Administration of Graduate Programs at the University of Saskatchewan

A CGSR Concept Paper, September 2015

Report to the Planning and Priorities Committee of Council

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Currently the College of Graduate Studies and Research (CGSR) is responsible for all of the graduate students at the University of Saskatchewan (UoS), it exercises that responsibility by working closely with the academic units which provide the faculty and facilities for graduate training. The College admits qualified students into programs, monitors their academic experience, sets policies, manages scholarships and oversees the overall graduate activity of the University. The CGSR mission states:

"*It is the mission of the College of Graduate Studies and Research to define and support excellence in graduate education, and the research and scholarly activities associated with it*"

In 2012 the University President formed a Graduate Education Review Committee (GERC) to explore the current structure, or alternative structures that might best support graduate education in the future. In November 2013 the committee released a report (Appendix 1) and made three major recommendations: (i) graduate education at the UoS should be

transformed from its current academic structure to an administrative structure; (ii) re-visioning of graduate education and restructuring of CGSR should be guided by a set of principles; (iii) suggestions for continued centralized functions. Finally the GERC report recommended that the GERC recommendations be discussed with faculty, staff and students for feedback. The results of these consultations are detailed in this concept paper.

1.0 Background

1.1 A History of CGSR

In 1907 the UoS founders envisioned a world class university and created a university with an unprecedented combination of colleges. Walter Murray, the first president of the University, indicated the goal of the institution was "to hold an honorable place amongst the best". Initially graduate work was under the supervision of individual undergraduate colleges, with the first graduate degree being conferred in 1912. From 1922 to 1945 graduate studies were administered by a Council Committee on Graduate Studies. In 1946 a College of Graduate Studies (CGS) was formed and lead by a Dean of Graduate Studies. A college name change occurred in 1970 with CGS renamed as the College of Graduate Studies and Research (CGSR), reflecting the College's responsibility for research activities. In 1985 the head of CGSR was retitled Dean of Graduate Studies and Associate Vice-President (Research). In the late 1980's, an external review strongly recommended the separation of the two titles, citing the heavy workload associated with the position of Associate Vice-President (Research). In 1990, the positions of Dean of the College of Graduate Studies and Research and Associate Vice-President (Research) were separated, as were the physical office spaces. However the College retained the title of Graduate Studies and Research. In January 1995, a Review Committee was formed to review administration of graduate programs at the University of Saskatchewan, including the relationship of CGSR to other units on campus. Their report was released in September 1995 and a number of the recommendations were implemented. In 2002 the President's *Renewing the Dream* document established the strategic directions of the University of Saskatchewan and identified the major challenges to be faced in the 21st century. *Renewing the Dream* was committed to "make the changes that are required to place the University of Saskatchewan among the most distinguished universities in Canada and the World". To address this challenge CGSR produced three Integrated Plans (2002-2007, 2007-2012, 2012-2017). In October 2012 the GERC was formed and reported back to the academic community in November 2013. At the same time the University's prioritization review, TransformUS, placed CGSR

in the lowest quintiles for both service delivery and academic programs. In response to the call for further consultation by the GERC report (Appendix I) CGSR commissioned an external and internal review of graduate education administration at the UoS and the other U15 institutions. During 2014 data was gathered through one-on-one interviews, town halls, attendance of Faculty Council meetings and a online survey. A report was compiled in November 2014 and released to the institution in January 2015 (Graduate Education and Postdoctoral Fellows Administrative Reorganization - Appendix II). Recommendations from the report were compiled and presented to the Senior Leadership Forum, Deans Council and Faculty Councils in the spring of 2015.

1.2 Enrolment History

In 1974 there were 810 graduate students enrolled (5% of full-time undergraduate enrolment) at the UoS. Of these, 151 (19%) were in a PhD program, 611 (75%) were in a Master's program, and 48 (6%) in a postgraduate diploma (PGD) program. In the next two decades numbers increased by 131% to 1872 in 1993/94 (24% PhD, 68% Masters, 8% PGD); representing 10% of full-time undergraduate enrolment. Between 1992 and 2001 there was a precipitous decline in enrolment as a direct result of budgetary reductions. The *Renewing the Dream* document (2002) noted the UoS had a graduate/undergraduate ratio far below the Canadian average. By 2006/07 there were 2308 graduate students enrolled in CGSR, an increase of 23% from 1993/94. In 2010/11 the number of graduate student increased to 3506 a 52% increase from 2006/07. The figure for 2013/14 was 3896, an increase of 11% from 2010/11. In 1992/93 twenty six percent of graduate students were international students (37% of PhD and 22% of Masters Students). In 2013/14 this figure had increased to 31% and continues to rise. We now have one of the highest, if not the highest, percentage of international graduate students in graduate programs in Canada. The most recent figures show a 2015 fall term enrolment increase in graduate students of 10% from the fall of 2014. Although the number of actual applications have fallen from 5,728 in 2014/15 to 4,940 for 2015/16 the actual number of students accepted into our programs have risen from 22 to 26%. In 2014/15 there were 976 registered graduate faculty.

1.3 CGSR Organization

The CGSR operating budget currently supports 17 positions: 2 out of scope faculty; 1 exempt position; 5 ASPA positions; and 9 CUPE positions. Figure 1 displays the current organizational structure of CGSR. The Associate Dean, Director of Graduate Scholarships and Awards / Financial Officer, Director of Special Projects /

International Recruitment and Graduate Program Review Officer report directly to the Dean.
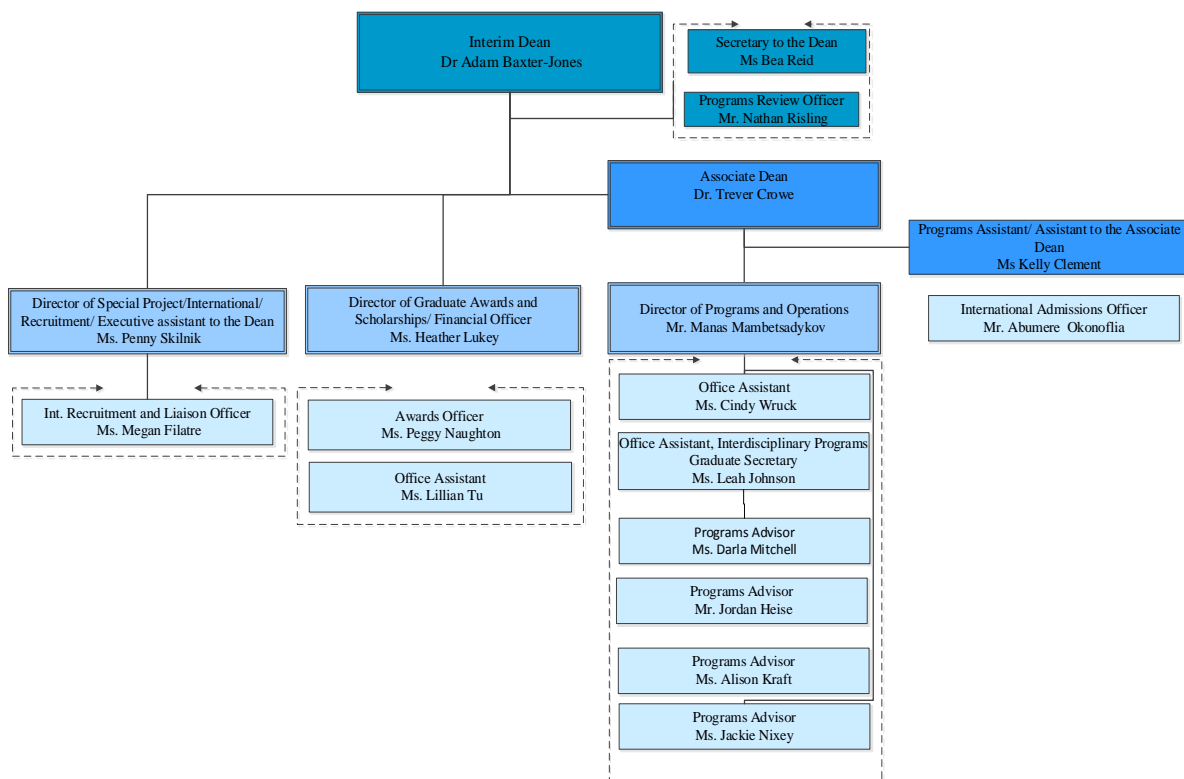

