

The following Motions and Documents were considered by the General Faculties Council at its Monday, September 20, 2021 meeting:

Agenda Title: **New Members of GFC**

CARRIED MOTION:
TO APPOINT/REAPPOINT:

The following graduate student representatives at-large to serve on GFC for terms commencing September 20, 2021 and ending April 30, 2022:

Laura Reifferscheid, Nursing
Shubham Soni, Medical Sciences
Shuce Zhang, Chemistry

The following University Library Academic Staff Representative to serve on GFC for a term commencing September 20, 2021 and ending June 30, 2024:

Allison Sivak, University of Alberta Libraries

CARRIED MOTION:
MOTION II: TO RECEIVE:

The following statutory faculty members who have been elected/re-elected by their Faculty, to serve on GFC for term of office beginning July 1, 2021 and ending June 30, 2024:

Jaymie Heilman, Faculty of Arts
Sourayan Mookerjea, Faculty of Arts
Weimin Mou, Faculty of Arts
Carol Birkman-Hodgson, Faculty of Medicine and Dentistry
Sadeet Andrews, Faculty of Medicine and Dentistry
Laura Stovel, Faculty of Medicine and Dentistry
Michael Hendzel, Faculty of Medicine and Dentistry
Richard Wozniak, Faculty of Medicine and Dentistry
Nesse Yuksel, Faculty of Pharmacy and Pharmaceutical Sciences
Mario Nascimento, Faculty of Science
Sandeep Agrawal, Faculty of Science
Vadim Kravchinsky, Faculty of Science

The following statutory faculty members who has been elected/re-elected by their Faculty, to serve on GFC for term of office beginning July 1, 2021 and ending June 30, 2022:

Runjuan Liu, Faculty of Business
John Spence, Faculty of Kinesiology, Sport, and Recreation
Moin Yahya, Faculty of Law

The following ex officio member to serve on GFC for a term beginning July 1, 2021 and extending for the duration of the appointment:

Wendy Rodgers, Interim Dean of the Faculty of Extension
Christine Hughes, Interim Dean of the Faculty of Pharmacy and Pharmaceutical Sciences

FINAL Item 4

Agenda Title: **Duolingo English Test: Extension of Short-term Use**

CARRIED MOTION:

THAT General Faculties Council approve the proposed extension of the Duolingo English Test to meet English Language Proficiency requirements for undergraduate and graduate programs, for 2022-2023 and 2023-2024 admissions.

FINAL Item 5

Agenda Title: **Proposed Revisions to Terms of Reference – General Faculties Council**

CARRIED MOTION:

THAT General Faculties Council approve, as recommended by the GFC Executive Committee, the proposed changes to the General Faculties Council Terms of Reference as set forth in Attachment 1, to take effect upon approval.

FINAL Item 6

Agenda Title: **FGSR Supervisory Initiatives, Faculty of Graduate Studies and Research**

CARRIED MOTION:

THAT General Faculties Council approve the changes to program requirements and regulations for graduate students and supervisors as submitted by the Faculty of Graduate Studies and Research and set forth in attachment 4, to take effect in January 2022 and to be published in the 2022-2023 University Calendar.

CARRIED MOTION:

THAT General Faculties Council recommend that the Board of Governors approve the FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy, and the Graduate Student Supervision Development Procedure, as submitted by the Faculty of Graduate Studies and Research and as set forth in attachments 1 and 2, to take effect in January 2022.

FINAL Item 7

New Members of GFC

MOTION I: TO APPOINT/REAPPOINT:

The following graduate student representatives at-large to serve on GFC for terms commencing September 20, 2021 and ending April 30, 2022:

Laura Reifferscheid	Nursing
Shubham Soni	Medical Sciences
Shuce Zhang	Chemistry

The following University Library Academic Staff Representative to serve on GFC for a term commencing September 20, 2021 and ending June 30, 2024:

Allison Sivak	University of Alberta Libraries
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MOTION II: TO RECEIVE:

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Jaymie Heilman	Faculty of Arts
Sourayan Mookerjea	Faculty of Arts
Weimin Mou	Faculty of Arts
Carol Birkman-Hodgson	Faculty of Medicine and Dentistry
Sadeet Andrews	Faculty of Medicine and Dentistry
Laura Stovel	Faculty of Medicine and Dentistry
Michael Hendzel	Faculty of Medicine and Dentistry
Richard Wozniak	Faculty of Medicine and Dentistry
Nesse Yuksel	Faculty of Pharmacy and Pharmaceutical Sciences
Mario Nascimento	Faculty of Science
Sandeep Agrawal	Faculty of Science
Vadim Kravchinsky	Faculty of Science

The following statutory faculty members who has been elected/re-elected by their Faculty, to serve on GFC for term of office beginning July 1, 2021 and ending June 30, 2022:

Runjuan Liu	Faculty of Business
John Spence	Faculty of Kinesiology, Sport, and Recreation
Moin Yahya	Faculty of Law

The following ex officio member to serve on GFC for a term beginning July 1, 2021 and extending for the duration of the appointment:

Wendy Rodgers	Interim Dean of the Faculty of Extension
Christine Hughes	Interim Dean of the Faculty of Pharmacy and Pharmaceutical Sciences

FINAL Item No. 5

**Governance Executive Summary
Action Item**

Agenda Title	Duolingo English Test: Extension of Short-term Use
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Motion

THAT General Faculties Council approve the proposed extension of the Duolingo English Test to meet English Language Proficiency requirements for undergraduate and graduate programs, for 2022-2023 and 2023-2024 admissions.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	Melissa Padfield, Vice-Provost and University Registrar Brooke Milne, Vice-Provost and Dean, Faculty of Graduate Studies and Research
Presenter(s)	Melissa Padfield, Vice-Provost and University Registrar

Details

Office of Administrative Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	The proposal is to request an extension to accept the Duolingo English Test (DET) for all applicants to undergraduate and graduate programs as an additional option to demonstrate ELP for two additional years, i.e., students applying to the Fall 2022 and Fall 2023 intakes. DET was initially approved as a response to COVID disruptions to international testing centres. As the conditions have not materially changed we are proposing this extension.
Executive Summary (<i>outline the specific item – and remember your audience</i>)	<p>In response to ongoing Covid-19 disruptions to international testing centres, the Duolingo English Test (DET) is currently being accepted for all applicants to undergraduate and graduate programs as an additional option to demonstrate English Language Proficiency (ELP). The DET has been adopted temporarily by many U15 institutions, including U of T, UBC, McGill, and the University of Calgary. These institutions are continuing to accept DET as part of their admissions requirements due to its accessibility and affordability.</p> <p>As of April 1, 2021, 1,240 undergraduate applicants have submitted DET scores to meet ELP requirements since the DET was put in place as an urgent measure through executive authority in March 2020. For the Fall 2020 cycle, approximately 15% of admitted undergraduate applicants who submitted test scores to fulfill ELP used DET scores to meet the requirement. Most applicants who submit the DET are applying from countries/regions where the IELTS and/or TOEFL remain inaccessible (in person or online), including China, India, and Nigeria.</p> <p>The Office of the Registrar recently conducted an analysis that compared the performance of international students at the University of Alberta who met the ELP requirement with a DET score to other groups of registered students for Fall 2020. Based on the results, we do not have any evidence to suggest that the DET is inferior to the TOEFL and</p>

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	<p>IELTS tests. Further investigation would require a much larger sample size.</p> <p>Minimum DET scores currently required by the University of Alberta are as follows:</p> <ul style="list-style-type: none"> • 115 for English Language Proficiency, with no subscore below 95 • 125 for Spoken English Proficiency, with no subscore below 105 <p>Because the circumstances driving the initial decision have not materially changed, we recommend extending the approval for two additional years. This extension will also provide a larger sample size in our analysis of how applicants presenting the DET for ELP perform in their academic programs, thereby informing our decisions around whether to include the DET option as a permanent fixture in our admission requirements.</p>
Supplementary Notes and context	<This section is for use by University Governance only to outline governance process.>

Engagement and Routing (Include proposed plan)

Consultation and Stakeholder Participation	<p>Those who are actively participating:</p> <ul style="list-style-type: none"> • Faculty of Graduate Studies and Research • Office of the Registrar <p>Those who have been consulted: Subcommittee on International Enrolment Management [SCIEM], April 6, 2021 Administrative Committee on Enrolment Management [ACEM], April 23, 2021 Graduate Program Support Team, May 27, 2021 Undergraduate Program Support Team, June 3, 2021 GFC Programs Committee, June 24, 2021</p> <p>Those who have been informed: Dean’s council was informed in the original proposal in 2020</p>
Approval Route (Governance) (including meeting dates)	GFC Programs Committee for recommendation - June 24, 2021 GFC Executive Committee for discussion - September 13, 2021 General Faculties Council for approval- September 20, 2021

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>Alignment with the Institutional Strategic Plan – For the Public Good OBJECTIVE - Build a diverse, inclusive community of exceptional undergraduate and graduate students from Edmonton, Alberta, Canada, and the world.</p> <p>Strategy: Optimize our international recruiting strategies to attract well qualified international students from regions of strategic importance, and enhance services and programs to ensure their academic success and integration into the activities of the university.</p>
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Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input checked="" type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act</i> GFC Programs Committee General Faculties Council	

Prepared by: <Jane Lee, Assistant Registrar & Director, Admissions, jane.lee@ualberta.ca>

FINAL Item No. 6

Governance Executive Summary
Action Item

Agenda Title	Proposed Revisions to Terms of Reference – General Faculties Council
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Motion

THAT General Faculties Council approve, as recommended by the GFC Executive Committee, the proposed changes to the General Faculties Council Terms of Reference as set forth in Attachment 1, to take effect upon approval.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input type="checkbox"/> Recommendation
Proposed by	General Faculties Council
Presenter(s)	Bill Flanagan, Chair, General Faculties Council (GFC)

Details

Office of Administrative Responsibility	General Faculties Council
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before the Executive Committee to discuss proposed revisions to the terms of reference for General Faculties Council (GFC) to amend the composition of GFC to include College Deans.
Executive Summary <i>(outline the specific item – and remember your audience)</i>	<p>On December 11, 2020, the Board of Governors approved the creation of the three new colleges and the college dean positions. The position description approved by the Board Human Resources and Compensation Committee on January 12, 2021 indicates that College Deans are responsible for leadership of the shared administrative and academic services of the College, leading the development of a collective vision for the College as well as fostering interdisciplinary scholarship and academic programming within the College.</p> <p>Given the importance of their role to the academic mission of the University, GFC is asked to consider adding the three College deans responsible for the College of Health Sciences, the College of Natural & Applied Sciences, and the College of Social Sciences & Humanities as appointed members as set out in their Terms of Reference.</p> <p>As a self-governing body, GFC has added appointed members to its composition to deal with, discern, and discuss items. GFC currently has 158 members, 84 are statutory members named in the <i>Post-Secondary Learning Act</i>, the remaining 74 are appointed members added by GFC over the years. The addition of three College Deans as appointed members will increase the size of GFC to 161 members.</p>
Supplementary Notes and context	<i>The size of GFC was a matter of concern discussed in the Report of the ad hoc Committee on Academic Governance including Delegated Authority recommended that the composition of General Faculties Council be reviewed on or before April 2019 with the intention of decreasing its size, keeping in mind the parameters of the PSLA. During consultations concerning the composition of GFC in Spring, 2019, there was general support for the addition of new members including an elected member of the Post-Doctoral Fellows Association and the President of St Stephen's College (consistent with the President of St</i>

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	<i>Joseph's College who was already an appointed member of GFC). Committees also discussed the importance of having the right people at the table to discuss the items before GFC.</i>
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Engagement and Routing (Include meeting dates)

Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity) <For information on the protocol see the Governance Resources section Student Participation Protocol >	<u>Those who are actively participating:</u> <ul style="list-style-type: none"> • College Deans • General Faculties Council • GFC Executive Committee
	<u>Those who have been consulted:</u> <ul style="list-style-type: none"> • Dean's Council • College Council of Deans
	<u>Those who have been informed:</u> <ul style="list-style-type: none"> •
Approval Route (Governance) (including meeting dates)	September 13, 2021 – GFC Executive Committee (for recommendation) September 20, 2021 – GFC (for approval)

Strategic Alignment

Alignment with <i>For the Public Good</i>	Objective 21: Encourage continuous improvement in administrative, governance, planning, and stewardship systems, procedures, and policies that enable students, faculty, staff, and the institution as a whole to achieve shared strategic goals.	
Alignment with Core Risk Area	Please note below the specific institutional risk(s) this proposal is addressing.	
	<input type="checkbox"/> Enrolment Management <input type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input checked="" type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
Legislative Compliance and jurisdiction	Post-Secondary Learning Act	

Attachments (each to be numbered 1 - 2)

1. Proposed GFC terms of reference
2. Position Description for College Dean

Prepared by: Kate Peters, Secretary to General Faculties Council, peters3@ualberta.ca



1. Mandate and Role of the Committee

The University of Alberta is governed bicamerally by the Board of Governors and General Faculties Council (GFC); they share and balance power within the University and are called upon to provide both oversight and strategic vision. The proper functioning of the Board and GFC are essential to the university's institutional autonomy and the processes of collegial academic governance.

GFC is the University's senior academic governing body defined in the *Post-Secondary Learning Act (PSLA)* and is responsible for the **academic affairs** of the University, subject to the authority of the Board of Governors. The Board of Governors has primary responsibility for the business affairs of the institution.

2. Areas of Responsibility

General Faculties Council (GFC) operates by authority of the Post-Secondary Learning Act (PSLA). The PSLA allows GFC to delegate its responsibilities to GFC standing committees and other persons.

GFC has delegated authority on many matters to GFC standing committees, faculty councils, officials of the University, and other bodies (see Section 6), thus allowing it to focus on high level strategic items of academic significance which include, but are not limited to:

- high level strategic and academic stewardship policy issues or matters of significant academic consequence to the University;
- alterations to the mandate, terms of reference, composition, or structure of a Standing Committee;
- those things which a Standing Committee considers to be of major strategic significance to or long-term impact on the University;
- those matters on which, in the opinion of a Standing Committee chair, there has been a strong division of opinion within the Standing Committee; and
- issues in which there is a lack of clarity as to which Standing Committee is responsible.

3. Composition

Voting Members (159)

Statutory:

Ex-officio (27) – PSLA, Sec 23(a)

- President, Chair
- Vice-Presidents (6)
- Dean of each Faculty (18)
- Vice-Provost and Chief Librarian
- Vice-Provost and University Registrar

Statutory Student Members (3) – PSLA, Sec 23(c)

- 2 students nominated by the Students' Union
- 1 student nominated by the Graduate Students' Association

Elected members (54) – PSLA, Sec 23(b)

- full-time academic staff (A1.1 and A1.6) elected by Faculty/School Council in the numbers assigned by GFC



Appointed -- PSLA, Sec 23 (d):

Elected Students

- undergraduate students (40)
- graduate students (14)

Other appointees (21)

- Vice-Provost and Dean of Students, or delegate
- President of AASUA
- President of St. Joseph's College, or delegate
- Principal of St. Stephen's College, or delegate
- 1 representative from Chairs' Council
- Board of Governors Representatives (6)
 - 1 academic staff member, nominated to the Board by GFC
 - 1 academic staff member, nominated to the Board by AASUA
 - 2 undergraduate students, nominated to the Board by the Students' Union
 - 1 graduate student, nominated to the Board by the Graduate Students' Association
 - 1 non-academic staff, nominated to the Board by NASA
- 2 non-academic staff; elected by NASA, up to 1 may be from excluded category
- 1 APO/FSO Representative, elected by AASUA
- 2 Academic Teaching Staff (ATS), elected by AASUA
- 3 library academic staff elected by the academic staff of the University Library
- 1 Postdoctoral Fellow, elected by the Postdoctoral Fellows Association
- 1 elected Management and Professional Staff (MAPS) representative, election conducted by University Governance
- 3 College Deans

Reapportionment of elected faculty and student seats takes place every three years with at least one faculty and one student per Faculty.

Each Faculty shall adopt a method of election for their respective elected faculty representatives to GFC. Academic staff members serve three year terms, elected individuals may serve more than one term. Faculties may elect members to serve one- or two-year terms in order to provide overlapping terms. Persons on leave normally do not serve.

Elected students are elected in accordance with the principles approved by GFC February 3, 1971. Student members serve a one year term, elected individuals may serve more than one term.

The President will chair GFC. In the absence of the President, GFC will be chaired by the Provost or by the Dean serving on the GFC Executive Committee.

Non-voting Members

- University Secretary
- GFC Secretary

4. Delegated Authority from the Board of Governors

Should be reviewed at least every three years and reported to GFC and the Board.

