



# Roles & Responsibilities

A Guide for Faculty and Students

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## ***Introduction***

Success of a Graduate Program depends on an open and intellectually driven process involving a number of partners. The combined efforts of the Faculty of Graduate Studies, student, advisor, advisory committee, the department and the university ensure successful advanced training in a specific field of study. The training program is to foster a sense of critical observation, analysis and interpretation skills for the student as well as promote self-directed learning, knowledge and organizational skills. It is important to recognize that the key partners are the Students and the Advisors. The head of the unit offering the Program can define the role and responsibilities of each partner. This Guide 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.

## ***INDIVIDUAL ROLES AND RESPONSIBILITIES***

### **Faculty of Graduate Studies**

The office of the Faculty of Graduate Studies (FGS), under the leadership of the Dean, ensures that each graduate program is governed according to the Guidelines and Policies of the Faculty of Graduate Studies and that each program runs in an equitable and fair manner (see Academic Guide of the Faculty of Graduate Studies).

### **Faculty Dean of a unit offering a graduate program**

- Recognize and support in principle each department and faculty members, staff and students engaged in graduate studies.
- Allocate appropriate resources towards the successful execution of the graduate programs offered by each unit.

### **Department Head**

The department head is ultimately responsible for ensuring that the graduate program of the unit is operating according to the guidelines of FGS and by their departmental supplementary regulations.

The specific responsibilities are:

- Develop a committee structure to administer the graduate program. Identify and define the role of a "Graduate Chair" and provide the name of the advisor, and advisory committee and his or her own role and responsibilities.
- Ensure that the department has a set of guidelines and criteria for admission of students and completion of their programs.
- Formulate specific guidelines if work experience is to be included as one of the admission criteria.
- Ensure that the supplementary regulations for administering the graduate program(s) are well defined and outlined in an official document (this document needs FGS approval)
- Provide mentorship to new faculty members as graduate advisors.
- Ensure that each student receives a letter of offer indicating the area of study, the name of the advisor, financial support (availability, the amount, source and duration).

- Define the applicable terms and conditions for each student (including those students who hold a fellowship or scholarship) receiving financial support from a departmental fund or from an individual operating grant. The terms and conditions must address the issue of top-up or supplemental financial support.

### **Graduate Chair**

*(Depending on the size of a unit, a Graduate Chair may perform the following duties with the help of a committee)*

- Serve as a liaison person between the unit and FGS. Ensure a committee is in place to administer graduate programs including admission, assigning an advisor and advisory committee and reporting on student progress.
- Ensure that students' files are current with respect to the address of the student, name of the advisor and the advisory committee members and to inform FGS of any changes.
- Inform all members of the department engaged in graduate education about the Academic Guide, FGS regulations, requirements and any supplementary regulations as well as important deadlines.
- Ensure that the students are made aware of workshops offered by CHERD (Centre for Higher Education Research and Development) and FGS specifically for graduate students.
- Organize students' orientation to the department and the resources available to them.
- Assign and/or chair Master oral examinations.
- Provide the student with information about the role and responsibilities of the advisor, and advisory committee and his or her own role and responsibilities.
- Monitor implementation of the Department Head's decision regarding the student's access to an assigned advisor and to a designated acting advisor in the case of the advisor's absence (research study leave or leave of absence).
- Ensure that the student has formally submitted to the advisory committee a research plan, including well-stated objectives and a path for achieving them.
- Ensure the student meets the advisor or advisory committee to discuss coursework, research program, progress and future plans.
- Ensure that collaborative research (interdepartmental, inter-university or with an outside research institute) is identified and that the specific role of each unit is clearly defined.

### **Graduate Advisor**

The advisor is not only a mentor to the student but also provides leadership in forming the partnership with his/her students, the department, and the advisory committee. The following responsibilities are for the advisor to ensure equitable and high quality academic training to the students:

- Inform and update the student of his/her academic and holiday schedule on a regular basis so that the student is aware of how much time and when access can be reasonably expected from the advisor.
- Seek and provide the student with adequate financial support, where possible.
- Present the student with a research topic(s) ensuring that the research plan is well defined, realistic and manageable within the allocated time frame for successful completion of the program.
- Ensure that within the first six months to a year, the student has:

- (i) an advisory committee
  - (ii) the program of study approved by the advisory committee with respect to FGS requirements (the number and type of courses)
  - (iii) a research plan.
- If there are major modifications to the research plan after one year, a revised research plan must be approved by the advisory committee at that time.
  - Schedule regular meetings with the student to monitor progress. Such meetings should include discussion of management strategies and methodological approaches after the research topic is well defined and review the process of data collection.
  - Discuss with the student how research is to be documented and how records are to be kept and refer the student to the University of Manitoba Policies and Procedures Regarding Research Ethics.

### **Advisory Committee**

The advisory committee acts as a partner with the student and the advisor in advising the student on research problems. The members are selected based on their fields of expertise, the nature and planning of the research project and to complement the expertise of the advisor in providing guidance to the student. The committee structure will depend on departmental regulations as well as the guidelines and regulations of FGS.

To a reasonable extent, each member serving on the advisory committee is expected to take the following responsibilities:

- Be familiar with the research project of the student.
- Be available for meetings with the advisor and the student for preparing the annual progress report or as deemed essential.
- Be reasonably available for consultation with the student in addition to regular meetings.
- Review the thesis in a timely manner for final examination.
- Clarify with the student questions regarding intellectual property rights, primary authorship on research articles and the specific role of the student, the advisor and other collaborators in the research program.
- Hold meetings once a year, or more often as required, with the student to discuss research progress and future course of action. Ideally, these meetings are to be held at the beginning of the student's program and within the first year.
- Provide the student with the opportunity to attend and to present his/her findings at research conferences depending on the availability of funds.
- When a thesis is required – provide the student with the guidelines for preparing the thesis. (Available from FGS)
- Read and provide comments to any written material (thesis reports, practicum etc.) submitted by the student in a timely manner (two to four weeks depending on the length of the document). Normally an advisor would require at least four weeks to provide feedback on a full thesis.