Figure 1. CGSR Organizational Chart

The Dean is responsible for the day to day management of the College and represents the interest of graduate students on University committees. The Dean also chairs CGSR's Graduate Council and the Executive Committee, a standing committee of Graduate Council (see Appendix III for CGSR committee structure). A link with research is maintained by the Dean's membership of the Office of the Vice-President Research's Executive. The international recruitment officers report directly to the Director of International Recruitment, who in turn works closely with SESD and the University's Language Center international recruitment officers. Two clerical staff report to the Director of Scholarship and Awards, who in turn works directly with the chair of CGSR's Scholarships and Awards Committee (another standing committee of Graduate Council). The Associate Dean (AD) is responsible for overseeing graduate program development through the Graduate Programs Committee a standing sub-committee of the Executive Committee. The AD liaises with various

administrative units and committees of both University and Graduate Council (Appendix III). Finally the AD, in conjunction with the Graduate Academic Affairs Committee, deals with all student issues, including academic misconduct. An administrative assistant provides support to this AD position. The Director of Programs and Operations also report directly to the Associate Dean. Finally, the academic advisors report directly to the Director of Programs and Operations who liaises with various other administrative units on campus including, but not limited to, SESD, the Registrar's Office and ICT. In recent years the Associate Dean's portfolio has increased to include the management of the institution's postdoctoral fellows.

1.4 Previous Recommendations

Among the recommendations of the 1995 Review Committee were: (i) that a centralized model for the administration of graduate studies be maintained; (ii) that the College be renamed the College of Graduate Studies; (iii) that a Graduate Council be created; (iv) that a new College procedures manual be created; (v) that a number of administrative functions be decentralized; (vi) that improvements were made to integrate College and SIS databases; (vii) that new and major course changes be handled in a similar fashion to undergraduate courses and (viii) that the College establish a process for the regular and systematic review of graduate programs.

The University of Saskatchewan's first Integrated Plan committed to: (i) attract and retain outstanding faculty; (ii) increase campus-wide commitment to research, scholarly and artistic work; (iii) establish the University of Saskatchewan as a major presence in graduate education; and (iv) recruit and retain a diverse and academically promising body of students, prepare them for success in the knowledge age. Between 2008 and 2012 the CGSR's 2nd Integrated Plan focused on efforts to: (i) improve the graduate experience both inside and outside the classroom; (ii) enhance the University's research scholarly and artistic profile; and (iii) work together more effectively across unit and institutional boundaries. Between 2002 and 2012, graduate student numbers increased by 68%. In the third integrated planning cycle (2012-2017) it was targeted that graduate student numbers should rise by a further 40%.

The 2013 GERC report (Appendix I) recommended that the University of Saskatchewan's approach to graduate administration should include: (i) assuming a leadership role within the U15; (ii) provide a centralized graduate administrative unit that facilitates success of department, college and school-driven programs; (iii) promote innovation while retaining simplicity and coherence; (iv) focus on the needs of the students; and (v) identify functions that should be decentralized.

From the 2014 Graduate Education and Postdoctoral Fellows Administrative Reorganization report (Appendix II) it can be concluded that the CGSR needs to define its roles and responsibilities more clearly and communicate these better to faculty and staff. There was general support to have a centralized unit that retained a faculty and had an academic leader who enhanced the strategic focus of graduate studies at the UoS. However, if College status was retained a number of functions needed to be improved including: upgrading IT support, providing accurate metrics, streamlining administrative processes, reviewing student financial aid packages, decentralizing some decision making and ensuring the promotion of interdisciplinary programs. It was also noted that postdoctoral fellows need to be consolidated into such a unit.

In 2014, CGSR commissioned a report entitled a 'Canadian Postdoctoral Comparative Study' (Appendix IV). This was in conjunction with working with the current postdoctoral fellows at the University of Saskatchewan to facilitate their forming a Society of Postdoctoral Scholars (SPS). A web site has been developed (http://www.usask.ca/groups/sps/about/about-the-sps.php), a constitution drawn up and the election of their inaugural Executive. The commissioned report was compiled from the 2013 Canadian Administrators of Postdoctoral Studies (CAPS) survey and one-on-one interviews with 14 other Canadian Institutions. Amongst other recommendations the report recommends: (i) that CGSR become the home for PDF's at the UoS and incorporates them into its name; (ii) that PDF can be appointed as either employees or scholars; (iii) that there should be formalized administrative support; (iv) that training opportunities should be provided; and (v) that a formal policy and procedure manual for PDF at the UoS should be developed.

2.0 Guiding Principles

A number of principles were used to guide the review and development of the recommendations contained within this document. The principles are grounded in the strategic directions and planning priorities of the University and its commitment to sustain a positive studying and working environment for graduate students.

Specifically the principles that guided the recommendations included:
- Ensuring that the graduate education students received would distinguish the UoS as a world leader in research, scholarly and artistic work.
- Engaging and sharing responsibilities and accountabilities with colleges and schools.

- Ensuring high quality innovative disciplinary and interdisciplinary programs reflect the strategic focus of the institution.
- Ensuring recruitment of high quality candidates, both domestic and international, following a strategic enrolment management system.
- Improving the student experience both inside and outside the class room.
- Ensuring there would be a higher proportion of graduate students within the university's overall student population.
- Ensuring there was a higher proportions of thesis based graduate students (emphasis on PhD's) and postdoctoral fellows.
- Ensuring there would be competitive, U15 comparable stipends and Tri-Council scholarship successes.
- Ensuring greater efficiencies in program and course approval processes.
- Ensuring reasonable time to completion rates.
- Ensuring appropriate, timely conflict resolution practices.
- Ensuring time sensitive efficient administration practises.

