

**POST DOCTORAL
FELLOWS**

University Policy No: HR6310
Classification: Human Resources
Approving authority: Vice-President Research
Effective date: August, 2010
Supersedes: May, 2001
Last Editorial Change:
Mandated review: August, 2017

Associated Procedures:

[Procedures for the Appointment of Post-Doctoral Fellows](#)

PURPOSE

- 1.00 The purpose of this policy is to:
- define the eligibility requirements for a Post Doctoral Fellow appointment at the university;
 - establish the responsibilities of the Faculty Member as the supervisor and employer of a Post Doctoral Fellow;
 - establish the responsibilities of the Post Doctoral Fellow; and
 - outline the support provided by the university.

DEFINITIONS

- 2.00 Post Doctoral Fellow means a person who holds a post doctoral fellowship at the university and includes:
- a) an Externally-funded Post Doctoral Fellow who holds an individual fellowship and funding from a recognized external Funding Agency; and
 - b) a Grant-funded Post Doctoral Fellow who holds a post doctoral fellowship at the university funded through a research funding agreement held by a Faculty Member. This includes an Externally-funded Post Doctoral Fellow who is receiving a salary supplement through a Faculty Member's research funding agreement.
- 3.00 Faculty Member means a person who holds an academic appointment at the University of Victoria as defined under section 2.11 of the *Framework Agreement*, and who supervises a Post Doctoral Fellow.
- 4.00 Funding Agency means a legal entity that has a legal status that is separate and distinct from the university and includes an institute, foundation, granting council

or other agency funding Post Doctoral Fellows, directly or indirectly through a Faculty Member.

- 5.00 Letter of Offer means an offer of employment and appointment, containing the appointment terms and conditions, for Grant-funded Post Doctoral Fellows; or an offer of appointment for an Externally-funded Post Doctoral Fellow.
- 6.00 Academic Unit means the Faculty, School, Division, Research Centre or Department of a Faculty Member who is supervising a Post Doctoral Fellow, as appropriate in the context.

SCOPE/JURISDICTION

- 7.00 This policy applies to all Faculty Members, Post Doctoral Fellows, the University of Victoria and the relationships between them.

POLICY

Nature of the Relationship between Post Doctoral Fellows and Faculty Members

- 8.00 A Post Doctoral Fellow (hereinafter referred to as a PDF), whether Grant-funded or Externally-funded, must be supervised by a Faculty Member.
- 9.00 A Grant-funded PDF is an employee of the Faculty Member and holds an appointment as a PDF at the university.
- 10.00 An Externally-funded PDF holds an appointment as a PDF at the university.

Post Doctoral Fellows Appointment Eligibility Terms and Conditions

- 11.00 A PDF will have completed a PhD prior to commencing appointment, normally awarded in the four years immediately prior to the start of the first post doctoral fellowship at the university.
- 12.00 A PDF is a limited term appointment for up to three years with the possibility of renewal for up to a further two years. The total term for a PDF at the university will not normally exceed five years.

Post Doctoral Fellow Responsibilities

- 13.00 The primary role of PDFs is to engage in research. PDFs are expected to engage in professional development towards achieving a career as a researcher and academic, with the support of their supervisor(s). This includes being provided with opportunities to teach whenever possible and appropriate.
- 14.00 PDFs are required to comply with all regulations and policies of all Funding Agencies that are providing the PDF with funds for research support, either directly or indirectly, through a Faculty Member's research funding agreement.

- 14.01 In the case of funds held directly by the PDF, the PDF is responsible for compliance with the relevant Funding Agency requirements and may request assistance in obtaining this information from the PDF Coordinator in the Office of Research Services (ORS).
- 15.00 A PDF is subject to and is obliged to comply with the policies and procedures of the university.
- 16.00 A PDF is required to meet Canadian immigration requirements and notify their supervisor of any and all changes to their status with Canadian immigration.
- 17.00 PDFs must arrange for medical insurance for the term of their employment or appointment at the university, before the employment or appointment commencement date.
- 18.00 If a PDF wishes to be involved in teaching or laboratory instruction, the PDF is responsible for obtaining the agreement of the Faculty Member. Both the Faculty Member and the PDF are responsible for determining that the teaching activity is permitted under the terms of the funding support provided to the PDF.
- 18.01 The appointment of sessional lecturers, teaching assistants, research assistants and laboratory instructors at the university is subject to the terms and conditions outlined in the appropriate collective agreement.

