marlene Ramos, Research Grants Officer, located in the Faculty of Graduate Studies and Research office in AT 210E or email marlene.ramos@smu.ca. The RGO would happily address any research funding questions or support your funding application preparation. Your research is important to us!

8.1 Researcher Responsibilities

It is important to realize that the researcher is ultimately responsible for grant/contract administration. The researcher's responsibilities include compliance with University and Tri-Council policies, financial spending, research personnel supervision, and meeting the grant or contract requirements. A full list of the University's Grants and Research Policies are locate online (https://www.smu.ca/about/policies-and-procedures-grants-and-research.html), while here are some important policies:

8.1.1 Conflict of Interest in Research
8.1.2 Policy on Integrity in Research
8.1.3 Research Agreements Policy

8.2 Internal Grants

For a complete list of the Grants and Fellowships, please visit the FGSR website: (https://www.smu.ca/fgsr/fgsr-faculty.html)

8.2.1 Internal Grants for New Faculty – for faculty in the first year of their full-time appointment, value up to $5,000, deadline October 15, annual Progress Report required.

8.2.2 FGSR Internal Grants Programs – the Associate Vice-President, Research sends a call for applications to full-time faculty. The three programs are:

- FGSR Strategic Research Grants- may request grants between $5,000 - $15,000, which are to be utilized within two years.

- FGSR Small Internal Grants in Aid of Research- may request grants up to a maximum of $1,500, which are to be utilized within one year.
- Saint Mary's University Accessibility Research Fund- may request grants between $7,000 - $15,000.

8.2.3 Supplementary International Conference Participation Travel Fund – for faculty presenting papers or posters, or acting as invited session Chairs or serving on organizing committees of international conferences, the award is $1,000. Faculty may only receive an award every 24 months. Deadlines October 15 and March 15

8.3 External Grants

For all external grants, please inform the RGO of your intention to apply in advance of agency deadlines. A review of draft applications by our internal reviewers require a minimum of two weeks lead-time.

Provincial

8.3.1 Research Nova Scotia – (https://researchns.ca/)

RNS was established to enhance research capacity, as well as align research funding with provincial priorities and promotes a **mission-oriented research** ecosystem to help solve Nova Scotia's biggest challenges.

Tri-Council (Federal)

The grants listed are a general list of Tri-Council funding programs. You are encouraged to check out the Tri-Council's website most relevant to your research interests.

8.3.2 NSERC – Natural Sciences and Engineering Research Council (https://www.nserc-crsng.gc.ca/Index_eng.asp)

NSERC is the national instrument for making strategic investments in Canada's capability in science and technology. NSERC supports basic university research through discovery grants and project research through partnerships among post-secondary institutions, governments and the private sector, as well as the advanced training of highly qualified people.

Discovery Grants
Letter of Intent (obligatory) due August 1
Full application due November 1
Internal Deadline to Research Grants Officer due October 15

8.3.3 SSHRC – Social Sciences and Humanities Research Council (https://www.sshrc-crsh.gc.ca/home-accueil-eng.aspx)

The Social Sciences and Humanities Research Council (SSHRC) is the federal agency that promotes and supports university-based research and training in the humanities and social sciences.

Insight Program "The goal of the Insight program is to build knowledge and understanding about people, societies and the world by supporting research excellence in all subject areas eligible for SSHRC funding."
Insight Program (sshrc-crsh.gc.ca) has various deadlines. Contact Marlene Ramos (RGO) for details.

Connection Program "The goal of the Connection program is to realize the potential of social sciences and humanities research for intellectual, cultural, social and economic influence, and benefit and impact on and beyond the campus, by supporting specific activities and tools that facilitate the flow and exchange of research knowledge."
Connection Program (sshrc-crsh.gc.ca) has various deadlines. Contact Marlene Ramos (RGO) for details.

8.3.4 CIHR – Canadian Institutes of Health Research
(https://cihr-irsc.gc.ca/e/193.html)

CIHR provides funding opportunities for four themes of health research: Biomedical; Clinical; Health systems services; Social, cultural, environmental and population health.

