

University of Waterloo
SENATE GRADUATE & RESEARCH COUNCIL
Minutes of the 1 October 2018 Meeting
[in agenda order]

Present: Raouf Boutaba, Jeff Casello, Amelia Clarke, Charmaine Dean, Bernard Duncker, Ana Ferrer, Rhona Hanning, Bruce Hellinga, Julie Joza, Christiane Lemieux, Kirsten Müller, Liz Nilson, Daniela O’Neill, Naima Samuel, Simron Singh, Jackie Stapleton, Mike Szarka, Sverrir Thorgeirsson, John Thompson, Kathy Winter (secretary), Shawn Wettig

Resources: Trevor Clews, Jennifer Kieffer, Amanda McKenzie

Guests: Pam Charbonneau, Will Percival

Regrets: David Clausi, Emily Cyr, Marlene Epp*, Daniel Martel*, Max Salman, Richard Staines*, Shirley Tang, Takin Tadayon, Linda Warley

Organization of Meeting: Charmaine Dean, co-chair of the council, took the chair, and Kathy Winter acted as secretary. The secretary advised that due notice of the meeting had been given, a quorum was present, and the meeting was properly constituted.

1. DECLARATIONS OF CONFLICT OF INTEREST

No conflicts of interest were declared.

2. MINUTES OF 10 SEPTEMBER 2018 AND BUSINESS ARISING

The minutes were approved as distributed. Ferrer and Clarke. Carried. There was 1 item of business arising from 10 September 2018 SGRC (agenda item 6b). Casello and Kieffer clarified that there are no limits on the number of TAs a graduate student can hold before they no longer generate operating grant for the university.

3. CO-CHAIRS’ REMARKS

Casello updated council: (1) Bridge to 2020 Strategic Plan consultations (graduate student and graduate studies issue paper sessions). These were well attended; 3 main emerging themes—request for greater experiential learning opportunities at graduate level, graduate student concern over sense of community (e.g., graduate space, increased social as well as academic opportunities), graduate student advocacy (2013 report, roles of supervisors, department heads, etc.) and (2) scholarship sessions underway – webinar as new format; well attended. In person sessions continue which provide opportunities for direct student feedback on proposals (general observation: achieve increased balance between academic rigor and reaching lay audience).

Dean updated council: (1) successful launch of new Centre for Cybersecurity and Privacy; attendees were from government, financial, and corporate sectors, and (2) Bridge to 2020 Strategic Plan consultations (research issue paper sessions); two emerging themes—interdisciplinarity and how to promote medical research on campus. Dean reminded council to contribute views on the new strategic plan—through attendance at consultation sessions or submitting comments via strategic plan website.

4. RESEARCH CENTRES AND INSTITUTES

a. Waterloo Centre for Astrophysics. Council heard a motion to recommend to Senate, as presented, the establishment of the Waterloo Centre for Astrophysics (WCA). Will Percival (WCA founding director; professor; distinguished research chair in astrophysics) provided a short PowerPoint presentation: The Waterloo Centre for Astrophysics (WCA) is proposed as a strategic investment to synergize the world-leading research and training in astrophysics and related areas rapidly developing in the Waterloo region. The focus of the WCA will primarily be on making and analyzing a new generation of experimental measurements aimed at discovering new astrophysical processes. The WCA will be complemented by and will work closely with the Centre for the Universe at the Perimeter Institute for Theoretical Physics (PI), and other regional centres including the Canadian Institute for Astrophysics (CITA) and the Dunlap Institute, both at the University of Toronto. While the WCA will be primarily based at the Department of Physics and Astronomy, it will reach out to the Department of Applied Mathematics, and the Cheriton School of Computer Science. Percival clarified for council that: the physical structure (building)

is at the proposal/fundraising stage; there is office space for 45-55 graduate students (30 of whom are existing students); membership invitees will be sure to include all UW postdoctoral students working in fields related to astrophysics; funding sources will be through research stipend and donors. Muirhead and Thompson. Carried.

5. CURRICULAR SUBMISSIONS

a. Environment. Council heard an omnibus motion to approve items as presented for Environment Resources and Sustainability, Geography and Environmental Management, as well as Planning. Singh and Clarke. Carried.

b. Mathematics. Council heard an omnibus motion to approve items as presented for Computational Mathematics, as well as Statistics and Actuarial Science. Lemieux and Batouba. Carried.