3.0 Recommendations

3.1 Decentralization

Although a small minority did express interest in disbanding the college and distributing the responsibilities for graduate studies among the Colleges and Schools, the strong majority view was that decentralization would lead to the diminishing or loss of central functions. The concern was that there would be no structure to establish and monitor standard policies and procedures for graduate work. Furthermore, decentralization could result in greater irregularity in the administration of graduate programs; this would be in opposition to the current Service Design and Delivery administrative structures being developed. There was concern that decentralization would lead to increased burden on resources at the unit level. There was also concern that with no cross-campus administrative procedures that there would be no one to protect the rights of graduate students. Currently the role of ombudsman is fulfilled by the Associate Dean of CGSR. The institution is actively, in conjunction with the Graduate Student Association (GSA), reviewing the need for centralized graduate student advocacy.

Recommendation 1: Graduate Studies at the UoS continue to be administered by a centralized unit.

3.2 College Status

It is noted that only two out of our U15 comparators have offices of graduate studies and that at least in one case the academic leader of the office found it problematic for decision making not to have a faculty. Many of the essential functions of academic program such as graduate studies require the existence of a faculty and so within the structure of the UoS this requires a College. Because graduate studies are a fluid process there will be a need to revise, maintain and create new policies. The best mechanism to achieve this is to continue to involve faculty members.

Recommendation 2: The centralized unit required to administer graduate programs at the UoS be a college.

3.3 College Name

Since the University has an office of the Vic-President Research which is responsible for the majority of activities related to research at the University of Saskatchewan there is redundancy in using the term research in the College name. It is also suggested that by leaving the term research in the name it may causes confusion as to the specific responsibilities of the College. To clarify the functions of the College and avoid redundancy of the term "research" it would seem reasonable to suggest that the College be renamed the College of Graduate Studies. It has been further suggested that the unit responsible for graduate education should take on the role of providing administrative responsibilities for postdoctoral fellows, a group of research trainees currently underrepresented. It is further noted that 6 of our U15 comparators include Postdoctoral Studies in their administrative unit name.

Recommendation 3: That the College of Graduate Studies and Research (CGSR) be renamed the College of Graduate and Postdoctoral Studies (CGPS).

3.4 College Leadership

When the title of Associate Vice-President (Research) was removed, the line of reporting to senior administration was likely altered in a significant manner. Initially, this potential issue was overcome by adding the Dean of CGSR to PCIP. However in

2013 the position on PCIP was opened up to be any Dean, to provide a decanal representation. Currently, like the majority of other college Deans, the Dean of CGSR is only a member of the Dean's Council. This has likely reduced the influence of the College and its relative status as a distinctive college of major importance with regards to influencing to the strategic initiative of increasing the University's research standing. In addition, the majority of CGSR faculties' and students' primary loyalties are to the college to which they are tenured and to the academic units that teach them, respectively. It has been noted that the graduate and research enterprises of a university are intricately intertwined and it is therefore essential to the institutional mission that close and frequent interaction exists. The bottom line is that graduate studies needs to have an independent voice at all levels of the institutions decision making bodies. This is recognized by our U15 comparators where 9 out of the 15 have graduate studies deans with additional higher level titles.

Recommendation 4: That the position of Dean of the College be altered to Vice-Provost Graduate Education and Dean of the College of Graduate and Postdoctoral Studies.

3.5 College Administrative Restructuring

It is very clear from all the reviews that there are considerable concerns from senior leadership and faculty with regards the current administrative practices within CGSR. Some of the bureaucratic hurdles to improve efficiencies can be achieved by upgrading the current student information systems. CGSR has been working closely with the office of the Associate Vice-President, Information and Communications Technology to improve CGSR information systems to eliminate repetitive and unnecessary effort, reduce administrative errors and delays, and improve efficiencies. Workflows have been provided (Appendix II) and a lean management model is being used to optimize the efficiency and effectiveness of the graduate administrative model at the UoS. This would include decentralization of some decision making to the units. It also includes incorporating recommendations from the Strategic Enrolment Management Study (Appendix V). One of the most recent achievements has been to add a document management system to assist with applications and admissions; this is being piloted in the fall of 2015.

Recommendation 5. Continue to work on streamlining administrative processes.

3.6 College Communications

As noted in the 1995 Review of Administration of Graduate Programs the interest in CGSR affairs is restricted to a relatively few active members. It was also noted that meeting of the faculty to address CGSR issues involved a considerable expenditure of time and thus more frequent Faculty Council meetings was not an option. This is still the case in 2015. It is therefore recommended that the current model of one Faculty Council per year be adhered to. CGSR did however comply with the 1995 recommendation of creating a Graduate Council of CGSR; consisting of graduate chairs, students and members at large. This Council will continue to meet once each academic term. The reviews also raised concerns about the need to ensure change to policies and procedures are communicated to the institution in a timely manner and are discussed with graduate administrative staff. To this end a graduate administrators' forum has been created. This forum will meet 3 time per year. The first meeting of this group was held in August 2015. CGSR policies and procedures manual has been revised to match current practices and made more accessible by developing an online web site (http://www.usask.ca/cgsr/policy-and-procedure/index.php). The final piece of the picture is to involve the College Deans and School Directors more in the decision making processes.

Recommendation 6. To create a College Deans' and School Directors' forum

3.7 College Membership

Under the Senate Statutes, membership in the Faculty of CGSR is available to all tenured and tenure-track faculty members, to adjunct professors, professors emeriti and professional affiliates. A condition of membership is that individuals have the appropriate academic credentials, demonstrated graduate supervisory experience and research productivity. Membership is for five years and is renewable. Nominations are made, with supporting documentation, by the unit to which the individual is affiliated (department or college) to the CGSR's Deans office. Concerns have been raised as to the efficiency of this process with regards to appointments of new faculty. Discussions have been ongoing with regard to this issue with the Vic-Provost Faculty

Relations Office with the idea that the Appointment of Academic Staff – Form B be revised to incorporate a recommendation of the search committee that the individual be admitted to CGSR at the time of appointment to the unit.

Recommendation 7. That the appointment of new faculty be devolved to the faculty search committees.

3.8 Graduate Course Approvals

In the current model all new graduate courses or changes required to existing ones are first submitted to a standing sub-committee of CGSR's Executive Committee, which in turn is a standing sub-committee of Graduate Council. These CGSR committees do not approve new course or changes but make recommendations to the Academic Program Committee of University Council. This suggest there is a possibly a duplication in the approval process by both CGSR's and University Council's committees. This possibly leads to considerable delays in getting new courses or changes to existing courses approved.

Recommendation 8. (a) That new or major course changes to graduate courses be handled in a similar fashion as undergraduate courses. **(b)** to ensure the monitoring of quality of course in the context of graduate studies that the Associate Dean of CGSR be added as an ex-officio member to the Academic Programs Committee of Council.

