PREAMBLE

● In 2015, the Faculty of Graduate Studies and Research (FGSR) introduced a “check-list” of topics that supervisors and their graduate students were meant to discuss at their first meeting. The check-list was intended to provide a mechanism where both parties could establish clarity and agreement on the respective roles and obligations that would structure the course of their academic relationship at the University of Alberta.

● This form formalizes the FGSR check-list and provides a standardized framework for discussion between all supervisors and graduate students who are registered in a thesis program. The resulting document is intended to govern the supervisor-student academic relationship, and to initiate, promote, and sustain a positive, professional, and ultimately successful supervisor-student relationship. This form and the information recorded therein may be revisited at any stage of the student’s graduate program to accommodate changes, should they arise.

● The supervisor is the student’s main point of contact at the University of Alberta, and is responsible for supervising the student’s program of study. As such, the supervisor is expected to be familiar with the regulations governing the student’s specific program of study as well as FGSR regulations governing graduate education, more broadly. This form does not replace official University of Alberta statements of policy and procedure.

● The supervisor-student relationship is unique and establishes opportunities to guide and mentor students as they engage in advanced academic learning. Supervisors and students must arrive at jointly acceptable terms to establish their relationship. A supervisor-student relationship may not be terminated without written notification and explanation to the Associate Chair (graduate) within the department and to the Dean of FGSR.

● The Supervisor and the student must review each of the points listed below and must check off each box to confirm that the items have been discussed and confirm they have arrived at a shared understanding of each item. For students who enter their program with an assigned supervisor or who have an interim assigned supervisor, the form should be completed within the first term of study and no later than the submission of the first annual progress report due in FGSR by June 30. If there is a change in supervisor at any point in a student’s program of study, the form will be completed anew in accordance with the timeline noted.

● Copies of these signed guidelines will be accessible by departments and FGSR through the EDRMS system. Completion of the form is mandatory. Failure to submit the completed form to the FGSR by June 30, will result in the student’s registration being blocked until the matter is resolved.

● If students or Supervisors have any questions or concerns regarding their graduate program or this form, advice may be sought from the Associate Chair (Graduate), Department Chair, the Office of the Student Ombuds, the Faculty of Graduate Studies and Research, or the Graduate Students’ Association.

● The Faculty of Graduate Studies and Research plays an active role in the development of a successful supervisor-student relationship. Please visit the Faculty’s website (https://www.ualberta.ca/graduate-studies) to find more information for both supervisors and students.
The Student and Supervisor have reviewed and understand these guidelines.

By checking this box you agree that you have read and understood this form, and that the information provided within is true and accurate to the best of your knowledge.

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<th>Supervisor</th>
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<td>Supervisor Signature:</td>
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<td>Date: (dd/mm/yy)</td>
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<th>Student</th>
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<td>Student Signature:</td>
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Part 1 | Supervisor and Student

a. The Supervisor listed above (the “Supervisor”) is a member of the Faculty of Graduate Studies and Research and may supervise graduate Students in the department of ______________________________ at the University of Alberta and agrees to supervise the graduate program of the Student named above.

b. The student listed above (the “Student”) is registered in the Faculty of Graduate Studies and Research, studying in the department of ______________________________ at the University of Alberta and wishes to carry out a graduate program under the supervision of the above named Supervisor.

Part 2 | General Roles and Responsibilities

2.1 The Supervisor

The supervisor must be aware of the inherent power imbalance in the academic relationship they have with their student(s). The supervisor is expected to behave professionally, communicate appropriately, and to provide a safe, healthy, respectful work and learning environment for their student(s) that is free from harassment, discrimination, and intimidation.

*Please review the following points, and click each box to acknowledge that it was discussed. The Supervisor will:*

- Guide the Student on appropriate course work, research, thesis proposal, thesis writing, suitable resources, and workspace.
- Work with the student to develop a realistic, doable thesis/research plan with reasonable, achievable goals and expectations that allows for the completion of the student’s program in a timely manner.
- Provide professional, constructive, and timely feedback on all student work in program.
- Assess, and confer appropriate and fair acknowledgment, of Student contributions to scholarly activity.
- Give reasonable notice to the Student of extended absences from campus, such as research leaves, and to appoint an interim supervisor if the principal supervisor is unable to maintain their supervisory obligations during such absences.
- Provide advice on the composition of the Supervisory and examining committees.
- Disclose any conflict of interest that may arise with respect to the Student, and/or any member of the student’s
supervisory committee.

- Provide guidance on how to work effectively as a member of a team.
- Assist in providing infrastructure and facilities required for the Student to undertake scholarly activities
- Any other mutually agreed upon responsibilities:

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### 2.2 The Student

The Student is obligated to act ethically in conducting graduate work, to have reasonable expectations regarding their relationship with their supervisor, and to be committed to their scholarly activity as it is a requirement for graduate success. The student must manage their time, meet agreed upon and/or established deadlines, and develop effective communication and collaboration skills. The student will carefully and respectfully consider advice, suggestions, comments, and criticisms from their supervisor regarding their academic work. The student should expect timely but not immediate responses from their supervisor.