8.4 Tri-Agency Open Access Policy on Publications

Grant recipients are required to comply with the Tri-Agency Open Access Policy on Publications. Any peer-reviewed journal publications supported by Tri-Agency funding are to be freely accessible within 12 months of publication. Recipients can do this through one of the following routes:

8.4.1 Online Repositories: Grant recipients can deposit their final peer-reviewed manuscript into an institutional or disciplinary repository that will make it freely accessible within 12 months of publication. It is the responsibility of the grant recipient to determine which publishers allow authors to retain copyright and/or allow authors to archive journal publications in accordance with funding agency policies.

8.4.2 Journals: Grant recipients can publish in an open-access journal that offers immediate access to its website within 12 months. Generally, open-access publications require fees for article processing (APCs) to make manuscripts available online upon publication. Please bear in mind that open-access journal publishing costs are eligible under the Use of Grant Funds.

For details, see: https://science.gc.ca/site/science/en/interagency-research-funding/policies-and-guidelines/open-access/tri-agency-open-access-policy-publications

9.0 Office of Innovation and Community Engagement

The Office of Innovation and Community Engagement (OICE) was established in 2005 to facilitate collaborations between University researchers and external partners. The OICE works to build partnerships with the University's research community, develop value-added solutions for industry and outside organizations, and create opportunities to apply research, commercialize technologies and leverage existing expertise and facilities externally.

9.1 Collaborative Research

The OICE can help with many aspects of your research program in relation to working with Industry or other external partners, for example:

- Identify key industry partners to sponsor research activities;
- Draft and negotiate research agreements on behalf of researchers;
- Contribute to funding proposal content;
- Perform technology assessments to determine commercial potential for inventions;
- Create promotional materials to highlight researcher expertise;
- Guide and manage intellectual property protection;
- Acquire funding for prototype development;

Please also refer to the Research Agreements Policy in Section 13.0 for further details.

9.2 Technology Transfer

Research is one of the very foundations of innovation. Research leads to discovery; discovery fosters invention; inventions nourish innovation. Your work is part of a larger innovation process that spans R&D across the public and private sectors.

Determining how to translate an invention into an innovation that makes a difference in people's lives (economically or socially) is one of the principal reasons offices like the OICE exist. This key concept, that public interest can be served through private rights, has profound implications for the management of innovation, technology transfer, market competition, and economic development in every country, regardless of its economic status. Countries engaged in reforming their R&D and technology transfer efforts often include royalty-sharing provisions for scientists in publicly funded research institutions. This often requires assignment of ownership rights to the institution and a duty to disclose inventions. This should be seen as an incentive to turn inventions into innovations that benefit society. Through the activities of your research program, you may be positioned to facilitate the development of indigenous innovation and traditional knowledge. Your continued interest in your invention's development is important. This will help it reach the marketplace, and especially benefit those who most need it, yet can least afford it.

The commercialization process can be different at each university, but most respect many of the same basic principles. The OICE can help you understand the process and requirements at Saint Mary's, for example:

9.2.1 Disclosure

One of the most important steps in the University's technology transfer processes is the inventor's submission of a confidential invention disclosure form. This document gives the University OICE the information that it needs to start working with you on the commercialization of your technology. Invention disclosure forms typically ask the following questions:

- Who are the inventors?
- What is the invention?
- Who would value the invention?
- Who funded the research?
- What is published and what is unpublished data?
- Are there any likely candidates for licensing?

What inventions should be disclosed?

The definition of 'invention' varies from university to university, as does the disclosure policy. Generally, the technology is an invention if it meets any of the following criteria:

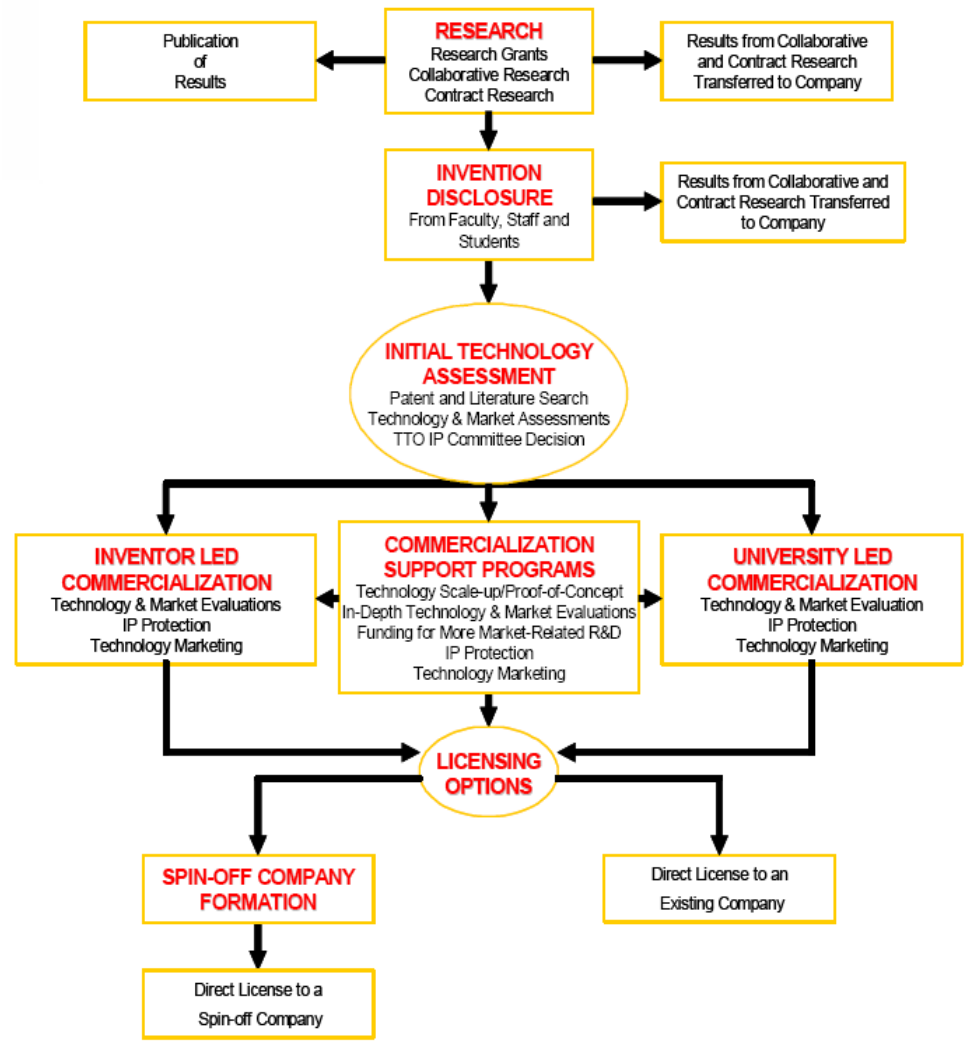
- New and useful art, process, machine, manufacture or composition of matter, or any new and useful improvement in any art, process, machine, manufacture or composition of matter, whether or not patentable.
- Computer software (non-teaching).
- Research data or research tool, including, without limitation, biological material and other tangible research material.
- Proprietary information, know-how or trademark related to any of the foregoing items.

Following your disclosure, the OICE can inform you of the options and resources available, and provide an impartial opinion on the potential for commercialization.

Will The Disclosure Process Interfere With Your Publication Plan?

Saint Mary's will not interfere with a faculty member's right to publish research results. However, you are encouraged to advise the OICE of any plans to disclose or publish a potential invention as soon as possible so appropriate actions can be taken to protect it.

The following is a generalized commercialization process that outlines key steps from research to the transfer of the technology to a new or existing company. The process and services provided can differ significantly between institutions.



9.2.2 Funding Opportunities

Collaborative Research and Technology Transfer activities offer researchers access to a variety of funding programs. For further information please contact the Office of Innovation Community Engagement at oice@smu.ca

10.0 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.

10.1 Academic integrity

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

The following is extracted from that section of the Calendar:

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

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

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

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

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

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

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

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

4. **Stewardship:** Members of an academic community of integrity value their community's property, infrastructure, and resources as assets that allow them to accomplish their work. All members of the academic community will use university resources ethically and in a wise and prudent manner to achieve our educational mission and strategic objectives.

5. **Excellence & Leadership:** Members of an academic community of integrity know that through scholarly inquiry, academic freedom improves through working and learning together.

6. **Honesty & Integrity:** Members of an academic community of integrity act and communicate truthfully and candidly as they uphold the university's values, and they make decisions based on the pursuit of truth and the honest search for knowledge.