Appendix I

Graduate Education Review Committee
Phase 1 Report – November 27th, 2013

As a result of its deliberations over the last year, the Graduate Education Review Committee (GERC) has arrived at a set of conclusions and recommendations that it would like to present to the University of Saskatchewan faculty, staff and students. The conclusions and recommendations fall into three categories: (1) a proposal that graduate education at the U of S should be transformed from its current academic structure to an administrative structure; (2) a set of principles that the GERC believes should guide any re-visioning of graduate education and restructuring of the College of Graduate Studies and Research (CGSR); and (3) a set of suggestions regarding the activities that a centralized administrative structure might carry out.

The GERC believes there is widespread support for a major restructuring of graduate education at the U of S. To both gauge this support and to obtain additional ideas and suggestions, the GERC is asking faculty, staff and students to comment on the conclusions and recommendations presented in this document. Following a short consultation period and assuming there is indeed widespread support for the changes outlined in this document, a GER Transition Committee will be established to work out the details associated with the changes that are proposed. The activities of the Transition Committee will allow – and indeed require – additional opportunities for faculty, staff and student input. At the conclusion of the Transition Committee's work, a detailed plan will be taken to University Council for approval.

Proposal for Graduate Education at the University of Saskatchewan
The GERC has come to the conclusion that the CGSR should be transformed from a centralized academic unit to a centralized administrative unit that would support graduate education and graduate students across the campus. Given the affinity that graduate students feel to their academic programs and the academic homes of their supervisors, this new unit **would not be a college**.

Principles to Guide the Restructuring
In developing the new administrative unit, the following principles will be observed:

- As a member of the U15, the U of S must assume a leadership role in graduate education. Therefore, a key principle will be that we will always aim to lead in graduate education rather than simply catch up to our peers.
- The U of S needs a centralized graduate administrative unit focused on and facilitating the success of department, college and school-driven programs. Such an administrative unit should be sufficiently flexible so as to provide wide-ranging support to academic units in achieving their desired goals and outcomes.
- Policies and decisions from the central graduate administrative unit must promote innovation while retaining simplicity and coherence.

- A central graduate administrative unit should focus on the needs of students.
- Decisions regarding structure should be made on the basis of which functions are better served by the central structure and which functions are better carried out at the program, college, or school level.

Suggested Responsibilities

Some of the possible responsibilities of the centralized graduate administrative unit could be to:

- Perform collective advocacy for graduate studies and for graduate students and postdoctoral fellows, both internal to the University and externally,
- Establish campus-wide standards and coordinate policies and procedures related to graduate student and postdoctoral fellow supervision,
- Facilitate and support quality assurance and assessment processes,
- Provide strategic advice to units regarding developmental opportunities for graduate programs,
- Advocate for graduate students and postdoctoral fellows in dispute resolution,
- Facilitate strategic programming and services for graduate student and postdoctoral fellow matters that cut across academic units,
- Raise funds in support of graduate students and postdoctoral fellows,
- Provide support to the Graduate Students' Association to aid it in achieving its goals and to ensure continuity as leadership of GSA changes,
- Facilitate professional development activities for graduate students and postdoctoral fellows.

Some of the responsibilities of the decentralized academic units could be:

- Supervision of graduate students and postdoctoral fellows,
- Coordination of decentralized graduate student funding,
- Establishment of appropriately populated graduate student supervisory and examining committees,
- Conduct of appropriate qualifying and comprehensive exams for graduate students,
- Coordination of course offerings associated with the graduate academic program,

Examples of the responsibilities to be shared between the centralized administrative unit and academic units could include:

- Admissions to academic unit graduate programs
- Action on matters of non-academic discipline, in coordination with the Office of the University Secretary.

Next Steps

- Receive feedback from the faculty, staff and students on the conclusions and recommendations in this report. This consultation – which is estimated to conclude in early 2014 – will focus on determining support for the proposal that graduate education at the U of S be transformed from its current academic structure to an administrative structure.
- Assemble a GER Transition Committee that will develop a detailed implementation plan following the guidelines expressed above. The Transition Committee will include selected GERC members, plus additional members chosen to provide representation from the campus community.
- The Transition Committee, through wide consultations, will examine issues such as: how current Graduate Council committees can be restructured to work within this new structure; how best to address the graduate application process; how best to structure the appointment and support for postdoctoral fellows; how a new centralized administrative office might be structured (including job descriptions and titles of its executive); and the role of a centralized unit in the process of faculty recruitment.
- Present a detailed plan to University Council for approval.

Appendix II

Graduate Education and Postdoctoral Fellows Administrative Reorganization

A Review of Current Internal and External (U15) Graduate Education Administration / Post-Doctoral Fellows Models

College of Graduate Studies and Research, Nov 2014

Adam Baxter-Jones, Interim Dean CGSR

Prepared by Eleonore Daniel

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Internal and External Scan – Graduate Education Review Committee

Executive Summary

The University of Saskatchewan's (UoS) Graduate Education Review Committee (GERC) was commissioned in October 2012 (co-chairs: President and Provost & VP Academic). In November 2013 a report from this committee was submitted to University Council (Appendix 6) In December 2013, the UoS TransformUS Action Plan Service Delivery taskforce report was submitted to the President. Both reports recommended that the College of Graduate Studies and Research (CGSR) should be transformed from a centralized academic unit to a decentralized administrative unit.

In this report CGSR has undertaken a thorough internal review of the faculties views with regards the central services provide by CGSR, has mapped the current activities performed by CGSR and performed an external review of graduate administration procedures undertaken in the other fourteen U15 Canadian Universities.

The intention is that this report will provide the background information for the preparation of a concept paper to be submitted to the Planning and Priorities Committee of University Council, potentially identifying a new model for graduate student and post-doctor fellow's administration at the UoS.

This report is divided in two main sections: (i) first, the results of an extensive internal review process, involving consultation with faculty, graduate chairs, graduate secretaries, administrative personnel, relevant Council committees, and CGSR staff. (ii) Secondly, information from an external review providing background data regarding different models of administration for graduate education at other U15 institutions: including a comprehensive review of existing decision-making structures at the University of Saskatchewan.

A. The Internal Scan

Faculty Consultation

In the spring of 2014, Acting Dean Baxter-Jones attended Faculty Council meetings across campus. This section summarizes comments collected during meetings with 25 Colleges and / or Departments, five university committees, and two GERC organized open consultation meetings. It also includes individual comments sent by email to Dr. Baxter-Jones. In total, **368** comments were received.

Four main categories of comments were identified: (i) the new graduate education model; (ii) centralization vs decentralization of administration; (iii) the reorganization process, and (iv) issues with the current model. The first category, "the new graduate model" was the most discussed. Amongst other concerns, the respondents identified the organization of graduate funding as a major issue within any new model.

The results also showed a strong interest in maintaining centralization of some processes, particularly for consistency of academic quality. Respondents expressed frustration with admissions and credential evaluations, current CGSR policies and procedures, and the level of invovement by CGSR staff in administrative decision making.

Comments by respondents also provided a clear indication that the project to disestablish the CGSR, was not well presented or fully understood, leaving some respondents questioning the objectives, justification and expected benefits of such a model. A misconception and a lack of understanding of the work currently performed by staff within CGSR, and other academic and administrative units, was evident from some of the responses. Further, the general lack of details regarding the proposed structure of a new administrative model, created difficulities for respondents to confidently comment on the the potential and value of any new structure.