Faculty Member/Supervisor Responsibilities

- 19.00 Faculty Members are responsible for recruiting PDFs.
- 20.00 Before making an offer of employment or appointment to a PDF, the Faculty Member must demonstrate to the university that there is sufficient funding, and that the space and facilities required for the PDF's research will be available. Signed approval must be obtained from the relevant Academic Unit head, the person responsible for allocating space in the Academic Unit (e.g., the relevant Dean, Centre Director or Vice-President Research). The [*Procedures for the Appointment of Post Doctoral Fellows*](#) contain additional information on this process and a link to the appropriate form.
- 21.00 Faculty Members must provide a Letter of Offer to PDFs as part of the appointment process. The Letter of Offer contains the terms and conditions that apply to PDFs and serves as the agreement between the Faculty Member and the PDF.
- 21.01 The Letter of Offer must contain provisions on:
- Length of appointment term;
 - Financial support or salary offered;
 - Term renewal;
 - Funding Agency requirements;
 - Health insurance requirements;
 - Applicable benefits;

- Facilities and equipment provided;
- Intellectual property; and
- Termination of employment.

The *Procedures for the Appointment of Post Doctoral Fellows* set out the details on specific terms and conditions to be included in the Letter of Offer. Letter of Offer templates are available from the Office of Research Services and must be used by Faculty Members when hiring PDFs.

- 22.00 Where a PDF is not a Canadian citizen or a permanent resident of Canada, Faculty Members are required to adhere to Canadian immigration requirements. It is the responsibility of the Faculty Member to provide a PDF with a letter confirming the relationship with the PDF (the Letter of Offer in most circumstances) to enable the PDF to obtain the required federal work permits and visa.
- 23.00 Faculty Members are responsible for ensuring that PDFs are made aware of the policies and other governing documents of the university applicable to PDFs including, but not limited to, the documents listed under the *Related Policies and Documents* section of this policy.
- 24.00 A PDF must comply with all regulations and policies of all Funding Agencies that provide the PDF with funds for research support. In the case of funds held by the Faculty Member, the Faculty Member providing the funds is responsible for providing the PDF with the required information on regulations, policies and reporting.
- 25.00 The Faculty Member shall make reasonable efforts to act as a mentor and support the PDFs professional development towards achieving a career as a researcher and academic.
- 26.00 Faculty Members and PDFs are subject to the university *Policy on Intellectual Property* (GV0125). To the extent that a PDF participates in the development of intellectual property while employed by or working under the supervision of a Faculty Member, the intellectual property rights of a PDF under the policy are subject to the conditions stated in the Letter of Offer and any additional written agreement.
- 27.00 Faculty Members, PDFs and other researchers are expected to provide appropriate acknowledgement and recognition to contributions to research made by each other in publications and public presentations.

University Serving as Paymaster

- 28.00 Where a Grant-funded PDF is appointed by a Faculty Member, the university will act as the salary paymaster on behalf of the Faculty Member. The payment of salary to a PDF will be in accordance with instructions given by the Faculty Member to the university.

Dispute Resolution

29.00 If a dispute arises with regard to the terms and conditions of the employment or appointment of a PDF, such matters must be dealt with by the relevant parties in the first instance, namely, the Faculty Member and the PDF. Refer to the [*Procedures for the Appointment of Post Doctoral Fellows*](#) for the dispute resolution process.

AUTHORITIES AND OFFICERS

- i) Approving Authority: Vice-President Research
- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Vice-President Research
- iv) Procedural Officer: Director, Office of Research Services

RELEVANT LEGISLATION

University Act

RELATED POLICIES AND DOCUMENTS

Conflict of Interest and Confidentiality GV0210

Scholarly Integrity AC1105

Intellectual Property GV0125

Research Policy RH8100

External Research Funding Agreements RH8200 and associated procedures

Protection of Privacy GV0235

Procedures for the Management of Personal Information

Responsible Use of Information Technology Services IM7200

PROCEDURES FOR THE APPOINTMENT OF POST DOCTORAL FELLOWS

Procedural Authority: Vice-President Research
Procedural Officer: Director, Office of Research Services
Parent Policy: Post Doctoral Fellows (HR6310)

Effective Date: August, 2010
Supersedes: New
Last Editorial Change:
February, 2012

PURPOSE

- 1.00 The purpose of these procedures is to set out the appropriate processes for appointing and supervising Post Doctoral Fellows (PDFs) and the administration of Post Doctoral Fellow appointments.

