

SCHOOL OF GRADUATE STUDIES**GUIDELINES FOR POSTDOCTORAL FELLOWS***As per Policy on Postdoctoral Fellows (VPRGS-4)*Last Updated – July 2016

These Guidelines are related to the *Policy on Postdoctoral Fellows (VPRGS-4)* and reflect current practices concerning *Postdoctoral Fellows*.

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A. INTRODUCTION

These Guidelines for Postdoctoral Fellows (“Guidelines”) apply to all Postdoctoral Fellows (PDFs) at Concordia University (“the University”) and should be read in conjunction with the [Postdoctoral Policy](#). In the event of a discrepancy between these Guidelines and the Postdoctoral Policy, the latter shall prevail. Please take note that these Guidelines will be reviewed on a regular basis and may be modified as circumstances require.

B. CONTEXT

PDFs are valued members of the University community and contribute to its research and creative environment. As researchers and research-creators in training, they have the opportunity to make significant contributions to their chosen field. As members of research teams, they collaborate with faculty members, contribute to scientific animation and may assist in student supervision. The principal objectives of PDFs are to broaden their expertise in association with established researchers, and research creators and to develop their profile as scholars.

PDFs must comply with all relevant University policies and collective agreements, as they apply to them, including without limitation the Policy on Intellectual Property (VPRGS-9), the Policy on Conflicts of Interest in Research (VPRGS-5), the Code of Ethics: Guidelines for Ethical Actions (BD-4),

C. GUIDELINES

1. PDF Appointment Process

1.1. Appointment Process

In addition to the elements outlined in Section 6 of the Policy on Postdoctoral Fellows, the Letter of Invitation will also stipulate that:

- personal and/or family insurance coverage (including but not limited to health, medication, dental, accident and travel insurance) will not be provided by the University and that PDFs are solely responsible for obtaining and paying for any necessary insurance coverage. Proof of such coverage may be required for registration or earlier at the University’s request.

- PDFs must explicitly acknowledge and accept responsibility for their own status and/or obligations with regard to personal taxation under applicable provincial and federal law. PDFs must agree to indemnify and hold the University harmless with respect to any decision or penalty imposed by tax authorities in connection with their status and/or obligation under applicable law.
- PDFs are solely responsible for obtaining and maintaining the appropriate travel documents, including a visa(s), for the PDF and his/her family, if applicable, throughout the period of the appointment.

1.1.1. PDF Vacation

The general practice for vacation allowance for PDFs is five working days per trimester. This allowance would normally be prorated for the actual number of days worked/trained as a PDF.

1.2. Stipend/Salary

PDF income can be assembled from various sources (external or internal). In all cases and at all times, regardless of the source of financial support, income levels for PDFs must meet the \$30,000/year minimum set by the University (excluding benefits). PDFs holding a postdoctoral appointment for less than one year must be paid on a pro rata basis equivalent to the \$30,000/year minimum set by the University.

In the event of a discrepancy for PDF incomes that are assembled from various sources (external or internal), the external granting agencies policy shall prevail.

PDFs that are funded via external sources and receive additional income from any source internal to Concordia will be considered trainees of the University.

Remunerated engagements undertaken by the PDF in addition to his/her appointment activities should be compensated at a level consistent with the responsibilities related to the engagement and the PDF's qualifications. Furthermore, the PDF must adhere to the terms and conditions of the [Memorandum of Understanding \(MOU\)](#) on the Roles and Responsibilities in the Management of Federal Grants and Awards, and all other relevant University and government policies related to the conduct of research.

1.3. PDF Registration

Registration is essential to the University's ability to comply with provincial regulations governing PDFs.

Registration includes submitting specific documentation to the Postdoctoral Office in the School of Graduate Studies such as:

- the original [Registration Form](#), with all required signatures and attachments
- a copy of the Letter of Invitation with all required signatures
- a copy of the "Notice of Award" if awarded a postdoctoral fellowship from an external granting agency
- proof of insurance coverage, including liability insurance
- the [Postdoctoral Checklist](#), which lists all the documents required in order to register.

In order to have complete access to University facilities and services, all PDFs must be registered with the Postdoctoral Officer at the School of Graduate Studies.

