

Graduate Ethics Training

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Graduate Ethics Training:

INTRODUCTION

This short online training course constitutes an introduction to core principles and practices in all fields of graduate research. Departments may require additional modules especially designed for students in a particular field or program. This training course is continually revised to reflect best practices in graduate research.

In its current form, Angel Learning: GET consists of interactive modules in:

- conflict of interest
- conflict resolution
- intellectual property
- integrity and scholarship
- graduate student - supervisor relationships

REQUIREMENT:

This online course is a requirement for all students who have registered in graduate programs at the University of Manitoba, and must be completed by the end of the first two terms of graduate studies. A registration block for the third term is placed on all students who have not completed the course.

RATIONALE:

The course is mandatory to ensure that all graduate students have equal access to the information for which they are responsible, regardless of their undergraduate experiences or personal backgrounds.

In addition, this course provides an opportunity for graduate students to begin their studies with the benefit of having spent some time reflecting on ethical issues, considering emerging issues, refining their opinions, and honing their interpersonal skills. This proactive approach is much preferable to a punitive one resulting in disciplinary action.

7 Critical Pieces of Information about the GET Course

1. This course is unsupervised and unmonitored. If you have questions about ANGEL Learning, please go to the Help section provided by the [University of Manitoba](#).

If you have technical problems with this course, or if the problem appears to be network related, contact the [Academic Computing and Networking](#) (ACN) Help Desk (474-8484).

If you have questions relating to the content, access or function of the course please email the Faculty of Graduate Studies <graduate_studies@umanitoba.ca>

2. This online course does not supersede existing research or ethics policies and procedures at the University of Manitoba. It is designed to provide an introduction to ethical issues that may arise during a student's graduate studies. Please see UM Policies and [Guidelines on Responsibilities for Research Ethics, Academic Fraud, Animal Care and Use](#).

If you are uncertain about how this course fulfills the ethics training requirements of your department, please talk to your graduate coordinator for assistance.

3. Graduate students are responsible for familiarizing themselves with the content within this course. Please take your time to read each section thoroughly.
4. Please print any pages that you wish for study or reference purposes. Within each of the 5 sections, you will notice a tool bar/menu that appears above the course material that includes a print icon. You can also print using usual page or web printing options. Please be advised that the material is copyrighted and cannot be used for other purposes without permission.
5. The exams are designed to follow the course content and will not reveal themselves until 100 % is achieved on the previous section. There is no constraint on the time allowed to take an exam or the number of attempts to achieve 100%.
6. Exams can be printed off by going to the My Grades section on the left hand side of the screen. Give a copy to your Grad Coordinator and keep a copy for yourself.
7. The Discussion Topics are an excellent way to get feedback from fellow graduate students about how they would deal with these situations. Please follow basic etiquette when responding to the questions or other student comments.

Core Rules of Netiquette

The Core Rules of Netiquette, adapted from the book Netiquette by Virginia Shea are noted below and more details can be found on the website <http://www.albion.com/netiquette/corerules.html>

- Remember the human.
- Adhere to the same standards of behaviour online that you follow in real life.
- Know where you are in cyberspace.
- Respect other people's time and bandwidth.
- Make yourself look good online.
- Share expert knowledge.
- Help keep flame wars under control.
- Respect other people's privacy.
- Don't abuse your power.
- Be forgiving of other people's mistakes.

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Module 1 Conflict of Interest

See UM policies section on [Conflict of Interest](#)

Conflict of interest is a situation in which a researcher, anyone in a position of trust, has competing professional or personal interests. Being faced with competing interests can make it difficult to be neutral in fulfilling duties and making decisions. Even when the individual is impartial in his or her decision making process, there may remain a perception of misconduct. While most conflicts of interest involve interaction with other people, occasionally a person can suffer an internal conflict of interest. For example, a research project or paper they are grading may not be compatible with his or her personal values.

Researchers have professional, financial, and ethical obligations toward 1) the responsible conduct of their research as well as 2) their relationships with other researchers, funding agencies, and their institution. There are numerous situations in which these interactions can be compromised by personal interest.

While monetary gain from the outcome of research is the most common denominator in unethical behavior or criminal misconduct, graduate students can also be influenced by factors such as wanting to complete their degree, publish papers, get results before competing labs, and facing pressure from their family, committee, and supervisor.

From literature published in 1995 and 1996 on the safety of blockers of calcium channels in cells, Stelfox et al. (1998) found 100% of researchers who supported calcium channel blockers were funded by drug companies, while only 43% of researchers who were critical of the blockers were supported by this industry. The results raise the question of wanting to know who is supporting the research.

Principles

Regulations and guidelines govern the disclosure and management of conflict of interest at most institutions, however there remains a dogma about conflicts of interest. Adopted from the RCR Education Consortium, they describe 1) principles for conflict of interest and offer 2) guidelines to manage this type of conflict. We follow-up with some questions that graduate students should be prepared to ask their supervisors before commencing their research.

1. Conflicts of interest increase the temptation to commit misconduct.

Sometimes it is impossible to avoid a situation that creates a conflict of interest, and certainly the existence of a conflict of interest does not indicate people have committed any misconduct. However when an individual has an opportunity to make a large gain, the principles that lead to accountable behaviour may be compromised.

Quoted in Sports Illustrated (Bamberger and Yaeger 1997) Robert Goldman asked 198 aspiring Olympians the question, "If you were offered a banned performance-enhancing substance that guaranteed that you would win an Olympic medal, and you could not be caught, would you take it? Of 198 athletes, 195 answered yes.

2. Conflicts of interest increase the risk of unintentional bias.

Sometimes people faced with a conflict of interest are unaware of the situation, or how it has affected their actions. Clearly researchers will be biased to do research in areas of their interest and where there is funding. Would you choose test subjects who are more likely to respond to your treatment? How will your results influence

future funding? Are you applying for funding to do research for personal gain (such that you may receive financial benefits from the results)?

Be aware of your personal biases and how they may affect how you conduct your research or interpret results. These biases can also affect how others relate to you; therefore, researchers usually work with test subjects unknown to them to remove the bias these individuals may have towards them (as well as vice versa).

Researchers hold trust relationships with research subjects, research sponsors, institutions, their professional bodies and society. These trust relationships can be put at risk by conflicts of interest that may compromise independence, objectivity or ethical duties of loyalty. (Tri-Council Ethics Guidelines)

3. Conflicts of interest can lead to harmful misperceptions of researchers and the pursuit of knowledge.

As noted earlier, even when no misconduct has been committed in a situation of conflict of interest, the perception that this has taken place can be extremely damaging to a researcher's a) relationship with colleagues and funding agencies, b) ability to perform future studies, c) ability to recruit future graduate students, d) trust with his/her students and so forth.

Even without conflict of interest, the greater the monetary gain associated with one's work (funding, promotions, and so on), the greater the circle of scrutiny, and the more likely you are to garner media attention. Therefore any damage created by a conflict of interest can also extend to the credibility of the institution and the research discipline itself.

Guidelines to Manage Conflicts of Interest and Commitment

1. Disclose interests

Your first step would be to make the situation of a conflict of interest transparent or at least disclosed to parties who have an interest in the situation. This may be that you announce to your audience that you can release all research information as you are in the process of getting a patent out on your work, to informing a professor that you have a relationship with one of the students in their class, or indicating to a journal editor someone that you do not want to review your manuscript for the reasons disclosed.

2. Avoid and minimize conflicts

Unless we live our life in isolation, eventually we will all find ourselves in a situation that is a conflict of interest. One of the best recourses you have is to remove yourself from the situation. This can usually be achieved by replacing your involvement with someone else (suggest another graduate student mark an assignment if it belongs to a family member), or removing your interests (sell shares in a company if they are funding you).

3. Manage potential for conflict

Sometimes disclosing a conflict of interest is not enough, especially if a person is unable to remove him/herself from the situation. Therefore it is often better to bring in another person or group to observe or participate in the decision making steps, evaluations, and so forth to ensure that proper steps have been taken to reduce or remove the level of conflict.

Questions Graduate Students Should Ask Before Commencing Research

- Who is funding my research?
- May I have a copy of any contracts that have been signed regarding the conditions of funding for this project?
- What obligations do I have to the funding source?

- Should a research project go through an ethics review before it is submitted? Who decides?
- Who can I talk to about the funding of my research?
- What is a disclosure report and when is it required?
- Are there restrictions about where I can present my work?
- Which groups of people / companies have an investment (financial or otherwise) in my research?
- Who else may I be working with on this project?
- What resources are available on campus to help resolve conflict of interest issues?