6. UNIVERSITY RESEARCH

a. Tri-Council Responsible Conduct of Research-case summaries. Council received for information, Muirhead's PowerPoint presentation, as attached. Muirhead clarified: (1) reporting of students' research integrity issues is through Office of Research, and (2) updated reporting guidance is found on [Research Integrity website](#). The university's privacy officer responded to a question about informing external research partners and noted that this is to be handled on case by case basis, with direction and guidance of Office of Research who would only proceed in accordance with such things as Memorandum of Agreement <https://uwaterloo.ca/secretariat/documents-potential-interest/memorandum-agreement-uw-fauw> (sections 8 and 14), any contractual obligations, and guidance from the Secretariat and Legal and Immigration Services. Council members were asked to carefully consider the 7 de-identified cases in the attached presentation in preparation for future discussion at SGRC. NB: The cases are publically available, anonymized responsible conduct of research file summaries.

7. FALL READING WEEK

Council heard a motion to recommend to Senate, as presented, the approval of a three-year pilot starting in 2019 of a four-day fall reading week following Thanksgiving Monday, and to evaluate this initiative over the three-year period. Pam Charbonneau (Director, Student Success Office) spoke to the attached PowerPoint presentation and referenced <https://uwaterloo.ca/associate-vice-president-academic/fall-break-project>. Charbonneau noted that the university is entering the final year of a three-year pilot of a two-day fall reading week. Following study and consultation, there is strong support for piloting a four-day fall reading week following Thanksgiving Monday starting in 2019 in order to address issues identified during the pilot of the two-day fall reading week, including how the partial week impacts courses that run weekly or biweekly, confusion related to reassignment of teaching assignments, misalignment with partners in joint programs, and the concern that two days may not be sufficient to achieve the identified goals. Council stated preference for nomenclature of Fall Reading Week vs that of Fall Reading Break, noted importance of awareness of any impact of compressed schedules to health and well-being; Charbonneau clarified ongoing use of pilot data to inform the project moving forward. Batouba and Nilson. Carried.

Council next heard a motion to recommend to Senate, as presented, the inclusion of the guidance in the Graduate Studies Academic Calendar that specifies the requirements for graduate students during scheduled academic pauses (i.e., reading weeks). Four guidelines were proposed (applicable to both fall and winter reading weeks), as presented, including a friendly amendment to one guideline as indicated:

- If a graduate student is conducting research as a Graduate Research Assistant or as part of a Graduate Research Studentship that requires regular activity (lab work that requires daily data collection, for example), then it is the student's responsibility to see that those responsibilities are met during the academic pause. **Supervisors are encouraged to provide the break as an opportunity for students to have a pause in activities when the research activities are not time sensitive and are required to articulate expectations for breaks in the research assistantship or research studentship agreement.**

Casello informed council that these guidelines will circulate to graduate supervisors and included on a checklist for review between students and supervisors. Samuel and Müller. Carried

8. CLARIFYING GRADUATE DIPLOMAS, FIELDS, AND SPECIALIZATIONS

Council heard a motion to recommend to Senate, as presented, the approval of text that defines academic credentials at the graduate level. Council heard that this text, once approved, will appear in the Graduate Studies Academic Calendar and were reminded that the terms used – particularly fields and Specializations – will become “reserved words” and their use at the University will be limited to these applications, effective Winter 2019. Hellinga and Ferrer. Carried.

9. GRADUATE AWARDS

Council heard a motion to approve items (a) through (C). Muirhead and Müller. Carried.

10. OTHER BUSINESS

Congratulations Kristin Müller on new role as Assistant Vice-President, Graduate Studies and Postdoctoral Affairs, effective 1 November 2018.

11. NEXT MEETING

The next meeting will be on Monday 12 November 2018 from 10:30 a.m. to 12 noon in NH 3318.