- 4.1 Physical Testing and Immunization of Students - individual Faculty regulations (sub-delegated to GFC Academic Standards Committee)



- 4.2 General Space Programs for academic units (sub-delegated to GFC Facilities Development Committee)
- 4.3 Proposals concerning the design and use of all new facilities and the repurposing of existing facilities (sub-delegated to GFC Facilities Development Committee)

5. Responsibilities Additional to Delegated Authority

- 5.1 Receive an information session on the proposed budget each year just prior to being introduced to the Board approval process, and receive information on the budget, however 'soft', at the first GFC meeting in September.

6. Delegations from General Faculties Council

Should be reviewed at least every three years and reported to GFC.

- 6.1 The PSLA allows GFC to delegate its responsibilities to GFC standing committees and other persons. Specific delegations from GFC are outlined in the following:

[GFC Delegations](#)

7. Limitations to Authority

GFC is subject to the authority of the Board of Governors

8. Reporting

GFC reports regularly to the Board of Governors with respect to its activities and decisions through the GFC nominee to the Board of Governors.

9. Definitions

Reapportionment - The process by which the number of members that may be elected by each Faculty is determined. This number elected faculty members shall be proportional to the number of faculty members in each Faculty. The number of elected undergraduate student members shall be proportional to the number of undergraduate students in each Faculty. It is, in effect, a "representation-by-population" system. Reapportionment occurs every three years.

Academic staff – as defined by the [Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Administrators and Colleagues](#) in UAPPOL

Non-Academic staff – as defined by the [Recruitment Policy \(Appendix B\) Definition and Categories of Support Staff](#) in UAPPOL

AASUA – [Association of Academic Staff University of Alberta](#)

NASA – [Non-Academic Staff Association](#)

10. Links

[Procedure for Reapportionment](#)



[GFC Apportionment Table](#)

[Post-Secondary Learning Act \(2003\)](#)

Approved by General Faculties Council: April 29, 2019

POSITION DESCRIPTION COLLEGE DEAN

Reporting to the Provost and Vice-President (Academic), the College Dean is responsible for leadership of the shared administrative and academic services of the College, leading the development of a collective vision for the College as well as fostering interdisciplinary scholarship and academic programming within the College. The College Dean serves as Chair of the College Council of Deans, provides regular reporting to the Council of Deans, sits on Deans' Council, and is a senior administrator of the University. The College Dean, in consultation with the Provost and the College Council of Deans, cultivates a respectful and inclusive environment in which College- and University-level collaborations thrive.

LEADERSHIP

- Demonstrates a high level of personal and professional integrity and commitment to the University and its values. Sets an appropriate leadership tone by modeling ethical, respectful, inclusive, and collegial conduct.
- Implements pathways and addresses barriers to equity, diversity, and inclusion in all activities of the College.
- In consultation with the College Council of Deans, and as Chair of the College Council of Deans, inspires a shared vision of the College in support of the University's Mission and Values.
- Through an inclusive consultation and decision making process, which includes regular reporting to the Council of Deans, is a leader in the planning process for the College, initiating discussion, defining College priorities, and developing and articulating the College vision.
- Communicates the College's vision to the senior administration of the University to enhance understanding and build support for the College's unique place within the University community.
- Develops and leads a strong team of staff who provide the shared administrative services that support the College and its Faculties in collaboration with the Vice-President portfolios.
- Fosters a culture of excellence, efficiency, innovation, collaboration, engagement, commitment, responsibility and accountability throughout the College.
- Promotes opportunities for collaboration of programs across the College and University. Contributes to effective, collaborative relations with staff and student associations.
- Provides strong leadership within a shared-governance structure. Builds trust through openness, transparency, and accountability.

RESEARCH AND SCHOLARLY ACTIVITY

- Demonstrates sound intellectual leadership.
- Promotes excellence and integrity in research and scholarly activity
- Fosters a climate that encourages interdisciplinarity and collaboration across the College and the University.
- Works with the Faculty Deans to increase research funding support from international, federal and provincial agencies, while demonstrating resourcefulness and creativity in identifying alternative funding sources in collaboration with the Vice-President, Research and Innovation.
- Plays a partner role with Faculty Deans in developing research contracts, exchanges and collaborative initiatives with other local, provincial, national and international institutions.
- As appropriate, builds and enhances research infrastructure that supports strategic priorities and common activities within the College.

ADVOCACY

- Builds effective relationships, promotes and advocates for the University and College to a broad spectrum of constituents, including senior administration, faculty members, students, other community leaders, agencies and key institutions regionally, nationally and internationally.
- Builds effective partnerships with other Colleges and Faculties for broader initiatives.
- Promotes meaningful mechanisms within the College for engaging scholarship with communities.

TEACHING AND LEARNING

- Convenes and supports the Faculty Deans in the development of interdisciplinary programming, common learning resources and facilities and shared course delivery.
- Works with the College Council of Deans to build strategic recruitment and retention plans for students.

FACULTY AND STAFF RELATIONS

- Plans and prioritizes human resource needs for College-level administration of shared services
- Establishes strategies to enhance the College's ability to compete in the recruitment and retention of high caliber faculty and staff.
- Is accessible and fair in dealing with personnel issues, and follows effective, transparent processes.
- Builds an environment of collegiality in which faculty, students and the broader community jointly participate in and benefit from the unique nature of the College.
- Actively identifies and attends to issues of equity and inclusion.

ADMINISTRATION

- Ensures compliance with University policies and procedures and collaborates in the development of more fair, efficient and consistent administrative processes and systems.
- Oversees the preparation, management and monitoring of the planning and budgeting processes within the College. Demonstrates financial acumen in preparing, managing and balancing budgets; ensures fiscally responsible use of funds and transparent financial processes.
- Ensures the effective and efficient use of resources (human, financial, information, and material).
- Exercises good judgment in the management of change and risk.

UNIVERSITY RELATIONS AND ADVANCEMENT

- Works with the College Council of Deans to attract College-level partnerships and resources by building stronger linkages with the municipal, provincial, national and international community, education and research institutions, governments, non-governmental organizations and the private sector. Pro-actively looks for new challenges and funding sources to foster excellence and facilitate excellence.
- Supports the Faculty Deans in their advancement activities and leads fund development to support College-level initiatives. Acts as steward of gifts granted to the College.

ADDITIONAL RESPONSIBILITIES SPECIFIC TO COLLEGE

- TBD

**Governance Executive Summary
Action Item**

Agenda Title	FGSR Supervisory Initiatives, Faculty of Graduate Studies and Research
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Motion I

THAT General Faculties Council approve the changes to program requirements and regulations for graduate students and supervisors as submitted by the Faculty of Graduate Studies and Research and set forth in attachment 4, to take effect in January 2022 and to be published in the 2022-2023 *University Calendar*.

Motion II

THAT General Faculties Council recommend that the Board of Governors approve the FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy, and the Graduate Student Supervision Development Procedure, as submitted by the Faculty of Graduate Studies and Research and as set forth in attachments 1 and 2, to take effect in January 2022.

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation
Proposed by	Faculty of Graduate Studies & Research
Presenter(s)	Brooke Milne, Vice-Provost & Dean, FGSR Anas Fassih, President, Graduate Students' Association

Details

Office of Administrative Responsibility	Provost & Vice-President (Academic)
The Purpose of the Proposal is <i>(please be specific)</i>	The proposal is before the committee to consider three Supervisory initiatives which will build capacity in the Graduate Student experience, support Graduate Student success, and enhance the Graduate Student-Supervisory relationship: <ul style="list-style-type: none"> (1) FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy & Graduate Student Supervision Development Procedure (2) Student-Supervisor Guidelines (3) Progress Report
Executive Summary <i>(outline the specific item – and remember your audience)</i>	Graduate Supervision forms an important component of a faculty member's teaching/research duties, and it is foundational to graduate student success at the U of A. Graduate students make notable contributions to undergraduate teaching as TAs, and the research they complete as RAs is essential to the university's mission. The supervisory relationship is the most important relationship that a graduate student will have while at the U of A, and strong, well supported, and positive working conditions directly influence time to completion and the overall student experience (including mental health and wellbeing).

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These complementary initiatives will function to address several pivotal components of the supervisory relationship:

- (1) The **FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy & the Graduate Student Supervision Development Procedure** formally recognizes the important role supervisors have working with graduate students at the University of Alberta. The FGSR Adjunct Academic Appointment and Graduate Student Supervision Development Procedure embodies shared principles across all faculties wherein we collectively recognize, and work to promote and support best practices resulting in strong graduate student supervision, and constructive working relationships for both students and their supervisors. Part of this includes providing formative development training for new employees and academic colleagues so that they have access to information and resources, and are informed about university policies and procedures that will help them to succeed at the start of their professional academic careers. New employees and academic colleagues appointed after the final approval and implementation date will be required to complete the development procedure within their first two years to retain academic adjunct status. All employees and academic colleagues appointed prior to the approval and implementation date will be automatically granted academic adjunct status and are not required to take the development procedure but are able and encouraged to do so. The net goal is to establish and maintain a strong community of practice focused on supporting supervisors and graduate students to be successful in their working relationships and graduate programs.
- (2) The **Student-Supervisor Guidelines** will ensure that newly established supervisory relationships start out strong since they facilitate discussion on topics that are important to both graduate students and supervisors including: expectations, roles and responsibilities, modes and frequency of communications/meetings, funding supports, work schedule, authorship, data collection and stewardship, IP, among others.
- (3) The **Progress Report** is completed at least once per year and provides opportunity for students to meet with their supervisors (and committee when established) to discuss academic progress, celebrate successes, identify areas needing improvement, setting new goals for the next year, and revisiting any items in the Student-Supervisor Guidelines that many have changed year-over-year. The progress report provides important feedback for students and allows supervisors to set clear

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	<p>expectations and timelines for improvement should progress be considered unsatisfactory.</p>
<p>Supplementary Notes and context</p>	<p><i>At their meeting of June 24, 2021, as per the committee's mandate, the GFC Programs Committee was asked to consider the changes to the section of the proposal related to academic standing regulations (Attachment 4, pages 5-7). During the discussion of the item, members asked for clarification on the decision they were asked to make and the scope of authority of the GFC Programs Committee over academic standing regulations, and noted that it was difficult to recommend on just one aspect of the proposal. Members expressed concern with the progress report ratings (i.e. satisfactory, in need of improvement, unsatisfactory) and that a student could be required to withdraw after one rating of "unsatisfactory" on their progress report. It was suggested that the initial step should be probation in the event of an unsatisfactory rating. In response the Vice-Provost and Dean of FGSR explained that students were never required to withdraw without just cause and pointed to the University Calendar language which requires there be adequate warning and opportunity to rectify the inadequacy, consultation with advisors, and the provision of supports before a student is required to withdraw. The motion to recommend the changes to academic standing regulations was defeated.</i></p>

Engagement and Routing (Include meeting dates)

<p>Consultation and Stakeholder Participation (parties who have seen the proposal and in what capacity)</p> <p><For information on the protocol see the Governance Resources section Student Participation Protocol></p>	<p><u>Those who have been consulted:</u></p> <p>(1) FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy & the Graduate Student Supervision Development Procedure</p> <ul style="list-style-type: none"> ● FGSR Decanal and Executive Team – ongoing ● GSA President and VP Academic - ongoing ● GEFAC - December 12, 2019 ● Policy Review Committee (FGSR) - January 8, 2020 ● GEFAC - January 30, 2020 ● Policy Review Committee (FGSR) - February 5, 2020 ● BLRSEC - May 29, 2020 ● GEFAC - October 22, 2020 ● Policy Review Committee (FGSR) - November 4, 2020 ● FGSR Council - November 25, 2020 (<i>Notice of Motion</i>) ● GEFAC - December 3, 2020 ● UofA Legal Team/Faculty Relations (Provost's Office) - December 16, 2020 (Consultation) ● Vice-Provost's Council - January 11, 2021 ● Grad Program Support Team - January 28, 2021 ● Faculty Relations (Provost's Office) - February 2021 ● BLRSEC - February 12, 2021 (Written Update) ● PACC - February 16, 2021 ● FGSR Council - February 17, 2021 ● GEFAC - February 25, 2021
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	<ul style="list-style-type: none"> ● GFC Exec - March 8, 2021 ● Chairs Council - March 16, 2021 ● GFC Programs Committee - March 18, 2021 ● GFC - March 22, 2021 ● FGSR Council - March 24, 2021 ● GEFAC - April 1, 2021 ● Policy Review Committee - April 7, 2021 ● AASUA and Faculty and Staff Relations - April 7, 2021 ● FGSR Council - April 21, 2021 ● Policy Review Committee - May 5, 2021 ● GEFAC - May 6, 2021 ● GFC Exec - May 10, 2021 ● Faculty and Staff Relations -Spring 2021 ● Q&A Meetings with Faculty Members: <ul style="list-style-type: none"> ○ Faculty of Native Studies - May 18, 2022 ○ Faculty of Science - May 19, 2022 ○ Faculty of Nursing - May 20, 2021 ○ Faculty of Arts - May 21, 2021 ○ Faculty of Education - May 21, 2021 ● FGSR Council - May 26, 2021 ● GSA Council Meeting - June 21, 2021 ● GFC Programs Committee - June 24, 2021 <p>(2) Student-Supervisory Guidelines and (3) Progress Report</p> <ul style="list-style-type: none"> ● FGSR Decanal and Executive Team – ongoing ● GSA President and VP Academic - ongoing ● Graduate Students Association Council - October 28, 2019 ● Policy Review Committee (FGSR) – October 30, 2019 ● GEFAC (FGSR) – October 31, 2019 ● FGSR Council – October 16, 2019 ● GFC Exec - November 4, 2019 ● FGSR Council - November 13, 2019 ● Provost's Advisory Committee of Chairs (PACC) – November 19, 2019 ● GFC - November 25, 2019 ● BHRCC – November 26, 2019 ● Statutory Deans Council – November 27, 2019 ● BLRSEC – November 29, 2019 ● Committee on the Learning Environment (CLE) - December 4, 2019 ● Graduate Students Association Council - January 20, 2020 ● Graduate Program Administrators Committee - January 29, 2020 ● Policy Review Committee (FGSR) - January 8, 2020 ● Policy Review Committee (FGSR) - February 5, 2020 ● Committee on the Learning Environment (CLE) - April 29, 2020 ● ASC-SOS - June 4, 2020 ● BHRCC - November 24, 2020 ● FGSR Council - November 25, 2020 ● GEFAC - December 3, 2020 ● Policy Review Committee (FGSR) - January 6, 2021 ● Grad Program Support Team - January 28, 2021 ● BLRSEC - February 12, 2021 (Written Update) ● PACC - February 16, 2021
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Item No. 7

	<ul style="list-style-type: none"> ● FGSR Council - February 17, 2021 ● GEFAC - February 25, 2021 ● GFC Exec - March 8, 2021 ● Chairs Council - March 16, 2021 ● GFC Programs Committee - March 18, 2021 ● GFC - March 22, 2021 ● FGSR Council - March 24, 2021 ● Graduate Program Administrators Committee - March 31, 2021 ● GEFAC - April 1, 2021 ● Policy Review Committee - April 7, 2021 ● AASUA and Faculty and Staff Relations - April 7, 2021 ● FGSR Council - April 21, 2021 ● Policy Review Committee - May 5, 2021 ● GEFAC - May 6, 2021 ● GFC Exec - May 10, 2021 ● Q&A Meetings with Faculty Members: <ul style="list-style-type: none"> ○ Faculty of Native Studies - May 18, 2022 ○ Faculty of Science - May 19, 2022 ○ Faculty of Nursing - May 20, 2021 ○ Faculty of Arts - May 21, 2021 ○ Faculty of Education - May 21, 2021 ● FGSR Council - May 26, 2021 ● GSA Council Meeting - June 21, 2021 ● GFC Programs Committee - June 24, 2021
Approval Route (Governance) (including meeting dates)	FGSR Council: May 26, 2021 GFC Programs Committee (for recommendation on Academic Standing Regulations: June 24, 2021 - <i>motion defeated</i> GFC Executive Committee (for discussion): September 13, 2021 General Faculties Council: September 20, 2021 Board of Governors: TBD

Strategic Alignment

Alignment with <i>For the Public Good</i>	<p>FGSR is uniquely positioned to realize Objective 14 in <i>For the Public Good</i>: “Develop and implement programs and processes to assure high quality, collegial graduate student and post-doctoral fellow supervision and mentorship.”</p> <p>Also, positively bolstering the student-supervisor relationship will assist with Objective 19, which is to “prioritize and sustain student, faculty, and staff health, wellness, and safety by delivering proactive, relevant, responsive, and accessible services and initiatives”.</p>		
Alignment with Core Risk Area	<p>Please note below the specific institutional risk(s) this proposal is addressing.</p> <table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure </td> <td style="vertical-align: top;"> <input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success </td> </tr> </table>	<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success
<input type="checkbox"/> Enrolment Management <input checked="" type="checkbox"/> Faculty and Staff <input type="checkbox"/> Funding and Resource Management <input type="checkbox"/> IT Services, Software and Hardware <input type="checkbox"/> Leadership and Change <input type="checkbox"/> Physical Infrastructure	<input checked="" type="checkbox"/> Relationship with Stakeholders <input checked="" type="checkbox"/> Reputation <input type="checkbox"/> Research Enterprise <input checked="" type="checkbox"/> Safety <input checked="" type="checkbox"/> Student Success		
Legislative Compliance and jurisdiction	<i>Post-Secondary Learning Act</i>		