Acknowledgments, References, and Readings

- Bamberger M, Yaeger D. (1997) Over the edge. Sports Illustrated, Vol. 86, 61-70 pp
- RCR Education Consortium© (2004) Conflict of Interest. Resources for Research Ethics Education Website <http://research-ethics.net/topics/conflicts-of-interest/> Permission give to use material by Michael Kalichman, University of California, San Diego
- Stelfox HT, Chua G, O'Rourke K, Detsky AS. (1998) Conflict of interest in the debate over calcium-channel antagonists. N Engl J Med. Vol. 338(2):101-6.
- [University of Manitoba Conflict of Interest Guidelines](#)
- [Conflict of Interest Between Evaluators and Students due to Close Personal Relationships](#)

Conflict of Interest - Case Studies for Quiz

A. Paying for Research - who owns what?

Sandra was excited about being accepted as a graduate student in the laboratory of Dr. Frederick, a leading scholar in the field, and she embarked on her assigned research project eagerly. After a few months, however, she began to have misgivings. Though part of Dr. Frederick's work was supported by federal grants, the project on which she was working was totally supported by a grant from a single company. She had known this before coming to the lab and had not thought it would be a problem, but she had not known that Dr. Frederick also had a major consulting agreement with the company. She also heard from other graduate students that when it came time to publish her work, any paper would be subject to review by the company to determine if any of her work was patentable. (On Being a Scientist: Responsible Conduct in Research, 2nd Edition; National Academy Press, Washington, DC; 1995.)

Questions to think about:

a. What assumptions, if any, can Sandra make about the industry-supported work being done by Dr. Frederick? b. If Sandra wishes to discuss her concerns with someone, to whom should she turn?

B. Loose Lips!!!

John, a third-year graduate student, is participating in a department-wide seminar where students, postdocs, and faculty members discuss work in progress. An assistant professor prefaces her comments by saying that the work she is about to discuss is sponsored by both a federal grant and a biotechnology firm for which she consults. In the course of the talk John realizes that he has been working on a technique that could make a major contribution to the work being discussed. However, his own faculty advisor consults for a different, and competing, biotechnology firm. (On Being a Scientist: Responsible Conduct in Research, 2nd Edition; National Academy Press, Washington, DC; 1995.)

Questions to think about:

a. What, if anything, should John say to his advisor? When? b. Which issues might be raised by this case?

C. Funding Woes

Susan began her Ph.D. research with a lot of hope but very few funds. She and her supervisor were excited by the potential project but had trouble getting full funding. The research was expensive and, although both firmly believed that it would be an important contribution to their field, they hadn't been able to find more half the money Susan needed. Susan forged ahead but there was significant concern that she might not be able to finish if things didn't change soon.

Susan's luck changed when she presented a paper at a major conference. A government representative introduced himself and told her that there was some overlap between her research and work that they were doing in policy development for aboriginal land claims. His department was interested in her research as a way of testing the effectiveness of their proposed new policies. They would pay for any research assistants she needed. As well they were interested in hiring her as a researcher which would pay her living expenses. She would be free to develop her dissertation research as she and her committee saw fit and to publish her results wherever she wanted. The only stipulation was they wanted access to her research data as the project progressed.

Susan returned to the University of Alberta and discussed the proposal with her supervisor. They agreed that the deal would solve the problems that Susan faced in completing her dissertation with little downside. The two successfully negotiated the funding from the department and Susan's financial worries were over. Everything went well until Susan's preliminary results indicated some new trends and heralded an entirely new and fruitful direction that she should pursue. Her committee was excited and thought she was on the verge of a major

breakthrough. One key problem was that her research was beginning to show that the proposed policies would not be beneficial to the aboriginal groups involved.

Susan told her contact in the ministry that she was changing the direction of her research. He asked to see her current data and to submit a report that described the proposed changes. Two days later he called Susan into a meeting. He explained that the Assistant Deputy Minister had reviewed the material she had provided and was concerned about the proposed research. They felt that the results of the new research could create a situation which was detrimental to their legal defense against the land claims. Although she had not violated the terms of her grant they asked her to return to her original line of research out of loyalty. They hinted she might have her funding unceremoniously removed if she did not comply. Susan returned to her supervisor and her committee to propose a return to the original direction of the research. They refused, arguing that her recent research discovery was too valuable to be abandoned.

Questions to think about:

a. What factors are influencing Susan's actions with respect to the direction she should take her research? b. What is the role of the University in the contract between Susan and her funding group?

D. Opportunity Knocks

Anthony was the new TA for a lab section of Chemistry. He was thrilled to find out that his younger sister, Tonya, was enrolled in his section. They had different last names, so no one else knew. He really wanted his sister to do well and he knew that she struggled with Chemistry in high school. He thought that since he knew the questions well ahead of time, he could help her study for the midterm. She was thrilled too - she would never be able to get through Chem without Anthony's help. As soon as Anthony received the midterm questions, he quickly made a photocopy of them and brought them home to help Tonya study. Throughout the term, Anthony was very careful to keep his relationship with Tonya a secret. He could not risk having other students finding out that he was helping her and demanding the same kind of attention.

Questions to think about:

a. Even if Anthony gave his sister the same treatment as other students, how would others perceive the treatment? b. How could Anthony give help to his sister that would not have been a conflict of interest?

Module 2 Conflict Resolution

Conflict is inevitable. Regardless of your area of study, you will encounter conflict at some point. Some conflict is constructive and encourages further thought or discourse and eventually change for the better; other conflict may bring destructive results and requires management or resolution. In order to create and maintain an environment conducive to productive learning and research, we, as members of a University community, are ethically bound to making every attempt at resolving conflict before it leads to more damaging issues.

Conflict resolution is a process of resolving a dispute or disagreement that is acceptable to all individuals involved. The key to successful conflict resolution lies solely in each party taking responsibility for his or her behaviour within the conflict. Blaming, defensiveness, resentments, judgmental behaviours and a desire to win at others' expense can only lead to destructive conflict. The only thing you can control in any situation is your own behaviour.

Making the effort to listen without judgment, trying to understand the other person's needs and searching for solutions in which everyone wins lead to healthy conflict resolution and may affect positive change. There are several options available to resolve conflict. The parties in conflict may engage in a negotiation based on their interests rather than their positions, or they may choose to use the services of a third party neutral, or mediator.

Principles

According to the Alberta Arbitration and Mediation Society (AAMS), any successful conflict resolution involves four stages, whether using the services of a mediator or simply negotiating a resolution among the people involved.

The first is to set the environment, ensuring that the space is comfortable, that people feel safe enough to communicate, that all relevant persons are present and that there are no onlookers. Ground rules must be set, including allowing each person his or her time to talk, active listening and total respect and civility.

Secondly, people must define their agenda. At this stage, people will decide what topics or issues they need to talk about in order to a) end the resentment and move on, b) end the dispute, c) improve their relationship and/or d) improve their work process. An issue is a topic, subject, behaviour, event or incident that is the source of the conflict; an issue is never a person. Issues should be expressed using neutral terms.

The third stage involves actually discussing the issues and communicating interests rather than positions. Positions are typically solutions that meet only one person's needs and are usually expressed as a "take it or leave it" option. For effective conflict resolution, however, each person must identify his or her interests, such as concerns, hopes, expectations, assumptions, priorities, beliefs, fears and values. Interest-based conflict resolution identifies and attempts to satisfy the underlying needs of all parties involved. By moving to their deeper interests, people in the conflict can become open to more creative solutions than they may have been earlier.

Finally, once people understand why each person feels the way he or she does, they can begin to brainstorm solutions. It is important to give all suggestions equal consideration and not to evaluate any of them until you feel all possible options have been listed. Then go back to the interests you discussed earlier and decide if any of the solutions address everyone's interests. Whether you use the services of a third party mediator or negotiate a solution between yourselves, the following principles are crucial to constructive conflict resolution:

- Address the conflict early, before it becomes much more complex;
- Separate the person from the problem;
- Use your discretion when deciding who to tell about this conflict. Not everyone needs to know;
- Focus on interests/outcomes rather than clinging to your position;

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- Commit to finding a mutually beneficial solution - work towards win-win outcomes;
- Avoid blaming others; you are each responsible for your own behaviour;
- Listen actively; genuinely try to understand the other person's perspective;
- Validate what he or she is communicating to you;
- Work on letting go of your resentments - they can only impede the process;
- Keep the lines of communication open;
- Focus on the future.

Questions Graduate Students Should Ask When Involved In A Conflict

- What resources are available on campus to help resolve conflict issues?
- What are the expectations in my lab or office?
- What are the expectations of my supervisor?
- What are my expectations of others?
- What is the culture of my research group?
- What are the expectations for common areas in my department?
- What types of issues does my supervisor usually handle?
- What types of issues do chairs usually handle?