### **Graduate Student**

The student should look upon graduate research as a partnership with the advisor, advisory committee and the department. Ultimately, the student is responsible for conducting the proposed research work and course of study. The responsibilities of a graduate student are as follows:

- Know the policies, procedures and deadlines of FGS. Each student must consult the Academic Guide and the current Graduate Calendar for specific information.
- Declare him/her self as full-time or part-time based on the time that would be devoted to graduate studies (See Academic Guide).
- Assess his/her financial needs during the tenure of the graduate program and obtain a document from the advisor outlining the type and duration of the financial support. (note: student may receive a letter indicating no support is available)
- Share the responsibility with the advisor to develop a sound research plan that has an achievable timetable and milestones.
- Keep a systematic record of research work and results and be able to answer to the advisor and the advisory committee with respect to progress.
- Self-evaluate progress and productivity throughout the program.
- Become familiar with and follow the University of Manitoba – Policies and Procedures Regarding Research Ethics. (see Policies and Guidelines).
- Ensure that a meeting is held with the advisor and the advisory committee (where applicable) and prepare/present a progress report.
- Call additional meetings with the advisory committee after consultation with the advisor, if considered essential to the progress of the research.
- Organize and be efficient in processing the data and in the planning of future research. Keep abreast of current literature in the field.
- Take full responsibility for his/her academic and research program.
- Allow adequate time for his or her advisor or committee members to provide comments on written material. The student must consult his/her advisor and the advisory committee members to estimate the time that would be required to complete a thesis or a report.
- Ensure to allocate sufficient time to meet important deadlines (registration, thesis submission to committee members etc.)

## APPENDIX

### ADMISSIONS:

Faculty of Graduate Studies  
500 University Centre  
Ph: 474-9377 Fax: 474-7553  
e-mail: Graduate\_studies@umanitoba.ca  
Web: [http://www.umanitoba.ca/graduate\\_studies](http://www.umanitoba.ca/graduate_studies)

#### *ADMISSION TO PRE-MASTER'S*

Students entering graduate study with a general B.A. or B.Sc. degree are admitted to the qualifying program of study called "Pre-Master's." In order to be eligible for admission to a Pre-Master's program, the applicant must possess a bachelor's degree and must have attained a cumulative Grade Point Average (GPA) of 3.0 or better in the last two full years of the undergraduate program.

#### *ADMISSION TO MASTER'S*

Graduates of honours or equivalent programs at the University of Manitoba (or equivalent programs at other recognized colleges and universities) with a minimum GPA of 3.0 in the last two full years of undergraduate study are eligible for direct admission to a course of study leading to the Master's degree. Students who have completed the University of Manitoba Pre-Master's program with a GPA of 3.0 are also eligible for admission. Pre-Master's programs which have been taken at other universities may be accepted upon the recommendation of the major department.

#### *ADMISSION TO Ph.D. PROGRAM*

Admission is normally from the Master's degree. With the consent of the department concerned, applicants with an honours Bachelor's degree or equivalent may be permitted to enter Ph.D. study. In departments requiring a Master's degree or equivalent for admission to the Ph.D. program, students nearing completion of the Master's degree may be accepted provisionally into the Ph.D. program for a 12 month period (commencing with the first registration). Further registration in the program is contingent upon completion of all requirements of the Master's degree plus a recommendation by the selection committee.

Students who have not completed a Master's program may also be admitted to the Ph.D. program upon recommendation to the Faculty of Graduate Studies by a student's major department. The coursework completed in the Master's program would normally become a part of the Ph.D. program, and the number of years spent in the Master's program would be counted as years in the Ph.D. program.

## **GRADUATE STUDIES AWARDS OFFICE**

AWARDS OFFICER: Marcia Labiuk

500 University Centre

Ph. 474-9836 Fax: 474-7553

E-mail: [Marcia\\_Labiuk@UManitoba.Ca](mailto:Marcia_Labiuk@UManitoba.Ca)

Web: [http://www.umanitoba.ca/faculties/graduate\\_studies/funding/](http://www.umanitoba.ca/faculties/graduate_studies/funding/)

### *SCHOLARSHIPS, BURSARIES AND PRIZES*

You may be eligible for one of the numerous awards administered by the Awards Office. Some awards are selected on an institution-wide basis and others by faculty, department or school. Most scholarships are awarded based on competition and students are required to submit an application for consideration. However, there are some scholarships/prizes that are awarded automatically to students that meet the eligibility criteria. Details of all awards administered through the Faculty of Graduate Studies are listed on our website [http://www.umanitoba.ca/faculties/graduate\\_studies/funding/](http://www.umanitoba.ca/faculties/graduate_studies/funding/)

### *EMERGENCY LOAN*

If a student experiences financial distress during the academic year, an application for an emergency loan may be forwarded to the Faculty of Graduate Studies Awards Office. An emergency fund is in place to assist graduate students with immediate education and living costs. It is not intended for long term needs.

Only full-time students are eligible for an emergency loan and they must submit a Graduate Student Emergency Loan Application Form to the Awards Officer. Approval of the loan is based on the merits of the application.