**Please review the following points, and click each box to acknowledge that it was discussed. The Student will:**

- Familiarize themselves with the policies, procedures, regulations and deadlines established by the University of Alberta, the Faculty of Graduate Studies and Research, their respective department/unit, and if appropriate associated research institute.
- Seek the advice of the Supervisor regarding appropriate course work, research, thesis proposal, thesis writing, suitable resources, and workspace.
- Comply with the University of Alberta’s policies concerning the use of computer systems and networks, and ethics reviews. See [LINK](#)
- Demonstrate appropriate professional judgement, collegial behaviour, academic rigor and integrity at all times and in every facet of the graduate program.
- Dedicate time to the graduate program in order to make timely and effective progress towards degree completion.
- Maintain contact with the Supervisor and provide any changes in contact information.
- Discuss registration in any courses that are extra to degree and seek guidance and permission to take them.
- Discuss ideas or intent to apply for admission to a secondary program of study before completion of the program they are currently registered in. Students are not permitted to be concurrently registered in more than one degree program at a time without notification and permission from their supervisor, the department contact (or equivalent) of the second program, and the Dean FGSR.

**The following are optional points to be discussed. If relevant, please review the following points, and click the box to acknowledge that it was discussed.**

- Keep laboratory, research, and computer areas tidy, and respect the space and property of others.
- Strive to work effectively as a member of a team.
- Any other mutually agreed upon responsibilities:

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_______________________________________________________________________________________________________
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2.3 The Faculty of Graduate Studies and Research
The Faculty of Graduate Studies and Research holds primary responsibility for ensuring that program policies, including admission criteria, program timelines, and requirements, are clearly articulated and duly followed. The Faculty also facilitates access to funding sources. Students and Supervisors should be familiar with the Faculty website, regulations, and resources. See: https://www.ualberta.ca/graduate-studies

2.4 The Department / Unit
The department/unit of the Student’s graduate program establishes the program-specific regulations that provide structure and guidance related to course requirements, examinations, thesis evaluation, and other requirements. These specific program regulations are posted in the University of Alberta’s university calendar section detailing Graduate Policy and Regulations. See: https://calendar.ualberta.ca/content.php?catoid=29&navoid=7449

Part 3 | Meetings

Please review the following points, and click each box to acknowledge that it was discussed.

- The Supervisor and Student will arrange and attend regular meetings. The frequency of the meetings may vary, but at a minimum, meetings will normally be held every ______________________ (indicate weekly or monthly intervals and/or frequency).

- The Supervisor will respond in a timely manner (normally not exceeding 30 days) with constructive suggestions/revisions to written work (including proposals, literature reviews, analysis, chapters), as well as research and scholarship applications, reports, manuscripts, or scholarly presentations.

- The Supervisor will arrange an in-person meeting with the entire Supervisory committee at least once annually, as per University of Alberta Calendar guidelines. Additional meetings may also be held at the request of either the Student or the Supervisor. If appropriate, the Student will distribute reports in advance of scheduled meetings with the Supervisory committee.

- Any other mutually agreed upon responsibilities:
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Part 4 | Publications

Please review the following points, and click each box to acknowledge that it was discussed.

- The Supervisor will acknowledge the contribution of the Student in any publications and/or presentations, as appropriate.

- Order of authorship and the criteria to determine the order of authorship on any shared publications will be established.

- All University policies pertaining to attribution and/or authorship will be followed.

- The Student and the Supervisor will discuss the patentability of any invention arising out of the research before any publication or presentation of the research in order to ensure that the patentability of the invention is not jeopardized.

- Any other mutually agreed upon responsibilities:
  __________________________________________________________________________
  __________________________________________________________________________
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Last updated: November 22, 2019
Part 5 | Intellectual Property, Academic Integrity, Research Ethics, and Ethical Conduct

Please review the following points, and click each box to acknowledge that it was discussed.

- The Student will hold the copyright of his/her thesis.
- The Supervisor and Student will abide by the specific guidelines and rules for copyright and intellectual property at the University of Alberta, including the Intellectual Property Guidelines.
- The Student will keep orderly records of all research data produced or developed.
- Where research data is produced or developed, both the Student and Supervisor will have access to the data at all times.
- Both Student and Supervisor understand that the provisions of the University’s Intellectual Property Policy pertaining to work done while a graduate student, as well as the guidelines around publication and access to research data, remain in place even after the Student is no longer attending the University.
- All Students are responsible for understanding the meaning of academic integrity at the University of Alberta and ensuring it is applied to all their work.
- The Supervisor and the Student will adhere to the University’s policies and procedures related to the conduct of research on campus or in the field, including any necessary human ethics review procedures, and animal care ethics, that must be completed. See: Research Ethics Office
- Where the Supervisor is a member of the University of Alberta’s Association of Academic Staff (“AASUA”), the provisions of the ASSUA collective agreement will apply to the Supervisor.
- Students and supervisors will refrain from unethical conduct, real or perceived, in the form of posting comments about one another, committee members, examiners, or the institution on any social media platform. Students should familiarize themselves with the Code of Student Conduct and take steps not to violate any of its terms.