Campus Sources of Assistance

- Office of Student Advocacy
- Equity Services
- Faculty of Graduate Studies
- Departmental Graduate Chairs
- University Ombudsperson

Supplemental Readings

Consult the following documents for more information on conflict resolution:

- Braman, O. Randall. Teaching Peace to Adults: Using Critical Thinking to Improve Conflict Resolution. Available from the University of Manitoba Library Databases.

<http://proxy2.lib.umanitoba.ca.proxy1.lib.umanitoba.ca/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=1742241&site=ehost-live>

- Carter, Candice C. Conflict Resolution at School: Building Compassionate Communities. Social Alternatives; Jan2002, Vol. 21 Issue 1. Available from the University of Manitoba Library Databases.

<http://proxy2.lib.umanitoba.ca.proxy1.lib.umanitoba.ca/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=6356312&site=ehost-live>

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- Coleman, Peter T. and Fisher-Yoshida, Beth. Conflict Resolution Across the Lifespan: The Work of the ICCCR. Available from the University of Manitoba Library Databases.

<http://proxy2.lib.umanitoba.ca.proxy1.lib.umanitoba.ca/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=a9h&AN=12474114&site=ehost-live>

- Morris, Catherine. [Conflict Resolution and Peacebuilding: A Selected Bibliography: Conflict Management in Post-Secondary Education](http://www.peacemakers.ca/bibliography/bib33postsecondary.html). [On-line.] Available: www.peacemakers.ca/bibliography/bib33postsecondary.html

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Conflict Resolution - Case Studies for Quiz

A. Mess? What Mess?

Marta worked late in the lab almost every evening. She shared a computer station with Zoe, who preferred to work early in the morning. This was a good arrangement for them since they didn't get in the way of one another while they worked.

Zoe had a habit of leaving the lab messy when she left for the afternoon, and when Marta came in, she would have to clean up before getting to her work. Marta became more and more frustrated with Zoe, but didn't feel comfortable saying anything about it.

Finally, she couldn't take it anymore. She left Zoe a note, saying: Don't be such a pig! The next day she found the note on the workstation, the word pig crossed off in red and the words "control freak" written over top.

Marta was livid. She brought the note to their supervisor to show him and demanded that Zoe be banned from working in that lab. Instructions for taking test: You have been given four questions based on the Principles of Conflict Resolution and the case of Marta and Zoe.

Questions to think about:

a. What is the main issue here? b. What are Marta's and Zoe's underlying interests? c. In what ways were this conflict escalated? d. How could Marta have handled the conflict better?

B. Mum's the Word!!!

Daniel was in the first year of his Ph.D. and was enrolled in a methodology course. In the first class, he discovered that he and the professor, Dr. C had opposing political views.

Daniel wanted to write his dissertation from a Marxist point of view but Dr. C told him that it was a stupid and antiquated theory and that he would be foolish to even bother. Daniel was upset by Dr. C's abrupt response, but when he pressed for an explanation as to why Dr. C felt that way, he was told that the discussion was over.

After that day, Dr. C ignored Daniel when he spoke up in class, or worse, insulted him. Daniel wanted to drop the course but it was required for his program and there was a participation component to the grade.

He knew that all he had to do was to get through the course and he would never have to deal with Dr. C again, but he wasn't sure he could make it without losing his temper. He felt singled out and humiliated in front of his colleagues.

Questions to think about:

a. What could Daniel do to change his professor's behaviour? b. What were Daniel's main underlying interests? Dr. C's? c. What are some resources that Daniel could have made use of? Who could he have spoken to for help?

C. This is War!

Toni was incensed when she heard the rumours flying around the department. Michael, another graduate student had overheard two faculty members talking in the hall about Robert, Toni's office mate and fellow graduate student.

Apparently, Robert had been accused of badmouthing another student without provocation and the professors were concerned about how this would affect morale in the department. The mere thought that Robert could have treated someone cruelly was inconceivable to Toni.

Obviously, either the faculty members were lying or Michael was. Toni resolved to do something about this unfair behaviour as she didn't like gossip about graduate students. She sat down at her computer, and sent an email message to Robert and all of their friends in the department, urging them to mobilize and fight against the members of the department who were spreading lies.

She also wanted the group of them to meet with the Grad Coordinator of the department so that they could make a complaint of bias against the two professors who had been talking about Robert.

Questions to think about:

a. What information does Toni have? b. Whose actions can be called into question?

D. The Ultimate Revenge

Shelley stormed into Jason's living room in tears and flopped onto his couch.

"What's wrong?" he asked.

"That jerk, Marissa, has done it again. She keeps embarrassing me in front of the whole class, the one taught by my supervisor," she cried.

"What did she do?" he asked, with alarm.

"Every time I speak up in class or answer a question, she somehow makes it sound like I have no idea what I'm talking about. She's such a show-off!"

"Oh, that's terrible," he sympathized. "Can you talk to her?"

"No way," Shelley said, "She's a total snob. She'd never listen to me."

"How are you going to make this stop then?" asked Jason.

"I'm going to get back at her. I know a great way to embarrass her - I'm going to tell my supervisor that she stole my research!"

"She stole your research!?" Jason was astonished that anyone would do such a thing.

"No, silly," Shelley laughed, "But if I say she did, she'll get into major trouble! Maybe then she'll leave me alone!"

Questions to think about:

a. What is Marissa's role in this conflict? b. What actions could Shelley take to resolve her conflict with Marissa?

Module 3 Intellectual Property

Until relatively recently, Intellectual Property (IP) issues have not greatly worried universities and academics . . . [but] IP issues have now moved to the forefront in most universities, and questions of ownership and entitlement have become of pressing concern to university administrators, academics, students, government, and other outside bodies (Ann Monotti & Sam Ricketson, *Universities and Intellectual Property: Ownership and Exploitation*, Oxford University Press, (2003) 9-10).

What is Intellectual Property?

Intellectual Property simply defined is any form of knowledge or expression created with one's intellect. It includes such things as inventions; computer software; trademarks; literary, artistic, musical, or visual works; and even simply know-how. (From *Intellectual Property Guidelines for Graduate Students and Supervisors at the University of Alberta*.)

As a graduate student, you will create intellectual property throughout your program. Every paper you write, including your capping project, thesis, or dissertation, is your intellectual property; but your intellectual property may take other forms as well. You may invent new computer software, write a play, or create a work of art. You may also create intellectual property in collaboration with your supervisor, another faculty member, or another student or group of students. You may create intellectual property as a research assistant or while conducting research under a grant or contract. Your intellectual property may have commercial potential. Your teaching notes are your intellectual property.

The fact that students and faculty are creating intellectual property, often in collaboration with others, means that there is always the potential for problems and disputes. As a graduate student, you need to understand some IP Basics in order to avoid problems and to deal with disputes if they arise.

- For this module, please read the University of Manitoba Intellectual Property Policy at http://umanitoba.ca/admin/governance/governing_documents/community/235.htm

AND

- [A Guide to Intellectual Property for Graduate Students and Postdoctoral Scholars PDF](#) (a very informative resource developed by the Canadian Association for Graduate Studies)

Questions Graduate Students Should Ask About Intellectual Property

- What is intellectual property?
- How can I protect my intellectual property?
- What is the University of Manitoba's policy regarding intellectual property?
- As a student of the University of Manitoba, do I have intellectual rights?
- Who else will be collaborating on this project?
- If I am being supported by a fellowship, scholarship, or research grant, who owns the intellectual property?
- What rights does my supervisor have to any discovery or invention I make?
- Who owns the data produced in my research project?
- Can I take my data with me when I leave the University?

Angel Learning: GET

- When is someone a joint inventor or joint author?
- If I have a dispute with my supervisor with respect to intellectual property and/or co-authorship rights, where do I go for help?