31 October 2018

Kathy Winter, PhD, CPsych,
Assistant University Secretary



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Responsible Conduct of Research Breaches

Bruce Muirhead, AVP – Research Oversight
and Analysis

Helpful websites

FAQ about research integrity

- <https://uwaterloo.ca/research/office-research-ethics/research-integrity/frequently-asked-questions-about-research-integrity>

Does Waterloo have a policy and a process for investigating allegations of irresponsible conduct of research which is different from the policy and process used to report and investigate allegations of other types of academic misconduct?

- <https://uwaterloo.ca/research/office-research-ethics/research-integrity/frequently-asked-questions-about-research-integrity#policy%20and%20process>

What should I do if I suspect that irresponsible conduct of research has occurred?

- <https://uwaterloo.ca/research/office-research-ethics/research-integrity/frequently-asked-questions-about-research-integrity#what%20do%20I%20do>

Integrity in Research Administrative Guidelines

- https://uwaterloo.ca/research/sites/ca.research/files/uploads/files/integrity_in_research_administrative_guidelines_access_checked_0.pdf



Breaches to Responsible Conduct of Research (RCR) Framework Include:

1. Fabrication of data
2. Falsification of data
3. Plagiarism
4. Destruction of research records
5. Redundant publications
6. Invalid authorship
7. Inadequate acknowledgment
8. Mismanagement of conflict of interest
9. Misrepresentation in an agency document
10. Mismanagement of grants or awards
11. Breaches of agency policies of requirements/failure to obtain approvals

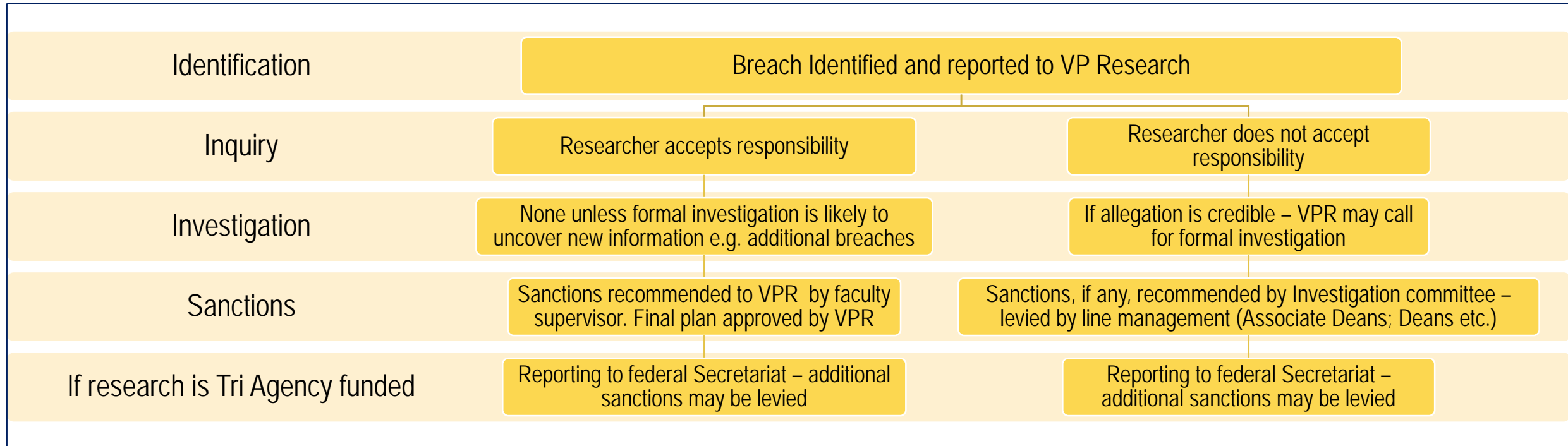
(Tri-agency Framework: Responsible Conduct of Research, 2011)

Required Centralized Reporting Structure

- How does it work?

Since 2011, all allegations must be reported through a centralized 'arms length' process.