Graduate Education Online Survey

Between April 25th and May 14th, 2014, the CGSR invited graduate faculty members and graduate administrative support staff to complete an online survey related to current administrative practices in graduate student programs. On May 12th, the original version of the survey was sent to all graduate faculty and support staff by email. In total, 188 people responded.

The purpose of the survey was to obtain internal thoughts with regards to the current administrative model and the development of a new model for oversight of graduate education. It aimed to find the root causes of campus dissatisfaction, identify problematic areas, and collect general feedback on the current and future graduate education administrative models.

The survey identified campus dissatisfaction in three major CGSR processes: **(1)** updating, development, approval, and implementation of university graduate education policies and procedures; **(2)** procedures around applications and admissions, and **(3)** development, approval, and updating of programs and courses.

First, the results demonstrate that there is general misunderstanding about the differences between the processes that involve the CGSR and other university processes. The need for more information concerning the responsibilies of the CGSR and its role in various processes was stressed.

Second, respondents expressed a perception of administrative burden in many of the administrative processes. Specifically, there is a sense that there are too many unnecessary approvals required. This combined with a lack of staff causes unnecessary delays.

The survey helped to better inform subsequent discussions about the administrative reorganization. In fact, a majority of respondents expressed the opinion that six processes and administrative supports should continue to be provided centrally: **(1)** graduation and convocation; **(2)** general support to campus community; **(3)** a graduate student information system; **(4)** student academic misconducts; **(5)** student financial records, and **(6)** student support and advocacy.

Whereas, a majority of respondents thought that five other functions would be best provided locally: **(1)** master's thesis defenses; **(2)** CGSR college membership appointments; **(3)** post-doctoral fellow administration; **(4)** student program management, and **(5)** reviews of programs and courses.

As mentioned previously, maintenance and implementation of policies and procedures, and student applications and admissions are two of the main problematic administrative processes. . There was no clear consensus about reorganization; equal numbers of respondents felt that these processes should be best served both centrally and locally.

While there was some support for decentralizing portions of the current functions within CGSR, results from the survey did not provide clear evidence that the outright disestablishment of the CGSR would be supported by the academic stakeholders.

CGSR Staff Interviews

In January 2014, CGSR graduate support staffs were interviewed. The interviewees included two academic leaders, three directors, three administrative professionals, and nine administrative support staff.

All activities managed by CGSR were listed during the interviews, and workflow charts (Appendix 4) were developed for each. Four general observations were made as a result of the interviews:

1. Three problematic processes (development, approval, implementation and updating of policies and procedures; applications and admissions; and development, approval, and updating of programs and courses) mentioned in the previous section, are the most complex of all processes listed. They involve the highest number of actors, steps, and possible variations. They are also amongst the processes that are the most frequently undertaken. Their complexity and variability contribute to the perception of administrative heaviness shared around campus.

2. These processes (identified in #2 above) are uncontrolled. Therefore, the time taken to complete critical tasks varies considerably. For example, it can take from 10 minutes to six weeks to perform an international credential evaluation. The current work methodology creates critical delays and stakeholder dissatisfaction, and it is also responsible for communication problems, duplicated work, and long wait times internally and externally.

3. Information technology (IT) is a major issue for all sectors of activities. Current software and computer applications do not meet the needs of the users, resulting in poor efficiencies, low productivity, skewed reports, and missing information. Staff members are required to perform several repetitive data entries to process applications and admissions (see Credential Evaluation and Graduate Admission Process Review)[1], scholarships and awards, college membership, program review, and to manage the student academic programs and files. The current IT system contributes significantly to the perception of administrative heaviness, decreased staff morale, and a general lack of efficiency in the graduate education model.

B. External Scan

Interviews with the U15 universities

In February 2014, the University of Saskatchewan requested interviews with the deans of faculties of graduate studies at all of the other U15 institutions. The interviews consisted of phone interviews from 30 to 60 minutes, discussions during the Western Deans Conference 2014, and follow-up e-mails with respondents.

Through the interviews conducted, several best practices were identified:

1. International recruitment is a <u>shared responsibility</u> for all universities interviewed (as currently performed at the U of S).

2. The following processes are <u>decentralized</u> at a majority of the institutions: **(1)** College / Department internal scholarships recipients (current UoS practice); **(2)** college membership appointments; **(3)** interdisciplinary program administration; **(4)** master's thesis defense organization (current UoS practice), and **(5)** student program management.

3. The following processes are <u>centralized</u> for a majority of the institutions: **(1)** development of policies and institutional guidelines (current UoS practice); **(2)** maintenance of the graduate course catalogue (current UoS practice); **(3)** graduation and convocation (current UoS practice); **(4)** maintenance of standards and adherence to policies (current UoS practice); **(5)** organization of PhD thesis defenses (current UoS practice); **(6)** organization of national scholarship competitions and choice of recipients/ nominees (current UoS practice); **(7)** administration associated with post-doctoral fellows (current UoS practice); **(8)** student advocacy (current UoS practice); **(9)** program / course changes and development (current UoS practice); and **(10)** cyclical program reviews (current UoS practice).

4. In an exercise to decentralize activities related to graduate education, the U15 leaders interviewed think that the following processes <u>should remain centralized</u>: **(1)** quality control; **(2)** the management of scholarships and awards; **(3)** student advocacy; **(4)** resolution of student academic misconducts; **(5)** representation of graduate education interests.

5. The leaders interviewed also think that combining the two titles of dean and associate-provost is beneficial to generate a strategic focus.

6. According to the same leaders, excessive decentralization of the graduate education model would is not economically viable.

The following universities have experienced a decentralization process within the last nine years: Queen's (2009), UBC (2011-2013), U of Montreal (2006-2007), U of T, and U of Ottawa (2014). Some lessons can be learned from their experiences:

1. The following functions were reclaimed centrally after being decentralized: applications and admissions, thesis defenses, management of internal scholarships, and the academic home of graduate students (their home faculty or to the College/School/Faculty of Graduate Studies).

2. Effective leadership and management before, during, and after implementation of a revised model are essential to making decentralization work.

3. Processes involving administration of interdisciplinary programs, management of student programs, and college membership appointments are markedly different at the U of S compared with those followed at other U15 institutions.

4. After comparison of processes involving graduate education, the University of Saskatchewan was marginally more centralized than the other U15 universities. Given the information collected in the external scan, decentralization of some aspects of the current graduate education model should be considered.

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Glossary of Administrative Processes

Twenty-one administrative terms related to graduate education are defined as follows:

1. **International Recruitment:**
   Activities such as recruitment, agreements, fairs, support to international students throughout the application process.

2. **Enrolment:**
   Academic unit where the students are enrolled.

3. **Applications and Admissions:**
   Review of application, credential evaluations, final offers of admissions.

4. **Student Program Management:**
   Progress reports, processing of extensions, registration, changes of programs, program transfers, leaves, withdrawals, student files, etc.

5. **PhD Thesis Defenses:**
   Organization of defenses, review of thesis, publication of thesis on the library's website.