## **HOUSING & STUDENT LIFE OFFICE**

DIRECTOR: Sherwin Finley

416 University Centre

Ph: 474-6748 Fax: 474-7561

Web: <http://www.umanitoba.ca/student/housing/>

During your period of study, your residential needs may change, from living at home to living in residence on-campus, from living in lodgings to renting accommodation off-campus. Whatever your needs, the Housing and Student Life Office can be of assistance.

There are many apartment buildings located within a short bus ride of the Fort Garry Campus – and some within walking distance. Rent ranges from \$400-\$575 per month for a one bedroom to \$500-\$650 for a two bedroom. Other options include: suites in private homes (\$350-\$450), room and board (\$375-\$500), room with kitchen privileges (\$225-\$350), houses (\$500-\$1000 plus utilities).

Rental Guides are available in Winnipeg free of charge, and can be picked up at many locations throughout the city including the corner grocer. The Rental Guide is published

every two weeks and lists apartments, houses, and other rental options. Read this guide with care.

### ***OFF-CAMPUS ACCOMMODATION***

An alternative to the Rental Guide is the Off Campus Housing Office at 415 University Centre. The Off-Campus Housing Office maintains a list of accommodations available in Winnipeg. You should note, however, that the University does not inspect, license or approve any accommodation it lists. That remains your responsibility. The listings can be accessed in three ways:

1. *Binders* – Listings are recorded in binders in the office located in 415 University Centre, and are available 8:30 to 4:30 during workdays.
2. *Computer Telephone Listing* – A phone call to 474-8570 will give you 24 hour access to a computerized telephone registry. You will be guided through a list of questions designed to ascertain the type of accommodation you are seeking, the area in the city in which you wish to live and the price range you are able to afford.
3. *Website* – Off-campus housing information is updated daily at: [www.umanitoba.ca/student/housing](http://www.umanitoba.ca/student/housing)

### ***UNIVERSITY RESIDENCE***

The four residences on the Fort Garry Campus accommodate approximately 1,000 students annually. Any student may apply to live in residence. The 2002/2003 rates for room and board in residence range from \$3,560 to \$5,895 for an eight-month term, depending on type of room, single or shared, and food plan chosen.

For detailed information on the residences contact the following:

Tache & Speechly Halls: General Inquiries	474-9922
St. Andrew's College: Dean of Residence	474-8895
St. John's College: Dean of Residence	474-8363

Graduate and/or International students should inquire about the Graduate/International House, within Tache Hall, an area dedicated to a quiet environment, private study facilities, a flexible residence contract, but with opportunities for excellent interaction between graduate and international students.

Scholars Houses, reserved for those who have demonstrated superior academic performance (GPA of 3.00 or higher) offer a quiet area for the most serious students. Students in Engineering or Architecture/Interior Design and those particularly interested in outdoor adventure or health/fitness should consider living in those specialized areas.

### **UNIVERSITY TEACHING SERVICES**

Director: Cheryl Kristjanson, Ph.D.

Ph: 474-7804

E-mail: [cheryl\\_kristjanson@umanitoba.ca](mailto:cheryl_kristjanson@umanitoba.ca)

Web: <http://www.umanitoba.ca/uts/>

In collaboration with the Faculty of Graduate Studies, UTS/CHERD have designed a Certification Program in Higher Education Teaching (CHET). Their goal is to help academic departments prepare Ph.D. students for the full range of faculty responsibilities and also for other careers where presentation and communication skills are needed. CHET program requirements are flexible and should not extend the time to completion or add unreasonable content to existing graduate programs.

### *CHET OBJECTIVES*

- To introduce graduate students to the theory, accumulated experience and knowledge of higher education pedagogy
- To give program participants the opportunity to develop their teaching and presentation skills in a supervised and collegial atmosphere.
- To prepare graduate students to integrate the demands of research, teaching, and service in an academic career as well as develop presentation skills needed for a wide range of non-academic careers.
- To provide certified recognition for individuals who have worked to prepare themselves for all aspects of future career responsibilities covered by the CHET program.

Any doctoral student registered at the University of Manitoba is eligible for CHET. Upon completion of all program requirements, CHET participants will receive a formal certificate. If students complete the CHET program prior to graduating, the credential will be indicated on their official transcript. Participants will also receive a Letter of Accomplishment from UTS and the Faculty of Graduate Studies indicating participation in the program.

The University of Manitoba's CHET program is modeled on similar programs at the University of New Brunswick (UNB) and York University. Both UNB and York report that graduates of their programs have found it easier to find jobs as a result of the certificates. Graduates also report feeling better prepared for the full range of responsibilities as new faculty members.

### **INTERNATIONAL CENTRE FOR STUDENTS**

Director: Anthony Rogge

541 University Centre

Ph: 474-8501 Fax: 474-7562

E-mail: [ics@cc.umanitoba.ca](mailto:ics@cc.umanitoba.ca)

Web: <http://www.umanitoba.ca/student/ics>

The International Centre for Students (ICS) has a triple mandate. It is the Office that gives practical assistance and support to international students; provides information to all students on international affairs and opportunities; and promotes understanding in cross-cultural matters and third world awareness.

### *ASSISTANCE TO INTERNATIONAL STUDENTS*

From a pre-arrival information package to counselling prior to departure, the services of ICS are readily available to you as an international student. A number of students stay with

the Host family when they first arrive in Winnipeg, which helps in the adjustment to this new environment. Many students use the Centre as a resource location, where they meet other students from their home country as well as numerous other parts of the world, or take the opportunity to read newspapers from home in addition to other international publications. Many students avail themselves of general assistance ranging from academic concerns to issues involving immigration; from providing letters of status for seeking funds from home to assistance in accessing emergency funding.