- **All members of the UW community are required to report a breach or suspected breach to the VP University Research (VPUR).**



Breach of RCR Framework: *Responsible Conduct of Research*

Sanctions to Researchers Sanctions to University

Possible Sanctions to Researcher:

- Suspension
- Letter of concern, note on permanent records
- Withdrawal of pending publications
- Withdrawal of research privileges
- Academic sanctions-expulsion, loss of credit
- Leave without pay
- Loss of eligibility to apply for future Tri-Agency grants

Possible Sanctions to uWaterloo :

- Repayment of research funding
- Ineligibility for future funding (temporary or permanent)
- Adverse publicity
- Revocation of Canada Research Chair position(s)
- Loss of some or all Tri-Agency funding for the University

Case 1

Note added by SGRC secretary 25 October 2018:

The following are publically available, anonymized RCR file summaries found [here](#) with a description of RCR Files Summaries found [here](#)

Allegation: Mismanagement of grant funds

Findings: R, a faculty member, was the recipient of an Agency award in which he/she would work on a research project partly at the premises of a sponsoring partner. R engaged a number of students to assist him/her. By carrying out an investigation and an audit, the Institution concluded that R and the partner breached the conditions of the grant in a number of respects, including the following:

- the partner did not supervise the students as required by the program, and the students did not spend the required amount of time working at the partner's site;
- R likely received money from at least two of the students, which he/she likely used to improperly pay back the partner for its expenses;
- R was reimbursed in full for the same grant expenses from the Agency as well as from two other organizations involved in the research project;
- R was aware that reports submitted by students concerning their work included false information; and
- R counselled students to mislead the investigators.

Breaches: Mismanagement of Agency grant or award funds (3.1.3); breach of Agency policies or requirements for certain types of research (3.1.4)

Case 1, con't

Institutional Disposition:

- terminated R's employment; and
- informed the police of R's financial impropriety.

Agency Recourse:

- declared R permanently ineligible to apply for Agency funding or to participate in Agency peer review processes;
- issued a letter of concern to the partner outlining the manner in which it failed to meet the Agency's expectations and the impact that this had;
 - required the Institution to reimburse all misspent Agency funds; and
- required the Institution to develop a plan to prevent similar breaches.

Case 2

Allegation: Falsification of data

Findings: R, a faculty member, was the corresponding author on several publications that included duplication of figures and gross manipulation of data. R took responsibility for adjusting certain images obtained from a student by increasing the number of pixels and adjusting the color, contrary to proper research practices. R alleged that junior lab personnel had also manipulated the data before providing it to R, without R's knowledge. The Institution could neither verify nor dispute this claim, but determined that R failed to adequately supervise the student, review the primary data sources, keep complete and accurate records, and examine the research findings generated in his/her laboratory. R resigned from the Institution.

Breach: Falsification (3.1.1.b)

Institutional Disposition:
requested a retraction of the publications.

Agency Recourse:
declared R ineligible to apply for Agency funding or to participate in Agency peer review processes, both for five years; and
directed the Institution to reimburse the remaining grant funds.

Case 3

Allegation: Failure to comply with Agency financial policies

Findings: R, a post-doctoral Fellow not affiliated with an eligible institution, accepted awards from an Agency and from a private funder for the same research, which constituted a breach of the policies of both organizations. In addition, R failed to inform the Agency in a timely fashion of a transfer from one Institution to another and forged his/her supervisor's signature on three documents related to the transfer.

Breaches: Mismanagement of Agency grant or award funds (3.1.3); misrepresentation in an Agency application or related document (3.1.2.a)

Institutional Disposition:

Not applicable.

Agency Recourse:

terminated R's Agency award;

required R to reimburse Agency funds already disbursed; and

declared R ineligible to apply for Agency funding and participate in Agency peer review processes, both for three years.

Case 4

Allegation: Plagiarism

Findings: R, a faculty member, used parts of the work of his/her students in a book without appropriate referencing. R acknowledged the plagiarism but claimed it was accidental and the result of carelessness.

Breach: Plagiarism (3.1.1.d)

Institutional Disposition:

at the Institution and placed a permanent letter of reprimand in his/her file;

revoked R's title

required R to prepare letters to the two students stating that their writing is indeed their own, and confirming that they had not engaged in plagiarism of material from R's book. The intent is that letters could be submitted to journal editors or book publishers, along with their work, should the students choose to publish; and

asked R's publisher to acknowledge the students in future versions of the book and in its advertising.