1.3.1. PDF Program

All PDFs are automatically enrolled in a PDF Academic Plan once registration with the Postdoctoral Office is complete. The PDF Academic Plan will commence at the beginning of the semester in which the PDF's appointment began and will terminate at the end of the semester in which the PDF's appointment ends.

1.3.2. Course Registration

PDF registration will be dependent upon the duration of the PDF's appointment and will be identified by the start date and end date of the PDF appointment.

1.3.3. MyConcordia Portal

All information relating to the PDF Program, PDF registration, and email accounts can be found on [MyConcordia Portal](#). PDFs will be assigned a Netname by IITS in order to activate their Portal.

Access to MyConcordia Portal will only be made available once the PDF registration is complete.

1.3.4. PDF Identification Cards

University identification cards are mandatory in order to use the services and facilities at the University and may be required for routine identification while on University premises. Such identification cards can be obtained at the Birks Student Service Centre at 1440 de Maisonneuve Boulevard West, room LB-185. A piece of photo identification and a copy of the PDF's Confirmation of Registration must be presented to obtain the University identification card. A fee of \$11.50 will be billed to the PDF's account for such identification card.

2. On-Campus Services for PDFs

- access to University premises
- access to Concordia Libraries
- access to a University e-mail account
- access to the services provided by the Department of Athletics
- access to the services provided by the [Ombuds Office](#)
- access to Counseling and Development
- access to a PDF list-serve
- access to the University's Health Services
- access to workshops and presentations to enhance career development.

3. Conformity with University Policies

PDFs must comply with all relevant University policies and collective agreements, as they apply to them, including without limitation the Policy on Intellectual Property (VPRGS-9), the Policy on Conflicts of Interest in Research (VPRGS-5), the Code of Ethics: Guidelines for Ethical Actions (BD-4),

3.1. Intellectual Property, Publication and Authorship

3.1.1. Intellectual Property

The ownership and management of intellectual property (“IP”) varies depending on the nature of the research, terms and conditions of funding, and other such matters. For example, in some fields of research, mentor(s)/supervisor(s) may solely provide guidance and mentorship to their PDFs who train independently and generate their own ideas. In contrast, in other fields of research, PDFs train collaboratively with their mentor(s)/supervisor(s) as part of an established research team. Generally, in such latter cases, mentor(s)/supervisor(s) often provide the ideas that guide the research of the group as well as the resources required to support/conduct the research.

Any person who has contributed inventively to the creation or development or reduction to practice of intellectual property, as such is defined in the [Policy on Intellectual Property](#) shall be recognized as an “Inventor” or “Co-Inventor” where there is more than one Inventor.

Ownership rights to IP developed in the course of the PDF’s relationship with the University shall be governed by the relevant articles of the [CUFA collective agreement](#) and the University’s [Policy on Intellectual Property](#).

3.1.2. Publication and Authorship

PDFs are expected to publish the results of the research conducted during the period of the PDF’s appointment. Unless otherwise stipulated in a research agreement, such publications are subject to the publication mechanism outlined in Section 28 of the Policy on Intellectual Property. Furthermore, authorship rights of the PDF must be recognized in publications, based on and in proportion to his/her intellectual contribution.

3.2. Teaching

PDFs should discuss with their mentor(s)/supervisor(s) their desire to participate in teaching activities, including undergraduate and graduate lecturing, laboratory instruction, tutorials, supervision of undergraduate projects, and assistance with the supervision of graduate students. Formal assignment of teaching duties may not exceed a one full course per semester (three credits) for the Fall and Winter semesters. For such teaching assignments, PDFs will be appointed as temporary academic staff and will be treated and considered as employees of the University. The salary for such teaching assignments will be drawn from the relevant department's operating funds. Appropriate amounts shall be withheld by the University from such salary for applicable amounts owed to Canada Pension Plan and Employment Insurance.

International PDFs must discuss teaching assignments with their mentor(s)/supervisor(s) prior to obtaining their work permit in their home country. Any such teaching assignments must be clearly indicated on their Letter of Invitation and disclosed on their work permit.

In accordance with University policy, PDFs who are fully responsible for teaching a course will be compensated at the standard rate paid to part-time instructors of the University, over and above their stipend. These teaching assignments must not interfere with the PDF's expected level of research and must not be undertaken without the prior written consent of the PDF's mentor(s)/supervisor(s).