Supplemental Readings

For additional reading on the subject of Intellectual Property, please see:

- Corynne McSherry, *Who Owns Academic Work? Battling for Control of Intellectual Property* (Cambridge, Mass. & London: Harvard University Press, 2001).
- Ann Monotti & Sam Ricketson, *Universities and Intellectual Property: Ownership and Exploitation* (Oxford: Oxford University Press, 2003).
- David Vaver, *Intellectual Property Law: Copyrights, Patents, Trade-Marks* (Concord, ON: Irwin Law, 1997).
- [University of Manitoba Intellectual Property Policy - University of Manitoba Governing Documents: Patents and Copyright](#)
- Industry Groups Petition for Data on Salt and Hypertension, Science, <http://www.sciencemag.org/cgi/content/full/300/5624/1350>
- An International Framework to Promote Access to Data, Science, <http://www.sciencemag.org/cgi/content/full/303/5665/1777>
- Company, Researchers Battle Over Data Access, Science, <http://www.sciencemag.org/cgi/content/full/290/5494/1063>
- Academic Integrity document http://umanitoba.ca/faculties/graduate_studies/media/AcademicIntegrity_200804.pdf
- University Teaching Services Handbook for Teaching at the University of Manitoba http://umanitoba.ca/admin/images/UTShandbook_Oct07.pdf

This resource has many articles pertaining to academic integrity and graduate student life, e.g.;

"Academic Integrity: The Responsibilities of the Instructor", by Brandy Uzick, (Section 3.94)

"Cultural Competence and Respectful Environment" by Rosalyn Howard (Section 1.12)

"Teaching and Learning for Aboriginal Students", by Kali Storm (Section 1.2)

- Next Steps in the Schön Affair, Science <http://www.sciencemag.org/cgi/content/short/298/5593/495>
- Historical Fraud and the Seduction of Ideas: The Poulshock Case: <http://hnn.us/articles/568.html>

Intellectual Property - Case Studies for Quiz

1. Mine, all mine!!!

Donna has recently completed her PhD, and is leaving to take up a Post-Doctoral Fellow appointment at another University. She and her supervisor, John, had agreed to publish three papers together, based on their joint research (which John funded), but they had an argument about money recently and are now not speaking to each other.

Donna can't wait to leave, but she is worried that John will take the field data she collected and publish without her. As she is packing up her personal belongings from the lab, she decides to take her lab and field notebooks as well as several of her field samples with her. She copies her data analyses onto backup disks and erases the files from the lab computer. There, she thinks, my rights are protected. John won't be able to steal my work.

Questions to think about:

a. Should Donna take the notebooks, samples and disks? b. Assuming that Donna decides not to take the data with her, what would be the most appropriate way to resolve this situation?

2. Sharing the Wealth and Credit

Michael is a doctoral candidate in History. His supervisor, Professor Bigshot, has an international reputation supported by a large number of publications in top-notch journals. She is a popular supervisor, and most of her graduate students have tenure-track positions. One reason for her popularity with her students is that she offers them authorship credit on nearly all of her papers after they read her drafts and comment on them.

She is always the first author, but it is not uncommon for her to share authorship with one or two students. Michael is no exception. Dr. Bigshot has named him as a co-author on three papers. In return, he has named her as a co-author on a paper he has submitted to a journal.

One day, Michael received an unexpected and unwelcome invitation to meet with the Dean of FGSR to answer questions about alleged falsification of sources in one of Dr. Bigshot's published papers. Michael is named as the co-author of the paper.

Questions to think about:

a. If you were the Dean, and you found that the sources were falsified, would you hold Michael responsible along with Dr. Bigshot? b. When is it appropriate to claim co-authorship of a publication?

3. Shame and Sensitivity

Janet submitted a paper on Jane Austen to the Prestigious Journal of Film Studies. The paper contained some work done by her ex-boyfriend, Mike, but Janet had named only herself as author. A few months after she had submitted the paper, Jane received an email from the journal's editor. The editor said that she liked the paper but wanted her to make some minor revisions before the paper would be accepted for publication.

Janet agreed to the revisions and began working on them. As she worked on the paper, she began to feel a little guilty about not naming Mike as co-author. She even realized that she missed him a little bit. Maybe she should call him and ask him to go for coffee - and wouldn't it be nice if she could tell him that he had a forthcoming publication!

She finished the revisions, added Mike's name as co-author and sent the paper back to the journal with a note explaining that Mike's name had been omitted accidentally in the first version.

Questions to think about:

a. When should authorship of papers be discussed? b. How do journals handle authorship changes on papers?

4. The Research Wisdom of Solomon

Miranda designed a research project for her M.Ed. thesis that required her to work with young students in the public school system. Using his contacts, her supervisor helped her pitch the project to a local school board. The board received the project with enthusiasm and not only gave her the access to their classrooms and students that she required, they offered to provide funding to cover the costs of conducting the research.

Miranda agreed quickly and, after seeking and receiving all of the appropriate ethics approval, conducted her research. The results were excellent and both her supervisory committee and the school board were very pleased. Shortly before she was to defend her thesis, Miranda was contacted by the school board with the good news that they had decided to pursue a larger research project based on her work.

They understood that Miranda was leaving for another university for her Ph.D. and therefore would likely not participate in the project but they promised that she would be given credit in some fashion in any future publication. They also asked Miranda to request a temporary waiver on publication of her thesis so they could get a jump on the project before anyone else came up with the same idea.

When she adamantly refused, arguing that she needed the publication of the article as soon as possible for her career and that she planned to pursue similar research for her Ph.D., they reminded her that they had paid for most of the costs of the research.

Questions to think about:

a. Who owns the data when the research has been funded by another organization? b. Was a contract written up between Miranda and the school board?

Module 4: Integrity and Scholarship

Integrity is the cornerstone of the academy in order for our research and writing to have any credibility, it must be undertaken honestly and diligently. All scholarly research is built upon research undertaken by previous scholars. The assumption is that previous work was also done honestly and is reliable. Without that understanding, research would not be worth the paper it was written on. Because we trust that prior scholarly work is reliable, it must be acknowledged if it is used, whether the borrowing consists of exact words or phrases or simply building on others' ideas.

Section 7 of the General Academic Regulations and Requirements of the University explains some of the types of plagiarism and cheating.

Plagiarism and Cheating

Plagiarism or any other form of cheating in examinations, term tests or academic work is subject to serious academic penalty (e.g. suspension or expulsion from the faculty or university). Cheating in examinations or tests may take the form of copying from another student or bringing unauthorized materials into the exam room (e.g., crib notes, pagers or cell phones). Exam cheating can also include exam impersonation. (Please see Section 4.2.8 on Exam Personation). A student found guilty of contributing to cheating in examinations or term assignments is also subject to serious academic penalty.

To plagiarize is to take ideas or words of another person and pass them off as one's own. In short, it is stealing something intangible rather than an object. Plagiarism applies to any written work, in traditional or electronic format, as well as orally or verbally presented work. Obviously it is not necessary to state the source of well known or easily verifiable facts, but students are expected to appropriately acknowledge the sources of ideas and expressions they use in their written work, whether quoted directly or paraphrased. This applies to diagrams, statistical tables and the like, as well as to written material, and materials or information from Internet sources.

To provide adequate and correct documentation is not only an indication of academic honesty but is also a courtesy which enables the reader to consult these sources with ease. Failure to provide appropriate citations constitutes plagiarism. It will also be considered plagiarism and/or cheating if a student submits a term paper written in whole or in part by someone other than him/herself, or copies the answer or answers of another student in any test, examination, or take-home assignment.

Working with other students on assignments, laboratory work, take-home tests, or on-line tests, when this is not permitted by the instructor, can constitute Inappropriate Collaboration and may be subject to penalty under the Student Discipline By-Law.

An assignment which is prepared and submitted for one course should not be used for a different course. This is called "duplicate submission" and represents a form of cheating because course requirements are expected to be fulfilled through original work for each course.

When in doubt about any practice, ask your professor or instructor.

The Student Advocacy Office, 519 University Centre, 474-7423, is a resource available to students dealing with Academic Integrity matters.

Principles of Academic Integrity

There are very important reasons to ensure that academic work is undertaken honestly and fairly. Students who pass courses or receive degrees based on work that is not their own or that is fraudulent not only bring consequences on themselves, but there are implications for the entire University community:

- Those who cut corners and misrepresent their work are cheating other students who conduct their research honestly.
- Other scholars are cheated if they base their research on inaccurate data or misappropriated words and ideas.
- Withholding citations cheats the original author of proper acknowledgment.
- Other degrees granted by the university are cheapened by those receiving them under false pretenses.

Students attend University, study and conduct research in order to learn, not just to obtain a degree. In order for the University to offer an environment conducive to integrity, the following principles must be applied:

Honesty - Honesty is one of the hallmarks of integrity. It builds trust; it is respectful of others and show accountability and responsibility. It is one of the basic tenets on which universities and societies are built.

Trust - All academics must trust that the research undertaken before them was done ethically. In a community where members rely on each other for valid research and accurate writing, trust is absolutely essential. Each scholar, researcher and writer on campus is responsible to build trust in his or her work by diligently reporting findings and providing legitimate argumentation and documentation to support them.

Fairness - As discussed earlier, academic dishonesty is unfair to everyone in the university community, from peers to professors to alumni. Unfair advantage over other students is only one issue.

Respect - The issue of respect relates to original researchers and authors getting the credit they deserve, but also to colleagues, peers, supervisors and others who support students throughout a degree. Many people work very hard to ensure that students are able to do the best work they are able. Discovering academic dishonesty is often a personal affront to someone who has been invested in teaching or otherwise supporting a student.