The following are optional points to be discussed. If relevant, please review the following points, and click the box to acknowledge that it was discussed.

- The Student must complete appropriate courses on the use of animals or humans in research.
- Any other mutually agreed upon responsibilities:

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Part 6 | Timelines and Completion

Please review the following points, and click each box to acknowledge that it was discussed.

- Progress Report forms are to be submitted at least once per 12-month period. More frequent updates may be necessary. The Student and the Supervisor, and when relevant the supervisory committee, must jointly complete this form. See: [Link to Calendar Entry]
- The maximum time period, including coursework, examinations, research, thesis writing and defence (if applicable) permitted for the Student’s graduate program is _____ years (please consult your specific program regulations as set by the Faculty of Graduate Studies and Research). It is understood between the Supervisor and the Student, that the Student anticipates completing the graduate program within ____ years.

The following are optional points to be discussed. If relevant, please review the following points, and click the box to acknowledge that
Student commitments for other duties such as non-degree research, teaching and teaching assistantships, or other responsibilities should not delay efforts to complete the graduate program.

Any other mutually agreed upon responsibilities:
_______________________________________________________________________________________________________
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Part 7 | Funding

Completion of this form may be required for some department student funding opportunities.

Please review the following points, and click each box to acknowledge that it was discussed.

- The Student will seek opportunities for scholarships appropriate to their program, aided by the Supervisor.
- The Supervisor will actively consider funding sources for the student when those opportunities exist outside of the University of Alberta but are discipline specific.

The following are optional points to be discussed. If relevant, please review the following points, and click the box to acknowledge that it was discussed.

- The Supervisor will ensure $________ in funding to the Student as stipend or wages, subject to satisfactory progress by the Student and the availability of funds for the academic year starting ________ and ending ________.
- If applicable, please breakdown the sources of funding that will be provided and the years of commitment:

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<th>Scholarship</th>
<th>Department (GTA)</th>
<th>Supervisor (GRA or GRAF)</th>
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- If the Student receives another source of funding and/or a major award, will the funding commitment of the supervisor change and if so, how? Provide details including if no change will occur:
_______________________________________________________________________________________________________
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_______________________________________________________________________________________________________

- Any other mutually agreed upon responsibilities:
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Part 8 | Safety

The following are optional points to be discussed. If relevant, please review the following points, and click the box to acknowledge that it was discussed.

- The Student may be subject to safety courses or requirements at the University of Alberta, including those pertaining to workplace protection (including Workplace Hazardous Material Information System “WHMIS”), hazardous materials, radioisotopes, laboratory and environmental waste management, workplace harassment and bullying or others.
- The Student will advise the Supervisor or designate of any safety concerns encountered in the lab or while conducting research in the field.
- The Supervisor will be required to take and remain current with the University of Alberta’s mandatory workplace training offered by Environment, Health, and Safety Office as per the Occupational Health and Safety regulations.
- The Supervisor and Student will seek input and direction from safety officers or other appropriate personnel within their unit if further training is required.

Part 9 | Privacy and Confidentiality

Please review the following points, and click each box to acknowledge that it was discussed.

- If confidential information is provided to a student in the program, the student will not disclose the confidential information to any third parties, except as required by law or as permitted by agreement pursuant to which the confidential information was shared.
- The Freedom of Information and Protection of Privacy Act (“FOIP”) and Alberta’s Personal Information Protection Act (“PIPA”) apply to the Student’s program. See: [https://www.ualberta.ca/information-and-privacy-office/foip](https://www.ualberta.ca/information-and-privacy-office/foip)

Part 10 | Professional Development

Please review the following points, and click each box to acknowledge that it was discussed.

- The supervisor will work with the student to complete the Individual Development Plan (IDP) requirement.
- Opportunities for the Student to attend suitable conferences and present scholarly work will be sought.
- Sources of funding for Student travel should be investigated and applied for.
- Students will be encouraged to participate in professional development programs such as effective writing courses, teaching training, academic integrity, and workshops on research grants and career opportunities.
- Any other mutually agreed upon responsibilities:

  __________________________________________________________
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Part 11 | Other

Please review the following points, and click each box to acknowledge that it was discussed.

☒ Graduate Assistants are entitled to one week of vacation leave without a reduction in pay for each four-month University Term (in addition to the days when the University is already closed). [As per the GSA Collective Agreement]

The following is an optional point to be discussed. If relevant, please review the following points, and click the box to acknowledge that it was discussed.

☒ Any other mutually agreed upon responsibilities:

_______________________________________________________________________________________________________
_______________________________________________________________________________________________________