### *INFORMATION ON INTERNATIONAL MATTERS*

ICS can provide you with detailed information and practical assistance if you are interested in studying abroad, educational exchanges and basic information about foreign countries and international agencies. Even if you are only thinking of travelling abroad for a short period, ICS is able to provide you with information.

### *ENCOURAGEMENT OF CROSS-CULTURAL UNDERSTANDING*

A Volunteer English Practice Program (VEPP) pairs Canadians with international students to help international students better understand our Canadian English and culture. Opportunities are also provided for you to experience cross-cultural exchanges through organized events ranging from symposia to socials. Information on third world countries are also available from the ICS resource library.

## **STUDENT ADVOCACY OFFICE**

Director: Ms. Brandy Usick

Office: 519 University Centre  
Ph: (204) 474-7423  
Fax: (204) 474-7567  
Email: Brandy\_Usick@umanitoba.ca

It is widely recognized by students and faculty that occasionally, students have problems with their instructors, advisors, departments, or faculty which must be resolved for the benefit of the student and the University. The Faculty of Graduate Studies strongly recommends that anytime a problem or difficulty is encountered, it be discussed with the appropriate departmental members (i.e. supervisor, committee member, Graduate Chair, Head). Students should also seek advice, support, and help from one of advocates from the University.

All Student Advocates inform and assist students with academic grievances which may be resolved through formal appeal systems. The following services are provided:

#### *Pre-Appeal Stage*

Information, advice, consultation, mediation and referrals.

#### *Appeal Stage*

Assistance with appeal letters and communications with the Appeal Chair, assistance with preparation of appeal presentation and appearance with students at appeal hearings

#### *Post Appeal Stage*

Follow up with administrative staff or chairs of appeal committees and students.

It should be noted that there are many opportunities to resolve problems other than a formal appeal. It is the responsibility of the student advocates to attempt to resolve the problem without filing a formal appeal. Many graduate students may feel uncomfortable seeking the help of a student advocate. It should be understood by all concerned that the student advocate will not undertake any action that is not first discussed with the student and agreed to by the student.

## **COUNSELLING SERVICE**

DIRECTOR: Don Stewart

Fort Garry Campus  
474 University Centre  
Ph: 474-8592 Fax: 275-1160  
E-mail: Don\_Stewart@UManitoba.ca

Bannatyne Campus  
S207 Medical Services Building  
Ph: 789-3857

Web: <http://www.umanitoba.ca/student/counselling>

### *PERSONAL COUNSELLING*

Getting through university poses many difficult challenges. Many students experience stress due to the adjustments required by their studies and the multiple roles in their lives. Common issues students identify are feeling worried, anxious or depressed, having relationship problems or underachievement in their studies. Counselling is available for supportive or problem-solving assistance for academic, vocational, emotional, personal or social concerns. Counsellors help explore these issues and assist students to work toward achieving the goals they have set for themselves. Most students can benefit from seeing a counsellor at any point in their university experience.

Counselling Service offers individual, couple or family counselling in individual and group formats. Our professional staff have a variety of backgrounds including Clinical Psychology, Counselling Psychology, Educational Psychology, and Social Work.

**All services are strictly confidential.**

### *FORT GARRY – 474 UNIVERSITY CENTRE*

Students interested in seeing a counsellor at the Fort Garry Campus may drop in for a brief introductory meeting called intake. Intake hours are between 10:30 – 12:00 and 1:30 – 4:00, Monday to Friday (hours may be reduced during the summer months – please call for summer intake hours). Students are seen on a first-come, first-served basis. Afterward, referral is made to individual counselling, group programs or career services with the Counselling Service or to services elsewhere. Students may go directly into career counselling without going to intake (first step – Career Orientation).

### *BANNATYNE – S207 MEDICAL SERVICES BUILDING*

Students interested in seeing a counsellor at the Bannatyne Campus may contact the office directly at 789-3857, make an appointment through the Fort Garry office at 474-8592, or drop in to the office on the chance one of the counsellors will be available.

Appointments are held at S207 Medical Services Building or at an alternative location if preferred. Lunch hour and evening appointments are available.

## ***GRADUATE STUDENTS' ASSOCIATION***

The University of Manitoba Graduate Students' Association (GSA) is an umbrella organization consisting of and representing all graduate students from every discipline within the University of Manitoba. Departmentally elected graduate-student representatives forms the Council which governs the GSA. An Executive Committee elected by and from the graduate student body undertakes the daily business of the GSA. The Executive has responsibilities to the students. Each member has a specific responsibility within the committee:

### *The Executive*

- Responsible to the Council for day-to-day operations and emergency decisions.
- Develop policy recommendations pertaining to their portfolio.
- Prepare an annual budget for Council approval.
- Each member of the Executive is to submit a written report at each meeting of GSA Council

### *President*

- Be the official representative of the Association, acting and speaking in adherence to Association policy on all matters.
- Supervise day-to-day business of the Association.
- Serve as Vice-Chair of the Association.
- Attend, or designate an alternate to attend, all meetings of the association.
- Sit on committees of the association and the Faculty of Graduate Studies both ad hoc and permanent.
- Serve, or designate an alternate to serve, as the official representative of the association with other graduate university student associations.
- Serve on at least two external committees.
- Be aware of and to be responsible for the Association's corporate matters, as well as the Association's contractual, legal and administrative obligations.