DEFINITIONS

- 2.00 The definitions contained within the university's *Post Doctoral Fellows* policy (HR6310) apply to these procedures.

SCOPE/JURISDICTION

- 3.00 These procedures apply to the employment and appointment relationship between PDFs, Faculty Members, and the university.

PROCEDURES

- 4.00 The rights and responsibilities of a PDF, established by the *Post Doctoral Fellows* policy (HR6310), apply to all PDFs at the University. This includes access for PDFs to space and facilities, and employment of PDFs on a contractual basis for teaching. A PDF may be eligible for a health and welfare benefit package if employed under a Faculty Member's research funding agreement or, in the case of an Externally-funded PDF, through appointment as a non-remunerated PDF and upon payment of the required fees.

- 5.00 The PDF Coordinator in the Office of Research Services (ORS) will maintain a central registry of PDFs at the university and serve as the point of contact for PDFs and their supervisors on issues of university research policy and relationships with funding and other external agencies. Academic Units and the offices of the deans of faculties also have responsibilities under the policy and these procedures for the registration and administration of PDFs at the University.

Recruitment of Post Doctoral Fellows

- 6.00 Faculty Members have the responsibility of recruiting PDFs and may use whatever method is appropriate including personal contacts, response to inquiries, posting on the web, and advertisement in local, national or international media. Information on PDF recruitment opportunities can be obtained through the PDF Coordinator in ORS. Any postings or advertisements should contain language that makes it clear that the employment relationship is with the Faculty Member, and not with the university. Per the UVic Employment Equity Policy (HR6100), the University of Victoria is committed to

providing an environment which protects and promotes the human rights and affirms the dignity of all persons, including those of diverse backgrounds and needs, and which provides equitable access to employment opportunities. Postings or advertisements seeking candidates for postdoctoral positions should be in keeping with this policy.

- 7.00 Before providing a Letter of Offer to a PDF, the Faculty Member must complete the [*PDF Confirmation of Space and Facilities form*](#) to demonstrate to the university that there is sufficient funding, and that the space and facilities required for the PDF's research will be available. Signature from the relevant Academic Unit head, and the person responsible for allocating space in the department, school, faculty or centre (i.e. the relevant Chair, Dean, Centre Director or Vice-President Research).

Employment and Appointment Requirements

- 8.00 Faculty Members must provide Letters of Offer to PDFs as part of the appointment process. The Letter of Offer contains the terms and conditions of a PDF's appointment and serves as the agreement between the Faculty Member and the PDF. Letter of Offer templates must be used by Faculty Members and are available at the ORS PDF website <https://www.uvic.ca/research/conduct/infofor/postdocs/index.php>.

- 9.00 The Letter of Offer must contain the following information:

a) Length of Term of Employment or Appointment

The term of the employment or appointment is a matter between the Faculty Member and the PDF within the conditions of eligibility set out in sections 11.00 and 12.00 of the *Post Doctoral Fellows policy (HR6310)*. Start and end dates must be clearly stated. Granting councils and other Funding Agencies that provide funds to Faculty Members for employment of PDFs often limit the term of appointment to a period of years following the attainment of a doctoral degree, which may be shorter than the period specified in section 12.00 of the policy. A three month probation or review period may be established if appropriate.

b) Renewal of Employment or Appointment

Renewal of a PDF's employment or appointment is a matter between the PDF and the Faculty Member within the conditions of eligibility set out in sections 11.00 and 12.00 of the *Post Doctoral Fellows policy (HR6310)*. A PDF will normally be notified at least three months prior to the expiration of employment or appointment with regard to whether or not the employment or appointment will be renewed.

c) Funding Agency Requirements

Any conditions set by the relevant Funding Agency(ies) on the use and eligibility of the funds supporting the PDF must be indicated in the Letter of Offer.

