

## **Procedures to ascertain an allegation of consistent failure to provide adequate thesis supervision**

An allegation of failure to provide adequate thesis supervision should be directed, in writing, to the Dean of the Faculty of Graduate and Postdoctoral Affairs. The allegation may be brought forward by students, faculty members or administrative staff. Prior to lodging a formal complaint with the Dean of FGPA, every reasonable effort should have been made to resolve the issue informally at the departmental level. Anonymous complaints will not be considered.

### **Preamble**

When a complaint is received alleging chronic failure to provide adequate thesis supervision, the following process will take place. First, the faculty member against whom the allegation is made (Respondent) will be informed, as well as the relevant area Dean. Second, an inquiry will be conducted by an Associate Dean of FGPA to determine if an investigation is warranted. Third, if the Associate Dean concludes that an investigation is warranted, a fuller investigation will be conducted by a committee struck by the Dean of FGPA for that purpose. Disciplinary action may be recommended by that committee in accordance with the following procedures.

#### **1. Complaint**

Complaints must be in writing and provide specific examples of the misconduct alleged. The complaint must refer to the document “**Graduate Supervision: Responsibilities and Expectations**” (<http://www5.carleton.ca/fgpa/research/graduate-supervision/> ) in identifying specific failings in the performance of supervisory duties.

Upon receiving the complaint, the Dean of FGPA will provide the Respondent with a detailed statement regarding the allegation as well as a description of the process, and will inform the relevant area Dean of the charges.

#### **2. Inquiry**

Upon receiving the complaint, the Dean will delegate to an Associate Dean the task of conducting an inquiry which involves initial fact-finding to determine the validity of the allegation. The inquiry will proceed as follows.

- (i) Within three business days, the Associate Dean will initiate an inquiry into the allegation. The inquiry will involve gathering information, and initial fact-finding to determine whether there is sufficient evidence of chronically inadequate supervision to warrant an investigation. The Respondent and the Complainant will both be interviewed, as well as peers and supervisees who might have useful information. (The Respondent has the right to be accompanied to these interviews by a Union Representative). The Associate Dean may also review any other relevant documentary material, such as the employment file of the Respondent. The departmental Chair and Graduate Supervisor may also be interviewed. The Respondent may prepare a written statement to complement the interview. Normally, the inquiry should be completed within thirty (30) calendar days.

While the name of the Complainant will be revealed to the Respondent, the affected individual(s) will be afforded confidential treatment to the maximum extent possible. Other affected individuals are also to be afforded confidential treatment as far as possible, and are to be given an opportunity to comment on the allegation and findings of the inquiry.

- (ii) The Associate Dean will prepare a written report stating whether 1) there is sufficient evidence to warrant an investigation or 2) no further action is to be taken on the complaint. The report will present a detailed rationale for its conclusion, itemize the evidence reviewed and summarize relevant interviews. The Respondent will be given a copy of the report of the inquiry. If the Respondent wishes to comment on the report, this response should be submitted in writing within 15 calendar days and will be made part of the record. If the inquiry takes longer than 30 days to complete, the record of the inquiry will include documentation of the reasons for exceeding the 30-day period.
- (iii) The Associate Dean will maintain sufficiently detailed documentation of inquiries to permit a later assessment of the reasons for determining that an investigation was or was not warranted. Such records will be maintained in a secure manner exclusively in the offices of FGPA for a period of at least three years after the termination of the inquiry. The records may be used again in subsequent inquiries should additional allegations against the Respondent be brought forward within this three year period. The Respondent will have the right to examine the records of the inquiry, upon application to the Dean of FGPA. The records of the inquiry may be redacted to ensure third-party confidentiality.

If findings from the inquiry provide sufficient basis for conducting an investigation, the Dean will strike a committee and give instructions to undertake such an investigation within 30 calendar days of the completion of the inquiry.

### **3. Investigation**

The committee tasked with conducting the investigation will be comprised of the Dean of FGPA, or delegate, and one tenured faculty member from each of the five faculties. Members of the Respondent's department may not sit on this committee. The investigation will normally include examination of all documentation gathered during the inquiry, as well as any additional documents deemed relevant, including but not necessarily limited to email correspondence, and memoranda of telephone calls. The inquiry will proceed as follows

- (i) Within 30 days of the submission of the inquiry's report, the committee will have an initial meeting to determine specific procedures. Usually, these will include: 1) a review of all the documents gathered during the inquiry stage; 2) interviews with the Respondent and the Complainant (The Respondent has the right to be accompanied to these interviews by a Union Representative); 3) and interviews with other individuals involved in the initial inquiry. The committee may decide to interview other individuals who might have information regarding key aspects

of the allegation. Complete summaries of the interviews will be prepared and provided to the interviewed party for comment or revisions. The committee may also decide to review additional material deemed relevant, such as documents related to the Respondent's research and teaching.

- (ii) After having conducted the investigation, the committee will determine by vote or consensus which recommendations will be put forward in the report. The investigation will ordinarily be completed within 120 calendar days of its initiation. This period includes conducting the investigation, preparing the report of findings, and making that report available for comments by the subjects of the investigation.
- (iii) The final report will describe the policies and procedures under which the investigation was conducted, as well as how and from whom information was obtained relevant to the investigation. Complete summaries of all interviews conducted will also be included as part of the report. The report will include recommendations to the Dean and the main findings that served as the basis for the recommendations.
- (iv) The final report will be provided to the Respondent, who will have the opportunity to respond in writing within 15 days of receiving the final report. The final report, and the Respondent's written response if any, will be provided to the Dean of FGPA.

#### **4. Decision**

Upon receipt of the report, and the Respondent's written response if any, the Dean of FGPA will discuss the case with the relevant area Dean and the FGPA Council (composed of the FGPA management team and the five area Associate Deans (Research and Graduate Affairs)), before actions are taken.

The Dean's written decision addressed to the Respondent will be shared with the relevant area Dean and departmental chair, and will go in the Respondent's employee file.

If the allegation is substantiated, the Dean of FGPA may impose one of the following penalties depending on the gravity of the offence and any other mitigating factors:

- (i) The Dean of FGPA may give a written warning to the Respondent. This warning may stipulate that, each term, the Dean will conduct appraisals of the Respondent's supervisory performance over a period of up to 3 years, and that failure to improve during this period may lead to more severe penalties;
- (ii) The Dean of FGPA may impose a formal probationary period of up to 3 years during which the Respondent may only co-supervise with a senior, full-time faculty member and, each term, will be subject to reports from the senior co-supervisor.

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- (iii) The Dean of FGPA may remove all supervisory privileges for a period of up to 3 years, after which a thorough performance review from the Dean of FGPA will determine whether the penalty should be maintained for another 3 years, reduced or lifted.
- (iv) The Dean of FGPA may permanently remove all supervisory privileges.

Such measures will be in accordance with the provisions of Article 6.4 of the CUASA Collective Agreement.

6.4 No disciplinary measures will be imposed on an employee except for just and proper cause; such disciplinary action will be reasonable and will be demonstrably proportionate to the seriousness of the specific violation and will not be contrary to the provisions of Article 6.3.