4. Conforming with Government Procedures

4.1. International PDFs

Except for immigration considerations, the appointment procedure for Canadian and international PDFs is the same. A position for an international PDF is exempt from advertising as Citizenship and Immigration Canada considers such a position as an "extension of studies".

All international PDFs undergoing research at the University must obtain a work permit prior to coming to the University to take on a PDF appointment. This work permit will be inclusive to the PDF appointment.

Time-limited work permits will be issued for positions granting a stipend and salary. These permits are exempt from advance approval from Service Canada under confirmation exemption code C44 of the Citizenship and Immigration's FW1 [Foreign Worker Manual](#) (pages 22, 23, 43 and 44).

4.1.1. Foreign National Exempt from a Labour Market Impact Assessment Form and the \$230 Compliance Fee

As of October 26, 2015, Citizenship and Immigration Canada (CIC) implemented a series of changes to the way in which Work Permits for foreign PDFs are issued.

Under the new requirements, Canadian universities must submit an Offer of Employment to A Foreign National Exempt from a Labour Market Impact Assessment form, and pay a \$230 compliance fee using an electronic system, the Employer Portal, for every international PDF invited. Once the form is submitted and the fee is paid an Offer of Employment number will be generated, which the international PDF will need to submit with his/her work permit application. *International PDFs will not be able to get an employer-specific work permit if their employer has not submitted the required form and paid the fee via the Employer Portal.*

Supervisors and departments can no longer submit the form directly to CIC, instead the Postdoctoral Officer at Concordia University will provide support with the completion of this task. Supervisors wishing to invite an international PDF to Concordia University are requested to contact the Postdoctoral Officer at Concordia University, Cynthia Raso, cynthia.raso@concordia.ca for further information.

Eligibility Status of the Employer Fee:

If the international PDF is recruited to work exclusively on research for which Tri-Agency grant funds are provided the full cost of the employer fee of \$230 will be eligible for reimbursement from the grant holder's grant funds as an eligible recruitment cost per the Tri-Agency Financial Administration Guide.

If the international PDF is recruited for purposes unrelated to Tri-Agency funded research the employer fee is not eligible for reimbursement from grant holders' grant funds.

4.1.2. How to Obtain a Work Permit

The following documents are required to obtain a work permit:

- Citizenship and Immigration Canada (CIC) work permit application form
- valid passport
- The Offer of Employment Number generated from the CIC Employer Portal (Labour Market Impact Assessment Form)
- \$230 compliance fee paid by the University

- an updated copy of a *curriculum vitae* and a copy of the Ph.D. or equivalent terminal degree
- Letter of Invitation of a PDF appointment duly completed, accepted and signed.

These documents must be submitted to a Canadian Embassy/Consulate in the PDFs' home country.

The work permit will be issued at a Canadian port-of-entry on the basis of the letter that was received from the Canadian Embassy. PDFs are asked to review their work permit carefully and ensure that the name on it corresponds with the name in their passport and that all other details are accurate.

It is the responsibility of the PDF to obtain the required valid legal documentation from CIC. Failure to obtain proper authorization from CIC automatically cancels the PDFs appointment without further recourse. [See, Immigration and Refugee Protection Act, \[regulations 124\(1\)\(C\), 124\(2\), 125, 126, 127\(a\) and \(b\), 128\(a\) and \(b\)\].](#)

PDFs do not need to apply for a CAQ (Certificate of Acceptance in the Province of Quebec/Certificat d'acceptation du Québec) as PDFs are exempt by the labour market opinion from Human Resources and Skills Development Canada (HRSDC).

4.1.3. Work Permits for Spouses/Partners and Dependent Children

Information on obtaining work permits for spouses/partners and dependent children can be found on the [CIC website](#).

4.1.4. Temporary Resident Visa (TRV)

Depending on the country of citizenship, PDFs may be required to obtain a temporary resident visa (TRV) in addition to the work permit before leaving their home country. Consult the [list of countries requiring a visa](#).

