Checklist of Expectations for
GRADUATE STUDENT and SUPERVISOR

Graduate Student Name: ___________________________ UCID: ___________________________
Program: ___________________________ Program Director: ___________________________
Degree: _______ Specialization: ___________________________

The aim of this checklist is to define the expectations and responsibilities of the graduate student and the supervisor. Questions about the suitability of any part of this document should be directed to the Graduate Program Director or an Associate Dean in the Faculty of Graduate Studies (FGS). Each party should retain a copy of the signed document and the Appendix. The completed first two pages of this document should be submitted to the Program Director and filed at the student’s host program. The checklist may be updated as necessary.

General Expectations and Responsibilities
Graduate students hold the primary responsibility for the completion of their degree. Graduate study requires independent learning, as well as constant collaboration between the student and the supervisor. In accepting admission to a graduate program, the student is agreeing to pursue studies and scholarly work on a full-time basis (if registered full-time), under the supervision of a faculty member, to meet the regulated deadlines established by the Faculty of Graduate Studies, and to maintain open communication with the supervisor. The student must actively seek to expand her or his knowledge and is expected to solve problems independently, to pursue opportunities to learn specific skills and to become familiar with a body of knowledge. The ultimate goal is to produce and defend a thesis.

The supervisor must be available for mentoring, and to provide guidance, advice and educational opportunities. The supervisor is expected to provide feedback and minor editing of the student’s work on the thesis, scholarship applications, grant proposals, abstracts and manuscripts for publication. The intellectual property that is expected to result from, or is necessary for, the student’s thesis work should be discussed in advance and agreed upon between the student and the supervisor.

The student and the supervisor are expected to go over the items listed below, and to check each box as that item is dealt with. Each item should prompt some discussion. Completion of this document may take several meetings, but it is expected that it will be completed within the first two months after a supervisor has been appointed. Signatures at the end of this document indicate that these items have been discussed.

Checklist to be completed by both the Graduate Student and the Supervisor

Student

☐ We have discussed the rules, regulations and policies governing progress through the graduate program (see Appendix).

☐ I will attend regular (weekly/biweekly/monthly, as required depending on time in the program and progress achieved) group or individual student-supervisor meetings, and I expect to be able to arrange additional meetings as needed.

☐ An annual report must be submitted at program due date of ________, and satisfactory progress towards degree completion must be demonstrated. We have discussed program expectations regarding satisfactory progress. A student who does not demonstrate satisfactory progress will be required to withdraw from the Faculty of Graduate Studies.

Supervisor

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☐
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<tr>
<th>Student</th>
<th>Supervisor</th>
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<tr>
<td>□ I have a clear understanding of the funding that is offered, its sources, and the funding that is available for the thesis research costs. The student will apply for awards and scholarships for which he or she qualifies.</td>
<td>□</td>
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<td>□ We have discussed intellectual property (IP) issues that may arise in the course of studies; for example, authorship in publications, order of authors, ownership of data/results, patent rights, etc. The FGS IP Awareness Form has been completed. In cases where a special Lab (or other) Agreement has been signed by the student and the supervisor, it should be filed both at the student’s home department and at FGS.</td>
<td>□</td>
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<td>□ We have discussed the importance of acquiring professional skills of value to the student’s future career, the responsibility of students to be aware of available resources, and the responsibility of supervisors to reasonably accommodate these efforts.</td>
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<td>□ I am aware that the student is permitted at least two weeks of annual vacation time, in addition to days off when the University is closed. The supervisor will inform the student when he/she will be away for an extended period on vacation or other business.</td>
<td>□</td>
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<td>□ We have discussed the required coursework, including expectations, timetable and necessary study time.</td>
<td>□</td>
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<td>□ We have discussed program expectations regarding student attendance and presentations at seminars or journal club meetings.</td>
<td>□</td>
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<td>□ We have discussed the opportunity to attend regional, national or international conferences, including the opportunity to present and the available travel funds.</td>
<td>□</td>
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<td>□ I am aware that ethics approval is needed before data collection can begin when animals or humans are involved. We will prepare appropriate ethics applications and obtain necessary certifications.</td>
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<td>□ I understand that editorial feedback on written work (scholarship applications, proposal, thesis, publications) is expected from the supervisor, and that a reasonable length of time should be permitted for this feedback (up to three weeks, depending on the size of the document and the timing of submission).</td>
<td>□</td>
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<tr>
<td>□ I am aware that students can apply for a leave of absence if circumstances make appropriate progress towards degree completion impossible.</td>
<td>□</td>
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<tr>
<td>□ We have discussed access to resources (e.g., library, printing, computer access, measurement/laboratory needs) and appropriate training required for successful completion of the thesis.</td>
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<td>□ We have discussed what constitutes academic and non-academic misconduct, and their consequences. For example, plagiarism or misrepresentation of data in course work, presentations, thesis proposal, publications or thesis is considered academic misconduct, which can lead to requiring the student to withdraw from the program. Students are expected to be fully familiar with misconduct regulations as listed in the University Calendar and the FGS web site.</td>
<td>□</td>
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Signatures:

Graduate Student: ___________________________  Supervisor: ___________________________

Print Name: ___________________________  ___________________________

Date: ___________________________  ___________________________
Appendix - Supplemental Information

FGS Website: The Faculty of Graduate Studies maintains a web site with considerable valuable information for both students and supervisors (www.grad.ucalgary.ca), as well as a site specifically for supervisors (http://grad.ucalgary.ca/faculty/information-supervisors). There is an awards database that includes a searchable list of available scholarship awards. There are also important hints and tips for preparing strong applications for such awards and corresponding letters of reference.