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

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

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

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

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

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

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

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

10.2 Research integrity

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

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

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

> "*The common good of society depends upon the search for knowledge, its free exposition, and the recognition of contributions to, and ownership of intellectual property. Academic freedom in universities is essential to both these purposes in the teaching function of the university as well as in its scholarship and research. At the same time, academic freedom presupposes the duty to use that freedom in a manner consistent with the scholarly obligation to base research and teaching on an honest search for knowledge. An honest search for knowledge rules out fraud and other research misconduct. Saint Mary's University is committed to promoting and nurturing a culture of integrity in research, and to ensuring that procedures are in place to assist scholars and students in meeting their professional obligations to integrity and to ethical conduct in research.*
>
> > *Saint Mary's University is committed to excellence in scholarly activities and as such is committed to assuring that the highest standards of scholarly integrity are to be understood and practiced. As a scholarly community, the University, and all the individuals that comprise it, have a responsibility to maintain the highest standards of scholarship which include such components as:*
> >
> > *1. rigorous attention to citing the contributions of others (including students); this may involve joint authorship on publications;*
> >
> > *2. using unpublished or published work of others only with permission and with due acknowledgement;*
> >
> > *3. respecting the privileged access to information or ideas obtained from confidential manuscripts or applications;*
> >
> > *4. respecting the privileged access to information or ideas obtained from duly executed non-disclosure and confidentiality agreements between the University and outside parties;*
> >
> > *5. careful planning of research protocols, ensuring that methods of data collection and storage, and methods of analysis are appropriate;*
> >
> > *6. using scholarly and scientific rigour and integrity in obtaining, recording and analyzing data, and in reporting and publishing results;*
> >
> > *7. proper use of all research resources (funds, equipment and materials);*

8. revealing to sponsors, universities, journals or funding agencies, any material conflict of interest, financial or other, that might influence their decisions on whether the individual should be asked to review manuscripts or applications, test products or be permitted to undertake work sponsored from outside sources;

9. following the regulations of the University and the requirements of granting agencies;

10. appropriately and fairly recognizing the contribution of others from within or beyond the University Community to the creation of intellectual property

11. following the ethical principles relevant to one's own discipline;

12. following Senate-approved policies and procedures of the University's Research Ethics Board and the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans;

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

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

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

> *"The Conflict of Interest in Research Policy (hereafter, referred to as The Policy) is aimed at ensuring and maintaining the public's confidence in Research carried out by The University, in University Members who conduct or support the Research, and in External Sponsors that fund the Research. In this regard, those University Members, External Sponsors and The University share a responsibility to ensure that the integrity of Research is not compromised by real, perceived or potential Conflicts of Interest.*
>
> *A University Member shall not participate in a decision, process or activity involving Research at The University that involves Conflict of Interest unless such decision or process has been approved in advance by the Person in Authority* [as defined in the Policy] *responsible for such decision or process and, if such approval has been given, any terms or conditions made by the Person in Authority regarding such decision or process are fulfilled."*

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

a. Fabrication: Making up data, source material, methodologies or findings, including graphs and images.

b. Falsification: Manipulating, changing, or omitting data, source material, methodologies or findings, including graphs and images, without appropriate acknowledgement, such that the research record is not accurately represented.

c. Destruction of research data or records: The destruction of one's own or another's research data or records or in contravention of the applicable funding agreement, institutional policy and/or laws, regulations and professional or disciplinary standards. This also includes the destruction of data or records to avoid the detection of wrongdoing.

d. Plagiarism: Presenting and using another's published or unpublished work, including theories, concepts, data, source material, methodologies or findings, including graphs and images, as one's own, without appropriate referencing and, if required, without permission.

e. Redundant publication or self-plagiarism: The re-publication of one's own previously published work or part thereof, including data, in any language, without adequate acknowledgment of the source, or justification.

f. Invalid authorship: Inaccurate attribution of authorship, including attribution of authorship to persons other than those who have made a substantial contribution to, and who accept responsibility for, the contents, of a publication or document.

g. Inadequate acknowledgement: Failure to appropriately recognize contributors.

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

10.2.1 What my signature means on Tri-Council Grant applications

Starting in 2012 and per the Government of Canada's Tri-Council Funding Agencies' (i.e., NSERC, SSHRC and CIHR) Responsible Conduct of Research Framework (https://rcr.ethics.gc.ca/eng/framework-cadre-2021.html), faculty members' signatures on Tri-Council grant applications now have new meaning regarding research integrity.