### *Vice-President*

- Perform the duties of the President in case of illness, schedule conflict, resignation, etc.
- Represent the association both internally and externally in adherence to Association policy on all matters.
- Attend and serve as an alternate in chairing meetings, of the Executive and Council of the Association.
- Organize and maintain the Association's representation on boards and committees internal to the University.
- Act as joint authority and share responsibility with the President for non-fiscal decisions in the daily affairs of the Association.
- Act as a liaison between the Association and the Faculty of Graduate Studies and sit as an Executive member of the Association on Faculty of Graduate Studies Executive Committee.
- Responsibility for matters of University discipline as they concern the membership of the Association and sit on any Local Disciplinary Committee in the capacity of Student Advocate.

- Act in an advisory function to the Office of Student Advocacy on behalf of Graduate Students.
- Attend educational seminars on advocacy and appeals training conducted by the Office of the Student Advocacy.

*Vice-President (Bannatyne Campus)*

- Act as President of the Bannatyne Caucus and assume all responsibilities stipulated by the By-Laws of the Bannatyne Caucus.
- Be prepared to act as Vice-President in case of illness, schedule conflict, resignation etc.
- Organize and maintain the Association's representation on boards and committees internal to the University and pertaining to the Bannatyne Campus and sit on committees of the Association as required.
- Act, or appoint designate to act, as the Association's representative on all Committees of Boards of the Bannatyne Campus.
- Attend Executive and Council meetings of the Association on the Fort Garry Campus.

*Treasurer*

- Supervise the keeping of all necessary financial records of the Association.
- Submit the Budget prepared by the Executive to the Council for its approval.
- Submit for an annual audit the financial records of the Association upon notice from the Council.
- Present bi-annual reports to Council.
- Produce financial records to any Council member, upon arrangement.
- Serve as Chair of the Finance Committee.
- Represent the association both internally and externally in adherence to Association policy on all matters.

*Director of Public Relations*

- Represent the Association both internally and externally in adherence to Association policy on all matters.
- Coordinate and oversee all research activities of the Association.
- Prepare Association press releases and public service announcements
- Publicize Association events external to the University.
- Undertake and organize the hiring and supervision of the Editor of the Gradzette, the GSA's Newsletter.

*Senators*

- Attend Senate, Student Senate Caucus and UMSU Council meetings regularly.
- Represent the interests of graduate students and the Association to Senate.
- Represent the interests of graduate students and the Association as effectively as possible on Senate Committees.
- Report regularly to the Executive and Council on the activities of Senate and Senate Committees.
- Serve on at least one Senate Committee.

*UMSU Representative*

- Attend UMSU Council and Committees regularly.
- Represent the interests of graduate students and the Association to UMSU Council and its committees.

- Report regularly to the Executive and Council on the activities of UMSU Council and UMSU Committees.
- Serve on at least on UMSU standing committee.

## **UNIVERSITY OF MANITOBA POLICIES & GUIDELINES**

*Disclaimer: Where any discrepancy exists between the text presented here and the original text, the original text shall prevail.*

### **The University of Manitoba Policy: 1401**

#### *Guidelines on Responsibilities for Research Ethics*

The University of Manitoba expects that its staff and students will carry out research and scholarly work maintaining the highest ethical and scientific standards of academic integrity. Academic dishonesty of any sort will not be condoned and may be cause for disciplinary action.

As the constituency with primary responsibility for the execution and reporting of research and other scholarly work, faculty members have a unique role in maintaining high ethical standards of performance. The following guidelines are intended to provide direction in the establishment of practices for the maintenance of the integrity and quality of research.

#### **1. Supervision**

Faculty members should carefully supervise all research staff including postdoctoral fellows, graduate and undergraduate students, research associates, technical and other support staff for whom they have responsibility. This is especially important in the case of personnel who have just commenced their training.

The design of experiments, processing of acquired data, recording of data and other results, interpretation of results and advice on the storage of data and results must be included in this supervision. A regular discussion between the faculty member and his or her staff about these various aspects of the research is recommended and should ensure a familiarity of the faculty member with all aspects of the research.

#### **2. Authenticity of Data**

A faculty member listed as the principal investigator or co- investigator should be able to verify the authenticity of all data, or other factual information, generated in his or her research, while ensuring the protection of confidentiality in those instances involving personally-sensitive information tied to individual subjects. Each faculty member shall set guidelines for how data will be recorded in his or her research group and require that the primary copy of that data remain in the University at all times. For example, original results should, where practical, be recorded in bound notebooks with numbered pages. Printout from machines should be affixed to the notebook or referenced in the notebook and filed for future use. Long term storage of the notebooks and associated material is the responsibility of the faculty member. Such material should not be destroyed while there is reasonable probability of questions from other investigators, colleagues or readers of resulting publications requiring access to the primary data.

#### **3. Reporting Academic Dishonesty**

Faculty members should question any instance of academic fraud, injustice or dishonesty perceived to have been perpetrated by a member of the university community. The faculty member shall act in accordance with procedures set out elsewhere in University policies relating to fraud in research.

#### **4. Publication Practices**

Faculty members should ensure that each publication is a report of new and significant work. The submission of multiple similar abstracts or manuscripts varying only minimally in content has the effect of fragmenting the study, making it difficult for reviewers and readers to follow experimental procedures and gain a true understanding of the thesis. This practice, when it only serves to generate additional publications, is improper.

#### **5. Authorship**

Faculty members should ensure that any person who has substantially contributed academically to the study being reported in a publication either in the conception or design, execution of the experimental work, interpretation of data or drafting the article is included as an author or is given other appropriate acknowledgement. Any one accepting authorship accepts responsibility for the validity of the whole manuscript. It is suggested that each department define a set of criteria for authorship and that this be attached to the departmental supplementary regulations for graduate studies.