Handbooks: The regulations governing your participation in this graduate program are fully described in the regulation documents located on the FGS website (http://grad.ucalgary.ca/graduate-regulations). There are also documents describing best practices in graduate supervision for both the student and supervisor (http://grad.ucalgary.ca/faculty/information-supervisors). Both the student and the supervisor have specific responsibilities to assure that a satisfactory and mutually beneficial relationship exists between student and supervisor. Individual programs may also have rules and best practices regarding graduate supervision.

Scholarships: The student is expected to apply for scholarship funding. In the event that the student is successful with such applications, some of the promised funding from other sources may be withdrawn, but the student must still receive the minimum amount stipulated in the letter offering admission, and top-ups may be available. Promised funding is dependent on satisfactory progress towards completion of the degree. Internal and external scholarship information is available at: http://www.grad.ucalgary.ca/awards.

Annual Report: An annual report is required to be submitted each year. Online reports are available in May (regardless of when the student began their program) and each program has their own deadline for completion of these (typically from the first of June to the end of September). The student will be prompted to prepare their online report by an e-mail message from the Graduate Program. A detailed instruction manual for completing the online Annual Progress Report is available at: http://grad.ucalgary.ca/current/managing-my-program/annual-progress-report

Research Activities: A fundamental aspect of a postgraduate degree is the generation of new knowledge. Graduate students are expected to complete a thesis that represents a novel aspect of their discipline of study. Although thesis scholarly work is conducted under the supervision of a faculty member, and that faculty member may provide funding for the costs of the research, the writing of the thesis must be primarily the work of the student. Normally, the supervisor will arrange for access to the equipment and facilities needed for the conduct of the research. Opportunity to learn how to operate such equipment must be provided to the student. The student is responsible for acquiring appropriate skill in the use of the equipment, recognizing the importance of reproducibility and quality of the data. The student must have ownership (or co-ownership) of data presented in the thesis. However, laboratory records describing work sponsored by external funding agencies must remain in the laboratory. It is the responsibility of both the supervisor and the student that ethics approval is obtained prior to data collection on the thesis research. See: http://grad.ucalgary.ca/current/managing-my-program/academic-integrity. The FGS Intellectual Property Awareness Checklist should be completed: http://grad.ucalgary.ca/current/managing-my-program/academic-integrity/intellectual-property

In recognition of the financial support provided by various agencies and sources, financial support for salary and in support of the costs of doing research must be acknowledged in any public presentation or publication of the research generated.

My GradSkills: My GradSkills is a resource that provides professional and academic development opportunities to graduate students. All events and services associated with My GradSkills have received academic oversight and are endorsed by the Faculty of Graduate Studies. Participating in My GradSkills workshops and events will help graduate students acquire academic skills to help them complete their graduate degree in a timely fashion, and professional skills to help them stand out to future employers. Be sure to check out further information to assist with identifying those skills that should be developed, and to establish the manner in which those skills will be acquired, can be found at www.ucalgary.ca/mygradskills.

Misconduct Information: Information on academic and non-academic misconduct can be found in the Graduate Calendar at: http://grad.ucalgary.ca/current/graduate-calendar

Leave of Absence: http://grad.ucalgary.ca/current/managing-my-program/leave
Faculty of Graduate Studies
Intellectual Property Awareness

This form is designed to promote early awareness of intellectual property issues thereby minimizing problems that may arise later. Each graduate student in a thesis-based program and her/his Supervisor should complete and sign this form at the beginning of the research training. Students in course-based Master’s programs should complete the form with their Graduate Program Director (or Supervisor if relevant). If a student’s research is supported by industrial contract(s), the Office of Research Services has an IP agreement that must be signed. Similarly, if the research may lead to major inventions or commercialization, the student and Supervisor should consider signing a formal agreement, in consultation with the graduate program, the Faculty of Graduate Studies, and/or the office of the Vice-President, Research.

SECTION 1: To be completed by the student
Name___________________________________________ Student No.______________
Degree sought________________________ Program___________________________
Supervisor_________________________________________________

SECTION 2: To be completed by the student
1. Have you read the University of Calgary’s Intellectual Property Policy [http://grad.ucalgary.ca/current/managing-my-program/academic-integrity/intellectual-property](http://grad.ucalgary.ca/current/managing-my-program/academic-integrity/intellectual-property) and discussed it with your Supervisor?
   Yes (  )    No (  )

   Yes (  )  No (  )

3. Have you read Graduate Student FAQs regarding the University of Calgary’s Intellectual Property Policy [http://grad.ucalgary.ca/current/managing-my-program/academic-integrity/intellectual-property](http://grad.ucalgary.ca/current/managing-my-program/academic-integrity/intellectual-property) and discussed it with your Supervisor?
   Yes (  )  No (  )

4. Have you read the University’s Policy on Conflict of Interest [http://grad.ucalgary.ca/current/policies-forms/conflict-interest](http://grad.ucalgary.ca/current/policies-forms/conflict-interest) and discussed it with your Supervisor?
   Yes (  )  No (  )  Not applicable (  )

5. Have you discussed intellectual property issues that may arise in the course of your studies (for example, authorship in publications, order of authors) with your Supervisor?