Applicants will now be required to sign a CONSENT TO DISCLOSURE OF PERSONAL INFORMATION FORM (available at www.nserc-crsng.gc.ca), which states (italics/bold added for emphasis):
"You understand that maintaining public trust in the integrity of researchers is fundamental to building a knowledge-based society. By submitting any application or by accepting funding from CIHR, NSERC and/or SSHRC, you affirm that you have read and you agree to respect all the policies of these agencies that are relevant to your research, including the relevant provisions of the Tri-Agency Framework: Responsible Conduct of Research. ***In cases of a serious breach of agency policy, the agency may publicly disclose any information relevant to the breach that is in the public interest, including your name, the nature of the breach, the institution where you were employed at the time of the breach, the institution where you are currently employed, and the recourse imposed against you.*** You accept this as a condition of applying for, or receiving, agency funding, and you consent to such disclosure. If you do not agree to the disclosure of your personal information, you cannot participate in this application. For further information, see the Consent to disclosure of personal information – frequently asked questions."

10.2.2. Research Integrity for Research Involving Human Participants

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

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

Contact:

Orshy Torok | Research Ethics Officer

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

10.2.3. Research integrity for research involving animals

For faculty and students using animals in their research, the ethical use and care of animals is an integral part of research integrity at Saint Mary's University. If thesis research involves the use of live animals, including in the field, graduate students must receive approval from the Animal Care Committee. The Saint Mary's Animal Care Committee (animalcare@smu.ca) follows the standards (i.e., guidelines and policies) of the Canadian Council on Animal Care (CCAC; https://ccac.ca/). Section 12 of this handbook gives more details on the certification process.

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

11.1 REB Review and Clearance Requirement versus Review Exemption

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

It is the REB's job to review the ethical aspects of research and clear, reject, or recommend changes to submitted research projects that involve human participants and that fall under the

jurisdiction of Saint Mary's University and the purview of the TCPS 2. In rare instances, the REB may also suspend or terminate cleared research projects that are later determined to jeopardize the welfare of human participants.

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

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

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

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

Research applications must be submitted to the REB by faculty (i.e., full-time, part-time, and adjunct), librarians, and post-doctoral fellows, unless the aforementioned are also students. All students must submit their applications to the REB via a faculty supervisor. Staff members must submit applications with a faculty supervisor or demonstrate to the REB that they have sufficient expertise to conduct a particular type of research independently.

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

11.2 Faculty who supervise student research (including master's theses, dissertations, etc.) have the following responsibilities:

- Ensuring that the welfare of participants is paramount in the methodology and conduct of the study. Ensuring that risks are minimized and benefits (for participants, their communities, the research community) are maximized
- Reviewing and approving the scientific merit of the research and the ethics protocol submission
- Providing the necessary training and supervision to the student researcher throughout the project ensuring that all procedures performed under the research project are conducted in accordance with the TCPS 2 and relating REB, University, provincial, national and international policies and practices that govern the particular research involving human participants
- Ensuring that everyone on the research team is familiar with the TCPS 2 and SMU REB policies and procedures involving adverse events, continuing ethics review, etc.
- Ensuring that continuing research ethics clearance for any modifications to a cleared project before those modifications are implemented is obtained (Form 2)

- Submitting an annual status report request 30 days prior to the clearance's expiry (Form 3)
- Submitting an end of study report request when the research has completed (Form 5)

Faculty supervisors may find this resource to be helpful:
https://smu.ca/webfiles/GuidingPrinciplesforGraduateStudentSupervisioninCanada.pdf

11.3 Research Ethics Education

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

- Familiarizing yourself with the TCPS 2 (https://ethique.gc.ca/eng/policy-politique_tcps2-eptc2_2022.html)
- Forms, policies, procedures and additional resources are available on the REB website: https://smu.ca/research/research-ethics-board.html
- Completing and requesting your students to complete the online *Course on Research Ethics (CORE-2022)* and obtaining a Certificate of Completion
- If you have any questions, please contact the Research Ethics Officer, Orshy Torok, at ethics@smu.ca.