If a TRV is required, PDFs must obtain their TRV from a Canadian consulate/embassy in their home country before leaving for Canada. The following documentation is normally required to obtain a TRV:

- Temporary Resident Visa (TRV) application form
- valid passport
- photocopy of the work permit

- two (2) “passport-size” photos
- Letter of Invitation of a PDF appointment duly completed, accepted and signed.

Note: PDFs are solely responsible for obtaining the required travel documentation and are advised to confirm these requirements with the Canadian consulate/embassy in their home country before their departure as additional information and/or documentation may be needed.

4.2. Medical Coverage

4.2.1. Temporary Medical Insurance and Travel Insurance

International PDFs must obtain and/or maintain temporary health insurance covering them until they have obtained the Quebec Medical Coverage, which can take up to three (3) months. PDFs may be asked to show proof of such coverage.

It is also strongly advised that PDFs, if required and where applicable, purchase travel insurance to cover **medical emergencies** that may occur between the time of departure from their home country and the start date of any temporary medical insurance.

The University will not assume responsibility for any medical charges incurred by a PDF.

Please refer to a health benefits program below that is offered to our international PDFs by an outside company. It is not possible for PDFs to register for this private emergency medical insurance prior to their arrival in Montreal or prior to their PDF registration.

[**RSAINsurance**](#) for International PDFs is specifically designed for international PDFs in Canada who are not eligible for a government health insurance plan. PDFs may also purchase coverage for dependents. The policy covers hospitalization costs, physician charges, annual medical and vision exams, prescription drugs, and emergency treatment outside the province of Quebec.

In order to meet the specific needs of the international PDF clientele, Medi-Select Advantage® offers two (2) distinct plans:

[1- Long Term Health Coverage Insurance for International PDFs](#)

Designed for PDFs enrolled in long-term study programs in Canada, this insurance is designed to cover losses arising from sudden and unforeseeable circumstances, both at the time of medical emergency and for necessary follow-up care.

[2- Emergency Medical Insurance for International PDFs](#)

Primarily designed for PDFs enrolled in short-term study programs in Canada (6 months or less), this insurance will cover emergent medical condition(s) until it is stabilized.

4.2.2. Quebec Medicare Card

It is mandatory for all international PDFs to apply for a Quebec Medicare Card upon arrival in Quebec. A waiting period of up to three (3) months following registration with the Régie de l'assurance maladie du Québec is to be expected.

As a result of reciprocal social security agreements providing healthcare coverage with Quebec and the following countries (Denmark, Finland, France, Luxembourg, Norway, Portugal and Sweden), PDFs from these countries will/may not be subject to a three (3) month bridge period for Québec Medicare coverage. The PDFs from these countries will be asked to provide proof of health insurance coverage in their home country at the time of filing their application with the Régie de l'assurance maladie du Québec.

Canadian PDFs returning to Quebec after being outside of the country for more than 183 days will also be required to apply for a Quebec Medicare card upon arrival in Quebec.

PDFs arriving from another province to take up a PDF appointment in Québec become eligible for Quebec Medicare coverage when they cease to be covered by the plan of their province of origin. Generally speaking, coverage under the Québec plan begins on the first day of the third month following the month of their arrival in Québec. As long as PDFs remain covered by the health insurance plan of their province of origin, PDFs must present their health insurance card of that province when receiving healthcare from a doctor in Québec. The health insurance plan of their province may cover the cost. PDFs can submit a claim to the health insurer of their province of origin should their medical card not be accepted by a Quebec health care facility. PDFs are responsible for confirming coverage with either the health care plan in their province of origin or Québec Medicare.

4.2.3. Accidental Insurance

[Industrial Alliance Insurance and Financial Services](#) is the insurer of the group accident insurance plan for the PDFs of all Québec university members of CREPUQ. This plan provides PDFs with protection in case of an accident while PDFs are on the University premises or travelling between their home and the University. This insurance is offered to all PDFs at no

charge. Additional information is also available at [their website](#) or by contacting the insurance company directly at 1-888-266-2224 (Reference Group Policy Number is 7000 Series Number).