6. **Master Thesis Defenses:**
   CGSR approval of the thesis.

7. **Graduation and Convocation:**
   CGSR approval of graduation list, organization of convocation dates.

8. **Student Advocacy:**
   To protect the interests of students, support and develop services for students, resolve problems when occur, support to the GSA, etc.

9. **Post-doctoral Fellows Administration:**
   Appointments, support for PDFs, professional development activities.

10. **Academic Student Misconducts:**
    Advice to the parties concerned, resolution of problems, support, hearings, penalties, etc.

11. **Interdisciplinary Program Administration:**
    Support for students within individualized interdisciplinary programs, considering applications for admission, managing student files within individualized programs, etc.

12. **Development, Approval, Implementation and Updating of New Courses and Programs:**
    Processes to review and create new courses and programs.

13. Strategic Distribution of Scholarships and Financial Records:
Administration of devolved and non-devolved funding, development of new scholarship partnerships, agreements, proposals for new/revised awards, etc.

14. National Scholarships Competitions:
Organization of NSERC, NSERC USRA, SSHRC, CIHR, Vanier, etc.

15. Internal Scholarship Competitions:
Organization of non-devolved scholarships.

16. Maintenance of Standards and Adherence to Policies:
Providing oversight to ensure that institutional policies and standards are respected across campus.

17. College/Faculty Memberships:
Appointments of tenure-track professors, adjuncts professors, and professional affiliates.

18. Policies and Institutional Guidelines:
Development, approval, implementation and updating of institutional policies and procedures.

19. Graduate Course Catalogue:
Maintenance, approval of the graduate catalogue.

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Introduction

The Graduate Education Review Committee (GERC) phase 1 and the TransformUS Action Plan Theme have concluded that the College of Graduate Studies and Research (CGSR) should consider being transformed from a centralized academic unit to a centralized administrative unit, which would support graduate education and graduate students across campus. As a result, the College of Graduate Studies and Research (CGSR) has embarked on an environmental scan with regards its role and practices with respect to services to academic units and students. The first step of this process was to complete an external scan and internal survey and analysis of work and service provided, which ultimately shall serve to inform a comprehensive concept paper to be submitted to the Provost and the Planning and Priorities Committee of University Council in 2015.

This document presents the background information upon which the concept paper will be developed, including the identification of broadly held opinions on best practices in graduate education. It is divided in two main sections: first, the results of an extensive internal review, involving consultation with faculty, graduate chairs, graduate secretaries, administrative personnel, relevant Council committees, and CGSR staff are presented. Second, information from an external review provides background data regarding different models of administration for graduate education at other U15 institutions[1], including a comprehensive review of existing decision-making structures and issues thereof at the University of Saskatchewan.

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[1]U15 Canadian research-intensive universities are: University of Alberta, University of British Colombia, University of Calgary, Dalhousie University, Université Laval, University of Manitoba, McGill University, McMaster University, Université de Montréal, University of Ottawa, Queen's University, University of Saskatchewan, University of Toronto, University of Waterloo, and University of Western Ontario.

A. Internal Scan

Faculty Consultation

In the spring of 2014, Acting Dean Baxter-Jones attended Faculty Council meetings across campus. This section summarizes comments collected during meetings with 25 Colleges and departments (College of Agriculture and Bioresources, College of Dentistry, Division of Sciences, College of Education, Edwards School of Business, College of Engineering, Division of Humanities and Fine Arts, Interdisciplinary Studies Programs, Johnson-Shoyama Graduate School of Public Policy, College of Kinesiology, College of Law, College of Medicine, College of Nursing, College Pharmacy and Nutrition, School of Physical Therapy, School of Public Health, School of Environment and Sustainability, Division of Social Sciences, St. Thomas More College, Toxicology Centre, and Western College of Veterinary Medicine), five committees (Academic Programs Committee; Associate Dean Research Committee; University Council; Graduate Faculty Council; Graduate Student Association), and two GERC open consultation meetings held respectively on Tuesday, January 28th, 2014 and Wednesday, January 29th, 2014. It also includes individual comments sent by email to Dr. Baxter-Jones.

In total, **368** comments were recorded. Those comments are grouped in five broad themes:

Figure 1: Number of Respondents by Category of Comments
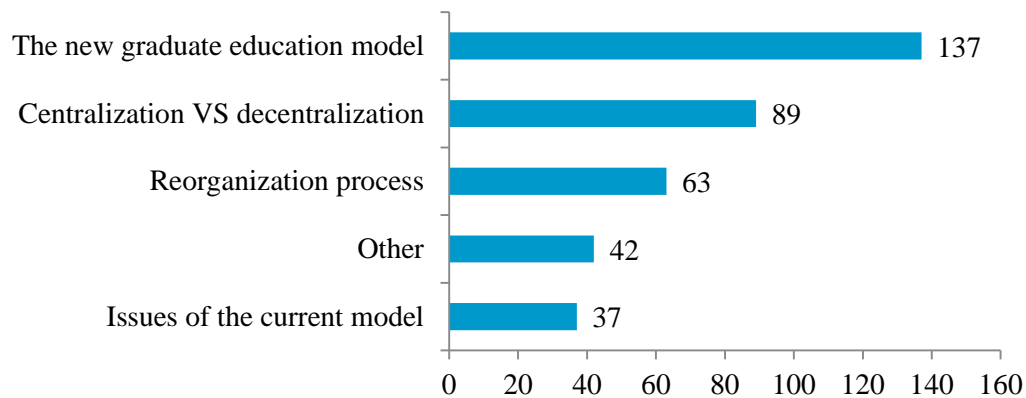
Theme 1: The New Graduate Education Model

This category regroups questions, comments, and opinions expressed about the structure of a potentially new graduate education model. It includes the following topics: scholarships and awards; repartition of the tasks between local and central units; future administration of the interdisciplinary programs, and quality insurance mechanisms. A total of 137 comments/questions were asked about the new model.

Figure 2: Responses by Themes of the New Graduate Model
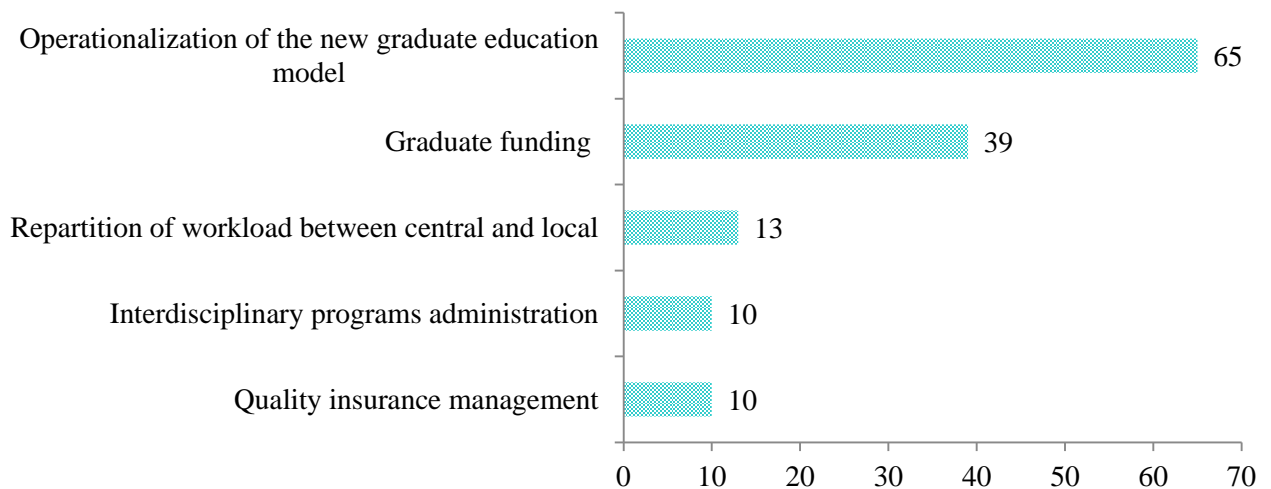
- **65** comments/questions asked about **the general operationalization of the new model** summarized by: *"Where will the students register?"*