12.0 Research involving the use of animals

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

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

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

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

13.0 Research Agreement Policy

The Research Agreement Policy establishes a uniform set of regulations and procedures for the development and administration of all Research Agreements governing research projects conducted at the University which are externally funded. This policy also establishes signing authority, costing and budgeting guidelines, applicability of indirect costs and administrative procedures. A copy of the RAP can be found at: https://smu.ca/about/policies-and-procedures-grants-and-research.html

14.0 Intellectual Property Management

As a research scientist or inventor, you need a familiarity not only with general principles of IP policy and strategy but also the practical matters of running a laboratory and collaborating with the licensee of your invention. Fulfilling your role also requires an understanding of Saint Mary's IP policy. The policy articulates ownership of intellectual property, conflict of interest, the handling of confidential information, and more. Article 15.4 of the Collective Agreement between Saint Mary's University and Saint Mary's University Faculty Union (2022-25) (available at: www.smu.ca/webfiles/SMUFUCASeptember12022toAugust312025-DraftNewAgreement-April2420232.pdf addresses any contractual agreements between the University and Faculty Members in regard to IP.

The purpose of the policy is not just to protect your inventions, but also to control technologies and IP assets such as to determine how these can be managed to spur economic growth and contribute to the greater public good. If your institution does not "own" anything, how can it place conditions upon its use? Published information, or research tools provided by a colleague, may be covered by IP rights. This should neither deter nor distract you from good science. An awareness of basic IP management best practices will help you to understand and identify potential IP issues.

In the course of your research, members of your research team (graduate students, post-doctoral fellows and/or laboratory assistants) may create intellectual property (IP) either on their own or in concert with others (e.g. supervisors, other students). They 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. As a supervisor, you should discuss with your research team very early on, any expectations and the relevant policies and confidentiality considerations concerning authorship on publications, thesis defence process and issues surrounding ownership of intellectual property (this may include patents/licenses). This may result in written agreements or contracts between Saint Mary's and members of your research team covering these issues.

15.0 Commonly requested forms – Research

(all forms available at: http://www.smu.ca/academics/fgsr-faculty.html)

- Applications for FGSR Internal Research Grants Program
- Internal Grant for New Faculty
- Course Release for Research Purposes
- Course Release for Supervision of PhD Students
- Grantee's Progress Report
- Supplementary Funding for International Conference Participation

16.0 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, health and safety have heightened importance.

16.1 Saint Mary's Occupational Health and Safety Policy

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

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

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

16.2 Responsibilities of Graduate Students in regard to OH&S

Extracted from the University's OH&S Policy:

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

The above statement means that we are all responsible for our own safety, as well as the safety of others in the workplace. In the course of our activities we are responsible for bringing safety issues to the attention of our superiors and the right to be properly trained in the use of any hazardous materials or equipment. Please see Section 16.3 below.

For more details on the rights and responsibilities of graduate students on OH&S issues, see the University's Safety Policy (Section 16.1). The policy is also available at: https://smu.ca/about/occupational-health-and-safety.html.

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

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

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

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

16.3 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 16.2 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.**

16.4 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. G*raduate students working after hours should notify the University Security Department at 420-5577*. Security staff are then aware of their presence and will frequent the work area during patrols. This service is available to provide those individuals working outside of regular business hours an additional measure of comfort.

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

Saint Mary's University Security also offers the safe walk program to all members of the University community and visitors. A University Security Officer will provide an escort on the

University property. The request can be made by contacting University Security at 902-420-5577. This is a 24 hour, 7 day a week service offered by University Security.