Responsibility - Each member of the campus community has the responsibility to uphold integrity at the university. Students are responsible for producing honest, thoughtful and diligent work; instructors are responsible for providing students with the tools to learn their subject areas; supervisors are responsible for guiding and advising students throughout their degrees; and administrators are responsible for ensuring appropriate standards are applied fairly and consistently. Lapses in these responsibilities affect the entire community and impede authentic teaching, learning and research.

Questions Graduate Students Should Ask Relating to Scholarship and Integrity

- What can I do to ensure that my actions do not lead to a question of plagiarism?
- Are there guidelines available to help identify when and how information should be referenced?
- What are the repercussions of plagiarism and cheating?
- How do I deal with research results that do not support current ideology/expectations?

Note on Journal Submissions

Just as with course work, students are responsible for the form of expression and properly crediting the nature of ideas when submitting work to a journal. Co-authorship is common practice in publishing journal articles, albeit less common in some disciplines than others, and all stated co-authors are responsible for the material presented

in their publication. Unlike course work, journal submissions are not graded and credit is not given for the work. There is usually greater flexibility in the level of editing assistance that can be employed. You may find you receive more editorial assistance from a journal than in a course, which assists the journal in keeping a more consistent writing style throughout its publication.

Campus Sources of Assistance

- Department support staff and FGS Deans are available to discuss all issues relating to a graduate degree program
 - [Support Staff Contact List](#)
 - [FGS Contact List](#)
- Departmental Graduate Chairs
- Centre for Academic Integrity <http://www.academicintegrity.org/>
- Office of the University Ombudsman <http://www.umanitoba.ca/staff/ombudsman/>
- Student Affairs <http://umanitoba.ca/student/>
- Faculty of Graduate Studies Academic Integrity
http://umanitoba.ca/graduate_studies/media/AcademicIntegrity_200804.pdf
- Virtual Learning Commons, Avoiding Plagiarism <http://www.umanitoba.ca/virtuallearningcommons/page/385>
- Virtual Learning Commons, Citing and References <http://www.umanitoba.ca/virtuallearningcommons/page/181>

Consult the Following Sources for More Information on Integrity and Scholarship

Altman, Ellen & Hernon, Peter, Editors. Research Misconduct: issues, implications and strategies. Greenwich, Connecticut: Ablex Publishing Corp., 1997.

Elliott, Deni & Stern, Judy E., Editors. Research Ethics: a reader. Hanover (HN): University Press of New England for the Institute for the Study of Applied and Professional Ethics at Dartmouth College, 1997.

Noah, Harold J. & Eckstein, Max A. Fraud and Education: the worm in the apple. Lanham, Maryland: Rowman & Littlefield, 2001.

Integrity and Scholarship - Case Studies for Quiz

1. In my own words

Kelly was working long hours on her thesis. She had done months of research and was in the final stages of pulling it all together. She came across a few pages of notes that were perfect for the conclusion to chapter four. She couldn't recall the circumstances under which she wrote these comments. Was she copying from a source or were these her own thoughts?

There were no quotation marks on her pages so she assumed it must have been her own notes from a moment of particularly insightful reflection. Besides, she really didn't feel like going back to the library again just to look up this one thing. After her thesis was handed in to her supervisor, Kelly felt she could finally relax.

She woke up suddenly in the night with her heart beating in her throat, she realized what she had done. Her notes were actually copied down from a source she found in the library and she had forgotten to write down the citation.

Later that week Kelly received an email from her supervisor telling her there was a problem with her thesis and she would have to come in for a meeting. Kelly was informed that her thesis contained a long passage of material plagiarized verbatim from an on-line article. In order to avert a plagiarism charge, she decided to write an email to her supervisor explaining that those were her thoughts from her own notes and that they were in no way plagiarized.

Questions to think about:

a. How would Kelly's actions be classified? b. What is Kelly's supervisor expected to do when plagiarism is discovered? c. What could Kelly do to rectify the situation? d. How could Kelly have prevented an accusation of plagiarism?

2. Cooking the Books

Archie was becoming frustrated with his research. He knew he could get the results he needed to support his claims but no matter how much time he spent in the lab, his results were not quite statistically significant. His supervisor was pressuring him for a draft of the next chapter in his dissertation and he didn't know what to do.

Finally, Archie decided to fudge the numbers slightly. He knew he could get the results he needed under ideal conditions, he just couldn't get the conditions just right. But he knew what the results would be under those conditions and he altered his data.

He didn't think it was a big deal. After all, he wasn't inventing the data; he was just massaging it slightly. The research was still valid, after all. He was sure no one would mind.

Questions to think about:

a. Why was Archie's behaviour problematic? b. What could possibly happen to Archie? c. How could Archie have prevented these problems?

3. Tutor Trouble

Coming to study at the University of Alberta from abroad was a dream come true for Jan. He had always wanted to study at a Canadian university but he worried about his ability to speak and write in English. Shortly after beginning his program one of his instructors asked him to write a brief paper. The 5 page paper took a long time to write and the professor criticized him for the lack of clarity in his use of language.

Jan vowed that he would do whatever it took to do better on future papers. He read extensively and enrolled in an ESL course through the Faculty of Extension. He also decided to hire an editor to review his papers before

submitting them. He sent the next paper to the editor and the editor returned it to him with errors in grammar and logic marked for Jan to fix.

Jan went through the paper and slowly and painstakingly fixed each of the errors. His professor praised Jan for the progress he had made from the first to the second paper but indicated there was room for still more improvement.

Jan was pleased with his progress but was frustrated that he had worked so hard and still had not achieved top marks. He decided to hire a different editor for his next paper, someone who would be more "hands-on." He gave the new editor a paper in point form, with all of the arguments developed and included the evidence required to support it.

The editor turned Jan's draft into a final written product. He made no changes to the content other than turning the paper into strong academic English. Finally Jan had a paper he was proud to call his own!

Questions to think about:

a. Are there differences between hiring someone to edit a paper for a course and for an academic journal? b. Whose work is truly being represented in the course submission?

4. Striking Similarity

Leanne took another sip of her coffee and rubbed her eyes. She knew she must be tired of the marking because the assignments were all starting looking exactly the same to her. She stretched, rubbed her eyes again and went back to the marking - grades had to be submitted in the morning and it was getting late.

She read the responses of the last paper she graded one more time. Finally, it struck her that she had seen those answers before - about 5 papers ago. She went back through her stack and, sure enough, the answers were virtually the same. In fact, one paragraph was a verbatim copy - but who copied and who actually wrote it? There was no way to tell from the papers.

Dr. Hassler had made it clear that her grading deadline was the next day - no exceptions. He had also made it imminently clear that he did not want to hear anything about plagiarism. He did not have the time or the inclination to deal with it so he instructed his TAs to just give any paper where they found cheating a grade of zero and move on. So, respecting his wishes, Leanne gave both papers a zero and just kept on marking.

Questions to think about:

a. What is the University's policy on plagiarism? b. What actions does Leanne expect the students to take?

Module 5: Graduate Student-Supervisor Relationships

The graduate student-supervisor relationship is one of the most important elements of a graduate program. It is crucial for graduate students (and supervisors) to understand the importance of this relationship. When the relationship between student and supervisor is strong, both parties benefit.

The student receives appropriate feedback and mentoring, is successful in his or her program, and is able to count on the supervisor for support as he or she pursues career or further education objectives. The supervisor enjoys intellectual exchange with the student, may co-publish papers with the student (which benefit him or her in annual reviews), and gains a colleague with whom he or she may have a long-term, friendly and collaborative relationship.

When the student-supervisor relationship is poor or breaks down, there are negative consequences for both parties. The supervisor may lose a research assistant or collaborator with valuable ideas. The student may not finish his or her program, which may mean a change of career plan. For both student and supervisor, a poor or severed relationship will likely mean considerable stress, anxiety, and long-term negative feelings.

In order for the relationship to work, both parties must be committed to treating each other with respect and to acting ethically at all times. Due to the nature of the relationship, there is the potential for abuse or unethical behaviour by either party.

As a student, you should feel that your supervisor is interested in you, your work, and your program. You should feel that you can approach your supervisor with questions and concerns. You should feel that your supervisor is knowledgeable about his or her field of research and about University regulations and policies related to your program. Finally, you should feel that your supervisor treats you fairly and respectfully, even when he or she must criticize your work.

In return, you should treat your supervisor with respect, and be prepared to accept and learn from feedback and criticism. Take responsibility for your own successes and failures, and develop your own knowledge of your field and of University regulations and policies. Be prepared to work independently and as a research partner. Ask questions, raise concerns, and address conflicts or disputes before they escalate. Understand that your supervisor has other commitments and responsibilities too. Be clear and honest about your needs. Don't expect perfection from yourself or your supervisor.