With regard to the special situation of publications arising from multi-investigator teams, the following general guidelines have been adapted from those of Stanford University (1989):

- a) The principal investigators from each laboratory listed on the publication must ensure the overall validity of the publication.
- b) All authors share the responsibility for the publication and should have the opportunity to review all procedures and data used in preparing the publication.
- c) Each author should know a paper is being prepared, should have access to the manuscript prior to its submission for publication and should agree to being listed as a co-author.
- d) Early in the project, each research group should define the procedures for maintaining data.

#### **6. Personal Representation**

When preparing a Curriculum Vitae, a faculty member must present all relevant professional information comprehensively, clearly and accurately. For example, all degrees and special awards must be accurately described and include the date and the name of the awarding institution. The order of authorship on publications should not be modified from what appeared in the original publication.

#### *Responsibilities of Academic Administrators*

Administrators should endeavour to foster a climate for ethical practices in scholarly work by encouraging the discussion of research ethics, by encouraging openness in the discussion of ongoing research, by making it clear that quality in publications is important and by assuring that assignments of responsibility for supervision of students and other researchers are appropriate. Particular attention should be given to the adequate supervision of large research teams.

University administrators and their delegates (as defined in The University of Manitoba By-laws) are expected to deal expeditiously and fairly with any known instances or allegations of academic fraud following approved procedures. In so doing every consideration should be given to achieving a balance between "protecting the integrity of the research effort and protecting the rights of individuals" (Yale University 1982). Administrators should be able to produce written evidence of steps taken to deal with such situations.

All allegations of fraud shall be treated in strict confidence while under investigation.

#### **Addendum**

In approving this document at its meeting of April 3, 1991, Senate observed that individual departments may choose to define guidelines for the responsibilities of faculty members which

are specific to their discipline. Such additional guidelines should be approved by the University Research Committee of Senate.

## **The University of Manitoba Policy: 1402**

### *University of Manitoba Policy on Academic Fraud*

Fraud in research is a serious breach of the academic commitment of faculty members, and others concerned with the research endeavours of the University, to “the search for truth and its free exposition”. For the purposes of this policy, academic fraud is deemed to include acts such as the following:

1. **Falsification:** alteration, selective omission or misrepresentation of research data or citations.
2. **Fabrication:** invention or forging of research data or citations.
3. **Plagiarism:** representing the thoughts, writings or inventions of another as one’s own.

Such acts may be committed with varying degrees of deliberateness. It must be recognized that the borderline between carelessness and negligence, on the one hand, and intentional dishonesty, on the other, may be very narrow or difficult to draw precisely. The result is objectionable in any case, even if different degrees of discipline are appropriate. It is reasonable to require a high standard of conduct of academics.

Principal and co-investigators who have failed to exercise reasonable responsibility in directing and supervising researchers who have committed academic fraud must share in the blame for fraud and should be disciplined accordingly.

## **The University of Manitoba Policy: 1403**

### *Procedures for Investigating and Reporting Academic Fraud*

These procedures apply to academic fraud involving: research, scholarly and creative works; training in research, scholarly and creative activity; related research, scholarly and creative activities.

*(Note: Allegations of academic fraud against students shall be dealt with under the University of Manitoba Student Discipline By-Law.)*

Members of the University who hold what they believe to be well-founded suspicions of academic fraud should normally seek an explanation of the suspicion from the person(s) involved, to identify misunderstandings. Failing resolution, the matter should be reported to the person’s Dean or Director. Any report shall be in writing, signed, include all pertinent details of the allegation and be accompanied by such supporting evidence as may be available. If the allegation is against the person’s Dean or Director then the matter should be reported to the Vice-President (Academic) and Provost. In the case where a graduate student has made an allegation of academic fraud against his/her supervisor, the Dean of Graduate Studies should give due consideration to any impact this action may have on the student’s academic program.

Once a written allegation of academic fraud has been received by an administrator of the University the following procedures shall apply:

1. The Dean or Director concerned shall advise the Vice-President (Academic) and Provost of the allegation.
2. The Vice-President (Academic) and Provost shall direct a Senior Administrator in the Office of the President with the responsibility for Research and the Dean of Graduate

Studies to conduct an inquiry jointly, in confidence, to determine whether the allegation warrants an investigation.