- d) *Benefits*
If offered, the university benefit package for a PDF must be specified.
- e) *Eligibility for Leave*
Eligibility for leave should be specified and be consistent with the regulations governing the source of funding and the relevant employment law.
- f) *Intellectual Property*
Any restrictions on the ownership of intellectual property developed by the PDF while at the university must be specified, failing which the University's policy on *Intellectual Property* (GV0125) will apply.
- g) *Termination of Employment or Appointment for Just Cause*
The employment of a Grant-funded PDF or appointment of an Externally-funded PDF may be terminated for just cause (in accordance with Canadian employment law) at any time and without notice. Just cause may include, but is not limited to, non-performance, and violation of university policies and procedures.
- h) *Termination of Employment due to Insufficient Funds*
Where the terms of employment of a Grant-funded PDF include an option to renew, and where the Faculty Member has insufficient funds to renew the employment of the PDF, it is the responsibility of the Faculty Member to terminate the employment of the PDF by providing at least three months notice to the PDF. The Faculty Member is responsible for any financial costs related to termination.

- 10.00 When a Grant-Funded PDF has returned the signed Letter of Offer, the Faculty Member must complete the Human Resource Information System (HRIS) [Instructions to Pay an Employee under Externally Funded Specific Purpose Grants or Contacts](#) form, which effectively requisitions the payment of salary through the university's payroll system and provides signing authority for the charges of salary and benefits to the appropriate research funding agreement account. Payment of salary to a PDF will be in accordance with instructions given by the Faculty Member to the university. The Faculty Member should then submit the appointment form (with all required signatures) to HRIS for processing.
- 11.00 Upon receipt of a completed, authorized "Instructions to Pay" form, a confirmation of appointment status letter will be prepared for the Faculty Member whose grant is being used to fund the PDF by the HRIS/Payroll. The Faculty Member will sign the document, provide a copy to the PDF together with a copy of these procedures, forward a copy to HRIS/payroll, and keep a copy for his/her records.
- 12.00 When an Externally-Funded PDF has returned the signed Letter of Offer, the Faculty Member must complete the HRIS [Recommendation For Approval For Other UVIC \(Non-Remunerated\) \(Adjunct, Limited Term, Visiting Scholar, Visiting Scientist\)](#) form, which will ensure that the PDF has access to the services listed under section 19.00

of these procedures. The Faculty Member should then submit the appointment form (signed by the Dean and Chair; the VPAC signature is not required), and a copy of the signed Letter of Offer, to HRIS for processing.

- 13.00 Copies of the completed appointment form, signed Letter of Offer and signed Confirmation of Space and Facilities form must be submitted, as soon as possible, to the PDF Coordinator in ORS for recording in the central PDF registry.
- 14.00 Before a PDF commences their appointment at the university, the Faculty Member must obtain documented proof of the PDF having completed their PhD, and that the PhD was completed within the four-year period immediately prior to the start of the appointment.

Immigration Requirements

- 15.00 Faculty Members are required to comply with Canadian immigration requirements where a PDF is neither a Canadian citizen nor a permanent resident of Canada. It is the responsibility of the Faculty Member to provide a PDF with a confirmation letter (in most cases the Letter of Offer) that will establish the relationship between the PDF and the Faculty Member, and enable the PDF to obtain the required federal immigration and employment permits and visas.

15.01 If assistance is required with immigration requirements, the Faculty Member should go to the Citizenship and Immigration Canada [website](#). The PDF coordinator in ORS may also be able to provide limited assistance with this process.

Orientation Requirements

- 16.00 Within the first month of the PDF commencing his or her appointment at the university, Faculty Members are responsible for ensuring that PDFs are aware of the policies and procedures of the university including, but not limited to, the following:

- *Policy on Human Rights, Equity and Fairness GV0200*
- *Discrimination and Harassment Policy and Procedures GV0205*
- *Conflict of Interest and Confidentiality Policy GV0210*
- *University Regulations for Research Involving Humans RH8105*
- *University Regulations for Research Involving Animals RH8110*
- *Scholarly Integrity Policy AC1105*
- *Intellectual Property Policy GV0125*
- *Occupational Health and Safety Policy SS9200*
- *Research Policy RH8100*
- *External Research Funding Agreements RH8200*
- *Indirect Costs of Research FM5400*
- *Policy on Violence and Threatening Behaviour SS9105*
- *Protection of Privacy Policy GV0235*
- *Procedures for the Management of Personal Information*
- *Responsible Use of Information Technology Services IM7200*

17.00 Academic Units shall act as the primary point of contact between the PDF and the university. The Academic Unit shall make reasonable effort to include PDFs in the [*orientation and information sessions*](#) that are normally made available to new faculty and staff. The Faculty Member is responsible for ensuring that the PDF has received the training document from Occupational Health and Safety for new and younger workers which can be found at <http://ohs.uvic.ca/gensafety/orientation/orientation.html>.