Roles and Responsibilities

A good first step toward developing a positive student-supervisor relationship is to have a clear understanding of roles and responsibilities. The [Faculty of Graduate Studies Roles and Responsibilities Manual](http://umanitoba.ca/faculties/graduate_studies/media/roles_and_responsibilities.pdf) (http://umanitoba.ca/faculties/graduate_studies/media/roles_and_responsibilities.pdf) outlines this information:

1. Graduate students

Graduate students are ultimately responsible for their own programs. They are expected to read the Calendar and any other relevant documents to become familiar with all regulations and deadlines relating to their programs. The students' fundamental responsibilities include ensuring that their registration is accurate and does not lapse, submitting appropriate forms to the department for signature and processing, and paying all fees required by the deadline dates set out in the Calendar.

Graduate students should:

- Make themselves aware of the contents of the graduate portions of the Calendar and take responsibility for their own programs in that the Calendar sets out the requirements for the various programs;

- Maintain open communication with their supervisor and Graduate Coordinator concerning any problem either real or perceived;
- Inform the supervisor regularly about progress, and provide the supervisor with an annual report for distribution to the supervisory committee;
- Make research results accessible (beyond their appearance in a thesis) to an appropriate audience;
- Be aware of deadlines for possible scholarship applications, and seek advice and assistance from the department in making applications, etc.

2. Supervisors

The supervisor is directly responsible for the supervision of the student's program. In this capacity, the supervisor assists the student in planning a program, ensures that the student is aware of all program requirements, degree regulations, and general regulations of the department and the Faculty of Graduate Studies and Research (FGSR), provides counsel on all aspects of the program, and stays informed about the student's research activities and progress. The supervisor is also charged with ensuring that students conduct their research in a manner that is as effective, safe, and productive as is possible. The supervisor must prepare a program of studies for the student, arrange for and attend all supervisory committee meetings and the candidate's examinations, ensuring that these are scheduled and held in accordance with FGSR regulations, and must review the thesis both in draft and in final form.

The supervisor with the support of the home department should:

- Provide an environment for the student that is conducive to research and in which the student can grow intellectually;
- Provide appropriate guidance to the student on the nature of research and the standard expected, and be accessible to give advice and constructive feedback; at the beginning of the supervisory relationship, the student should be made aware of the normal expectations held by the supervisor and the department;
- With the student establish a realistic timetable for completion of various phases of the program;
- Consider a graduate student as a "junior colleague in research";
- Ensure that there are sufficient material and supervisory resources for each graduate student under supervision;
- Work with the student to establish the supervisory committee as soon as possible after the start of the program and ensure that it maintains contact and formally meets at least once a year with the student;
- When going on leave or an extended period of absence, ensure that the student is adequately supervised by the provision of an acting supervisor (who should be a member of the supervisory committee);
- Ensure that the student is aware of his/her guidelines (as listed above) and, when necessary, assist the student in meeting these;
- Set up committee meetings and examinations after consultation and with full knowledge of the student.

Potential Problems

Graduate students interact with faculty members, including their supervisors, in a variety of ways. Faculty members may be instructors, employers, committee members, mentors, or research colleagues or all of these things in combination. This means that there is always potential for conflict over a number of different issues.

Some common issues include hours of work, nature and timing of feedback, personality clashes, and intellectual property. It is important to recognize that graduate students have rights, and that there are University policies covering many areas of potential conflict.

CUPE Local 3909 represents student Teaching Assistants at the University. A Collective Agreement has been established between the University and the Union to ensure the peaceful settlement of disputes and grievances and to set forth agreement covering rates of pay and other working conditions which shall supersede all other agreements between the Employer and the employees represented by the Union. The agreement is designed to protect graduate students by ensuring that employment arrangements are fair and abide by ethical standards.

The agreement is available on-line at: http://umanitoba.ca/admin/human_resources/contracts/cupe3909.pdf

Roles and Responsibilities: A Guide for Faculty and Students

(http://umanitoba.ca/faculties/graduate_studies/media/roles_and_responsibilities.pdf) is meant to assist a given unit in outlining the supplementary regulations as well as assign duties to its members. This Guide was prepared to facilitate program administration and a mutual understanding of the role and responsibilities of each member involved in offering a program. The guidelines outlined in this document recognize the importance of graduate education in the intellectual development and academic success of the student and the university.

Dealing with Problems

You will find more information about dealing with problems in other sections of this course, so we will not cover general conflict resolution here. If you encounter problems, there are many on-campus resources available to you. These include the GSA, FGS, Office of the University Ombudsman, Student Advocacy and Resource Services, and the Equity Services. It is always a good idea to obtain information about your rights and about University policies.

It is possible, but not always easy, to change supervisors. As a general guideline, the University expects you to try to resolve a dispute with your supervisor directly. If that does not work, you should speak to your Graduate Chair or Coordinator. You may also find it helpful to speak to an advisor at one of the campus offices listed above.

Graduate Student - Supervisor Relationship - Case Studies for Quiz

1. Head to Head

Dexter was tired of arguing with his Supervisor, Dr. Hover. They had always had different styles of working together - she liked to keep close tabs on him and he preferred to be left alone to do his work. She was insisting that he stick to his original plan of conducting a survey but he had decided that interviews would be the way to go.

He had been working on his research for some time already and truly didn't want to have to scrap all of the interviews he had already done. He had argued his case over and over, insisting that his way of recording the interviews was sufficiently similar to the original ethics proposal he had submitted to the Research Ethics Board (REB). Dr. Hover had repeatedly warned him that he needed to resubmit a more specific ethics approval request, or revert to the survey questions he had initially composed.

He was more than halfway through the interviews when he decided there was no point in arguing any further. So the next time Dr. Hover brought it up, Dexter nodded his assent and left it at that, never intending to go back to the survey but thinking that it was easier to apologize after the fact than to change his methodology at this stage of his dissertation.

Months went by, then a year, as Dexter completed the rest of his interviews and began writing. There had been no further mention of the REB approval forms from Dr. Hover - something Dexter considered a very good sign.

Maybe she had finally seen things his way and realized the interviews were much richer than some shallow survey. He eventually forgot all about it, assuming the issue was resolved. Meanwhile, he and Dr. Hover were hardly speaking at all. He was somewhat relieved to have a break from her, especially since the last few meetings they had were quite heated.

He was happy to have the time to cool off before they had to talk again. Besides, she was finally giving him the space he had always wanted. He thought he really must have gotten through to her in their last exchange!

Finally a draft was finished! He had received an email a week before from Dr. Hover saying that she hadn't heard from him in a long time and needed to see his progress. Wouldn't she be pleased to see an entire draft?! He realized it was still pretty rough, but he was proud to have been so independent in his work.

He put the whole thing in a large brown envelope and placed it in Dr. Hover's departmental mailbox late on Saturday night. She would come in Monday morning to see how productive he had been! Then it was off to RATT for a celebratory drink with his friends.

Questions to think about:

a. What is the purpose of the Research Ethics Board? b. What is Dexter's responsibility to his supervisor?

2. Publishing without permission

Dr. Stickler has a standing policy that all members of his lab must show any papers they plan to submit for publication to him first. He explains to every new member of the lab team that this policy ensures that he can provide feedback on submissions and protects the lab group's research from premature disclosures.

One afternoon, after a lab meeting, Dr. Stickler asks to see Lisa, a first-year PhD student, in his office. When she gets there, he closes the door and hands her a copy of the paper she published recently in the Prestigious Journal of Medicine. She is the sole author of the paper. Her by-line mentions that she is part of Dr. Stickler's lab at the University of Alberta.

Why didn't you show this to me before you submitted it? He asks her. Lisa shrugs. "It's just a literature review," she says. "I've got the right to publish. What's the problem?"

Questions to think about:

a. What is Dr. Stickler's concern? b. How should Lisa Respond to this situation?

3. Yan's story

Yan was very grateful to his supervisor for giving him a research assistant position in her lab. He worked very hard, spending 12 hours in the lab every day, including weekends. He understood that being a researcher means long hours in the lab. His supervisor was always in meetings with other faculty members or with the company funding their research, so she needed someone to

look after the experiments. Sometimes, though, he wished she were around more often so that he could ask her questions and get feedback on what he was doing.

Yan began to experience pain in his stomach. He worked through it for a few weeks, but finally took a couple of hours off and went to see a doctor. The doctor told him he had a bleeding ulcer and needed at least two weeks off work.

Questions to think about:

a. What should Yan do? b. What could Yan do if his supervisor refuses to give him the time off?