17.0 Enterprise Information Technology (EIT)

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

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

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

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

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

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

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

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

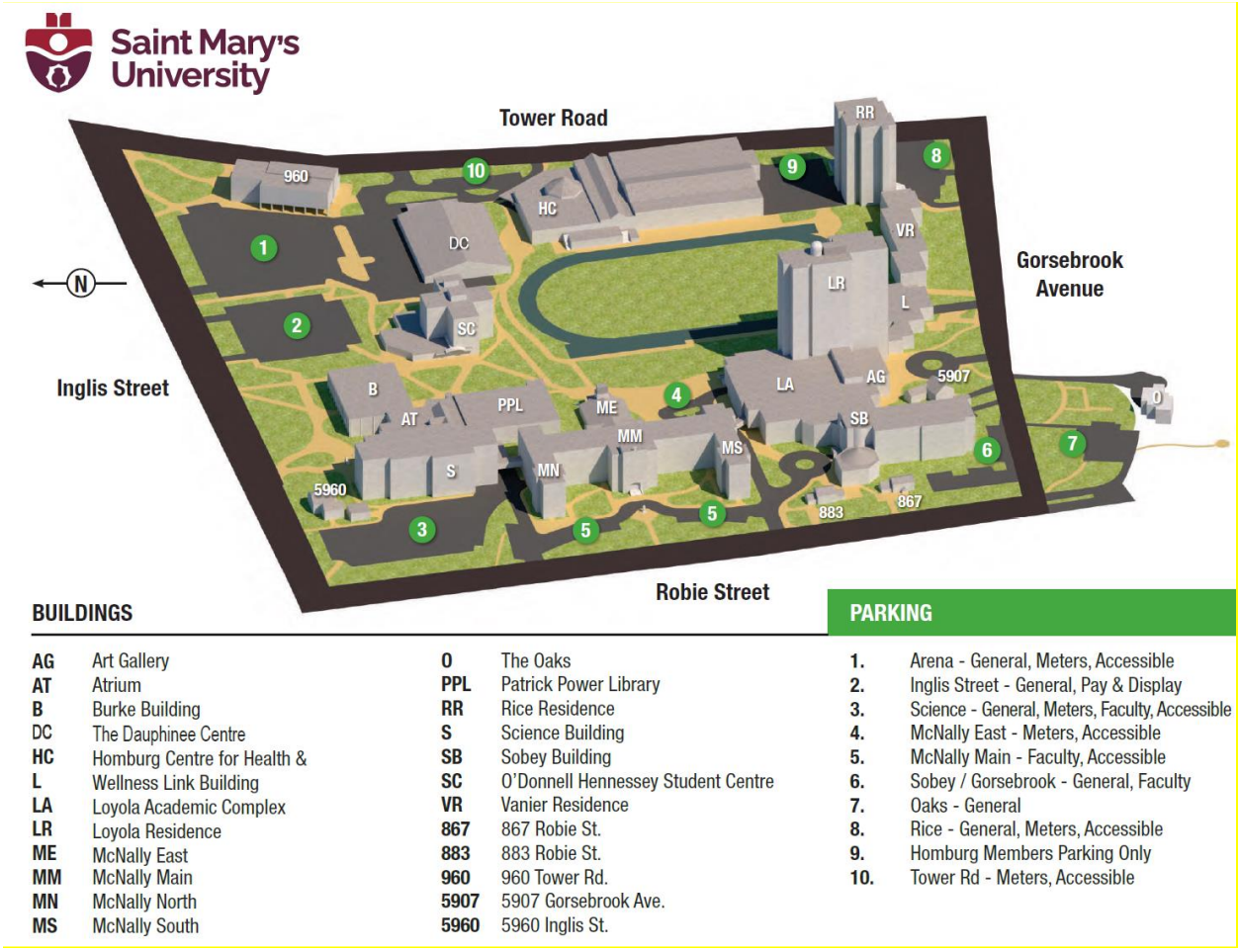
18.0 Academic Calendar of Events

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

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

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

19.0 Campus Map



BUILDINGS

AG	Art Gallery
AT	Atrium
B	Burke Building
DC	The Dauphinee Centre
HC	Homburg Centre for Health &
L	Wellness Link Building
LA	Loyola Academic Complex
LR	Loyola Residence
ME	McNally East
MM	McNally Main
MN	McNally North
MS	McNally South
O	The Oaks
PPL	Patrick Power Library
RR	Rice Residence
S	Science Building
SB	Sobey Building
SC	O'Donnell Hennessey Student Centre
VR	Vanier Residence
867	867 Robie St.
883	883 Robie St.
960	960 Tower Rd.
5907	5907 Gorsebrook Ave.
5960	5960 Inglis St.

PARKING

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

20.0 References

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

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, 2018-21 (https://smu.ca/about/collective-agreements.html#d.en.45147)

Freedom of Information/Protection of Privacy Policy, Saint Mary's University
(https://smu.ca/about/foipop.html)

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 (https://smu.ca/about/policies-and-procedures.html)

Policies on Integrity and Research in Scholarship Procedures for Reporting Misconduct, Saint Mary's University (https://smu.ca/about/policies-and-procedures-senate.html)

Safety Policy, Saint Mary's University (https://smu.ca/about/occupational-health-and-safety.html)

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

The Tri-Council Policy of Research Involving Human Subjects
(https://ethics.gc.ca/eng/policy-politique_tcps2-eptc2_2018.html)