	<p><u>(1) FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy & the Graduate Student Supervision Development Procedure</u></p> <ul style="list-style-type: none">• Article 7.02.1 of the Faculty Agreement lists the "supervision of graduate students" as a form of "participation in teaching programs".• As noted in the University of Alberta calendar under Graduate Regulations, the Supervisor's basic duties are noted under Responsibilities Related to Graduate Programs: Supervisor.• Established University of Alberta policies (e.g. Discrimination, Harassment and Duty to Accommodate, or Sexual Violence). <p><u>(2) Student-Supervisory Guidelines</u></p> <ul style="list-style-type: none">• The Student-Supervisor Guidelines (SSG) formalizes an existing policy currently within the GFC approved Academic Calendar. This policy requires a meeting early in the supervisory relationship between graduate students and their supervisors to discuss and arrive at a shared understanding of a range of important topics.• The SSG also formalizes the "FGSR Template Conversation Checklist for New Graduate Students" that was established several years ago, and takes into account additional expectations on communication between graduate students and their supervisors. <p><u>(3) Progress Report</u></p> <ul style="list-style-type: none">• The Progress Report similarly formalizes and standardizes an existing policy within the GFC approved Academic Calendar. This policy mandates formal regular meetings to take place at least once annually between graduate students and their supervisors (and supervisory committees when constituted). The Report also provides a template to maintain a year-over-year record of student progress that is discussed at these meetings.
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Attachments:

1. FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy (UAPPOL)
2. Graduate Student Supervision Development Procedure (UAPPOL)
3. Graduate Student Supervision Development - Draft Course Design
4. Student-Supervisor Guidelines and Progress Report Calendar
5. Letters of Support

Prepared by: Brooke Milne - Vice-Provost and Dean, FGSR; graddean@ualberta.ca

i
Original Approval Date: (Effective Date:) **Most Recent Approval Date:**

(Add “Effective Date” only if different than “Approval Date”)

Most Recent Editorial Date: **May 12, 2021 DRAFT**

FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy

Office of Accountability:	Provost and Vice President (Academic)
Office of Administrative Responsibility:	Faculty of Graduate Studies and Research
Approver:	Board of Governors and General Faculties Council
Scope:	Compliance with this University policy extends to all Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) in addition to visiting speakers, professor emeriti, and undergraduate and graduate students.

Overview

Graduate student supervision forms an important component of an academic staff member’s teaching and research duties, and the University of Alberta recognizes and respects the essential role that both graduate students and graduate student supervisors serve in the academic and research mandates of the institution. One of the most important indicators of graduate student success is a positive working relationship with their supervisor. Strong, positive working relationships between supervisors and graduate students directly influence the student’s learning experience and the graduate student supervisory experience including the overall mental health and wellbeing of all parties.

The University will ensure that graduate students are taught, advised, and mentored throughout their degree programs by graduate student supervisors who possess relevant supervisory and mentorship experience, who are active in research and teaching, and who understand and support University policies and procedures. The University will also ensure resources and administrative supports are readily available and easily accessible to graduate student supervisors to promote professional development and success in this essential mentorship role.

Graduate student supervisors will receive an **adjunct academic appointment** in the Faculty of Graduate Studies and Research (FGSR). This appointment acknowledges the shared commitment of FGSR, graduate student supervisors and the graduate program academic units to promote graduate student success and effective mentorship in a safe, equitable, and respectful work and learning environment.

Purpose

This policy sets out the criteria for an adjunct academic appointment in FGSR, and states explicitly existing expectations for what constitutes satisfactory graduate student supervision.

All graduate students at the University are registered in FGSR for the duration of their graduate program. FGSR is responsible for setting and maintaining institutional standards in graduate education and confers all graduate degrees.

These policies and procedures formalize the central role FGSR holds within the University of Alberta, its relationship to graduate students and graduate education, and its responsibilities to provide academic administrative supports and professional development opportunities for graduate students and their supervisors.

POLICY

1. CRITERIA FOR GRADUATE STUDENT SUPERVISORS

- a. A graduate student supervisor must:
 - i. Be active in the general subject area of the graduate student's research;
 - ii. Demonstrate continuing scholarly or creative activity of an original nature; and
 - iii. Either hold a degree equivalent to or higher than that for which the graduate student is a candidate or have a demonstrated record of successfully supervising students for the degree.
- b. Employees in the following categories as defined in Recruitment Policy Appendix A are able to serve as graduate student supervisors with specific supervisory privileges as recommended by the Dean of the academic unit to the Vice-Provost and Dean (FGSR) (**template TBD**):
 - i. Academic Faculty Members appointed under Schedule A of the Collective Agreement;
 - ii. Executive Members (Excluded), who will be appointed or re-appointed as Academic Faculty Members on the conclusion of their term;
 - iii. Academic Administrators (Excluded), who will be appointed or re-appointed as Academic Faculty Members or Faculty Service Officers on the conclusion of their term;
 - iv. Faculty Service Officers appointed under Schedule B of the Collective Agreement;
 - v. Academic Teaching Staff Members appointed under Schedule D of the Collective Agreement; and
 - vi. Trust Research Academic Staff Members (including Research Associates) appointed under Schedule E of the Collective Agreement.
- c. Academic colleagues (who are not employees of the University) in the following categories as defined in Recruitment Policy Appendix A are able to serve as graduate student supervisors with specific supervisory privileges as recommended by the Dean of the academic unit to the Vice-Provost and Dean (FGSR) (**template TBD**):
 - i. Special Continuing Academic Colleagues;
 - ii. Academic Affiliates (Secondees to the University);
 - iii. Adjunct Academic Colleagues; and,
 - iv. Clinical Academic Colleagues.
- d. Professors Emeriti will complete supervision of those graduate students actively registered in a program but, normally, will not take on supervision of new students post-retirement unless otherwise defined within the graduate program's supervisory policies and/or as approved by the Dean of the academic unit.
- e. Conflicts of interest and conflicts of commitment will be disclosed by graduate student supervisors and managed in accordance with University and FGSR policies.
- f. Graduate programs will maintain their own supervisory guidelines, which will be shared with FGSR and which must align with any other FGSR minimum requirements, as applicable. The graduate program supervisory guidelines will specify criteria for granting limited or unlimited supervisory privileges.

2. ADJUNCT ACADEMIC APPOINTMENTS IN FGSR

- a. Graduate student supervisors that are eligible in accordance with this Policy will receive an adjunct academic appointment in FGSR.
- b. The adjunct academic appointment in FGSR will be active for the duration of the individual's appointment at the University, subject to fulfillment of responsibilities in section 3.b, and will not require an application for renewal.
- c. All existing employees under section 1.b and academic colleagues under section 1.c (whether currently supervising graduate students or not) prior to [the approval date of this Policy], are able to serve as graduate student supervisors and will automatically receive an adjunct academic appointment in FGSR. These adjunct academic appointees in FGSR are encouraged to complete the FGSR supervisory development program (see Published Procedure below), but it is not required.
- d. New employees under section 1.c appointed to the University after the effective date noted in section 2.c will be able to serve as graduate student supervisors and will receive an adjunct academic appointment in FGSR, however, they will be required to successfully complete the FGSR supervisory development program in order to retain their adjunct academic appointment in FGSR. The supervisory development program should be completed as soon as possible but no later than two years after the employee's official start date.
 - i. If the supervisory development program is not completed within two years, the Dean of the academic unit will assign a co-supervisor who has active adjunct academic status in FGSR.
 - ii. In consultation with the Dean of the academic unit, the Vice-Provost and Dean of FGSR will pause the new employee's adjunct status until the development program is completed.
 - iii. Upon completion of the development program, the new employee's adjunct status will be reinstated by the Vice-Provost and Dean (FGSR), and the Dean of the academic unit will decide if the co-supervisor will remain in place.
- e. Notwithstanding section 2.d, in instances where a new employee is appointed at the rank of associate or full professor, a request to automatically grant an adjunct academic appointment in FGSR can be made by the new employee's Chair and/or Dean of the academic unit to the Vice-Provost and Dean of FGSR. These adjunct academic appointees in FGSR are encouraged to complete the FGSR supervisory development program but it is not required.
- f. New academic colleagues under section 1.c appointed to the University after the effective date noted in section 2.c will be able to serve as graduate student supervisors with specific supervisory privileges as recommended by the Dean of the academic unit and will automatically receive an adjunct academic appointment in FGSR. These adjunct academic appointees in FGSR are encouraged to complete the FGSR supervisory development program but it is not required.

3. RESPONSIBILITIES OF A GRADUATE STUDENT SUPERVISOR

- a. If a graduate student has a co-supervisor, then the term "graduate student supervisor" refers to the both supervisors.
- b. The graduate student supervisor is directly [responsible](#) for:
 - i. Assisting the student in planning a program of studies;
 - ii. Assisting in ensuring that the student is aware of all program requirements, degree regulations, and general regulations of the academic unit and the FGSR;
 - iii. Providing counsel on all aspects of the student's program;
 - iv. Staying informed of the student's research activities and progress;
 - v. Ensuring, to the best of their abilities, that the student conducts their research in a manner that is as effective, safe, and as productive as possible;

- vi. Arranging for, and attending, all supervisory committee meetings and the student's examinations, and ensuring that these are scheduled and held in accordance with the FGSR regulations;
 - vii. When going on leave or an extended period of absence, ensuring that the student is adequately supervised by assigning an acting supervisor. (When the student is in a doctoral program, the acting supervisor should be a member of the supervisory committee); and,
 - viii. Reviewing the thesis, both in draft and in final form, and returning feedback in a timely manner.
- c. The graduate student supervisor will:
- i. Meet with their thesis-based graduate student(s) and complete with them, and the supervisory committee when established, the FGSR student progress report form at least once during a 12 month period (progress reports can be filled out once every four months as required);
 - ii. Hold an introductory meeting with all incoming thesis-based graduate students in the first term of the student's program, and no later than 12 months from the program start date, and complete the Student-Supervisor Guidelines (**template TBD**); and
 - iii. Be familiar with the Guidelines for Supervision and Mentorship for Faculty and Administrators resource (see Related Links below).
- d. If an employee under section 1.b or a special continuing academic colleague under section 1.c.i resigns from the University, the academic unit will notify FGSR of their resignation and the affected individual's adjunct academic appointment in FGSR will be retained in order to facilitate the completion of those graduate students already in their program. The Dean of the academic unit may, in accordance with the graduate program's supervisory guidelines, recommend specific supervisory privileges to accompany this change of appointment.
- e. If an academic colleague under sections 1.c. ii, iii or iv leaves the University prior to the end of their appointment term, the academic unit will notify FGSR and the affected individual's adjunct academic appointment in FGSR and supervisory privileges will be ended (see also section 2.b).
- f. The annual evaluation of graduate student supervisors will be completed in accordance with the evaluation processes defined within the **Collective Agreement** for academic staff members or relevant policies and procedures for other categories of supervisors.

4. COMPLIANCE AND COMPLAINTS

- a. Failure to comply fully with this Policy, or parts thereof, will be dealt with in compliance with the Collective Agreement and/or relevant University policies and procedures.
 - i. While this Policy outlines the role and responsibilities of supervisors, student compliance is addressed by [The Code of Student Conduct](#), which outlines the expected behaviours for students; as well as the policies and regulations affecting them as set out in the University calendar.
- b. Concerns related to a graduate student-supervisor working relationship may be taken to the Associate Dean (Graduate), the Dean of the academic unit, and/or to the Vice-Provost and Dean (FGSR).
- c. Any complaint, formal or informal, that is made will be handled within an environment of safe disclosure for complainants where they are not subject to reprisal for reporting allegations made in good faith.

For further information on complaints and both the informal and formal resolution processes, refer to the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Discrimination and Harassment*

Complaint Procedure, and the *Student Concerns and Complaints Policy – Records and Privacy* (see Related Links below).

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. ▲Top	
Graduate Student	A student registered with the Faculty of Graduate Studies and Research
Adjunct academic appointment	Employees and academic colleagues who make substantial contributions to another department/faculty outside of their home department/faculty without expectation of compensation from the other department/faculty.
Collective Agreement	This is the agreement between AASUA and the Governors of the University of Alberta in effect at the relevant time.

FORMS

[Template for New Appointment Recommendation \(TBD\)](#)

[Appointment of Supervisor\(s\) and Supervisory Committee Form \(TBD\)](#)

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [▲Top](#)

[UAPPOL:Consensual Personal Relationships INFORMATION DOCUMENT](#)

[UAPPOL: Recruitment Policy Appendix A](#)

[UofA Calendar: Graduate Regulations](#)

[UofA Calendar: Supervision and Supervisory Committees](#)

[UofA Calendar: A Supervisor’s Responsibilities Related to Graduate Programs](#)

[UofA Calendar: Conflict of Interest for Graduate Student Supervisory and Examination Committees](#)

[FGSR Guidelines for Supervision and Mentorship for Faculty and Administrators](#)

[UAPPOL: Discrimination, Harrassment and Duty to Accomodate Procedure](#)

[UAPPOL: Student Concerns and Complaints Policy – Records and Privacy](#)

[UAPPOL: Discrimination and Harassment Complaint Procedure](#)

PUBLISHED PROCEDURES OF THIS POLICY[FGSR Supervisory Development Program](#)

Original Approval Date: (Effective Date:) Most Recent Approval Date:

(Add "Effective Date" only if different than "Approval Date")

Most Recent Editorial Date: **April 1, 2021** **DRAFT**

Parent Policy: [FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy](#)

Graduate Student Supervision Development Procedure

Office of Administrative Responsibility:	Faculty of Graduate Studies and Research
Approver:	General Faculties Council and Board of Governors
Scope:	Compliance with this University procedure extends to all Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) in addition to visiting speakers, professor emeriti, and undergraduate and graduate students.

Overview

The University supports a culture that focuses on the importance of the working relationship between a graduate student supervisor and their graduate students. This procedure establishes the required development for new employees to undertake in order to attain an adjunct academic appointment in the Faculty of Graduate Studies and Research (as outlined in the FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy).

Purpose

To outline the development requirements for new employees, and the availability of optional development for continuing graduate student supervisors.

PROCEDURE

1. IMPORTANCE OF DEVELOPMENT

Supervisors will acquire through the development program:

- a. An understanding of best practices in graduate student advising;
- b. An awareness of the policies and procedures at the University of Alberta and how these apply to the campus community; and,
- c. Familiarity with teaching supports available on campus and where they can be accessed.

2. CONTENT OUTLINE

- a. The development program will emphasize the need to incorporate Equity, Diversity, Inclusion, as well as Indigenous perspectives in graduate education;
- b. It will also include material / resources on University policies and procedures, and EDI and Indigenous perspectives; and,
- c. Ideally, graduate student supervisors will participate in a practice of self-reflection to understand what it means to become, and remain, a conscientious and successful graduate student supervisor and mentor.

- d. Areas identified for the development program will be the following:
 - i. Building Student Supervisor Relationships;
 - ii. Communication;
 - iii. Professional Development;
 - iv. Conflict Resolution; and,
 - v. Wellness.
- e. Content for the development program will be regularly updated, in consultation with an *ad hoc* “Supervisory Development Requirement” advisory group, taking into account new supervisor feedback, emerging areas of need/concern, refinement of best practices, etc.
- f. The delivery of the development program will embody principles in universal design and accessibility, and combine both online modules and in-person workshops.
- g. The duration will be approximately 10 hours total (8 online and 2 in-person) and new supervisors will be able to access the development program as soon as their appointments are approved. Ideally, the in-person workshops will be held during new staff orientation activities so as to foster a cohort effect across campus.

3. RESPONSIBILITY FOR THE DEVELOPMENT PROGRAM

- a. The graduate supervision development program content will be created, delivered, and maintained by FGSR in collaboration with campus partners (e.g. the Office of the Vice-Provost (Learning Initiatives), Office of the Vice Provost (Indigenous Programming and Research), Centre for Teaching and Learning, Office of the Vice-Provost and Dean of Students, senior academic staff members); and,
- b. FGSR will be responsible for tracking the FGSR academic adjunct appointments and completion of the supervision development program.
- c. Graduate programs will maintain their own development, training, mentoring, and orientation practices specific to their academic units.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [[▲Top](#)]

Term	Enter the definition for the term in this column. There is no limit to the number of terms you may define. Terms should be listed here in the order they appear above. If you do not need to define any terms, do not delete this section. Delete this row only and change the above message to read “There are no definitions for this Procedure.”