4. Friend or Foe

Ben had an excellent relationship with Dr. Goodfriend, his supervisor, both professionally and personally. The two shared interests in several academic areas and enjoyed many of the same social pursuits, including a love of Friday night beer drinking. Both were new to Edmonton and had few friends in the area. The two travelled frequently together to conferences, sharing expenses and carousing across North America.

The first two years of Ben's Ph.D. went smoothly and he quickly finished his coursework and his candidacy exams. He and Dr. Goodfriend would meet weekly to discuss issues related to Ben's program, their shared discipline, and life in general. Ben came to appreciate these discussions as a high point of his week. For Ben, the meetings became his primary source of emotional as well as intellectual support.

Shortly into Ben's third year, after he had begun to focus on his research, he and Dr. Goodfriend began to spend less time together. Dr. Goodfriend took on additional graduate students and expanded his own research. He had also become engaged and was now focusing his social life away from the University.

Their Friday night outings became less frequent before eventually stopping entirely. At the same time, their weekly meetings became biweekly, then monthly, and then, by the end of the third year, they only met when one of the two had a specific research issue to discuss.

Although Ben had to honestly admit that he really didn't need the same kind of input from his supervisor as he had early on in his program, he missed what he considered to be a valuable friendship. He tried to cultivate the social side of the relationship by extending invitations to social outings and leaving small gifts in Dr. Goodfriend's mailbox.

He would also send him regular emails that explored his thoughts and feelings. Dr. Goodfriend always declined the invitations and eventually sat Ben down to discuss the need to keep their relationship professional. He asked Ben to stop sending him gifts and encouraged him to find interests and friends outside of the university. Ben felt that Dr. Goodfriend had abandoned him emotionally.

Although he remained outwardly cordial to Dr. Goodfriend, Ben seethed with resentment over the loss of their close friendship. Over time that resentment grew into anger and a decision that Ben would find a new supervisor no matter what the cost. Ben began approaching other potential supervisors about switching but found they were reluctant to take on a student in his third year without substantive reason for the switch.

Questions to think about:

a. What are Ben's options for completing his program? b. If Ben did switch supervisors, what considerations may he need to make regarding his research? c. Did Dr. Goodfriend deal with the situation in an appropriate manner?

Discussion Topics - Blog Site

Wherever we turn someone is dealing with an ethical question or issue. Whether we realize it or not, many of the decisions we make are based on some ethical decision-making process. This section contains everyday ethical situations which you may have encountered personally. We'd like you to read the ethical situations and give some thought to how you might deal with them.

By using the Discussions option on the left of your screen, you may also access the discussion postings. These discussions are not graded or monitored. Your participation is, for all intents and purposes, anonymous. This is an opportunity for you to see how other graduate students may respond to the same issue.

It is important to abide by the rules of Netiquette and to respect other participants of discussion group. Here are 9 topics that you can post your comments to fellow students.

It's not my problem

You're driving to an important meeting. You'll just make it on time. Suddenly there's an accident in front of you. From what you can tell, you're the only witness. Do you stop to give your name? Would any of these situations make you think differently?

- The accident is minor, a fender bender
- The accident is major
- The accident involves a child
- The accident involves a senior citizen
- The meeting is something you can easily reschedule
- The meeting is something you can't easily reschedule
- You have a cell phone with you

It's only a pen

You work for a company. 1. Would you take home a company pen? Would you take a company notepad? Is there a dollar value above which you would not take something home (\$1, \$5, etc.) 2. Would it make a difference whether the company was a wealthy multinational like a bank or a small locally owned and operated business?

It's the company's computer

One day you return to your desk at work and discover someone has been looking through your computer files. 1) Are you angry or upset because someone has invaded your privacy? 2) Do you accept this behaviour because the computer belongs to the company and there's nothing to hide? 3) Would any of these change your view?

- One of our fellow workers went into your computer
- Your immediate supervisor accessed your computer

o The owner of the company accessed your computer

- Just a teeny-tiny nibble. You're grocery shopping. You want grapes. You have four kinds to choose. 1) Would you sample one of each? 2) If you didn't buy any, would you feel guilty? 3) Would you be more likely to sample the grapes at a big grocery store that could afford to have 100 people do the same thing as opposed to a small grocery store? 4) Would you do the same thing with a larger piece of fruit like an apple or banana?

Microsoft Rules

You've just bought a new piece of software for your computer. 1) Would you make a copy of it? 2) Would the price of the software influence your action of copying it? 3) Would you lend it to a friend to load onto his/her computer? 4) Would you load a piece of software that someone lent you, knowing full well you are breaking copyright laws? 5) Would you conduct business using software that you had copied from someone else?

Sold as is

You are selling a car. A potential buyer drives the car, likes it, and the price. He asks if there's anything wrong with the car. You know there is. 1) Do you tell the person what the problem is? (You'd hope someone would do that for you if you were buying the car). 2) Do you not tell the person, sell the car and give him a bill or sale that says Sold As Is. After all, it is his responsibility to have the car checked out, not your responsibility to give him a list of everything that doesn't work.

Vitaleum for your hair

Your company has created a new product. Your marketing expert has come to you with a brilliant marketing campaign but it is based on junk science and verges on but does not cross the lines of false advertising. The advertising gimmick is that this product comes with invigorating Vitaleum. Do you go with the campaign? What else might you do?

We coulda been contendin'

You coach a soccer team for girls ages 10-12. League rules state you must give all players equal time per game (as equal as possible). Your team is down by one goal in the championship game. Your best player has played more than her fair share of the time and scored the only goal. Your weakest player hasn't played at all. 1) Do you abide by the league rule and put in the weakest player? 2) Do you keep the best player out and hope for the win?

We pay cash for videos

Television stations pay amateur videographers (anyone with a camcorder) money for video the station uses on air. The cash awards are often about \$100 and the videographer's name goes into a draw for an annual grand prize that can be worth thousands of dollars. So, one day you're driving and come across an accident. Emergency crews are already on the scene. Do you grab your camcorder, videotape the scene and then drop off the video at a television station? What if the accident involved a close friend or neighbour? What if it involved a celebrity?

Appendices

Places that offer Student Support for Graduate Students

Occasionally graduate students will find themselves in a situation of conflict. Most often these issues are settled informally among the people involved. Sometimes these issues require more assistance which can be facilitated by the departmental Graduate Coordinator or Chair. When a student wishes to discuss these issues with people outside of their department, or if they require assistance to explore how to proceed with an issue, there are several other offices that can be of assistance.

Faculty of Graduate Studies

Associate Deans within the Faculty of Graduate Studies, to which all graduate students belong, are able to offer confidential advice on issues as they relate to conflict resolution, intellectual property, and academic programs. The Faculty has authority to take action on issues as it relates to students.

Virtual Learning Commons

There is some useful information regarding how to avoid plagiarism and the proper use of copyrighted material in your thesis. <http://www.umanitoba.ca/virtualllearningcommons/page/1738>

Office of Student Advocacy

The Student Advocacy Office provides confidential centralized services (see [Privacy Policy](#)) for receiving student complaints and grievances. This centre serves as a general information source for students regarding their rights and responsibilities. Students are assisted in the resolution of any problems or concerns resulting from academic and/or discipline decisions. Students are advised of policies and procedures to follow, both informally and formally via appeals. Where appropriate, referrals will be made to other campus resources.

Equity Services Office

The mission of Equity Services is to promote a respectful working and learning environment in which individuals are treated equitably and diversity is valued.

Equity Services works to prevent discrimination and harassment at the U of M by:

1. Promoting, supporting and administering the [University of Manitoba's Respectful Work and Learning Environment Policy](#) in order that students and employees recognize and protect their important rights free from harassment and discrimination.
2. Striving to eliminate systemic barriers in employment systems and developing a representative workforce.

Equity Services, 515 Drake Centre, University of Manitoba, Winnipeg, MB, R3T 5V4, Canada

Tel 204-474-7491 Fax 204-474-7537 Email birrellp@cc.umanitoba.ca

Graduate Students Association

The University of Manitoba Graduate Student's Association (GSA) is the student-run association for graduate students at the University of Manitoba. Each graduate student is automatically a fee-paying member of the association, and as such, the GSA represents graduate students from all disciplines. This diversity of representation is reflected on the Association's council, made up of many different department representatives.

With over 3,000 members, the GSA is the official voice of graduate students to the Faculty of Graduate Studies, as well as to other levels of Administration at U of M. The GSA serves two dual purposes in providing its membership a wide variety of benefits and services: representation and advocacy on behalf of graduate student issues, and provision of services to its members, including travel grants, the Gradzette, and bursaries for students. Of the fees collected, some money is also allocated to department councils in the form of departmental grants.

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Ethical Use of Animals

In May 1999 the Canadian Council on Animal Care (CCAC) announced that all persons working with animals in research, teaching and testing must participate, or have participated in an Institutional Animal User Training Program, effective January 2005.