- **39** comments/questions asked about **graduate funding,** specifically: *"How graduate funding will be affected and changed?"*

- **13** comments/questions asked about **the repartition of workload** between the academic units and the central unit summarized by: *If the College is disestablished, will the workload be dropped on the staff of the Colleges?"*

- **10** comments/questions asked about **interdisciplinary programs administration:** *"How will the interdisciplinary programs be administered in the new structure?"*

- **10** comments/questions asked about **quality assurance management,** such as: *"It is not clear how an administrative support unit could effectively facilitate quality assurance and assessment processes without having academic authority over these matters (i.e., at the decanal level)."*

Theme 2: Centralization vs decentralization

The second category compares the number of comments supporting centralization in the graduate education model to the number of comments supporting more decentralization. A total of 89 comments were made about the centralization or decentralization of the graduate education model.

Figure 3: Responses by Themes of Centralization vs Decentralization
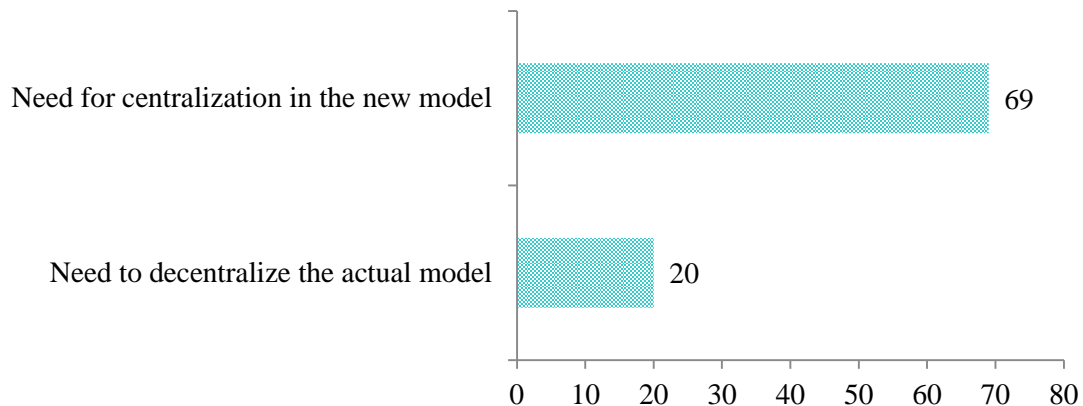
- **69** comments identified the **need for centralization** in a graduate education model: *"There is a need for a centralized oversight around graduate programming. The coordination between units would be difficult. How do you avoid disorder in decentralization?"*

- **20** comments expressed the need to **decentralize** the current model as summarized by: *"The percentage of graduate students has to increase. We need a plan. We need to be competitive to recruit, select and retain. Decentralization would help a lot to address that matter if we could put more money in recruitment and retention (…)."*

Theme 3: Issues with the current graduate education administrative model

This section compiles comments asking for more information and consultation before moving forward with the reorganization of CGSR. It also compiles the questions asked about the different steps and phases of the reorganization project.

Thirty-seven comments raised issues with the current graduate education model encompassing seven broad thematic areas: (1) the admissions and credential evaluations processes; (2) policies and procedures; (3) CGSR administrative heaviness; (4) creation of new programs and courses; (5) student information system; (6) CGSR membership appointments process, and (7) CGSR not facilitating processes.

Theme 4: Issues of the current model
This category compiles issues raised about the current model. These issues concern seven areas: (1) admissions and credential evaluations process; (2) policies and procedures; (3) CGSR

administrative heaviness; (4) creation of new programs and courses; (5) student information system; (6) CGSR membership appointment process, and (7) CGSR not facilitating processes.

Figure 4: Responses by broad thematic areas in the Current Graduate Education Model
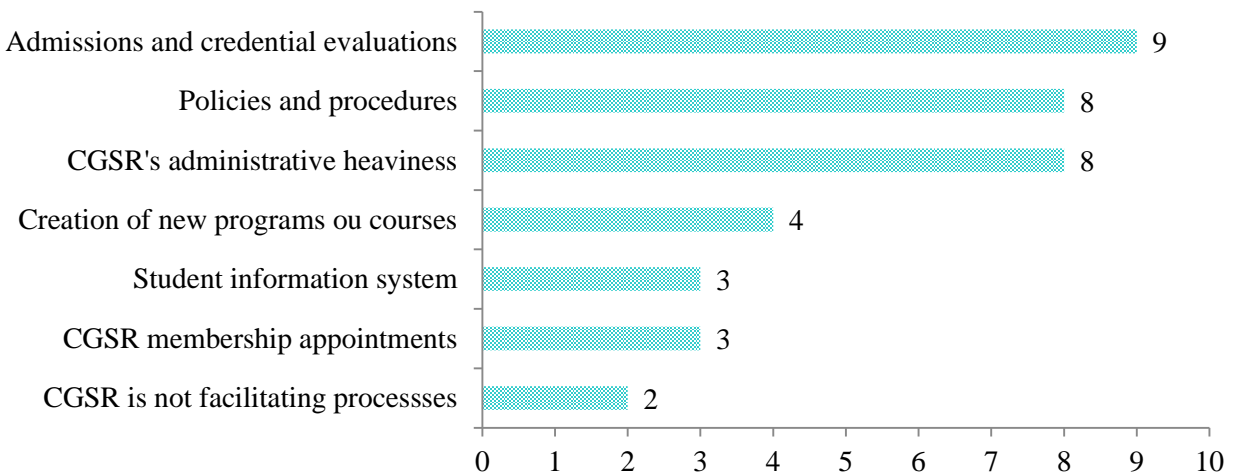
- **9** comments were about **admissions and credential evaluations** processes such as: *"There are too many letters to be sent during the admission process."*

- **8** comments collected were about the **policies and procedures**: *"The rules to get people on the thesis defense committees are too severe."*

- **8** comments collected mentioned **CGSR administrative heaviness:** *"There is too much paper work in the Interdisciplinary PhD program. Actually, one week of paperwork is required to get one student admitted."*

- **4** comments identified unduly complex processes for **creating a new program or course**: *"The process to create a new program is quite challenging. I found the process really frustrating. I did not have the tools and resources required to go through the whole process."*

- **3** comments referenced the process for **CGSR membership appointments** as problematic: *"The process for new full-time faculty joining the graduate faculty should be streamlined and simplified."*

- **3** comments mentioned inefficiencies of the student **information system**: *"The student information system requires too many different data entries."*

- **2** comments described CGSR as policing and not supporting administrative processes, specifically: *"The problem is CGSR policing the graduate programs. In the past, CGSR has not been a facilitator."*

Theme 5: The reorganization process

In total, 63 comments were about the reorganization project itself, which fell into two categories: (1) comments about the need for more consultation or information before moving forward, and (2) questions about the next steps in the project.