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DRAFT 5.0 - 10 May 2021

GRADUATE STUDENT SUPERVISION DEVELOPMENT PROGRAM: OVERVIEW

FGSR Supervisory Initiatives - Building Capacity in the Graduate Student Experience, Graduate Student Success, and Enhancing the Graduate Student-Supervisory Relationship

While every supervisor has first hand experience of being supervised through the course of their own graduate experience, typically this supervisory experience is made up of a handful of people. While reflection on personal experience is undoubtedly valuable, this limited exposure to different approaches to the supervisory relationship can result in a narrow understanding of the characteristics of high quality supervision and may not be informed by University of Alberta policies and procedures.

The Graduate Student Supervision Development Program seeks to advance and support strong graduate supervision while ensuring that all new faculty appointees know where to access support, information, and resources related to graduate supervision. The Program provides information and education about universal principles related to high quality supervision and creates awareness and understanding about university policies, procedures and resources. This education will help new faculty appointees to be successful at the start of their academic careers. The end goal is to build a strong foundation of institutional support and awareness that will proactively work to shift our institutional culture as it relates to graduate student supervision. The program will also give supervisors the tools to be more efficient in their training of graduate students by knowing where to seek resources, what are the best practices in graduate supervision, and how to deal with issues effectively.

For current graduate student supervisors, little will change; they will be automatically granted an FGSR Adjunct Academic Appointment. While not mandatory, current supervisors are also encouraged to participate in the Graduate Student Supervision Development Program. **The Graduate Student Supervision Development Program is, however, required for new appointees to retain full FGSR Adjunct Academic Appointment status.** The Program aims to establish and maintain a strong community of practice focused on supporting supervisors and graduate students to be successful in their working relationships and graduate programs. Current graduate student supervisors can support the development of the community of practice by sharing their knowledge and expertise in the optional panel discussion that rounds out the Program.

[Program Design Description, Objectives, and Intended Learning Outcomes](#)

[Program Detailed Module Overview](#)

[Supporting Resources by Module](#)

[Resources for Further Investigation by Module](#)

PROGRAM: DESIGN DESCRIPTION, OBJECTIVES AND OUTCOMES

The Graduate Student Supervision Development Program advances and supports strong graduate supervision by providing formative training for new faculty appointees. It ensures that all new faculty appointees have equal access to support, information and resources related to graduate supervision, and are informed about university policies and procedures that will help them be successful at the start of their academic careers.

The Program takes 10 hours in total and consists of asynchronous online learning and facilitated discussion. Upon completion of the 10 hours, participants also have the opportunity to participate in an optional, interdisciplinary panel discussion where experienced supervisors will share their knowledge and expertise about graduate student supervision. The Program design is grounded in:

- A hybrid format that blends flexible, self-paced learning (Modules 1-6) with synchronous facilitated discussion (Module 7)
- Compliance with universal and accessibility principles
- Research related to best practices in supervision/mentorship
- UAlberta policy and legislative frameworks that support the supervisory relationship
- Interdisciplinary perspectives on high quality graduate student supervision
- Institutional priorities related to EDI, including Indigenization and Decolonization

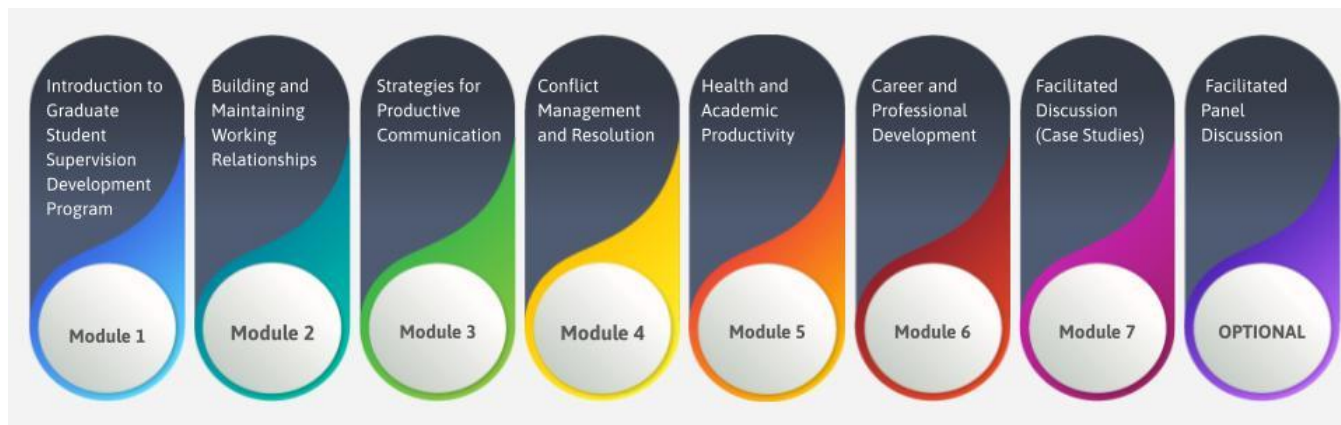
PROGRAM OBJECTIVES

- Equip graduate student supervisors with education and support related to graduate supervision, university policy, and procedures
- Furnish graduate student supervisors with strategies to deal with typical and more difficult mentoring situations
- Establish and maintain a strong community of practice focused on supporting supervisors and graduate students to be successful in their working relationships and graduate programs
- Support an ethical imperative and leadership role in cultivating high quality graduate supervision
- Embody and foster shared principles across all faculties wherein we collectively recognize, and work to promote and support best practices resulting in strong graduate student supervision
- Support in development/revision of a Statement of Mentorship

INTENDED LEARNING OUTCOMES

- Distinguish supervision and mentorship and describe the roles and responsibilities therein
- Identify and explain key policies, legislative frameworks, and procedures that guide the supervisory relationship and ensure an environment of safety and dignity for all
- Identify and describe strategies that support high quality graduate supervision, including relationship building, productive communication, conflict resolution, wellness, and career development
- Define, recognize, analyze issues that can emerge in the supervisor-student relationship
- Set and monitor personal goals related to graduate student supervision
- Create or revise a Faculty Statement of Mentorship

PROGRAM MODULE OVERVIEW



MODULE 1: INTRODUCTION TO THE GRADUATE STUDENT SUPERVISION DEVELOPMENT PROGRAM (Asynchronous)

Objectives:

- Build an understanding of why supervisory development supports graduate student supervisors and students, and excellence and innovation in research and scholarship
- Develop an understanding of why land acknowledgement is important in the supervisory relationship
- Provide an overview of the knowledge, behaviours, and attitudes that characterize high quality supervision
- Outline the roles and responsibilities related to graduate education
- Provide an overview of a Faculty Statement of Mentorship, its purpose and the main components

Time	Module Breakdown	Learning Objectives
10 min	1.0 Welcome to the Graduate Student Supervision Development Program	Welcome to the Supervisory Development Program FGSR's role in graduate education and support for supervisors Support and resources for supervisors
15 min	1.1 We are all Treaty People	Examine why Land Acknowledgements important in the supervisory relationship and how to create your own territorial acknowledgement Explore what it means to live, work, research, and mentor graduate students with land
10 min	1.2 Mentoring Mentors: Building a culture of growth in graduate supervision	Contextualize graduate supervision training within: 1) University of Alberta priorities; and, 2) the Canadian post-secondary landscape Examine how graduate student supervision training as means to support: 1) better graduate supervision and mentorship; 2) increased research productivity and the responsible conduct of research; and, 3) adherence to university policy and procedures

10 min	1.3 Indicators and Outcomes of High Quality Supervision:	Explore student-supervisor relationships as professional, academic relationships Examine indicators and outcomes of high-quality supervision
15 min	1.4 Student-supervisor Guidelines	Examine the University of Alberta policies and procedures that support the supervisory relationship Outline areas for responsibilities for: 1) graduate students; 2) supervisors; 3) academic advisors; 4) supervisory committee; 5) departments, 6) Faculty of Graduate Studies and Research; and 7) Council of the Faculty of Graduate Studies and Research
10 min	1.5 Developing a Statement of Mentorship: A Introduction	Explore how a statement of mentorship supports a reflective approach to graduate supervision and how it can support professional development and growth? Outline the structure and components that make up a statement of mentorship Explain how the Graduate Student Supervision Development Program will facilitate the development of a Statement of Mentorship
15 min	1.6 Learning in Action	Faculty Statement of Mentorship: Part 1

TOTAL: 85 minutes

MODULE 2: BUILDING AND MAINTAINING WORKING RELATIONSHIPS (Asynchronous)

Objectives:

- Distinguish supervision and mentorship
- Build knowledge of the policy and legislative frameworks that support an inclusive supervisory relationship
- Explore approaches to Indigenization and decolonization in post-secondary institutions
- Understand policies and procedures that support the safety, dignity and inclusion of all members of the UAlberta campus

Time	Module Breakdown	Learning Objectives
15 min	2.0 The Mentorship Relationship	Explore the mentorship relationship--graduate students as junior colleagues Examine the difference between supervision and mentorship and explore the benefits of a combined approach Explain what it means to be a self-reflective mentor and outline behaviours and attitudes that signal this approach
15 min	2.1 Equity, Diversity and Inclusivity and the Supervisory Relationship	Examine the policy and legislative frameworks that support EDI in the supervisory relationship Outline rights and responsibilities related to human rights, accomodation, and inclusive learning and working spaces

Modified DD: 19 May 2021

		Introduce critical theory: Intersectionality and oppression Outline strategies to EDI in the supervisory relationship
15 min	2.2 Indigenizing and Decolonizing the Academy	Approaches to Indigenization within post-secondary institutions Indigenous Programming and Research Portfolio at the University of Alberta: Implementing the Truth and Reconciliation Commission of Canada's Calls to Action Mentoring Indigenous students
30 min	2.3 Supporting a Safe Teaching and Learning Community	Discrimination, Harassment, and Duty to Accommodate Policy (15 min) Sexual Violence Policy (15 min)
15 min	2.4 Learning in Action	Faculty Statement of Mentorship: Part 2

TOTAL: 90 minutes

Campus Consultation/Design Partners

Janet A. W. Elliott, University of Alberta Distinguished Professor and Canada Research Chair in Thermodynamics (Faculty of Engineering)

Victoria Ruetalo, Associate Dean, FGSR- SSHRC

Indigenous Research Task Force

Florence Glanfield, Vice-Provost--Indigenous Programming and Research

Nella Sajlovic, Indigenous Strategies Manager, Provost and Vice-President Academic

Jennifer Ward, Lead Ed. Developer, Indigenous Focus, Centre for Teaching and Learning

Kisha Supernant, Co-lead, Situated Knowledges (Anthropology)

Donnell Willis, Advisor, Office of Safe Disclosure

Evelyn Hamdon, Senior Advisor, Equity and Human Rights, Office of the Provost and Vice-President (Academic)

Sam Pearson, Director, Sexual Assault Centre

Trudy Cardinal, Associate Professor and Associate Chair, Faculty of Education

MODULE 3: STRATEGIES FOR REGULAR, OPEN AND PRODUCTIVE COMMUNICATION (Asynchronous)

Objectives:

- Build knowledge of the role and responsibility of the supervisor and mentor
- Develop strategies for regular, open, and productive communication
- Establish foundational knowledge of how cultural differences can be leveraged
- Develop an understanding of the importance of listening in the supervisory relationship
- Build understanding of how the annual progress report can be used as tool to for a student productivity and a shared understanding of academic milestones

Time	Module Breakdown	Topics
10 min	3.0 Establishing a Foundation for High Quality Supervision	Leveraging the first meeting to: 1) align expectations; 2) set norms for healthy communication; 3) establish a foundation for productivity; 4) discuss students' goals for their program of study; and, 5) initiate a plan for degree completion

Modified DD: 19 May 2021

10 min	3.1 Annual Progress Report	The annual progress report as a tool to support an iterative, self-reflective approach that balances students' need for structure while fostering academic independence and intellectual growth
15 min	3.2 Understanding and Leveraging Intercultural Differences with Your Mentees	Cross-cultural challenges that emerge within the supervisory relationship Decolonizing the supervisory relationship Strategies for a productive intercultural relationship How can you help students to bring their worldviews into their research? Cultural diversity as a pathway to creativity and innovation
30 min	3.3 The Art of Listening	The importance of listening in the mentorship relationship Barriers to effective listening Overcoming barriers to effective listening "Already-Always Listening:" What we hear and what we listen "Authentic Listening"
Campus Consultation/Design Partners Victoria Ruétalo, Associate Dean, FGSR Anne-José Villeneuve, Faculty St. Jean International Student Services, University of Alberta International Remonia Stoddart-Morrison, Student Ombuds Billy Strean, Professor, KSR		
MODULE 4: Guiding Research and Scholarship		
<ul style="list-style-type: none"> ● Outline researchers' internal and external accountabilities ● Examine the policies, procedures, and resources that support supervisors in guiding research and scholarship 		
80 min	4.0 Ethics and Academic Citizenship Requirement for Graduate Students (5 minutes)	<ul style="list-style-type: none"> ● How does the new Ethics and Academic Citizenship Requirement help graduate students understand the benefits and responsibilities of belonging to an academic community, including activities associated with research, teaching, and learning? ● What are program specific requirements and deadlines for completion related to the Requirement?
	4.1 Mentoring for Ethical Research (15 minutes)	<ul style="list-style-type: none"> ● Research at the University of Alberta: Institutional, scholarly, and professional expectations, and external accountabilities ● Resources available to UAlberta researchers ● Supporting graduate students with research ethics: What they need to know

	4.2 Intellectual Property (15 min)	<ul style="list-style-type: none"> ● How is authorship determined? ● What are graduate students' intellectual property rights in their various research roles? ● Who owns data produced in a graduate student's thesis ● What are supervisors' rights to graduate students' discoveries/inventions ● What resources are available should a dispute arise regarding intellectual property and/or co-authorship?
	4.3 Publishing and Copyright (15 minutes)	<ul style="list-style-type: none"> ● How does copyright intersect with scholarly communications and open access publishing ● What are graduate students' rights and responsibilities related to copyright What support and resources are available for interpreting publisher policies and negotiating publication agreements
	4.4 Data management (15 min)	<ul style="list-style-type: none"> ● What responsibilities and accountabilities do researchers' have as it relates to data management ● What is involved with a Data Management Plan (DMP) and what supports are available for creating one? ● What support and resources are available to researchers for the ethical management of data?
15 min	3.3 Learning in Action	Faculty Statement of Mentorship: Part 3
TOTAL 145 minutes		
Campus Consultation/Design Partners Susan Babcock, Director, Research Ethics Office Amanda Wakaruk, Copyright and Scholarly Communication Librarian James Doiron, Research Data Management Services Coordinator and Academic Director, University of Alberta Research Data Centre		
MODULE 5: CONFLICT MANAGEMENT AND RESOLUTION (Asynchronous)		
Objectives: <ul style="list-style-type: none"> ● Build knowledge of underlying sources of conflict ● Develop strategies for conflict management and resolution 		
Time	Module Breakdown	Topics

45 min	5.0 Conflict Management and Resolution in the Supervisory Relationship	Common sources of conflict and how parties perceive it Communication strategies and early intervention methods as a tool to resolve and manage conflict, including: conflict management coaching, restorative conferences, and facilitated mediation Modeling and learning best practices in conflict management and resolution
15 min	5.1 Learning in Action	Faculty Statement of Mentorship: Part 4

TOTAL 60 minutes

Campus Consultation/Design Partners

Natalie Sharpe and Remonia Stoddart-Morrison, Student Ombuds
Office of Safe Disclosure

MODULE 6: HEALTH AND ACADEMIC PRODUCTIVITY (Asynchronous)

Objectives:

- Examine how health impacts students and supervisors in their academic life
- Explore strategies to healthy strategies to manage personal and academic commitments, support ethical personal conduct, and build productivity

	Module Breakdown	Topics
30 min	6.0 Framing The Conversation: Data and Mental Health Context of Graduate Students at the University of Alberta (15 minutes)	What does the data tell us? What does the data tell us about International, Indigenous, Black, and students who parent or are caregivers? What are graduate students' rights related to health? (10 min)
	6.1 Identifying, Referring and Helping Students in Distress (15 minutes)	What are common indicators of distress among graduate students? What are key strategies for assisting graduate students in distress? How do I distinguish between a situation requiring a referral and one demanding immediate action? What are the resources available to graduate students and supervisors?
15 min	6.2 Health and Academic Productivity	The impact of health on academic productivity for students and supervisors Health as a pathway for productivity Promoting and supporting health in the supervisory relationship
15 min	6.3 Learning in Action	Faculty Statement of Mentorship: Part 5

TOTAL: 60 minutes

Campus Consultation/Design Partners

Janice Causgrove Dunn, Associate Dean, FGSR

Sarah Flower, Manager, Health Promotion, HR

Suman Varghese, Registered Psychologist, Clinical Counselling Services

Josee Ouellette, Counsellor, Student Wellness, Campus St.- Jean, Academic Support