3. Normally the inquiry shall be completed within 60 calendar days of its initiation. If the inquiry takes longer than 60 calendar days to complete, the record of the inquiry shall include documentation of the reasons for exceeding the 60 calendar day period. A written report of the inquiry to the Vice-President (Academic) and Provost shall include a statement of what evidence was reviewed, summaries of relevant interviews and the conclusions as to whether or not the allegation is supported and whether or not an investigation is warranted. The person(s) against whom the allegation was made shall receive a copy of this report and have the opportunity to add written comments. The person(s) who made the allegation shall be advised in confidence and in writing of the conclusions of the inquiry.
4. If as a result of the inquiry the allegation is not supported and an investigation is reported not to be warranted, the University shall act as described in item 11 below.
5. If the person(s) against whom the allegation was made, admit(s) guilt but as a result of the inquiry an investigation is reported not to be warranted, the University and the President shall act as described in item 10 below.
6. Whenever an investigation is reported not to be warranted, documentation of the inquiry in sufficient detail to permit a later assessment of the reasons for determining that an investigation was not warranted shall be rendered for safekeeping to the Vice-President (Academic) and Provost for a period of at least three (3) years.
7. If as a result of the inquiry an investigation is reported to be warranted the Vice-President (Academic) and Provost shall, within 30 calendar days of receipt of the report of the inquiry, appoint a committee to conduct an investigation.
8. The committee referred to in item 7 shall:
  - a) consist of three (3) impartial members of the academic staff appointed by the Vice-President (Academic) and Provost such that no more than two (2) are from the same general academic area as the person(s) against whom the allegation was made and at least one (1) is from a different academic area (e.g. natural sciences, social and behavioural sciences, health sciences, humanities, applied sciences);
  - b) name a Chair from among its three (3) members;
  - c) establish its own procedures with the following provisions:
    - normally all documentation (including but not necessarily limited to relevant research data and proposals, publications, correspondence and memoranda of telephone calls) shall be examined;
    - whenever possible, interviews shall be conducted of all persons involved either in making the allegation or against whom the allegation was made, as well as others who might have information regarding key aspects of the allegation;
    - complete summaries of interviews shall be prepared, provided to the interviewed party for comment or revision and included as part of the investigatory file;
    - the committee shall request any information it deems necessary;
    - the committee shall consult with such external experts as it may deem necessary and appropriate;
    - decisions shall be made by majority vote; and
  - d) complete its activities with due dispatch, normally within 120 calendar days of its being appointed. If the committee determines that it will not be able to complete the investigation in 120 calendar days, it shall submit to the Vice-President (Academic) and Provost an explanation for the delay which includes an interim report on the progress to date and an estimate for the date of completion of the report.
9. The mandate of the committee referred to in item 7 shall be:
  - a) to carry out a detailed examination of the facts relevant to the alleged academic fraud;
  - b) to establish on a balance of probabilities whether or not academic fraud has been committed;

- c) to identify, as far as is reasonably possible, whether or not any established academic fraud compromises earlier research or scholarly work of the person(s) against whom the allegation was made;
  - d) to identify the role and responsibility, with respect to any academic fraud, of any others involved in the research or scholarly work under question and to report to the Vice-President (Academic) and Provost on any need for further inquiry respecting the role and responsibility of others;
  - e) to make a full written report to the President and the Vice-President (Academic) and Provost of its findings and its decision on the case; and
  - f) to render all documentation substantiating its findings for safekeeping by the Vice-President (Academic) and Provost for a period of at least three (3) years.
10. If it has been established that academic fraud has been committed by one or more person(s):
- a) the President shall make recommendations to the Board of Governors regarding appropriate disciplinary action; and
  - b) the University shall, through the Office of the President:
    - i) send each of those person(s) the portion of the report of the committee that pertains to him/her;
    - ii) notify external sponsors of the research in question of the decision and any comments of those person(s) upon the report;
    - iii) send to the person(s) who made the allegation those portions of the report of the committee that address their role and opinions in the investigation;
    - iv) notify any immediate research collaborators and responsible administrators of the decision and arrange for the continuance or discontinuance of research currently in progress;
    - v) take appropriate remedial measures with regard to any publications or reports invalidated by the academic fraud; and
    - vi) make appropriate public statements.
11. If the allegation of academic fraud against one or more person(s) is not established the University shall, through the Office of the President:
- a) send each of those person(s) the portion of the report of the committee that pertains to him/her;
  - b) send to the person(s) who made the allegation those portions of the report of the committee that address their role and opinions in the investigation;
  - c) take appropriate action against person(s) making allegations that were found to be malicious; and
  - d) take appropriate action on any other related concerns.

## **The University of Manitoba Policy: 225**

### *Patents and Copyright*

#### **General**

1. There shall be a Standing Committee on Patents and Copyright composed of two representatives appointed by the University and two (2) representatives elected by the faculty members excluded from certified academic bargaining units. These faculty representatives shall be elected for two (2) year terms. The four (4) representatives shall select a Chair who shall vote only to break a tie.
2. If any disagreement in the interpretation of this by-law should arise, no legal proceedings shall be commenced until the matter has been referred to the Standing Committee on Patents and Copyright for recommendation as to settlement.

3. The term "interest" as used means ownership or part ownership in a copyright or invention.

## **Patents**

1. Members of the staff of the University should be encouraged to report to the administration any inventions resulting from research done by the staff member.
2. The University and the staff member who made an invention in the course of research involving either substantial use of University premises, equipment or other resources, or substantial encroachment on University time shall have equal ownership in the invention.
3. It is recognized that even where the University has an interest in an invention staff members have the sole right to decide:
  - a) whether to seek a patent at all, or to allow the public free use of the staff member's invention, and
  - b) whether and by what means, and on what terms to produce or market the discovery.
4. Where staff members wish to patent, produce or market an invention in which the University has an interest, the staff members may either:
  - a) undertake to do so individually or with the assistance of anyone chosen by the staff member, in which case the staff member shall be solely responsible for all necessary expenses, and shall pay to the University a percentage of all net profits after such expenses are paid, the percentage to be determined by the Standing Committee on Patents, or
  - b) do so through Canadian Patents and Development Limited, in which case the staff members and the University shall share all proceeds received from Canadian Patents and Development Limited, in a manner to be decided by the Standing Committee on Patents.
5. Where the University does not have an interest in an invention, but the staff member wishes to take advantage of advice from the University regarding investigation and patenting, the University would assist the staff member in any way possible but only to such financial extent as it may deem advisable, and it would not receive any share in the proceeds from royalties or otherwise other than a refund of any funds advanced by it.
6. It is understood that any patent restrictions applying to funds from granting agencies would be observed.

## **Copyright to Writings**

1. The University acknowledges that it has no interest in any literary work of a member of the staff unless special arrangement was made with the staff member concerned arising from financial assistance given by the University to assist in publication of a book.