4.3. Provincial and Federal Taxation Legislation

All PDFs are responsible for respecting all taxation legislation. The taxation treatment of any income paid to PDFs in conducting PDF activities is the sole responsibility of the PDFs. For PDF who are award recipients, the University will deduct applicable federal income taxes at source from each payment to the PDF. For those PDFs as employees, the University will withhold federal and provincial income taxes. Information regarding provincial and federal taxation legislation and rules can be found at the following web sites:

- Federal: <http://www.cra-arc.gc.ca/>
- Provincial: <http://www.revenu.gouv.qc.ca/eng/ministere/>

4.4. Eligibility for Benefits (For postdoctoral fellows as employees)

Postdoctoral Fellow Employees will pay the regular deductions at source towards mandatory governmental programs, namely the Quebec Pension Plan, the Quebec Parental Insurance Plan, and Employment Insurance.

Additionally, Postdoctoral Fellows will be entitled to participate in Concordia's defined benefit pension plan after meeting the eligibility requirement. As per the current plan provisions, membership begins on January 1st following the earliest of 700 hours of work or earnings equal to or greater than 35% of the QPP Maximum Pensionable Earnings. Please note that there is no eligibility for other benefits, such as Health and Dental benefits. Postdoctoral fellows are not eligible for Health or Dental benefits.

5. Summary of Procedures and Responsibilities

The following constitutes a summary of the key procedures and responsibilities related to a PDF appointment

5.1. PDF

A PDF must:

- apply for a work permit and, if required, a temporary resident visa (applicable for international PDFs) prior to coming to the University to take on a PDF appointment
- acknowledge that he/she is solely responsible for obtaining and maintaining the required travel documentation for the period of the appointment
- obtain and maintain all applicable or required insurance coverage (including but not limited to health, medication, dental, accident and travel insurance) for self and family if applicable
- register with the Postdoctoral Office at the School of Graduate Studies
- activate the [MyConcordia Portal](#)
- report to the appropriate Department and/or Research Unit and meet with mentor(s)/supervisor(s)
- adhere to the University's policies and procedures as well as those of applicable funding agencies
- comply with the relevant provincial and federal legislation and any professional codes of ethics governing the practice of their discipline
- obtain approval of mentor(s)/supervisor(s) before engaging in any additional remunerated activities
- communicate regularly with mentor(s)/supervisor(s) regarding any data, results, and/or intellectual property related to the PDF appointment
- communicate regularly with mentor(s)/supervisor(s) regarding research training

- notify mentor(s)/supervisor(s) in advance of all absences.

5.2. Mentor(s)/Supervisor(s)

Mentor(s)/Supervisor(s) is/are expected to:

- uphold and transmit to their PDFs the highest professional standards of research and/or scholarship in a manner generally set out through the practices and traditions of their disciplines and academic departments
- provide mentorship and research supervision throughout the PDF's appointment
- in accordance with the University's policies, ensure fair dealings with respect to intellectual property, publication and authorship
- stipulate the terms and conditions of the PDF appointment and provide information about performance expectations, standards for hours of training and safety procedures
- provide information and guidance in relation to ethical and scholarly integrity
- conduct a performance evaluation, at a minimum on a yearly basis. Such evaluation should be properly documented, particularly in cases of unsatisfactory performance
- support initiatives to enhance professional development
- provide the PDF with the University facilities required to carry out their research and ensure appropriate orientation of laboratory and equipment.

5.2.1. PDF Mentoring/Supervision

Given that PDFs can conduct research in areas as divergent as engineering, social sciences, humanities, natural sciences, fine arts, and interdisciplinary studies, it is not surprising that there exists considerable variation in terms of the kinds of mentoring/supervision one might find and which PDFs would require. There are of course, many different, valid models of PDF mentoring/supervision.

Broadly speaking, the models range from one which sees PDFs as apprentices who receive close mentoring/supervision on a continuous basis from mentor(s)/supervisor(s), to one which sees

PDFs as essentially independent researchers who receive only periodic guidance from mentor(s)/supervisor(s), but who otherwise assume most of the responsibility for making use of the resources at their disposal. These diverse contexts provide frameworks which set out how discoveries or imaginative viewpoints fit into the working academic relationships, how independently PDFs train or how much emphasis is placed on team efforts, etc. In all cases, however, it is expected that there will be growth and development on the part of PDFs. Regular, open and timely communication between mentor(s)/supervisor(s) and PDFs is paramount to maximize the benefits of the PDF's appointment and to minimize misunderstandings.