Doug Gleddie, Associate Dean, Graduate Studies, Faculty of Education

MODULE 7: CAREER AND PROFESSIONAL DEVELOPMENT**(Asynchronous)****Objectives:**

- Build understanding of the Professional Development Requirement
- Explore how supervisors can support students' professional aspirations
- Develop strategies to support career conversations

Time	Module Breakdown	Topics
10 min	7.0 Professional Development (PD) Requirement	Why a Professional Development (PD) Requirement? What is involved in the PD Requirement? What is the role of FGSR, f departments and supervisors in the PD Requirement?
20 min	7.1 Mentoring for Career Conversations: Supporting Graduate Students in Times of Uncertainty Me	Why is it important to supervisors to have career conversations as part of the mentorship relationship? Why are supervisors well-positioned to mentor for career conversations? What does it mean to have a career conversation with graduate students? How do I get started with mentoring for career conversations?
10 min	6.2 Learning in Action	Faculty Statement of Mentorship: Part 6

TOTAL: 40 minutes**Campus Consultation/Design Partners:**

Deanna Davis, Senior Lead and Educational Curriculum Developer, Graduate Teaching and Learning, FGSR

Tyree McCrackin, Career Advisor, Career Centre

Renee Polziehn, Director, Professional Development, FGSR

MODULE 8: FACILITATED DISCUSSION-- CASE STUDIES**(Synchronous, F-2-f/Virtual)**

Time	Module Breakdown	Topics
105 min	8.0 Applying Your Knowledge: Facilitated Cohort Discussion	Participants will analyze several case studies that bring together complex issues outlined in Modules 1-6

Modified DD: 19 May 2021

15 min	8.1 Next Steps: Refining Supervisory Skills and Competencies	Building a supervisory reflective practice Support and resources for supervisors for ongoing skill and competency development
TOTAL: 120 minutes		
<p>Campus Consultation/Design Partners</p> <p>Indigenous Research Task Force Florence Glanfield, Vice-Provost--Indigenous Programming and Research Jennifer Ward, Lead Ed. Developer, Indigenous Focus Janet A. W. Elliott, CRC in Faculty of Engineering -CIHR, NSERC Victoria Ruetalo, Associate Dean, FGSR Billy Strean, Professor, KSR Student Ombuds (Natalie Sharpe and Remonia Stoddart-Morrison) Office of Safe Disclosure Janice Causgrove Dunn, Associate Dean, FGSR Sarah Flower, Manager, Health Promotion, HR Suman Varghese, Registered Psychologist, Clinical Counselling Services Jasmine Bajwa, Registered Psychologist, Clinical Counselling Services Josee Ouellette, Counsellor, Student Wellness, Campus St.- Jean, Academic Support Doug Gleddie, Associate Dean, Graduate Studies, Faculty of Education Deanna Davis, Senior Lead and Educational Curriculum Developer, Graduate Teaching and Learning, FGSR Tyree McCrackin, Career Advisor, Career Centre Renee Polziehn, Director, Professional Development, FGSR</p>		
<p>Supporting Resources/Resources on Hand</p> <p>The case studies will apply much of the theory and research discussed in each of the modules. See below for further references.</p>		
<p>Resources for Further Investigation</p> <p>The case studies will apply much of the theory and research discussed in each of the modules. See below for further references.</p>		

Supporting Resources

MODULE 1: INTRODUCTION TO GRADUATE STUDENT SUPERVISION DEVELOPMENT PROGRAM

[For the Public Good: Institutional Strategic Plan, University of Alberta](#)

[University of Alberta: Vision, Mission, and Values](#)

[Acknowledgement of Traditional Territory](#)

[Territorial Acknowledgments: Going Beyond the Script](#)

Quality of Graduate Supervision Committee 2010, [“Recommendations on Improving Quality of Graduate Student Supervision at the University of Alberta” Report](#)

[Krogman Report \(2014\) “The Quality of Graduate Student and Post-Doctoral Supervision at the University of Alberta”](#)

Report to Board Human Resources and Compensation Committee (BHRCC) on supervision in 2016, 2017, 2018, and 2019

Report to Board Learning, Research and Student Experience Committee (BLRSEC) on supervision in 2018, 2019
[Supervisory Guide](#) developed and endorsed by FGSR Council in 2018

[Responsibilities Related to Graduate Programs](#)

[Supervision and Examinations](#)

[Code of Student Behaviour](#)

[Conflict Policy: Conflict of Interest and Commitment and Institution Conflict](#)

[Information Document: Consensual Personal Relationships](#)

[OHS Act, Regulation and Code](#)

Johnston, J. (2010). Mentoring Graduate Students. Vanderbilt University Center for Teaching. Retrieved 14 April 2021 from <https://cft.vanderbilt.edu/guides-sub-pages/mentoring-graduate-students/>.

MODULE 2: BUILDING AND MAINTAINING WORKING RELATIONSHIPS

[What is Reconciliation?](#)

Team ReconciliAction YEG (2018) [“As Long as The Sun Shines, The Grass Grows and The River Flow,” Faculty Blog](#), Faculty of Law, University of Alberta (9 January 2018), Accessed 5 February 2021, <https://ualbertalaw.typepad.com/faculty/2018/01/as-long-as-the-sun-shines-the-grass-grows-and-the-river-flow-s.html>

[Indigenous Research Guide, University of Alberta Library](#)

Naomi Krogman and Sarah Ficko (2018) *Supervision Guide*, Faculty of Graduate Studies and Research (October 18, 2018), Accessed 5 February 2021, <https://www.ualberta.ca/graduate-studies/media-library/about/faculty-and-staff/resources-for-supervisors-and-graduate-coordinators/20181018-guidelines-for-supervision-and-mentorship-for-faculty-and-administrators.pdf>

[Protected Areas and Grounds Under the Alberta Human Rights Act](#)

[Human Rights at the University of Alberta](#)

[Strategic Plan for Equity, Diversity, and Inclusivity, University of Alberta](#)

[Discrimination, Harassment and Duty to Accommodate Policy](#)

[Duty to Accommodate Procedure](#)

[Sexual Violence Policy](#)[Ethical Conduct and Safe Disclosure Policy](#)

Gardner, S.K. and Barnes, B.J., *Advising and Mentoring Doctoral Students: A Handbook*. Faculty and Staff Monograph Publications, 210: 2014). Retrieved from:

https://digitalcommons.library.umaine.edu/fac_monographs/210; Knox, S., Schlosser, L.Z., Pruitt, N. T. and Hill, C.E. (2006), "A qualitative examination of graduate advising relationships: The adviser perspective," *The Counseling Psychologist*, 34(4), 489-518; Laverick, D., *Mentoring Processes in Higher Education* (London: Springer International Publishing, 2016).

Baird, L.L., "Helping graduate students: A graduate adviser's view." In *Student services for the changing graduate student population*, ed. A.S Pruitt-Logan & P.D. Isaac (San Francisco: Jossey-Bass, 1995), 25-32; Barnes, B. "The nature of exemplary doctoral advisor's expectations and the way they may influence doctoral persistence," *Journal of College Student Retention*, 11.3 (2010), 323-343

Barnes, B.J. & Austin, A.E., "The role of doctoral advisors: A look at advising from the advisor's perspective," *Innovative Higher Education* 33.1 (2009), 297-315; Council of Graduate Schools, "Ph.D. Completion and Attrition: Findings from exit surveys of Ph.D. completers" (Washington, DC: Council of Graduate Schools, 2009). Retrieved from: <https://cgsnet.org/phd-completion-and-attrition-findings-exit-surveys-phd-completers-0>; among others.

Golde, C.M., "The role of the department and discipline in doctoral student attrition: Lessons from four departments," *Journal of Higher Education*, 76.6 (2005), 669-700; Lovitts, B., *Leaving the Ivory Tower: The Causes and Consequences of Departure from Doctoral Study* (Lanham, MD: Rowman and Littlefield, 2001). Wright-Harp, W. and Cole, P., "A Mentoring Model for Enhancing Success in Graduate Education," *Contemporary Issues in Communication Sciences and Disorders* 35.1 (2008), 9-11.

MODULE 3: STRATEGIES FOR REGULAR, OPEN AND PRODUCTIVE COMMUNICATION[Communicating Expectations](#)[Template for Conversation Checklist for a New Graduate Student](#)[Supervisory Committees](#)[Guidelines for Ownership of Research Materials](#)[Ethics Review](#)[Research and Scholarship Integrity Policy](#)[Research Administration Roles and Responsibilities](#)[Animal Research Ethics](#)[Human Research Ethics](#)[Tri-Agency Frameworks: Responsible Conduct of Research](#)[Tri-Agency Statement of Principles on Digital Data Management](#)[Defining Academic Citizenship](#)[Intellectual Property Guidelines for Graduate Students and Supervisors](#)

"Guiding Principles for Graduate Student Supervision," Canadian Association for Graduate Studies, <https://cags.ca/documents/publications/working/Guiding%20Principles%20for%20Graduate%20Student%20Supervision%20in%20Canada%20-%20rvsn7.pdf>

[Intellectual Property Guidelines for Graduate Students and Supervisors](#)[Progress Report Policy](#)[How to Ensure a Rewarding Thesis-based Student-Supervisory Experience at the University of Alberta](#)[Defining Academic Citizenship](#)

MODULE 4: CONFLICT MANAGEMENT AND RESOLUTION

Harrison, Tyler R. "My professor is so unfair: Student attitudes and experiences of conflict with faculty." *Conflict Resolution Quarterly* 24, no. 3 (2007): 349-368.

Tantleff-Dunn, Stacey, Michael E. Dunn, and Jessica L. Gokee. "Understanding faculty–student conflict: Student perceptions of precipitating events and faculty responses." *Teaching of Psychology* 29, no. 3 (2002): 197-202.

Noble, Cinnie (2011). *Conflict Management Coaching: The CINERGY Model*. CINERGY™ Coaching

Noble, Cinnie (2011). *Conflict Mastery: Questions to Guide You*. CINERGY™ Coaching

Fisher, Roger, Ury, William and Bruce Patton (2011). *Getting to Yes*. Penguin Books.

William Wilmot and Joyce Hocker (2013). *Interpersonal Conflict*. McGraw-Hill Education.

Stone, Douglas; Patton, Bruce; Heen, Sheila; and Roger Fisher (2010). *Difficult Conversations: How to Discuss What Matters Most*. Penguin Random House.

Mayer, Bernard (2000). *The Dynamics of Conflict Resolution: A Practitioner's Guide*. Jossey-Bass, 2000).

<https://www.beyondintractability.org/bksum/mayer-dynamics>

Mayer, Bernard (2015). *The Conflict Paradox: Seven Dilemmas at the Core of Disputes*. Jossey-Bass.

Ewert, Charles; Barnard, Gordon, Laffier, Jennifer; and Michael L. Maynard (2019). *Choices in approaching conflict: Principles and practice of dispute resolution* (Second ed.). Emond Publishing.

Zehr, Howard (2012). *The Little book of restorative justice: Revised and updated*. Simon and Schuster.

[Foundations of Responsible Research](#)

[Research Security Policy Statement, Spring 2021, Government of Canada](#)

MODULE 5: HEALTH AND ACADEMIC PRODUCTIVITY

[Graduate Student Mental Health and Wellness Report \(July 2018\)](#)

Ro, Christine, Pandemic harms Canadian grad students' research and mental health, *Nature* 18 August 2020, <https://doi.org/10.1038/d41586-020-02441-y>

Chirikov, I., Soria, K. M., Horgos, B., & Jones-White, D. (2020). Undergraduate and graduate students' mental health during the COVID-19 pandemic. SERU Consortium, University of California - Berkeley and University of Minnesota. <https://cshe.berkeley.edu/seru-covid-survey-reports>

Graduate Student Mental Health Toolkit: A guide to supporting graduate students' mental health, Centre for Innovation in Campus Mental Health, Canadian Mental Health Association, 2020

MODULE 6: CAREER AND PROFESSIONAL DEVELOPMENT

[Mentoring for Career Conversations](#) (Presentation)

Resources for Further Investigation by Module

MODULE 2: BUILDING AND MAINTAINING WORKING RELATIONSHIPS

[Indigenous Canada MOOC, Faculty of Native Studies](#)

[First Nations, Métis, Inuit Subject Guides](#)

[Aboriginal/Indigenous Resources](#)

[Truth and Reconciliation Commission of Canada: Calls to Action](#)

[National Centre for Truth and Reconciliation](#)

[Office of the Treaty Commissioner: We are All Treaty People](#)

[North Campus Indigenous Student Services \(First Peoples' House\)](#)

[Resources for Supervisors, FGSR](#)

Episode 1: Bullying and Harassment, [Podcasts on Effective Supervision](#), FGSR

Episode 4: Sexual Violence, [Podcasts on Effective Supervision](#), FGSR

MODULE 3: STRATEGIES FOR REGULAR, OPEN AND PRODUCTIVE COMMUNICATION

Episode 3: A Healthy Psychological Environment for Grad Students and their Supervisors, [Podcasts on Effective Supervision](#), FGSR

MODULE 4: CONFLICT MANAGEMENT AND RESOLUTION

The Faculty of Extension and ADR Learning Institute offer a certificate through their course series in Conflict Resolution <https://ext.ualberta.ca/enroll/conflict-resolution>

MODULE 5: HEALTH AND ACADEMIC PRODUCTIVITY

Episode 2: The Mental Health Games We Play, [Podcasts on Effective Supervision](#), FGSR

[Graduate Student Assistance Program- Homewood Health](#)

[Mental Health Resources](#)

[Supporting Student Mental Health](#)

[Supporting Mental Health for Faculty](#)

MODULE 6: CAREER AND PROFESSIONAL DEVELOPMENT

[Mentoring for Career Conversations: IDP Review Guide for Faculty](#)

[FGSR's Professional Development \(PD\) Requirement: Information for Supervisors](#)

Melissa Dalgleish (2019) [Supporting Your Supervisees in Career Exploration](#), Inside Higher Ed, 11 February 2019, Accessed 24 October 2020,

<https://www.insidehighered.com/advice/2019/02/11/specific-ways-faculty-members-can-help-their-grad-students-pursue-their-careers>.

Catherine Mayrey, "Honest, open and two-way- have HOT career conversations with your graduate students," in *University Affairs*, 18 September 2020. Accessed 23 September 2020,

<https://www.universityaffairs.ca/career-advice/responsibilities-may-include/honest-open-and-two-way-have-hot-career-conversations-with-your-graduate-students/>

Doug Lederman (2020) [Is Students' Early Career Success Their Professors' Problem?](#), Inside Higher Ed, 26 February 2020, Accessed 24 October 2020,

<https://www.insidehighered.com/digital-learning/article/2020/02/26/should-professors-be-responsible-their-students-workplace>.

Lisa Dyce and Catherine Maybrey (2019) Do grad students perceive career resources as valuable?, University Affairs, 13 September 2019, Accessed: 24 October 2020, <https://www.universityaffairs.ca/career-advice/career-advice-article/do-grad-students-perceive-career-resources-as-valuable/>.

Career Conversations: Questions for Career Conversations, BC Initiative for Inclusive Access to Post-Secondary Education, Access 24 October 2020, <https://www.bc-ipse.org/>

DRAFT

2022-2023 University of Alberta Proposed Calendar Graduate Program Changes:

Current	Proposed
<p>The Faculty of Graduate Studies and Research</p> <p>[...]</p> <p>Responsibilities Related to Graduate Programs</p> <p>Student Graduate students are ultimately responsible for their own programs, and are expected to be familiar with all regulations and deadlines relating to their programs.</p> <p>The students' fundamental responsibilities include</p> <ul style="list-style-type: none"> ensuring that their registration is accurate and does not lapse submitting appropriate forms to the department for signature and processing paying all fees required by the deadline dates set out in the Calendar maintaining open communication with their supervisor or advisor and graduate coordinator concerning any problem in the event of a conflict in the supervisor-student or advisor-student relationship, discuss with the supervisor or advisor and graduate coordinator in a timely fashion in a thesis-based program, providing the supervisor with an annual report for distribution to the supervisory committee being aware of the expectations of the supervisor and the department informing the supervisor or advisor regularly about progress making research results accessible (beyond their appearance in a thesis) to an appropriate audience. 	<p>The Faculty of Graduate Studies and Research</p> <p>[...]</p> <p>Responsibilities Related to Graduate Programs</p> <p>Student Graduate students are ultimately responsible for their own programs, and are expected to be familiar with all program regulations and related deadlines.</p> <p>The student's fundamental responsibilities include:</p> <ul style="list-style-type: none"> ensuring that their registration is accurate and does not lapse; submitting appropriate forms on time to their department for signature and processing; paying all fees required by the deadline dates set out in the Calendar; maintaining open communication with their supervisor or advisor and graduate coordinator concerning any problem; in the event of a conflict in the supervisor-student or advisor-student relationship, discussing it with the supervisor or advisor and graduate coordinator in a timely fashion; being aware of the expectations of the supervisor and the department; and, making research results accessible (beyond their appearance in a thesis) to an appropriate audience. If registered in a thesis-based program, the student is also responsible for: <ol style="list-style-type: none"> completing the Student-Supervisor Guidelines, with their supervisor, within the first term of study, but no later than 12 months from the student's program start date, and; ensuring the completion of the Progress Report at least once annually and no more than once every four months as required

Please read the Calendar carefully. If you are in doubt about the regulations pertaining to your graduate program, consult your department or the FGSR.

