



Graduate Supervision Appointments Policy

Preamble

In this document, the term Graduate Supervisor refers to those who supervise graduate students in their thesis research. This document considers three groups. Those who are full-time faculty employees of Carleton University are divided into tenured/tenure-track Assistant, Associate and Full Professors (Group 1, Article 1 below) as well as Lecturers, Assistant, Associate, and Full Professors in the Teaching Stream (Group 2, Article 2). Those who are not full-time Carleton faculty, such as Professors Emeriti, Distinguished Research Professors, Adjunct Professors, Adjunct Research Professors, Indigenous Knowledge Keepers, and faculty from other institutions are considered as Group 3 (Articles 3 and 4). No process beyond their appointment is required for Carleton Group 1 to be granted supervisory status at the Master's level — status is automatically gained at their appointment. However, certain restrictions apply to the other Groups and for doctoral supervision (see Articles 1 to 4). Generally, Group 1 faculty may supervise graduate students only in the academic program(s) in which they have formally been granted supervisory status. In other cases, they may only co-supervise with a member from the program. Exceptions may be made with permission of the program Chair or Director and the Provost (or their delegate).

Article 1. Supervisory Status for Full-Time Faculty Employees, excluding Teaching Stream Faculty

- A) Master's supervision: All levels of Professors (Assistant, Associate, and Full) have status for sole supervision.
- B) PhD supervision: All levels of Professors may only have sole supervision status if they have tenure and a doctorate; in the case of faculty who have not been granted tenure or who do not hold a doctorate, they will require a co-supervisor who meets the conditions for sole supervision.
- C) When a faculty member indicates their intention to retire, they may continue to supervise students already in the program, but would require a co-supervisor for any new students that could not complete their program before the date of retirement. (See Article 3 below for rules for retired professors.)
- D) Post-doctoral Fellows cannot supervise or co-supervise Master's or PhD students, but can serve on advisory committees.

No one may supervise a student with whom they have a conflict-of-interest, either because they are family members (immediate or extended) or any other non-academic relationship. See the University Conflict of Interest policy: <https://carleton.ca/secretariat/wp-content/uploads/Conflict-of-Interest-and-Commitment.pdf>

Article 2. Supervisory Status for Full-Time Teaching Stream Faculty and Lecturers

Lecturers and all levels of Professors in the Teaching Stream do not have supervisory status. Under exceptional circumstances, the Provost (or their delegate) may approve such supervisory status in consultation with the line Dean.

Article 3. Supervisory Status for Non-Full-Time Employees

Experts who are not full-time employees of the university, including but not limited to Professors Emeriti, Distinguished Research Professors, Adjunct Research Professors, Indigenous Knowledge Keepers, and faculty members at other universities with comparable status in their home institution, may be granted co-supervision status with a member of the program. Requests by an eligible Carleton professor for a co-



supervisor who is not affiliated with the university must include a copy of the individual's CV and a specific rationale, and must be submitted to the Chair or Director of the program, for approval by the program and by the Provost (or their delegate). Please consult: <https://gradstudents.carleton.ca/resources-page/thesis-requirements/graduate-supervision-appointments-policy-2/> and <https://carleton.ca/secretariat/wp-content/uploads/Honorary-Ranks-Policy.pdf>

While Distinguished Research Professors may be granted sole graduate supervisory status, Professors Emeriti, and Adjunct Research Professors will be required to have a co-supervisor, who is a tenured faculty member of professorial rank (who may be nominal), to act as a point of contact with the University. (See "Guidelines regarding Nominal Co-Supervisions with Adjunct Professors and Adjunct Research Professors" at <https://gradstudents.carleton.ca/guidelines-regarding-nominal-co-supervisions-with-adjunct-professors-and-adjunct-research-professors/>)

Article 4. Supervisory Status in Joint Institutes/Programs

Full-time professors employed at the University of Ottawa who are involved in joint institutes/programs and have supervisory status at the University of Ottawa are automatically granted co-supervisory status in the relevant program(s) at Carleton. Adjunct Research Professors and other non-employees affiliated with a joint institute/program through the University of Ottawa, and who have supervisory status there, are automatically granted co-supervisory status in the relevant program at Carleton (may be nominal). When co-supervisory status is granted, a full-time Group 1 Carleton faculty member must be assigned as co-supervisor. Furthermore, the membership of advisory committees for doctoral candidates must adhere to the agreed upon regulations of Joint Institutes/Programs.

Article 5. Supervisory Status Subject to Review

The Provost, or their delegate, may, at their discretion:

- i) examine the curriculum vitae of eligible supervisors during the cyclical review of existing graduate programs and suspend the privilege of graduate supervision in the case of those faculty members who have ceased to be active in research and supervision;
- ii) reinstate supervisory status for a limited number of years pending review those faculty members whose status was previously suspended;
- iii) examine the research productivity of any faculty member at any time with respect to the suitability of the faculty member as a graduate supervisor;
- iv) remove supervisory status under exceptional circumstances should there be clear evidence of chronic failure on the part of a faculty member to provide adequate supervision.

Before supervisory status is withdrawn under **rubric (i)**, a preliminary inquiry will be conducted by a delegate of the Provost to determine whether there are extenuating circumstances, followed by a discussion with the relevant line Deans before actions are taken. The faculty member will have the right to make representation before the Provost (or their delegate) and the relevant line Dean.

Detailed procedures for the removal of supervisory status under **rubric (iv)** – chronic failure to provide adequate supervision – can be found at <https://gradstudents.carleton.ca/wp-content/uploads/Procedures-to-ascertain-an-allegation-of-consistent-failure-to-provide-adequate-thesis-supervision-14-Feb-2013-1.pdf>