University Administration

18.00 When HRIS receives and processes the PDF appointment form, access to the university services specified in section 19.00 should be made available.

19.00 PDFs are eligible:

- a) to hold university identity cards that provide access to library facilities;
- b) for information systems access similar to that of a Faculty Member;
- c) to access programs in the Learning and Teaching Centre;
- d) to apply for and, upon payment of the required fees, use university athletic facilities on campus;
- e) to apply for and upon payment of the required fees, have access to university parking;
- f) to receive career advice and job placement services offered by the Student Employment Centre; and
- g) to receive a health and welfare benefit package, if offered, upon payment of the required fees.

20.00 Academic Units are required to maintain a contact list for all PDFs and supply that list bi-annually to the PDF Coordinator in ORS for recording in the central registry.

Violation of University Policies and Procedures

21.00 An allegation of a violation of a university policy by either the PDF or Faculty Member will be addressed under the relevant university policies and procedures including, but not limited to, the following:

- *Policy on Human Rights, Equity and Fairness GV0200*
- *Discrimination and Harassment Policy and Procedures GV0205*
- *Conflict of Interest and Confidentiality Policy GV0210*
- *Policy on Violence and Threatening Behaviour SS9105*
- *Protection of Privacy policy GV0235*
- *Responsible Use of Information Technology Services IM7200*

22.00 A violation of a university policy or procedure by a PDF will be reported to the Faculty Member who is responsible for taking action in accordance with the appropriate policy or procedure. In the event that Faculty Member does not take appropriate action, the violation will be reported to the head of the Academic Unit who will take whatever measures are necessary to ensure policy and procedure compliance. The university may report a violation of a university policy or procedures by the PDF to the Funding Agency or other external agency that is sponsoring or

providing funds to support the research by the PDF. Such disclosure shall be in accordance with the university's *Protection of Privacy* policy (GV0235) and the associated *Procedures for the Management of Personal Information*.

- 23.00 In the case of a violation by a Faculty Member, the PDF should report the violation to the head of the Academic Unit who is responsible for taking action in accordance with the *Framework Agreement* or the appropriate university policy or procedure. In the event that the head of an Academic Unit does not take appropriate action, the PDF should report the violation to the relevant Dean or Vice-President Research who will take whatever measures are necessary to ensure policy and procedure compliance.

Dispute Resolution Procedures

- 24.00 If a dispute arises with regard to the terms and conditions of the employment or appointment of a PDF, such matters must be dealt with by the relevant parties in the first instance, namely, the Faculty Member and the PDF. It is the responsibility of the Faculty Member to ascertain whether a resolution of the dispute can be accomplished as soon as possible following the identification of the dispute.
- 25.00 If the Faculty Member and PDF are unable to resolve the dispute the following dispute resolution process should be used:
- a) The unresolved dispute should be brought to the attention of the head of the Academic Unit who will assist with dispute resolution.
 - b) Where the dispute is not resolved at the Academic Unit level, it may be submitted to the Dean (if the Dean is not the head of the Academic Unit).
 - c) Where the dispute is not resolved by the Dean, it may be submitted to the Vice-President Research.
 - d) After receiving submissions from both of the PDF and the Faculty Member, the Vice-President Research may act to resolve the problem.
 - e) The decision of the Vice-President Research is final within the university.

AUTHORITIES AND OFFICERS

- i) Procedural Authority: Vice-President Research
- ii) Procedural Officer: Director, Office of Research Services

RELEVANT LEGISLATION

University Act

RELATED POLICIES AND DOCUMENTS

Post Doctoral Fellows HR6310
Conflict of Interest and Confidentiality GV0210
Scholarly Integrity AC1105
Intellectual Property GV0125
Research Policy RH8100

External Research Funding Agreements RH8200 and associated procedures
Protection of Privacy GV0235

- Procedures for the Management of Personal Information

Responsible Use of Information Technology Services IM7200