Supervisor

If a student has ~~more than one supervisor~~, then the term "supervisor" refers to ~~the entire group of~~ supervisors.

The supervisor is directly responsible for ~~the supervision of the student's program. The supervisor~~

- assists the student in planning a program of studies
- assists in ensuring that the student is aware of all program requirements, degree regulations, and general regulations of the department and the FGSR
- provides counsel on all aspects of the student's program
- stays informed of the student's research activities and progress
- ensures that students conduct their research in a manner that is as effective, safe, and productive as is possible
- arranges for and attends all supervisory committee meetings and the student's examinations, ensuring that these are scheduled and held in accordance with FGSR regulations
- when going on leave or an extended period of absence, ensures that the student is adequately supervised by the provision of an acting supervisor. In the case of doctoral students this should be a member of the supervisory committee
- reviews the thesis both in draft and in final form.

to appropriately monitor progress in program.

Students are encouraged to carefully read the Calendar and to contact their department or FGSR if they have questions or require clarification about their specific program regulations.

Note: If a student switches streams to a thesis-based stream, they will be required to complete a Student-Supervisor Guidelines form within the first 12 months of their new program, and Progress Reports following the regulations as outlined in the calendar.

Supervisor

The supervisor is essential to the successful completion of thesis-based graduate degree programs. If a graduate student has a co-supervisor, then the term "supervisor" refers to both supervisors.

The graduate student supervisor is directly responsible for:

- assisting the student in planning a program of studies;
- assisting in ensuring that the student is aware of all program requirements, degree regulations, and general regulations of the department and the FGSR;
- providing counsel on all aspects of the student's program;
- staying informed of the student's research activities and progress;
- ensuring that the student conducts their research in a manner that is as effective, safe, and productive as is possible;
- arranging for and attending all supervisory committee meetings and the student's examinations, and ensuring that these are scheduled and held in accordance with FGSR regulations;
- when going on leave or an extended period of absence, ensuring that the student is adequately supervised by assigning an acting supervisor. (When the student is in a doctoral program, the acting supervisor should be a member of the supervisory committee); and,
- reviewing the thesis both in its draft and final form, and returning feedback in a timely manner.

The graduate student supervisor will:

- meet with their thesis-based graduate student(s) and complete with them, and the supervisory committee when established, the FGSR student

<p>Academic Advisor</p> <p>[...]</p> <p>Graduate Coordinator The term graduate coordinator refers to an associate chair, associate dean, director, or any other individual officially designated by the head of the unit as being responsible for the unit's graduate programs.</p> <p>Graduate coordinators must be tenured or tenure-track faculty members.</p> <p>Graduate coordinators have a duty to ensure that departmental and Faculty rules are administered in a fair and equitable manner. This often involves going beyond a mere application of the rules, and may entail using moral persuasion on colleagues and students.</p> <p>However, since the various units within the University contain a variety of graduate programs and operate under a diversity of policies, regulations and customs, the exact role of the graduate coordinator will vary.</p> <p>The responsibilities of the graduate coordinator may include:</p> <ul style="list-style-type: none"> ensuring that the regulations and requirements of the FGSR and the University are met being the official representative of the department to its graduate students admitting applicants to graduate programs acting as an advisor concerning the appointment of supervisors, supervisory committees, and external examiners <ul style="list-style-type: none"> acting as an advisor concerning any changes to a student's status or program carrying out FGSR and University policies relating to graduate students 	<p><u>progress report form at least once during a 12 month period (progress reports can be filled out once every four months as required);</u></p> <ul style="list-style-type: none"> <u>hold an introductory meeting with all incoming thesis-based graduate students in the first term of the student's program, and no later than 12 months from the program start date, and complete the Student-Supervisor Guidelines; and,</u> <u>be familiar with the Guidelines for Supervision and Mentorship for Faculty and Administrators resource.</u> <p>Academic Advisor</p> <p>[...]</p> <p>Graduate Coordinator The term graduate coordinator refers to an associate chair, associate dean, director, or any other individual officially designated by the head of the unit as being responsible for the unit's graduate programs.</p> <p>Graduate coordinators must be tenured or tenure-track faculty members.</p> <p>Graduate coordinators have a duty to ensure that departmental and Faculty rules are administered in a fair and equitable manner.</p> <p>The responsibilities of the graduate coordinator may include:</p> <ul style="list-style-type: none"> ensuring that the regulations and requirements of the FGSR and the University are met; being the official representative of the department to its graduate students admitting applicants to graduate programs acting as an advisor concerning the appointment of supervisors, supervisory committees, and external examiners <ul style="list-style-type: none"> <u>completing the Supervisor-Student Guidelines with thesis-based students in instances where a supervisor has yet to be appointed after 12 months since the start of the student's program;</u> acting as an advisor concerning any changes to a student's status or program; carrying out FGSR and University policies relating to graduate students;
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- acting as a liaison between the FGSR and the unit
- coordinating financial support for graduate students, including fellowships and assistantships
- monitoring the academic progress of graduate students
- providing advice to graduate students on the rules and procedures of the FGSR and the department
- keeping the FGSR informed of any changes in the student's program, including student status, course and program changes, scheduling of examination dates,
- initiating and coordinating graduate student recruitment activities.

[...]

Regulations of the Faculty of Graduate Studies and Research

[...]

Registration

Registration Procedure

Once newly-admitted and continuing graduate students in degree programs have determined their program requirements in consultation with their departments, they register using the Bear Tracks web registration system. See [Registration and Fees](#) for University regulations on registration in courses, re-registration in courses, changes in registration, cancellation of registration and auditing courses. See Academic Schedule for registration deadlines.

Faculty of Graduate Studies and Research deadline dates may differ from undergraduate deadline dates (see Academic Schedule and End-of-Program Registration Deadlines for thesis-based students.

There may be academic record and fee implications for withdrawing from courses. See Registration and Fees.

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In instances where a student and supervisor do not complete the Student-Supervisor Guidelines (within 12 months of the student's program start date) and/or the Progress Report (annually at minimum), the student's registration in subsequent terms will be restricted as a last resort and temporarily so as to determine a plan for completion. In these unlikely instances, FGSR will assist the student and supervisor in the completion of the requirement(s) and remove registration restrictions immediately. Note: both the student and supervisor(s) will receive reminders to complete the requirement(s) in

[...]

Academic Standing

[...]

Minimum Faculty Requirements

Regardless of the student's category, the pass mark in any course taken while registered in the Faculty of Graduate Studies and Research is a grade of C+.

All students in degree programs (including time spent as a qualifying graduate student) or diploma or certificate programs must maintain a minimum cumulative grade point average of 2.7 throughout the course of the program. (In cases where the cumulative grade point average falls between 2.3 and 2.7, departments may recommend the student be required to withdraw, or continuation in the program for a specified probationary period; in any case, convocation shall not take place with a cumulative grade point average of less than 2.7.) Notwithstanding the above, a student whose cumulative grade point average falls below 2.7 may be required to withdraw.

The above are minimum grades and grade point averages acceptable to the Faculty of Graduate Studies and Research. Individual departments may require higher grades than these. See Graduate Programs.

Academic Probation

Academic probation is used to address deficiencies in program or performance standards relevant to a student's particular program of studies such as CGPA, or progress in research. The conditions attached to a period of academic probation are designed to meet the specific needs of a student's academic situation.

When a student's term or cumulative grade point average falls between 2.3 and 2.7 or the minimum required by the program (See Graduate Programs), departments may recommend to the Faculty of Graduate Studies and Research continuation in a graduate program on academic probation for a specified period.

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[Students in thesis-based programs must ensure they complete, with their supervisor and/or supervisory committee, a Progress Report <link to new section> and submit it to FGSR at least once annually.](#)

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Change of Category

Departments may recommend a change of category to FGSR for doctoral students to master's programs due to poor academic performance.

When this occurs following the doctoral candidacy examination, please refer to Decision of the Candidacy Committee for details.

Required to Withdraw

Departments may recommend to FGSR that students be required to withdraw on academic grounds. Reasons for the recommendation include:

- Failure to maintain adequate academic standing; failure to meet requirements set out in a conditional admission; candidacy or final oral examination failure; or expiry of program time limit. Requests to require to withdraw for these reasons must be documented in the academic record or student's file: for example, grades, exam reports, etc;
- Failure to make satisfactory academic progress in other aspects of the program, such as adequate progress in research. Requests to require to withdraw for these reasons should be supported by evidence that the process of feedback, assessments and warnings has been followed;
- Failure to complete the practicum component of a graduate program, if that practicum component is an integral part of the program;
- Failure of the department to secure alternate supervision for a thesis-based student following dissolution of a supervisory relationship (see Resolving Conflicts in Supervisor-Student Relationships) as it is an academic requirement that thesis-based students have a supervisor (see Appointment of the Supervisor(s)).

For students in thesis-based programs, a student rating of 'In Need of Improvement' on a Progress Report <link to new section> will normally result in a recommendation for Academic Probation as determined by the supervisor and/or supervisory committee in consultation with the student.

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- Failure to complete the practicum component of a graduate program, if that practicum component is an integral part of the program;
- Failure of the department to secure alternate supervision for a thesis-based student following dissolution of a supervisory relationship (see Resolving Conflicts in Supervisor-Student Relationships) as it is an academic requirement that thesis-based students have a supervisor (see Appointment of the Supervisor(s)); and,
- For students in thesis-based programs, two consecutive student ratings of 'In Need of Improvement' or one rating of 'Unsatisfactory' on their Progress Report <link to new section> will normally result in a recommendation to withdraw from their program.

The following considerations apply:

- Cannot require to withdraw except for just cause;
- Students shall be given adequate warning, feedback and timelines related to what is the nature of the inadequate progress, what special performance would be required to rectify the inadequacy, and what is the timeline for demonstration of the required improved performance;
- Student should be given an opportunity to respond in writing to any warning given;
- Meetings with appropriate advisors (members of supervisory committee; Chair's designate, etc.) may assist the process of providing adequate warning and advice.

The decision to require a student to withdraw rests with the Associate Deans, FGSR. Students may appeal to the FGSR Academic Appeals Committee. For details, see [Appeals and Grievances](#).

[...]

Supervision and Examinations

Supervision and Supervisory Committees

Departmental Regulations and Responsibilities

Departments are responsible for preparing a set of regulations and guidelines for supervisors and students. Guidelines should deal with the selection and functioning of supervisors and should outline the joint responsibilities of faculty members and graduate students. Options for students to pursue who believe they are receiving unsatisfactory supervision should also be specified.

Appointment of the Supervisor(s)

Every student in a thesis-based program is required to have a supervisor. The department that admits a student to a thesis-based graduate program is responsible for providing supervision within a subject area in which it has competent supervisors, and in which the student has expressed an interest.

Normally there is only one supervisor. Departments may consider the appointment of more than one supervisor for a student.

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Implicit in the admission process is the following: on the applicant's part, that there has been an indication of at least

a general area of interest and, preferably, provision of some form of proposal, particularly if the program is at the doctoral level; on the department's part, that the application has been reviewed, the area of interest examined, academic expectations and potential performance considered, and that the department accepts its obligation to provide appropriate supervision for the applicant in the specified subject area.

It is expected that every effort will be made to arrive at a mutually agreeable arrangement for supervision between the student and the department. Students are normally involved in the process for selecting their supervisor(s) although this process varies from program to program.

The authority for the appointment of supervisors rests with the Dean ~~of the department's Faculty~~. Such appointment decisions are final and non-appealable.

Article 7.02.1 of the Faculty Agreement lists the "supervision of graduate students" as a form of "participation in teaching programs". It is expected that a department will monitor and review the performance of supervisors.

Supervisors on Leave

It is the responsibility of supervisors to make adequate provision for supervision of their graduate students during their leave. Therefore, if a supervisor is to be absent from the University for a period exceeding two months, it is the supervisor's responsibility to nominate an adequate interim substitute or indicate the means by which supervision will be maintained. It is the supervisor's responsibility to inform the student and the department in writing at the time the leave is approved.

Supervisors planning to take a sabbatical should follow the requirements found in Appendix E of the Faculty Agreement with respect to adequate advance arrangements for graduate students while a supervisor is on sabbatical.

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In instances when an interim supervisor is appointed, they are not required to complete Supervisor-Student Guidelines since the primary supervisor relationship remains intact during the leave period. The interim supervisor may, however, be required to complete a Progress Report <link to new section> if their appointment coincides with the annual deadline and a previous report during the calendar year has not already been completed (e.g. by the supervisor prior to the start of their leave).

Supervisors planning to take a sabbatical should follow the requirements found in Appendix E of the Faculty Agreement with respect to adequate advance arrangements for graduate students while a supervisor is on sabbatical.

[...]

Eligibility for Appointment as Supervisor

Time Line for the Appointment of Supervisors

Ideally, the supervisor for a thesis-based student, both master's and doctoral, should be appointed as soon as the student arrives to begin their program of studies. If this is not possible, an interim academic advisor should be appointed by the department.

Supervisor(s) must be appointed within the first 12 months of the student's program following the procedures approved by the Dean of the department's Faculty and submitted to FGSR.

Introductory Meetings

Every department must develop a list of topics that will be covered during the introductory meetings between a supervisor and a graduate student. These meetings should be held during the term in which a supervisor is first appointed. Topics likely to be listed include program requirements, academic integrity requirements, the role of the supervisor, the composition of the supervisory committee, the preferred means of communication, the availability of funding, and scholarly practices and outputs.

Eligibility for Appointment as Supervisor

Timeline for the Appointment of Supervisors

Ideally, the supervisor for a thesis-based student, both master's and doctoral, should be appointed as soon as the student arrives to begin their program of studies. If this is not possible, an interim academic advisor should be appointed by the department.

The interim academic advisor or the graduate coordinator will be responsible for completing the Supervisor-Student Guidelines with the student in instances where a supervisor has not yet been appointed after the student's first 12 months in their program.

Supervisor(s) must be appointed within the first 12 months of the student's program following the procedures approved by the Dean of the department's Faculty and submitted to FGSR.

Responsibilities Related to Supervision

The supervisor is directly responsible for the supervision of the student's program. Refer to [Responsibilities Related to Graduate Programs](#) for further regulations.

Completion of the Supervisor-Student Guidelines

All students registered in a thesis-based program are required to meet with their supervisor (assigned at admission or with a interim academic advisor or the graduate coordinator if one has not yet been assigned - see [Timeline for the Appointment of Supervisors](#)) to complete the Supervisor-Student Guidelines as soon as possible after registration in the first academic term but no later than the submission of the first Progress Report, which is due in FGSR within 12 months from the student's program start date.

If there is a change in supervisor at any point in a student's program of study, the guidelines will be completed anew in accordance with the timeline noted.

Completion of the guidelines is required. In instances where the Supervisor-Student Guidelines are not submitted within the first 12 months from the student's program start date, the student's registration in subsequent terms will be restricted as a last resort and temporarily so as to determine a plan for completion. In these unlikely instances, FGSR will assist the student and supervisor(s) in the completion of the guidelines and remove registration restrictions immediately. Note: both the student and supervisor(s) will receive reminders to complete the guidelines in advance of any deadlines, allowing for inquiries to assist or to set out an alternate completion deadline.

	<p><u>If changes to the content of the Supervisor-Student Guidelines are made or required, these changes will be recorded on the student's Progress Report indicating both parties have discussed and mutually agreed to them.</u></p> <p>Progress Report <u>Student progress in thesis-based programs will be reported at least once annually to the Faculty of Graduate Studies and Research using the standardized Progress Report form. Progress reports are due in FGSR at minimum once every 12 months of the student's original program start date. The progress report form should be filled out during the annual meeting required for all PhD students. Master's thesis-based students also require at least one progress report completed within a full academic year.</u></p> <p><u>Completion of the progress report is required. In instances where the progress report is not submitted at least once within a 12 month period, the student's registration in subsequent terms will be restricted as a last resort and temporarily so as to determine a plan for completion. In these unlikely instances, FGSR will assist the student and supervisor(s) in the completion of the progress report and remove registration restrictions immediately. Note: both the student and supervisor(s) will receive reminders to complete the progress report in advance of any deadlines, allowing for inquiries to assist or to set out an alternate completion deadline.</u></p> <p><u>In instances where more detailed monitoring of a student's academic standing may be required, a progress report form may be filled more than once annually; however, only one (1) progress report may be submitted every four (4) months.</u></p> <p><u>A student who receives two (2) consecutive evaluations of "in need of improvement" or one (1) "unsatisfactory" rating will normally be required to withdraw from their program and FGSR on the recommendation of the Associate Chair (grad) within their academic department and/or the Department Chair to the Dean of FGSR.</u></p>
<p>Justification: Approved by:</p>	

2-01 North Power Plant (NPP)
11312 - 89 Avenue NW
Edmonton, Alberta, Canada T6G 2N2
Tel: 780.492.0459
www.uab.ca/reo

June 29, 2021

Dr Brooke Milne, Dean
Faculty of Graduate Studies
University of Alberta
VIA EMAIL

Dear Dr. Milne:

Re: Faculty of Graduate Studies & Research (FGSR) Graduate Supervisory Initiatives

I am writing on behalf of the Research Ethics Boards and the Animal Care and Use Committees administered by my office to add our support to the Faculty's proposed Graduate Supervisory Initiatives, which will be presented for approval at an upcoming meeting of General Faculties Council, including the:

1. FGSR Adjunct Academic Appointment and Graduate Student Supervision Policy & Graduate Student Supervision Development Procedure,
2. Student-Supervisor Guidelines, and
3. Progress Report.