Agency Recourse:

ineligible to apply for Agency funding and to participate in Agency peer review processes, both for two years.

declared R

Case 5

Allegations: Plagiarism; self-plagiarism

Findings: R1, a faculty member, and R2, a PhD student supervised by R1, co-authored a paper. R2 was the main author. The paper contained substantial blocks of unaltered text and figures taken from eight other papers, four written by R1 and R2, and four written by other authors, without appropriate references. The plagiarized text had been inserted into the paper by R2 without the knowledge of R1. Nevertheless, R1, who was also the Editor-in-Chief of the journal that published the paper, failed in his/her supervisory duties.

Breaches: Plagiarism (3.1.1.d); redundant publication (3.1.1.e)

Institutional Disposition: suspended R1 without pay for four months; and

placed R2 on disciplinary probation for the remainder of his/her studies and placed a disciplinary letter in his/her file.

Agency Recourse:

discontinued Agency funding for R1 and required the Institution to reimburse a portion of the funds;

declared R1 ineligible to hold or apply for Agency funding, and to participate in Agency peer review, both for two years; and declared R2 ineligible to hold or apply for Agency funding for two years.

Case 6

Allegations: Plagiarism; invalid authorship.

Findings: R, a short-term trainee from a foreign institution, worked at a research lab at a Canadian institution. After returning to his/her home country, R published a thesis on a research project that he/she had carried out at the Canadian institution with other members of that research lab. The thesis included descriptions of experiments performed by others, without proper reference or permission, such that they could be taken to be R's work. The investigation found that some of R's errors could be attributed to less than optimal communication and support in the lab where R had worked.

Breach: Plagiarism (3.1.1.d)

Institutional Disposition:

□ recommended to the foreign institution that R withdraw his/her thesis, with the right to submit a new one if he/she obtained the consent of the other contributors, added proper references, and removed the Canadian institution's name from the title page.

Case 6 (con't)

Agency Recourse:

issued a letter of reprimand to R stressing that:

- his/her breach of the RCR Framework was unacceptable, and advising that, should he/she relocate to Canada, his/her eligibility to apply for and hold Agency funds in the future would be conditional on R providing evidence of retraction of the thesis; and
- he/she needs to familiarize him/herself with, and respect, the research integrity policies applicable to his/her research; and

issued a letter of awareness to R's supervisor highlighting:

- that not investing the necessary time to read a visiting graduate scholar's thesis, when part of the scholar's work was done in his/her lab, falls below the appropriate standard of scientific behaviour. The head of a lab is responsible for the work arising from the lab; and
- the importance of establishing appropriate communication and support mechanisms in the lab, including assignment of authorship; and

issued a letter to the Canadian institution:

- underscoring that its controls and support for visiting students were inadequate;
- requesting that it submit a plan on how it intended to address these inadequacies; and
- emphasizing that all research conducted under its auspices or jurisdiction has to comply with Agency policies.

Case 7

Allegation: Breach of Agency policies or requirements for certain types of research

Findings: The team made simultaneous research applications to an Agency and to a second funding organization without properly disclosing this fact on either application form. The application to the second funding organization was successful. Agency guidelines required the team to withdraw their application to the Agency upon learning that the other application had been successful. The team did not do so. Their application to the Agency was not successful.

Breach: Breach of Agency policies or requirements for certain types of research (3.1.4)

Institutional Disposition:

- introduced measures to assist researchers in completing grant application forms.

Agency Recourse:

- issued a letter of awareness to the Principal Investigator of the research team reminding him/her of his/her responsibility to provide accurate and complete information on applications and inform the Agency in a timely fashion of any significant changes.

FALL BREAK PILOT 2016-2018

Update and next steps



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FALL BREAK

“...a pause for students in an academic term, to reflect upon and catch up on their term's work to date and, as necessary, prepare for any upcoming assignments and assessments.”

Goal of Fall Break is to contribute to **student success**, along with:

- a welcoming Orientation
- intentional programming and communication to maximize benefits of the fall break
- coordinated exam period (mid-term, final)



ESTABLISHED FRAMEWORK FOR FALL BREAK AND WINTER READING WEEK

- no classes, examinations, tests, or lectures held
- no scheduled meetings (including co-op interviews) or assignments for students
- no deadlines for student submissions
- campus remains open during the break/reading week
- student services hold regular office hours
- clinical rotations, PhD comprehensive exams, graduate thesis defences, etc. may continue during this time.