Updated July 24, 2013
6. Is your academic research going to be funded by a third party, for example through an industrial research contract or by one of your Supervisor’s research grants?

   Yes ( )  No ( )

7. If the answer to question 6 is yes, have you discussed with your Supervisor the impact this may have on ownership of data and intellectual property, and possible delay in publication of your thesis?

   Yes ( )  No ( ) Not applicable ( )

8. If you work at the University of Calgary on a project that does not form part of your thesis or academic program, have you discussed intellectual property and publication with your Supervisor?

   Yes ( )  No ( ) Not applicable ( )

9. If you work in a teaching hospital, research institute, or other institutions affiliated with the University of Calgary, have you discussed intellectual property and publication with your Supervisor?

   Yes ( )  No ( ) Not applicable ( )

SECTION 3: To be completed by the student’s supervisor

1. Have you reviewed the University policies related to intellectual property with this graduate student?

   Yes ( )  No ( )

2. Have you reviewed this form after it was completed by this graduate student?

   Yes ( )  No ( )

3. Is your graduate student’s academic work being funded in whole or in part under a research agreement with a third party that affects publication or IP rights?

   Yes ( )  No ( ) Not applicable ( )

4. If the answer to 3 is yes, has your student signed the Graduate Student Agreement provided by Research Services for that project?

   Yes ( )  No ( ) Not applicable ( )

5. Have you reached a written agreement with this graduate student to cover ownership of intellectual property in the event of commercialization?

   Yes ( )  No ( ) Not applicable ( )

Any written agreement must be kept on file in the program office and a copy electronically submitted to FGS.

Updated July 24, 2013
If the answer to any of these questions is “No,” except question 6 in Section 2 and questions 3 in Section 3, please explain:

Student’s signature_________________ Date___________________________

Supervisor’s signature_________________ Date___________________________

Return the completed form to the Graduate Program Director. A copy of the completed form must be submitted to FGS.

SECTION 4: To be completed by the Graduate Program Director
On behalf of the Graduate Program, I have reviewed this form.

Graduate Program Director’s signature___________________________

Date___________________________

Acknowledgment:
This document benefited significantly from the University of Toronto School of Graduate Studies document, Intellectual Property Awareness
http://www.sgs.utoronto.ca/governance/policies.htm
PROGRAM SPECIFIC CHECKLIST OF EXPECTATIONS FOR GRADUATE STUDENT AND SUPERVISOR

This form is to be appended to the Faculty of Graduate Studies Checklist. Fill in agreed parameters around the additional expectations below.

**Expected working hours**

**Vacation/Time off/Leaves of Absence**

**Intellectual Property and Disclosure**

**Lab specific issues**

Signatures of compliance: I agree with the expectations of these issues and agree to adhere to them.

Student: ___________________________ Supervisor: ___________________________
Program Specific Checklist Requirements

Some additional things to consider in your discussions with students:

**Time in program:** Students interpret the maximum program times indicated in the Faculty of Graduate Studies Calendar as the target time in the program. The expected program times are 2 years for the M.Sc. program and 4 years for the Ph.D. program, or 5 years for transfer from M.Sc. to Ph.D.

**Committee Meetings:** The role of committee members in support of the student should be pointed out. Indicate that committee meetings are required at least once for every year that the student is in program. Committee meetings must be held prior to the submission of the Annual Progress Report.

**Performance Expectations:** Be sure to explain your expectations for laboratory performance, and that performance in the laboratory is distinct from metrics used to evaluate performance as a GTA and in courses. Students are expected to strive for excellence in all three areas.

**Annual Progress Report (APR):** This is a FGS requirement and must be completed each and every year a student is in their program (except for students in first year who started in May or July). Briefly, the student fills out the APR, the supervisor adds their own comments and the APR goes to the Graduate Program Director for evaluation. The final report **MUST** be discussed with the student. Explain to the student the meanings and outcomes of the different APR ratings as defined below:

**Unsatisfactory:** This is not a failure, but an indication that the student is not performing to expectations. This provides a framework to put guidance strategies and performance benchmarks in place to help the student understand what is required to achieve a satisfactory performance rating. A Committee meeting will be required if there are discrepancies between student self-evaluation and supervisor evaluation. A plan needs to be described in the APR to bring the student back on track. The plan must be discussed with the student. If there is no improvement the following year, the student could be asked to withdraw from program for failure to maintain academic progress.

**Satisfactory:** Milestones and performance benchmarks are being met.

**Excellent:** This level of performance is rare but should be strived for.