The Research Ethics Office provides review processes for all human participant research conducted by university staff and students, from minimal risk interviews to regulated clinical trials, as well as all research, teaching and testing involving animals. Of the 5,600 active studies we currently oversee, there are very few that do not involve students whether as principal investigators, co-investigators or members of the study team.

Graduate Student Supervision Policy and Graduate Student Supervision Development

Between 25-30% of all new ethics applications received by the Research Ethics Boards are for student research projects. Student research is typically time sensitive and efficient ethics approval requires coordinated action by the student and the supervisor. Depending when and where the supervisors were trained, they are often not familiar with current research ethics requirements and may provide poor direction to their students. As a result, these ethics applications go through several rounds of revision and re-submission, which adds to the reviewers' burden, triggers knock-on effects for all other ethics applications and holds up the students' research. In all too many cases, both ethics approval and research are delayed because supervisors simply fail to fulfill their obligations and rely on the review committees to do their work for them.

We see similar problems with student research involving animal use. Approved animal use protocols detail what will happen to the animals, when and how, and who will perform the work.

Depending on the research group, students may not have access to complete or current protocols. They may not receive adequate orientation, training or supervision to their work with animals. This leads to animal welfare issues and protocol non-compliance. In the worst cases, supervisors have told their students to conduct research (human and animal) without ethics approval and correcting these breaches is extraordinarily difficult and time consuming for the students, the supervisor, the academic units and my office.

Looking beyond research ethics requirements, over the past 15 years I have seen an increase in problems related to research data management (ownership, access and use) related to course-based research as well as graduate student research, often when it is part of a larger program of study led by the supervisor. The obligations imposed by provincial legislation, the [Tri-Agency Research Data Management Policy \(2021\)](#) and respectful research with Indigenous communities, as well as the core principles of research ethics should be addressed in student research plans well before they apply for ethics approval. If supervisors and students have a better, shared understanding of these requirements, as well as human and animal research ethics requirements, then both student projects and faculty research will proceed more smoothly. Importantly, valuable time and resources (faculty, student and administrative) will not be wasted on pounds of cure for problems that might be better addressed by an ounce of prevention.

Progress Report

When these initiatives were discussed at the June 7, 2021 GFC meeting, much of the criticism focused on the progress reports. Some members suggested these were an unacceptable administrative burden. Others observed individual supervisors and departments already had their own progress reports so an institutional solution was not needed. The latter comments suggest, in fact, this is a reasonable and useful practice that many supervisors have already adopted and that both students and supervisors benefit from these reports. To the question of burden, budget cuts and staff reductions mean that the university must move to standardized institutional processes and practices wherever possible. We simply cannot afford to maintain the current variety of reporting forms and practices. Although there may be some adjustments to the new e-form, standardized progress reports will also save staff and student time through consistent record keeping and reporting as well as early identification and intervention for problems.

As the proposal clearly outlines, most supervisors are effective and engaged, including the faculty members who volunteer on our ethics committees. However, this should not be an argument for the *status quo*. Instead, it should prompt us to question the exceptions and to look for ways to improve the student-supervisor relationship wherever possible. Although this proposal focuses on graduate students, the benefits will accrue to supervisor interactions with undergraduate students and post-doctoral fellows as well. Finally, these initiatives align with [proposed revisions](#) to the [Tri-Agency Framework for the Responsible Conduct of Research](#), which underpins our [Research and Scholarship Integrity Policy](#). The Panel for the Responsible Conduct of Research, coincidentally chaired by one of our faculty members, recently proposed the addition of a new responsibility for researchers and a corresponding responsibility for institutions that are worth quoting in full.

Appropriate oversight, training and fair treatment in the conduct of research: *Researchers should familiarize themselves with principles of responsible conduct of research and foster the application of these principles in their research environment. Researchers with supervisory roles should provide adequate oversight of, and training to, their trainees and staff in responsible conduct of research. Fair treatment in peer review, in performance assessment and in resolving intellectual disagreements, is essential for a healthy research environment.*

Rationale: Although institutions may already have separate policies that address academic supervision there are elements to supervision in the context of research that are distinct and should be considered an integral part of any RCR policy. This proposed new responsibility clearly demonstrates that responsible supervision and promotion of a healthy research environment are elements of responsible research conduct. Incorporating responsibilities related to fostering a culture of RCR, providing appropriate oversight and ensuring fair treatment into the RCR Framework would allow institutions to conduct inquiries and investigations, and for the Agencies to potentially impose a recourse, when these issues have the potential to negatively impact that quality of research conducted under their auspices.

Ensuring that their researchers comply with institutional policies that may impact the responsible conduct of research, in particular those policies that relate to providing appropriate oversight, adequate training, and fair treatment to individuals in their research team. Institutions should also be proactive in supporting a healthy research environment.

Rationale: This is a new institutional responsibility for fostering a culture of responsible conduct of research and for ensuring appropriate oversight and fair treatment in research. This addition will give institutions clearer authority to conduct inquiries and investigations when these issues have the potential to negatively impact that quality of research.

In summary, the Research Ethics Office supports these initiatives for two reasons. Clear and shared understanding of research requirements for students and supervisors will enable us to focus on early identification and resolution of problems. The healthier our research environment is, the more time all students and faculty will for scholarship, which enhances all our work.

Yours truly,



Susan Babcock
Director

/seb

Dear Colleagues of the University of Alberta,

I write this letter on behalf of the 2020-21 Graduate Students' Association Executive in support of the Faculty of Graduate Studies and Research's supervisory initiatives. The proposed mechanisms of graduate program oversight are welcome developments which faithfully recognize the concerns raised over a decade of advocacy from the GSA. As you are all aware the issue of student-supervisory relationships has been a longstanding priority for our association, and while we acknowledge that most supervisory relationships on campus are positive, there are still many cases of communication breakdown, neglect, and abuse which need to be documented, addressed, or better yet prevented.

From my perspective, the power and information asymmetry between a new graduate student and their supervisor can make necessary conversations difficult. When matters regarding the professional relationship are not properly addressed, including expectations around working hours, communication guidelines, funding, and so on, this can lead to tensions with potential to bring about animosity. I agree with the assessment that if these topics were part of a mandatory, institutional-level reporting process a significant number of these reported issues would be preventable. Given the requirements for tracking graduate student progress are outlined in the University Calendar, it follows that a unified approach is appropriate.

As per my previous statements at tables across campus, the current approach to assisting graduate students facing supervisory issues is inadequate, and not due to the efforts of the many units who contend with these issues. The problem is structural, as for a graduate student to raise a formalized complaint requires them to out themselves in a manner that poses significant risk to their studies and future academic career, especially in cases of malicious abuse by a supervisor. Typically, this results in the student choosing to keep their complaint anonymous, and they graduate or drop out with no resolution. Every time this cycle repeats, we allow for real harm, waste valuable time, and lose a potential advocate for our university.

The lack of a formalized progress tracking system lends itself to a "their word/your word" situation during conflicts, in which the faculty member disproportionately benefits. To reiterate, clear expectations and standardized reporting can shift the burden off the student to prove they are a teachable, productive trainee, and they can focus on their studies which then leads to the production of further positive records. It goes without saying this works *vice versa* given that this is common practice

through standard disciplinary measures for any student who is not meeting the minimum requirements of their program.

While I am personally aware of roughly a dozen cases of graduate student-supervisory conflicts, ranging from miscommunication, neglect, to outright abuse, I cannot share any of the accounts publicly. When I ask my colleagues if I can share their de-identified experiences, the answer always returns as no, with concerns that they will be found out and retaliated against for sharing their experiences. I believe this speaks to a deep-rooted culture of fear perpetuated in corners of the academy, which if left unchecked, will continue to levy an unconscionable human toll. Once we have reached the point that even anonymous accounts cease to be provided, we have crossed into truly dangerous territory as an institution.

During my tenure as GSA President, I had the privilege of watching the development of FGSR's proposal, from the numerous consultations across the University of Alberta, to the extensive research of comparable procedures at fellow Canadian U15 institutions, and the demonstrations of the essentially complete IT reporting platform. The good-faith effort made to develop tools and procedures that both address the long-standing asks of the GSA and support academic units on campus is remarkable, and I believe the result is a fair balance between accountability, flexibility, standardization, and transparency.

Ultimately, the goal is not to develop punitive, reactionary measures that will further burden faculty members and administrative staff. Rather, the approach recommended here will alleviate workloads for many on campus, ensure institutional requirements are met, and markedly improve the aggregate supervisory quality on campus. To this end, the collaboration of exemplary supervisors on campus will be critical, as their guidance and leadership will be necessary to see that these efforts are fruitful. I believe that the collegial, humane instinct will triumph in the end.

If there are any questions, I believe the current GSA Representatives are equipped to speak to the matter and can contact me for any further comment or clarifications.

Kind regards,

A handwritten signature in black ink, appearing to read 'Marc Waddingham', with a stylized flourish at the end.

Marc Waddingham

GSA President (2020 – 2021)

25-05-2021

To: Chairs and Associate Chairs of Graduate Studies
Faculty of Science

Dr. Brooke Milne
Vice-Provost and Dean of FGSR

Dr. Matina Kalcounis-Rueppell
Dean of Science

We are writing on behalf of the Science Graduate Student Associations' Council which collectively represents over 1200 graduate students over seven departments in **strong support of the proposed FGSR Graduate Supervisory Excellence Initiative and Academic Membership program**. As a council of research-based graduate students, we have collectively bore witness to the deleterious effects of supervisory mismanagement in our peer group. We acknowledge that many supervisory relationships are exemplary; however, **roughly 22% of PhD students at the University of Alberta found the quality of mentorship unsatisfactory** (CGPSS 2019, in Supervisory Initiatives Package). If the University of Alberta hopes to continue growing its international reputation for high standards of research, priority should be given to actively creating a space in which students can thrive.

We understand that while this initiative may be viewed as an additional burden to supervisors, it would be an essential component for the graduate program at UAlberta, closer aligning us with expectations for conduct and research already in place at other U15 Institutions.

We feel current administrative structures at the University of Alberta leave graduate students susceptible to neglect and exploitation by their supervisors. Standardization of expectations across campus provides a minimum standard of supervision that protects the most vulnerable students. The proposed initiative will also streamline existing Annual Report submission, eliminating administrative demands at the departmental level. It would also facilitate faster response times to conflicts via the inclusion of a confidential reporting system within the Annual Report which allows for students to disclose any supervisory issues to a neutral/external third party (FGSR). We laud the inclusion of this confidential reporting structure, as faculty and administration are often unaware of the reasons students struggle with their research, and default to attributing under-performance to student-based deficits. This leaves common institution-based drivers un-addressed (for review, see [Sverdlik et al., International Journal of Doctoral Studies, 2018](#)). Departments are therefore unlikely to effectively detect internal stress points or address recurring problem behaviours in the student-supervisor relationship. The proposed Supervisory Initiative will build a culture of accountability within departments and the supervisor-student guidelines, established at the beginning of the degree, will increase the transparency of expectations from both parties.

We also support the inclusion of training modules available across departments. At present, onboarding of faculty is frequently left up to individual departments, which may not have sufficient resources to ease the transition to supervisor. Mandatory training for new faculty will ensure new supervisors have the relevant skills necessary to effectively and efficiently mentor graduate students through their studies. While this training is not being mandated for existing Faculty, centralized training available through the FGSR will allow for rapid response in cases where additional training is deemed necessary by Student-Supervisor conflicts.

We thank you for considering our letter of support for the FGSR Supervisory Initiatives and Academic Membership program. By providing consistent guidelines, comprehensive resources, and ongoing training through the Supervisory Initiatives, the FGSR may begin to ameliorate the pervasive mental health, discrimination and harassment problems that accompany academia (see [Nature Editorial, 2019](#)). We hope that by implementing the proposed initiatives we will see greater student retention through their degree programs, an increase in student wellbeing, and improvements in the quality and output rate of research. While we support the Student/Supervisor Initiatives as proposed by the FGSR, we feel strongly that it could do more to fully align us with the standards of supervision and accountability expected of other U15 Institutions. Below, we propose further improvements to the UAlberta initiative, both novel and incorporating structures from other U15 institutions.

Should you have any questions regarding the contents of the letter, please contact sgsac@ualberta.ca.

Regards,

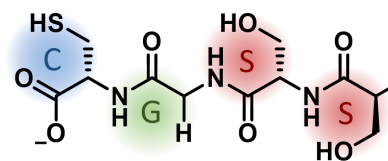


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BGSA

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February 22, 2021

Dear Dr. Milne,

The Office of the Student Ombuds sees up to 400 graduate students annually; over 60% of their concerns are framed as conflict with their supervisors. We believe that the majority of these conflicts are tied to perceptions of relational and equitable unfairness and could be resolved by early intervention. Too often we see students hastily changing their supervisors or leaving their programs, damaging chances to recover their academic future. The repercussions of lack of early intervention include long-term damage to physical and mental health well-being, financial loss, family disruption, etc. The impact on international graduate students is exacerbated by cultural and linguistic miscommunication. We also recognize the toll on the supervisor-mentor, including time lost on projects, the loss of a future colleague and loss of funding that have been invested in the work the student was undertaking. The reputational damage to all parties, including the University, is considerable.

For several years, the OSO has worked collaboratively with FGSR, the GSA and others to help graduate students with supervisor concerns on an ad hoc basis. However, we know the necessary resources are there to restore relationships if we start with earlier, informal modes and strategies of intervention.

We therefore support FGSR in its Supervisory Initiatives and offer our expertise and support to rebuild supervisory relationships which we believe will help to reduce, if not eliminate, the negative repercussions of conflicts in these relationships. We believe that the University of Alberta has the capacity to provide leadership on best practices in maintaining healthy supervisor relationships.

Our staff: Dr. Brent Epperson, Graduate Ombudsperson (on leave), Remonia Stoddart-Morrison (PhD Candidate), interim Graduate Ombudsperson, Veronica Taylor, Graduate Ombuds Intern, and Natalie Sharpe (Director), look forward to contributing to this initiative.

Sincerely,

Natalie Sharpe, B.A. (Hon), M.A.
Director, Office of the Student Ombuds
University of Alberta

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March 1, 2021

To: Dr. Brooke Milne, Dean, Faculty of Graduate Studies and Research

From: Donnell Willis, Advisor, Office of Safe Disclosure and Human Rights

Re: Letter of Support for FGSR Supervisory Initiatives

The Office of Safe Disclosure and Human Rights (OSDHR) provides this letter in support of the Faculty of Graduate Studies and Research (FGSR) Supervisory Initiatives, including the introduction of academic membership and training, student-supervisor guidelines, and progress reports.

OSDHR's mandate is to provide a safe, confidential, and neutral space for any university community member to disclose concerns of any potential wrongdoing, including but not limited to discrimination and harassment. Unfortunately, OSDHR receives a high number of disclosures pertaining to concerns between graduate students and supervisors.

Disclosures received by the OSDHR office include allegations of:

- Non-equitable practices of choosing graduate students, leading to further exclusion of under-represented, marginalized, or racialized students
- Miscommunication between student and supervisor, often leading to:
 - Break-down of supervisory/interpersonal relationship(s)
 - Unclear expectations regarding hours of work, lab time, or scheduling
- Intellectual proprietorship regarding research and data
- Harassment, including bullying
- Sexual harassment and/or sexual assault of graduate students by their supervisor
- Discrimination, on the basis of protected grounds covered under the Discrimination, Harassment and Duty to Accommodate (DHDA) policy. Discrimination also includes the failure to accommodate graduate students.
 - For example, graduate students have disclosed that they have not been accommodated on the basis of gender-pregnancy, mental disability, physical disability, and/or religious beliefs.

It is crucial to realize the importance of the supervisory relationship between a supervisor and graduate student. A graduate student's likelihood of succeeding in their program and research, is largely dependent on the relationship, mentorship, and guidance from their supervisor. Given these factors, it must be recognized that there is a significant power dynamic within a supervisory relationship.