## **Copyright to Recordings**

1. This part applies to any recording, whether audio or video, by means of tape, film, phonograph, kinescope, or other similar medium; it does not apply to rights concerning unrecorded lectures, performances or broadcasts.

2. a) The University has, to the extent hereinafter defined, an interest in every recording, made on tape, film, phonograph record, kinescope or other recording medium belonging to the University.  
  
b) Every staff member has, to the extent hereinafter defined, an interest in every recording involving substantial use of the staff member's voice, image, performance, work or ideas.
3. Except as hereinafter provided, the University shall retain possession of every recording in which it has an interest, and shall exercise reasonable care to ensure that any recording in which a staff member has an interest is not damaged, and is not erased or copied without the authorization of the staff member concerned.
4. a) The University may at any time, on the recommendation of the Head of the Department involved, and of the Dean or Associate Dean of the Faculty involved, erase all or any portion of any recording or copy thereof in which it has an interest, providing that any staff member with an interest in the recording or copy is consulted and given a reasonable opportunity to exercise the staff member's right under Section 7 to purchase or have a copy made of the recording.  
b) The University shall, within a reasonable time, after receiving from any staff member a request, in which the Head of the Department has concurred, erase all or any portion of any recording or copy thereof remaining in its possession in which that staff member has an interest.
5. a) The staff member shall not use or permit the use for any purpose of any recording in which the University has an interest without the permission of the Dean or Associate Dean of the Faculty or Head of the Department involved.  
b) The University shall not use or permit the use for any purpose of any recording in which a staff member has an interest without the permission of the staff member concerned.  
c) Whenever the University or a staff member uses a recording in which the other has an interest, all reasonable steps shall be taken to ensure that those to whom the recording is shown or played are aware of the identity of the University and of the staff member involved.
6. a) No staff member shall be entitled to be paid in addition to the staff member's regular remuneration for the use within the University of a recording in which the University has an interest; except:
  - (a) When authorized by the President of the University; or
  - (b) when the use is in connection with Summer Session or the Continuing Education Division (wherein the staff member has agreed, with the concurrence of the Head of the Department, to provide the customary instruction and examinations), in which case payment shall be as follows:
    - (i) Where only the University and the staff member responsible for the course have an interest in the recording, the staff member shall be paid the regular remuneration for that course.
    - (ii) Where some other person has an interest in the recording, and it is agreed that such person be paid for its use, the University shall pay such person from the remuneration allocated for the course such fraction thereof as may be agreed between such person and the staff member responsible for the course.
- b) Unless otherwise agreed by the University and the staff member concerned, all rents and other proceeds from the use outside the University of a recording in which the

University and a staff member each have an interest shall, after deducting expenses incurred in that particular use of the recording (but not production costs), be divided equally between the University and the staff member.

c) When the preparation of a recording requires a staff member to devote substantially more time than normal to a course, or when the use of a recording results in substantial benefits to the University, these facts shall, whenever possible, be taken into account in allocating teaching loads and other responsibilities unless the staff member concerned has been compensated in some other way.

7. a) Subject to Section 9, where the University and the staff member both have an interest in a recording, either party may obtain an exclusive interest in the recording by paying to the other a sum to be agreed between the parties, in which event the other shall have no further interest in the recording.

b) If a staff member with an interest in a recording in which the University also has an interest requests a copy of the recording, the University shall, subject to section 9 either:

(a) provide the staff member with a copy of the recording at the staff member's expense, or

(b) allow the staff member to have possession of the recording for a reasonable period of time in order to have a copy made, at the staff member's expense; in either of which events the University's entire interest in the copy of the recording and its future use for any purpose shall, subject to subsection (c) hereof, vest in the staff member.

c) If a staff member obtains a copy of a recording pursuant to subsection (b) hereof, the staff member shall account to the University for 25% of all net commercial profits (not including regular salary or similar remuneration) earned by the staff member in any future use of the copy, after deducting the cost of obtaining the copy and expenses incurred in its use.

d) If any writing or other formality is by law required to complete any transactions governed by this section, the University and the staff member shall comply therewith.

8. a) If a staff member's appointment with the University is suspended or terminated, his/her rights under this Part shall, during his/her lifetime, continue unless otherwise provided by special agreement between the University and the staff member.

b) When a staff member or former staff member dies, such person's estate shall retain all of such person's rights under this Part over recordings in which the University has an interest for a period of one year from the date of death, after which time:

(a) the University may give the estate notice in writing of its intention to terminate such rights three months after the date of such notice, and

(b) the estate shall retain all such rights until three months from the date such notice is received by the estate, at which time they shall vest exclusively in the University.

9. a) Where more than one staff member have an interest in a recording or series of recordings in which the University has an interest, each staff member may exercise the staff member's rights under the Section entitled "Copyright to Recordings", with respect to the staff member's contribution provided that it is severable.

b) A contribution is severable for this purpose if it could be erased without destroying the value of other contributions to the same recording or series, or if it could be replaced in the recording or series by another contribution by someone else.

c) Where a recording or series of recordings in which the University has an interest involves non-severable contributions by more than one staff member:

- (a) any reference to this Part for permission by the staff member shall be deemed to mean the unanimous permission of all such contributors, and
  - (b) all other rights given to staff members by this Part may only be exercised by unanimous consent of all such contributors.
10. Producers and other members of the audio-visual production staff have no rights over recordings produced by them on behalf of the University.
11. Whenever a staff member agrees to make a recording in which the University will have an interest, the University shall provide the staff member with a copy of the Section entitled "Copyright to Recordings" of this by-law.