

Policy Name:	Graduate Supervision Appointments
Originating Department:	Graduate Studies
Responsible Department:	Provost and Vice-President (Academic)
Approval Authority:	Vice-Presidents' Academic Research Committee
Last Updated:	November 2024
Mandatory Revision Date:	November 2029
Contact:	Vice-Provost (Graduate Studies)

Policy Statement:

This policy outlines the criteria for supervising graduate students at Carleton University, detailing who is eligible, the conditions under which they can supervise and the roles they can assume.

Definitions and General Conditions:

In this document, the term “Graduate Supervisor” refers to those who supervise graduate students’ thesis research. This document considers three groups:

- Group 1: Full-time Carleton University tenured/tenure-track Assistant, Associate and Full Professors, excluding the Teaching Stream.
- Group 2: Full-time Carleton University Lecturers, Assistant, Associate, and Full Professors in the Teaching Stream.
- Group 3: Individuals 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.

No process 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 Procedures 1 to 4). Generally, Group 1 faculty may supervise graduate students only in the unit(s) in which they have a supervisory appointment. In other cases, they may only co-supervise with a Group 1 faculty member with sole supervisory status appointed to the academic in which the student is registered. Exceptions may be made with permission of the program Chair or Director and the Vice-Provost (Graduate Studies).

Procedures:

1. Supervisory Status for Group 1 Faculty

- A) Master’s supervision: Assistant, Associate, and Full Professors have full supervisory status.
- B) PhD supervision: Professors at all ranks have full supervisory status if they have a doctorate; in the case of faculty who do not hold a doctorate, they will require a co-supervisor who meets the conditions for sole supervision. A Dean can require appointment of a co-supervisor for pre-tenure Group 1 faculty, based on additional Faculty-specific criteria.
- C) When a faculty member indicates their intention to retire, they may continue to supervise students already enrolled in their academic unit, but require a co-supervisor for any new students that could not complete their program before the date of retirement. (See section 3 below for rules for retired professors.)

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>

2. Supervisory Status for Group 2 Faculty

Lecturers and Professors at any rank in the Teaching Stream do not have supervisory status. Under exceptional circumstances, the Vice-Provost (Graduate Studies) may approve such supervisory status in consultation with the faculty member's Dean.

3. Supervisory Status for Group 3 (Non-Full-Time Employees)

Those in Group 3 may be granted supervisory status, according to the conditions below, upon application and approval by the Chair/Director of the student's academic unit and the Vice-Provost (Graduate Studies).

- A) Distinguished Research Professors may solely supervise Master's and doctoral students.
- B) Professors Emeriti and Adjunct Research Professors may co-supervise Master's and doctoral students. The co-supervisor must be a full-time Group 1 faculty member with sole supervisory status (who may be nominal) and an appointment in the student's academic unit. (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/>).
- C) Adjunct Professors are not eligible to supervise doctoral students, though they may serve on advisory committees. Adjunct Professors may co-supervise Master's students. The co-supervisor must be a full-time Group 1 faculty member with sole supervisory status (who may be nominal) and an appointment in the student's academic unit.
- D) All other non-full-time employees, including but not limited to Indigenous Knowledge Keepers and faculty members at other universities, may be granted co-supervisory status commensurate with their research expertise or comparable status at their home institution. In these cases, the proposed Carleton University co-supervisor must submit the request for co-supervisory status to their Chair/Director, with a specific rationale and a copy of the individual's curriculum vitae.
- E) Post-doctoral Fellows cannot supervise Master's or doctoral students, but can serve on advisory committees.

Please consult: <https://gradstudents.carleton.ca/resourcespage/thesis-requirements/graduate-supervision-appointments-policy-2/> and <https://carleton.ca/secretariat/wp-content/uploads/Honorary-Ranks-Policy.pdf>

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.

5. Supervisory Status Subject to Review

The Vice-Provost (Graduate Studies) 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.

Roles and Responsibilities:

Before supervisory status is withdrawn under Procedures 5.i a preliminary inquiry will be conducted by the Associate Vice-Provost (Graduate Student Affairs) to determine whether there are extenuating circumstances, followed by a discussion with the relevant Dean before actions are taken. The faculty member will have the right to make representation before the Vice-Provost (Graduate Studies) and the relevant Dean.

Detailed procedures for the removal of supervisory status under Procedures 5.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>

Contacts:

Vice-Provost (Graduate Studies)

Links to related Policies:

Policy and Procedures Regarding Conflict of Interest and Conflict of Commitment
Honorary and Affiliated Ranks at Carleton University

Links to related Procedures:

Graduate Supervision Appointments and Procedures
Guidelines regarding Nominal Co-Supervisors
Procedures to Ascertain an Allegation of Consistent Failure to Provide Adequate Thesis Supervision