While it is generally important to acknowledge the leadership role which mentor(s) / supervisor(s) should undertake in the overall relationship with PDFs, it is essential for PDFs to understand that they have a shared responsibility in maintaining open channels of communication, and finding out for themselves what may be needed for their success, and acting accordingly.

5.3. Department, Faculty and/or Research Unit

The Department, Faculty and/or Research Unit shall:

- submit the Letter of Invitation to the School of Graduate Studies for signature by the Dean of Graduate Studies
- consider the availability of resources (research supervision, facilities, office space) and sufficient research funding prior to offering PDF appointments to prospective PDFs
- ensure that prospective PDFs meet the eligibility criteria for PDF status
- provide orientation of the lab and/or office space
- submit the request for an extension/renewal of PDF appointments to the School of Graduate Studies
- refer PDFs to the Conflict Resolution Procedures Section below, if needed
- refer mentor(s)/supervisor(s) to the Disciplinary Procedures Section below, if needed.

5.4. Postdoctoral Office

The Postdoctoral Office shall:

- oversee and sign-off on the Letter of Invitation from proposed supervisor(s)/mentor(s)
- register PDFs for periodic reporting to Ministry of Education (MELS)
- ensure that all pertinent documents are collected for PDF registration
- convey information pertaining to the policies and procedures on PDF training to the Departments, Faculties, supervisor(s)/mentor(s), and PDFs
- provide information on University services (Library, Health Services, Counseling and Development, etc)
- inform PDFs of professional training opportunities (GradProSkills)
- provide a forum for PDFs to network
- provide timely information and guidance to Departments, Faculties, and PDF supervisor(s)/mentor(s)
- oversee extension/renewal of PDF appointments
- refer PDFs to the Conflict Resolution Procedures, if needed
- conduct exit interview questionnaires with PDFs
- provide PDFs with an exit certificate, when appropriate.

6. Special Situations

6.1. Leave of Absence

The School of Graduate Studies may grant a leave of absence for personal, parental, or medical reasons. A leave of absence may be granted for up to one year and will not be granted retroactively. PDFs must request a leave in writing and submit it to their mentor(s)/supervisor(s) along with supporting documentation. The mentor(s)/supervisor(s)

must forward the request to their Dean's Office for review and approval. A copy must also be forwarded to the Postdoctoral Office.

If a leave of absence has been approved, PDFs must resume their appointment at the University by the specified date.

Mentor(s)/Supervisor(s) are not obliged to pay stipends to the PDFs while they are on leave.

6.2. Appointment Renewal/Extension

A PDFs' appointment will automatically cease at the end of the term of appointment unless a mentor(s)/supervisor(s) has given reasonable notice to a PDF concerning his/her intention to extend or renew an appointment. Such notice is given via an extension/ renewal letter signed by the Dean of Graduate Studies outlining the terms of this extension/renewal. The PDF shall sign this extension/renewal letter to indicate acceptance and shall return it to the Postdoctoral Officer at the School of Graduate Studies, who shall forward a copy to the mentor(s)/supervisor(s) and the Faculty Dean.

An appointment may be extended/renewed provided that the PDF still falls within the definition of a PDF and that the extension/renewal would not exceed the total time limit of five (5) years.

6.3. Appointment Completion or Termination

Upon the recommendation of the mentor(s)/supervisor(s) and the Department Chair, the Dean of Graduate Studies will provide the PDFs with an exit certificate recognizing completion of their PDF appointment at the University. This exit certificate is not an academic credential.

Upon completion of the PDF appointment, PDFs will be required to complete an exit interview with the Postdoctoral Office at the School of Graduate Studies.

The appointment of a PDF may be terminated at any time upon one (1) month's notice.

It is imperative that the mentor(s)/supervisor(s) inform the Postdoctoral Office of all unforeseen terminations so that the PDF registration may be revised.