The University of Manitoba is committed to maintaining high standards of animal care and use in animal-based research, teaching or testing.

The use of animals in research, teaching or testing is a privilege that is extended when a justifiable need is established. Accordingly, all animal care and use must be reviewed and approved by a *Protocol Management and Review Committee* prior to commencement. It is the responsibility of those needing to use animals to provide sufficient information to the Committee in order that an informed ethical decision can be made regarding their request to use animals.

A mandatory education program is required to ensure that all personnel involved in the care and use of animals in research, teaching and testing at the University of Manitoba are adequately trained in the principles of laboratory animal science and the ethical use of animals, and that they have the necessary practical skills required to conduct sound, humane research using animals.

The program is divided into two components: didactic and *hands-on* wet labs.

The didactic component is delivered online via *Angel*. It is **mandatory** for all personnel to update themselves in the didactic core components of the training program **once every five years**.

Wet lab attendance is dependent upon the work being conducted. Sessions are assigned on an individual basis.

New personnel must complete the animal user training course (online) before they can begin their animal work.

Please refer to the Animal Care website for more information:

http://umanitoba.ca/research/ors/ethics/animal_care.html

For more information contact:

Office of Research Services - Ethics

208 - 194 Dafoe Road

University of Manitoba, Winnipeg, MB R3T 2N2 Canada

Tel 204 . 474 . 8880 Fax 204-269-7173 Email research@umanitoba.ca

Human Ethics

Much of the research being done in the university environment involves living human subjects and/or human remains, cadavers, tissues, biological fluids, embryos or fetuses. Since human subjects come in different ages, genders, social and economic backgrounds, faculties and departments follow specific ethical guidelines for dealing with those individuals.

The University of Manitoba is committed to protecting the rights and welfare of human subjects participating in research studies.

All research projects involving human subjects conducted at, or under the auspices of the University of Manitoba, require prior ethics review and approval by a Research Ethics Board (REB).

Research Ethics Board approval is required

- for research that is funded or non-funded
- regardless whether the funding is internal or is from an external source;
- when participants are drawn from the University or from any other sources;
- when the research is conducted in Canada or elsewhere;
- when the research is conducted on University property or elsewhere;
- when the research is conducted in a laboratory or in the field;
- when the research is conducted in person or by some other means (e.g. mail, telephone, internet);
- when the research is experimental, correlational, qualitative, or descriptive in nature;
- when the research is a pilot study or a fully developed project;
- when information is collected via direct observation, apparatus, questionnaire, interview, or review of records or other materials not normally available to the public;
- regardless of whether the research is not intended for publication or public presentation.

For more information contact

Office of Research Services – Ethics

208 - 194 Dafoe Road

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Research Involving Aboriginal Peoples

1. Tri-Council Policy Statement

While the Tri-Council Policy Statement does not lay down rules for research involving Aboriginal Peoples, it does suggest Good Practices and has a short section pertaining to this topic. See:

http://umanitoba.ca/research/media/TCPS_gov_canada_statement.pdf

2. University of Manitoba Policy #1406 - THE ETHICS OF RESEARCH INVOLVING HUMAN SUBJECTS

In 1994, the Tri-Council Working Group on Ethical Conduct for Research Involving Human Subjects was created by the Presidents of the three major national research funding councils (the Medical Research Council of Canada

(MRC), the Social Sciences and Humanities Research Council of Canada (SSHRC) and the Natural Sciences and Engineering Research Council of Canada (NSERC)).

The University of Manitoba is committed to complying with the intent of the Tri-Council's policy statement. The present policy affirms the TCPS and articulates the core principles governing the conduct of human research at the University of Manitoba. Under this policy, all research projects involving human subjects conducted at, or under the auspices of, the University of Manitoba require prior ethics review and approval by a Research Ethics Board (REB).

3. Other Campus Resources

(a) School of Native Studies The School of Native Studies does not offer any graduate level courses, however has two relevant courses:

NS 390: Community Research Methods An introduction to the basic concepts, principles, and issues in the area of community research. The objective of the course is to both apply and critique a range of research methods and to describe different facets of a community. Research methods, particularly in relation to the oral traditions of Indigenous peoples, will be a focus of the course. Prerequisites: NS 210 and 211 and one other 300-level NS course.

NS 490:Community-Based Research A seminar exploring the issues in the area of community-based research. The course will be organized primarily around the examination of case studies. Methodological concerns will focus on the political, cultural, ethical, and practical aspects of conducting community-based research in conjunction with Native groups and communities. Prerequisite: NS 390.

(b) Faculty of Education The Faculty of Education has a relevant required graduate level course within the Indigenous Peoples Education program specialization: EDPS 601: Indigenous Research Methodologies

4. Other Resources

- Background Paper on Issues of Group, Community or First Nation Consent in Health Research
http://www.umanitoba.ca/centres/centre_aboriginal_health_research/researchreports/Summary%20and%20background%20paper-consent%202004%20Kaufert%20J.pdf
- Ethics in the Context of Research and Indigenous Peoples: A bibliography by Vera Caine,Caroline Davis, Travis Jacobs, Angeline Letendre (2002)
http://www.uofaweb.ualberta.ca/acadre//pdfs/Aug_04_joint_Ethics_Bibliography.doc
- Protocols and Principals to Conducting Research in an Aboriginal Context (2003)
http://web.uvic.ca/igov/programs/masters/igov_598/protocol.pdf
- Ethics of Aboriginal Research, Journal of Aboriginal Health by Marlene Brandt Castellano (January 2004)
http://www.naho.ca/english/pdf/journal_p98-114.pdf
- Alberta ACADRE (Aboriginal Capacity and Developmental Research Environments)
<http://www.acadre.ualberta.ca/>
- Report of the Royal Commission on Aboriginal Peoples: http://www.ainc-inac.gc.ca/ch/rcap/sg/cka5di_e.pdf
- Protocols and Principles for Conducting Research in an Indigenous Context, University of Victoria, British Columbia <http://web.uvic.ca/igov/uploads/pdf/protocol.pdf>
- Ethics Tool Kit and Considerations and Templates for Ethical Research Practices by First Nations Centre of the National Aboriginal Health Organization: <http://www.naho.ca/firstnations/english/resources.php>

Angel Learning: GET

- Information Centre on Aboriginal Health, Research (many links)
<http://www.icaah.ca/content/en/topics/subtopic/section.php?tcid=107&stcid=176>
- The Alberta ACADRE Network Community Reports
<http://www.acadre.ualberta.ca/nav02.cfm?nav02=57123&nav01=56454>
- Health in Action, Web Connections - Health Promotion (Aboriginal Peoples issues) <http://www.health-in-action.org/node/189>
- Student Researchers Negotiating Consent in Northern Aboriginal Communities by Colleen M. Davison, Micaela Brown, and Pertice Moffitt, International Journal of Qualitative Methods 5 (2) (June 2006)
http://www.ualberta.ca/~iiqm/backissues/5_2/PDF/davison.pdf

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Environmental Ethics

Regardless of whether one is working indoors or outdoors, it is important to consider the potential adverse environmental effects of one's research and do what is possible to avoid or minimize unwanted environmental consequences.

For those working indoors, there are issues of radiation safety, chemical safety, and biosafety (including the generation, storage, use and disposal of recombinant and transgenic organisms). Further information can be obtained from the University's office of [Environmental Health and Safety](#).

For researchers working out of doors, it is strongly advised that the landowner/land manager be contacted prior to beginning research, be apprised of all planned research, and be requested to provide permission for all research activities. For research conducted on public lands, the [Manitoba Department of Sustainable Resource and Policy Management](#) would be the first point of contact.

In addition to ensuring that landowners and land managers are informed of research activities planned for their property, there are several additional issues that researchers should consider:

If there is likely to be use of genetic resources and/or traditional knowledge, consideration should be given to intellectual property rights. The [World Intellectual Property Organization](#) can provide additional information.

If exotic organisms are being brought into Canada for research, regulations of the [Canadian Food Inspection Agency \(CFIA\)](#) must be consulted.

Even if all policy regulations and laws are met, researchers should be careful not to cause unnecessary environmental damage. Balancing the need to do research efficiently with the need to minimize environmental impact is not simple. A number of codes serve to remind researchers of their obligation to protect the environment. The link below provides an example from the [World Federation of Engineering Organizations Committee on Engineering and the Environment](#).

Other societies and groups provide documentation addressing environmental ethics, such as

- [International Society for Environmental Ethics](#)
- [Centre for Environmental Philosophy](#)
- Stanford Encyclopedia of Philosophy a general discussion about the history and development of Environmental Ethics. <http://plato.stanford.edu/entries/ethics-environmental/>