The supervisory initiatives led by FGSR will help create a more equitable and positive environment for both faculty and students. Academic membership and training, student-supervisor guidelines, and progress reports will provide clearer expectations for both parties. The supervisory initiatives will enable the University to respond more proactively, which will minimize harm to either party, through early intervention mechanisms.

OSDHR is fully supportive of this initiative, and encourages that it be implemented to all faculty members, not just new faculty members, or that it be adopted as best practices/culturally required training. Ideally, these supervisory initiatives will decrease the number of disclosures OSDHR receives regarding supervisor relationships.

Sincerely,

Donnell Willis

March 1, 2021

Dear Colleagues in Graduate Administration,

This letter is to share my strong support for FGSR's Supervisory initiatives, particularly the Academic Membership in FGSR for all faculty eligible to supervise graduate students. I write this to you as a former Associate Dean for the Faculty of Graduate Studies from 2016-2019 who held the portfolio on graduate student supervision, and who authored a report in 2014 as the University of Alberta Provost's Fellow entitled, "The Quality of Graduate Student Supervision and Post-Doctoral Supervision at the University of Alberta." I also co-created, along with current Associate Dean Victoria Ruetalo, the podcasts on graduate student supervision. Both these podcasts and the supervision report are available for supervisory training resources through FGSR today (<https://www.ualberta.ca/graduate-studies/about/resources-for-faculty-and-staff/resources-for-supervisors/index.html>).

One of the most outstanding strengths of the University of Alberta is its research productivity and impact. Graduate students are a large part of that productivity and impact. Most graduate students come to the University of Alberta with great ideas, career hopes, and an earnest willingness to work hard to complete their degrees. A key element of their success, and a professor's success with their research program, is the nature of the supervisory relationship. In my three years at FGSR I witnessed brilliant co-production of knowledge and creative works between supervisors and graduate students, and life-altering disasters because of poor relationships between supervisors and graduate students. Not only students suffer when there is acrimony or disappointment in a supervisor-student relationship, professors suffer as well. A culture of secrecy and shame often allows these relationships to fester or dissolve, with unhappy resolutions. Professors generally have no training around how to supervise graduate students when they start their positions, nor on-going training on how to manage a group of people on both individual and collective projects. Higher education institutions can do more to support these critically important relationships.

The Supervisory Initiatives FGSR is proposing helps set up both supervisors and students for success, recognizing that to supervise students, and hold such enormous influence over their success during their graduate education at the University of Alberta, is a privilege and opportunity. The training FGSR provides tips, exercises, recommend practices, and avenues for problem-solving to celebrate the role of the supervisor as a responsible and wise supervisor. The training offered is not a "one size fits all" approach, but recognizes both supervisors and students as whole persons in different disciplines with varied backgrounds. As now a Dean, overseeing five graduate programs in my faculty, I can attest to the need for a formal way to proactively support a positive supervisory culture on campus that sets out accountabilities and responsibilities for both students and supervisors, and their working relationship.

Respectfully,



Naomi Krogman
Dean, Faculty of Environment

To Whom It May Concern,

Please accept these letters of support for all of the Faculty of Graduate Studies and Research's current proposed initiatives aimed at addressing long-standing issues in graduate student supervision at the University of Alberta. These letters demonstrate that ongoing systematic issues in graduate student supervision have been of principal concern to the graduate student population for many years. The Graduate Students' Association's advocacy on this issue year-after-year shows that the issue has not whatsoever been addressed in a satisfactory manner up to this point. We hope that the accompanying letters will help others to understand the severity of this issue and the importance of FGSR's ongoing work in this area.

Yours Sincerely,

The past executives of the Graduate Students' Association

To Whom It May Concern,

The supervisory relationship is the most important relationship a graduate student has while at the UofA. The student-supervisory relationships underpin the working conditions and overall experience of graduate students. Despite the importance of the student-supervisory relationship, the UofA has a history of wide-scale supervisory issues that have gone largely unaddressed by the institution.

The GSA has records dating back many years regarding severe issues in supervisory relationships. Documented concerns arising from supervisory relationships are diverse. The most concerning have been cases of harassment, discrimination, and abuse experienced by students. These records were—unsurprisingly—accompanied by records of actions taken by the GSA to attempt to resolve these issues at the individual student level while advocating for systemic institutional change. In particular, the GSA has continued to raise that no accountability mechanisms exist to prevent recurring problematic concerns within supervisory relationships.

Throughout our term, we brought this issue to the attention of countless committees—including as a discussion item at the highest governing body at the U of A: the Board of Governors (Board Human Resources and Compensation committee & Board Learning, Research and Student Experience committee). As we advocated on this issue, we encountered knowing glances of other members of the university community in a privileged enough position to have been witness to what can only be adequately described as the grotesque atrocities that have been perpetrated on our university's grounds. Despite the reputational and institutional risks, these members of the university community have been complacent to a longstanding problem while allowing the UofA to become an outlier among U15 institutions when it comes to institutional measures to support supervisory excellence.

Dr. Brooke Milne and the FGSR leadership team have taken what we believe to be the necessary steps to address these issues and bring forward mechanisms that align with best practices in graduate education. The critical work that FGSR is doing in that regard is one step forward to compete with other institutions that have been for long addressing the student-supervisor issues. For example, the U of C has issued what is known as the U of C Graduate Student Supervision Policy to ensure productive relationships between students and their supervisors as well as to have accountability mechanisms in place.

We sincerely believe that the continuation of widespread issues in graduate supervision at the university presents a real and present threat to the institution and everyone affiliated with it. To those that have seen the scale of this issue, this risk of this is all too obvious.

We—as veterans of this line of advocacy—believe that the proposed initiatives are imperative actions that must be adopted. FGSR and these tools are the U of A's best shot at avoiding catastrophe and to begin to end a pervasive culture of tolerating problematic behaviour.

Yours Sincerely,

Fahed Elian (GSA President 2019-2020)

Dylan Ashley (GSA Vice-President Academic 2019-2020)

Chantal Labonté (GSA Vice-President Student Services 2019-2020)

To Whom It May Concern,

With this letter, we would like to offer our support for the proposed reforms currently presented by the FGSR to foster an environment of excellence in graduate supervision at the University of Alberta.

The close interpersonal relationships supervisors and graduate students need to navigate are fragile, especially when it comes to cross-cultural communication. One particularly memorable case from our cohort was a student that came to the GSA to disclose that their supervisor had requested them to perform a task, but their workload was already heavy. It was clear that the student felt uncomfortable saying no to their supervisor, afraid of the potential consequences. The GSA supported the student in providing feedback by email communication to the supervisor, explaining the situation and politely saying no. It became clear later on, that the supervisor had actually been very satisfied with the performance of the student and therefore requested them to do more. However, they were unaware of the cross-cultural differences and the fact that the student, who had a different nationality, would feel uncomfortable setting boundaries if their superior would request an extra task to be performed. This, unintentionally, created stress for the student and tension within the relationship.

In the above-described situation, the case was resolved in a positive manner and the supervisor was receptive to the communication of the student, relieving the tension. However, often students come to the GSA when tensions have already arisen in a conflict or beyond. It has become apparent that the problematic supervisory issues involve a minority of academic staff who are resistant to guidance on their supervisory practices. Despite intervention at all levels of university governance, this causes repeated problems for multiple students, meanwhile the individual supervisors are able to continue recruiting students despite their demonstrated incompetence as mentors.

The reforms proposed by FGSR would provide additional incentives for supervisors with a problematic record to improve their behaviour. It would prevent these individuals from reflecting poorly on their colleagues and on the generally excellent standard of supervision at the University of Alberta. In addition, with proposed training, supervisors can identify and navigate cross-cultural differences and adapt their communication and expectations accordingly. This would prevent a large number of the cases seen by GSA executives on a yearly basis. Therefore, we hope you will support the presented changes to solve the current issues and foster excellence in supervision at the University of Alberta.

Yours Sincerely,

Sasha van der Klein (GSA President 2018-2019)

Beth Richardson (GSA Vice-President Labour 2018-2019)

To Whom It May Concern,

With this letter, the 2017-2018 GSA President and VP Labour would like to support the proposed changes by FGSR, particularly the components that can address processes for students to resolve conflicts with their supervisor.

Up to now, only two routes have been available to students; either an Article 16 complaint under the Faculty Collective Agreement, or, in case a student is also employed as a Graduate Assistant, a grievance under the GSA Collective Agreement. Both processes take a long time to resolve and often requires students to disclose their identity. For many students, this is impossible, as the ramifications of possible retaliation are higher stakes than the need to resolve the conflict. The power-imbalance between student and supervisor and the role of the academic lifeline a supervisor plays in a graduate student's academic career are the undeniable cause of students unwillingness to address even the most heartbreaking problems. It is common knowledge within the GSA Executive team and our professional management, that grievances under the current Collective Agreements are not a useful tool in either preventing or resolving issues.

Only once in the past decade has a graduate student put forward a grievance under the GSA Collective Agreement based on supervisory issues. Although the grievance was started in the 2014-2015 cohort, only during our academic year was the case concluded, when the student had already left the university several years earlier due to the conflict. As was expected, the grievance process dragged on for a long time and the case was carried over between many executives. Our cohort learned in 2018 that the final conclusion of the case was unsatisfactory and still damaging for both parties. The current proposed Supervisory Initiatives, including Faculty of Graduate Studies and Research Academic Membership, will provide a solid structure for preventing the above-described situations and provide tools to resolve recurring issues in a better manner.

In the history of graduate supervision, the Graduate Students' Association has advocated for improved quality of supervision at the University of Alberta and supported graduate students who are victims of supervisory negligence or abuse. Systemic issues have been carried over from one Executive to the other, often without satisfactory solutions for the root cause of the problem. Herewith, the 2017-2018 GSA Executive would like to stress the importance of addressing the cause, support the current presented solutions, and commend the leadership of FGSR for striving towards becoming a champion in supervisory excellence in the academic world.

Yours Sincerely,

Babak Soltania (GSA President 2017-2018)

Sasha van der Klein (GSA Vice-President Labour 2017-2018)

To Whom It May Concern,

With this letter, we would like to support the current FGSR Supervisory Initiatives by highlighting some examples of the caseload on supervisory issues of the 2016-2017 term. One case was particularly memorable, where multiple individual students came forward separately, all with similar stories about their supervisor's behaviour. The stories ranged in level of severity, but amongst others, the following situations were described:

- Performing physical labour unrelated to their project or their laboratory projects, without proper safety gear or working conditions
- Intrusion to privacy of students by installing cameras in office areas
- Financial retaliation on performance
- Prolonging examination without just cause, either candidacy or final exam
- Intentionally setting students up against each other, creating tension, unhealthy competition, and distrust within the group
- Disrespectful communication, both verbally and in writing

In this specific example, the Office of the Provost and the GSA worked together diligently to try to resolve these issues either on an individual basis or collectively. Unfortunately, only a few of our efforts were successful, where it pertained to potential legal risk. Some students transferred to other supervisors, restarting their program from scratch, others were able to graduate after the involvement of the Department Chair and Faculty Dean, but lost their most important reference for their career after graduation. Yet, no tools were available to prevent new students from joining the laboratory group and it is expected that the GSA and the Office of the Provost may need to intervene again in years to come.

In the narrative of supervisory concerns, often the phrase has been used 'bad apples will always exist'. This is factually correct, however, neither FGSR nor the U of A currently has the right tools to remove or reduce the harm caused by these supervisors, and graduate students continue to become victims of such individuals. The proposed FGSR academic membership and training program for supervisors could provide a tool to ensure supervisors continue to grow and learn throughout their careers to meet the current needs of their students. In addition, it also ensures restrictions and training for poor supervisors, or even removal of their supervisory privileges which would prevent new graduate students from facing similar distressing, disturbing, or even abusive experiences as their predecessors, and protects the reputation of the University.

Yours Sincerely,

Sarah Ficko (GSA President 2016-2017)

Sasha van der Klein (GSA Vice-President Labour 2016-2017)

To Whom It May Concern,

The student-supervisor relationship is perhaps the most critical component of a thesis-based graduate program. A good supervisor facilitates their students' academic learning and guides the scholarly output required for their degree program. Supervisors also mentor their students as junior colleagues, helping them to explore and develop their personal and professional goals, often even beyond the end of the student's program.

While the consequences of poor supervision are, by now, well-known, their familiarity only makes the existence of such supervision more grotesque. For example, within our year in office, the GSA filed a labour grievance on behalf of a student for the first time under the GSA's Collective Agreement. However, the grievance was not resolved for three years, leaving the student with no option but to leave their program, which also put their immigration status in Canada at risk. We dealt with another case of a supervisor exhibiting stalking behaviour, and still others where inappropriate expectations rooted in cultural differences were placed upon students. We helped multiple students in a single research group who, because their supervisor failed to edit their work in a timely manner and repeatedly changed expectations, took more than eight years to graduate.

But perhaps the most concerning cases were those which never happened. Numerous students used the GSA as a sort of safety valve, confiding to our organization numerous stories of unprofessional supervisory behaviour. These included situations involving sexual coercion and threats of academic, professional, and personal consequences. But despite the seriousness of these stories, the students did not wish to file formal complaints. They were too afraid of possible repercussions from their supervisor.

This is not to say that poor supervisors are bad people. Often, they do not realize how their words, actions, or expectations may be perceived by their students; what seems of little consequence to someone in authority can seem of existential importance to those whose future depends on that authority. Even the very best supervisors can benefit from additional training, and it is important to remember that most new faculty members are only recently removed from being Ph.D. students and postdoctoral researchers themselves. The skills necessary to succeed in those roles are not necessarily the same as those required to be an outstanding supervisor and mentor.

This is why GSA has consistently advocated for supervisors to maintain membership in a supervisory college. As part of this, new faculty members would be expected to partake in a training program, to ensure they have the skills, tools, and knowledge necessary to be effective supervisors and mentors, and to ensure their groups are run in accordance with the University of Alberta's policies, philosophies, and expectations.

To this end, the FGSR created a non-mandatory Mentorship Academy in 2017, and then released a Supervisory Guide in 2018 to highlight best practices. We are pleased to see FGSR now taking the next step by instituting a formal Supervisory and Training Membership program. We understand that many faculty members may see this as an encroachment on their academic freedom. Instead, we see it as an opportunity for them to become even better equipped in their mission of uplifting the whole people.

Yours Sincerely,

Colin More (GSA President 2015-2016)

Sarah Ficko (GSA Vice-President Labour 2015-2016)

To Whom It May Concern,

We are writing to express our strong support for the Faculty of Graduate Studies and Research's proposed initiatives to address ongoing issues in graduate student supervision at the University of Alberta. High-quality supervision and mentorship are essential to the success of a graduate student. While the vast majority of graduate supervisors take their roles seriously and work with professionalism and dedication to help graduate students succeed, every year the GSA sees cases of neglect and unethical behaviour. The worst cases involve discrimination as well as instances of personal, physical, sexual, and psychological harassment. GSA records showed that these problems preceded our time at the GSA. We regrettably had to handle them during our terms, and we know from the attached letters of our GSA colleagues that they continued. Despite the consistent advocacy of the GSA on the issue, as well as the hard work of FGSR, the Dean of Students Office, the Office of the Student Ombuds, the Office of Safe Disclosure and Human Rights, University of Alberta International, and others in complex individual cases, the issue persists because there are inadequate accountability mechanisms to deal with problematic supervisors.

During our term, we raised the issue to FGSR, the Office of the Provost, the Office of the President, and the Board of Governors. While there were positive outcomes in individual cases—some supervisors accepted constructive criticism and changed behaviours, other students transferred to new supervisors and successfully completed degrees—others sadly withdrew from programs or switched from PhD to masters programs to secure quicker exits from abusive supervisory relationships. Each of those unresolved cases is a loss for the student, the institution, and the academy. Each case is a story of broken dreams, wasted resources, a damaged institutional reputation, and an abuser emboldened by the lack of consequences. Some students reported lasting effects on their physical and mental health. The time has come to take responsibility for the institutional shortcomings that allow these enduring problems.

In the current context, labour grievances are incredibly rare. While students consider the option, they often decide not to follow through when faced with the complexity and timelines. Similarly, Article 7 (formally Article 16) complaints occur, but the process is incredibly slow and difficult to navigate. With decisions taking many months or even years, the formal article complaint process is often not a reasonable option for graduate students in time-limited programs who face financial and other constraints. The current Supervisory Initiatives that Dean Milne and FGSR propose, including Academic Membership in the Faculty of Graduate Studies and Research, will establish a new framework to address cases of neglectful or abusive graduate supervision and provide much-needed tools to resolve these issues earlier and more effectively.

Thank you for your consideration.

Yours Sincerely,

Brent Epperson (GSA President, 2013 - 2014; GSA VP Labour, 2012 - 2013)

Monty Bal (GSA VP Labour, 2013 - 2015)