Annex 1
Conflict Resolution

The well being of PDFs and harmonious relationships with their mentor(s)/supervisor(s) are important to the University. It is essential that disputes be dealt with as quickly and fairly as possible. The PDF and their mentor(s)/Supervisor(s) shall attempt to amicably resolve any dispute arising between them, failing which the following dispute resolution mechanism shall apply:

- 1.1. The complainant must write to the Department Chair, providing details of the nature of the dispute, attempts made to resolve the issue, and the remedy sought. Such written complaint and supporting documentation must also be forwarded to the Faculty Dean and to the Postdoctoral Office.
- 1.2. The Department Chair shall investigate the documents submitted by the complainant and attempt to resolve the dispute. The Department Chair shall arrange a meeting with the PDF and the mentor(s)/supervisor(s) within ten (10) working days of receipt of such written complaint to discuss and attempt to resolve the dispute. Every effort should be made to resolve disputes quickly and restore harmony, collegiality and cooperation.
- 1.3. The Department Chair shall render a written decision within five (5) working days of the meeting. This decision shall be sent to the PDF, the mentor(s)/supervisor(s), Faculty Dean and the Postdoctoral Office.
- 1.4. In the event that a party is not satisfied with the decision of the Department Chair and wishes to appeal the decision, a letter to this effect shall be sent by the dissatisfied party to the Faculty Dean with a copy to the Postdoctoral Office no later than ten (10) working days of receipt of Department Chair's written decision.
- 1.5. The Faculty Dean shall investigate and render a written decision regarding the dispute within ten (10) working days of either (i) receipt of the request to appeal or, (ii) a meeting between the parties and the Faculty Dean. The decision of the Dean is final.
- 1.6. A PDF who files a complaint must not be penalized or suffer any reprisals or be inconvenienced in any manner as a result of the act of filing a complaint.
- 1.7. At any time, PDFs may avail themselves of the services provided by the University Ombuds Office.
- 1.8. The time limits outlined above must be respected. At their discretion, the Faculty Dean may extend any deadlines under this procedure and shall so advise the parties, in writing.

***Note:** There could be circumstances when investigation and mediation would best be done by the head of a Research Unit, not a Department Chair. Because many research units are cross-Faculty, in those cases where issues must be referred to a Dean, the review will be handled by the Dean of the Faculty within whose jurisdiction the parties to the dispute most clearly report.*

Annex 2

Disciplinary Procedures

The goal of disciplinary actions is to provide PDFs with an opportunity to redress deficiencies in their performance and/or behaviour. Actions are therefore undertaken with a view to encourage improvement, rather than to impose punishment. Disciplinary measures, as appropriate, shall be progressive.

The Disciplinary Procedures are applicable regardless of whether the issue is or becomes the subject of an external investigation by other authorities.

The Disciplinary Procedures shall be followed for all complaints against PDFs except when the alleged conduct is, or has the potential to be, disruptive, discriminatory, harassing, threatening or violent, in which case the procedures of the [Code of Rights and Responsibilities](#) shall apply.

A PDF may be disciplined for just and sufficient cause, provided that he or she is notified in writing of both the disciplinary measures to be applied and the reasons for the action. Disciplinary measures may be in the form of a letter of reprimand, suspension, termination, or exclusion for a defined period, among others.

Any disciplinary action must be undertaken by the mentor(s)/supervisor(s) or the Department Chair within fifteen (15) working days of the alleged incident, in the following order:

- 1.1 When the mentor(s)/supervisor(s) or the Department Chair intends to issue a written disciplinary measure to a PDF, a prior meeting including all parties must take place to discuss the incident. The mentor(s)/supervisor(s) or Department Chair will advise the PDF of the purpose of such meeting in advance and indicate that the PDF may have a representative accompany him/her to the meeting. The PDF may contact the Postdoctoral Office to inquire about this representation.
- 1.2 The mentor(s)/supervisor(s) or Department Chair shall confirm the outcome of the meeting (Section 1.1) in writing to all parties within five (5) working days, including copies to the Postdoctoral Officer and the Faculty Dean.

- 1.3 In the event that the PDF believes the disciplinary measure is unjust and without sufficient cause, the PDF may appeal the decision of the mentor(s)/supervisor(s) and/or Department Chair. The letter of appeal must be addressed to the Faculty Dean no later than ten (10) working days following the receipt of the disciplinary measure and must state the full grounds of the appeal.
- 1.4 The Faculty Dean shall conduct an investigation and communicate in writing his/her decision regarding the appeal within twenty (20) working days of receipt of the appeal.