WHERE WE ARE NOW

- At the end of a 3-year pilot of a 2-day Fall Break - Tuesday and Wednesday after Thanksgiving Monday - classes started on the Thursday following Labour Day Monday.
- Evaluation of the 3rd year of the Fall Break is underway.

YEAR THREE EVALUATION

To facilitate conditions of a 'good' pause in the term, we need to:

- establish indicators of what a 'good' looks like based on evaluation from years 1 and 2
- determine if we are facilitating these conditions effectively
- identify improvements to promote student success before, during and after the pause

WHERE WE ARE HEADED

- **Consultation with the campus community to date points to a four-day Fall Reading Week following TG Monday as the way forward.**
- **There is no consensus within some key groups, however.**

STAKEHOLDER CONSULTATION (2016-2018)

Via surveys, focus groups, interviews, online webforms and email correspondence

More than 8500 students

Over 500 faculty

Federation of Students

Graduate Students' Association

Faculty Association

Staff Association

Orientation Advisors

UG Student Relations Committee

Graduate Student Relations Committee

Undergrad OPs & Grad OPs committees

Co-operative Education

Registrar's Office/GSPA

Campus Wellness / Student Success

Food Services

Residences (including AFIW)

Leadership Forum

CUPE Local 793

Custodial and Ground Services

CURRENT FALL BREAK IS PROBLEMATIC ON SEVERAL COUNTS

- Partial week impacts course components that run weekly or biweekly (e.g., labs in Engineering and Science)
- Confusion and logistics related to re-assignment of teaching days (Thursday is Tuesday, Friday is Wednesday)
- Misalignment with our most significant institutional collaborator (WLU fall break is 4 days vs. our current 2 days)
- Duration may be too short to be meaningful as a break, particularly if it involves traveling

KEY POINTS

1. All other Ontario universities have implemented a Fall Break (80% have 4 or 5 day breaks).
2. Literature is inconclusive on the impact of a Fall Break on student well being and mental health.
3. Most stakeholders consulted prefer a week-long pause in the fall term with recognition that there is still work to be done to create the conditions that will support a positive experience for all students.
4. Because Labour Day Monday can fall anywhere from September 1 to 7, scheduling challenges will vary according to the year, and the compromises required will therefore also vary.



FRAMING GUIDELINES / PRINCIPLES

- 60 teaching days in a term
- 12 occurrences each of Monday to Friday
- 2 days of orientation upon arrival in September prior to classes beginning
- 2 study days between lectures ending and examinations beginning*
- 13 Days for Fall examinations
- Reserve one “snow day” at the end of examinations period
- Maximum of 1 Sunday examination day on the first Sunday of the examination period
- Consistency to start of Fall term*
- Using UW holiday schedule published (2018-2023, 2025 assumed)

* *whenever possible*

COMPROMISES / CHALLENGES RELATED TO A WEEK-LONG FALL BREAK

For every 7 year cycle:

- 2 years would have only one study day before final exams and a Sunday exam
- 3 out of 7 years would have one Sunday exam
- Classes start on the Wednesday after Labour Day, except 1 year (when Labour Day is Sept. 7) when classes would start on the Tuesday after Labour Day

APPROACH → another pilot for 3 years

MOTION

To approve modifications to calendar guidelines for a 3-year period **starting in 2019** to include a **4-day Fall Reading Week following Thanksgiving Monday**, and to evaluate this initiative over the 3-year period.

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<https://uwaterloo.ca/associate-vice-president-academic/fall-break-project>

RESOURCES

Reports to Vice-President & Fall Break Working Group

“Fall Break Year Two Interim Report – Stakeholder Feedback
(May 2018: Refer to Associate Vice-President Academic Website)

“Proposed Fall Break – Stakeholder Consultation”
(Feb. 2015: Refer to Senate agenda, April 14, 2015)

Report to Vice-President and Provost

“Consideration of a Fall Break at the University of Waterloo”
(Sept. 2014: Refer to Senate agenda, October 14, 2014)

Undergraduate and Graduate Academic Calendars

‘Study Days’