Figure 5: Responses on the Reorganization Process
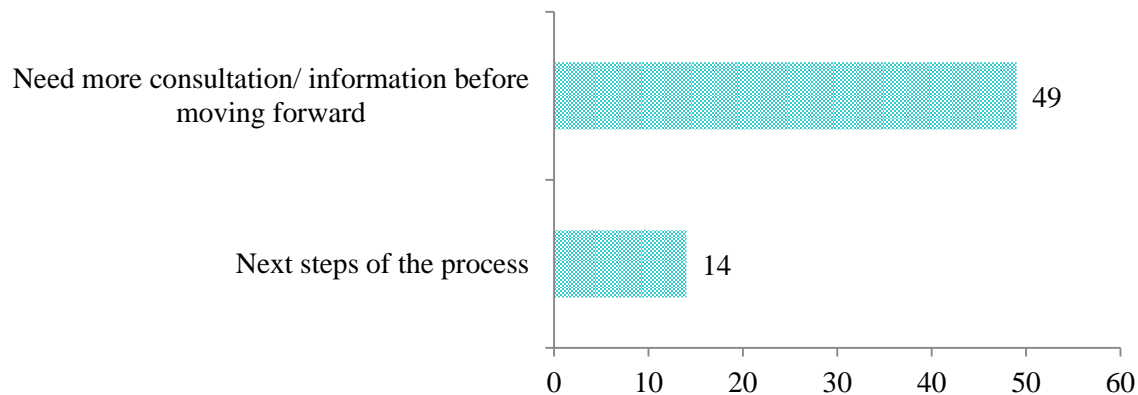
- **49** respondents highlighted the need for more **consultation or information before moving forward**: *"What the issues are raised, what are the sources of the problems? If we don't have a common sense of the problems, how can we work together for common solution?"*

- **14** respondents requested more information about the **next steps** of the process such as: *"What is the timeline of changes?"*

Theme 6: Other

This section contains comments made or questions asked about subjects not included in the four previous categories. In total, **42** comments made on numerous miscellaneous **other subjects** for example: *"Why there is more plagiarism now than ever?"* The high degree of variability among the comments, with no pattern or thematic areas, does not permit a summary of findings.

Conclusions

Responses gathered during the consultation phase fell into four main categories: the new graduate education model, centralization vs decentralization, the reorganization process, and issues with the current model. The "new graduate model" category ilitced the most comments, and represents all questions and comments collected regarding the operationalization of graduate education administrative processes and functions associated with decentralization. Amonge other concerns, the respondents identified the new organization of graduate funding as a major preoccupation with the new model. The results also showed a strong interest in maintaining centralization of some processes, particularly for consistency of academic quality.

The results do not point to any significant collective dissatisfaction. Rather, comments reflecting issues arising from the actual model are the least of the four main categories. Nonetheless, respondents expressed frustration with admissions and credential evaluations, policies and procedures, and the level of invovement by CGSR staff in administrative decisions.

Comments by respondents also provided a clear indication that the project to disestablish the CGSR was not well presented or fully understood by all stakeholders, leaving some respondents questioning the objectives, justification and expected benefits. A misconception and lack of understanding of the work currently done by staff within the CGSR and other academic and administrative units was evident in the responses of some. Further, the general lack of details regarding a new administrative model created difficulties for respondents to confidently comment on the the potential and value of any new structure.

In that context, it is important to explain the reasons for focusing on this area of graduate education. The methodology needs to be clarified. The current situation has to be documented in order to determine and communicate the future state and improvement expectations. Better communication, including a detailed communication plan, between the reorganization committee and the academic units is required in the future.

This consultation process has resulted in a better understanding of the current state of graduate education administration on campus and we can conclude that there is an interest in maintaining centralization of graduate administration, although the bureaucratic heaviness of some processes, such as admissions and credential evaluations, causes dissatisfaction, and greater clarity is needed around policies and procedures.

Such change needs to be based on clearly described methodology and data documenting the current status and identifying areas of concern. This report serves that purpose, and it proposes possible re and possible resolutions. This report serves that purpose, and leads to the next step which is which this report serves to do, and with an identification of areas of concern and a determination of possible resolutions.

In this context, it is important that any future changes to graduate education administration must be broadly consultative with our stakeholders. based on placed within a framework of analysis based on clearly described and supported by broad consultations with the stakeholders. Only in this way can the current situation be fully documented, Better communication, including a detailed communication plan, between the reorganization committee and the academic units is required in the future.

Graduate Education Online Survey

Between April 25th and May 14th, 2014, the College of Graduate Studies and Research invited graduate faculty members and graduate administrative support staff to complete an anonymous survey related to current administrative practices in graduate student programs (see Graduate Education Survey Questionnaire in Appendix 1). On May 12th, the survey was sent to all graduate faculty and support staff by email, and a total of 188 people responded.

The purpose of the survey was to perform an internal scan to further inform the development of the TransformUS Action Plan project #4.1: the development of a new model for oversight of graduate education. Divided into five questions, it aimed to identify and better describe the perceived root causes of campus dissatisfaction, help identify the problematic areas, and collect general feedback on the current and future graduate administrative models.

Question 1: Is this process problematic?

Administrative processes related to graduate education were listed. Respondents had to indicate if the processes were, in their opinion, never problematic, sometimes problematic or always problematic.

Question 2: What are the direct consequences of the problematic processes on your daily work?

For each problematic process, respondents had to indicate the consequence on their daily work, choosing between: process unclear, lack of information, administrative delays, unnecessary handling, repetition of tasks, and mistakes and errors. They could also specify other consequences and comments if applicable.

Question 3: What general causes explain the problematic processes?

The respondents had to choose between five main causes: processes; management; environment; resources, and technology. To assist with determining the root causes of the dissatisfaction, they were asked to further select from a list of causative sub categories. Respondents could also indicate other factors and comments if applicable.

Question 4: In your opinion, how would graduate education decision making be best served for those processes (central or local)?

For each process related to graduate education, respondents had to select whether they thought responsibility should rest either centrally or locally.

Question 5: Do you have further comments?

Respondents could indicate further comments if they so desired. .

Question 1: Is this process problematic?

Figure 6: Percentage of Respondents Identifying Specified Processes as Sometimes Problematic or Always Problematic.
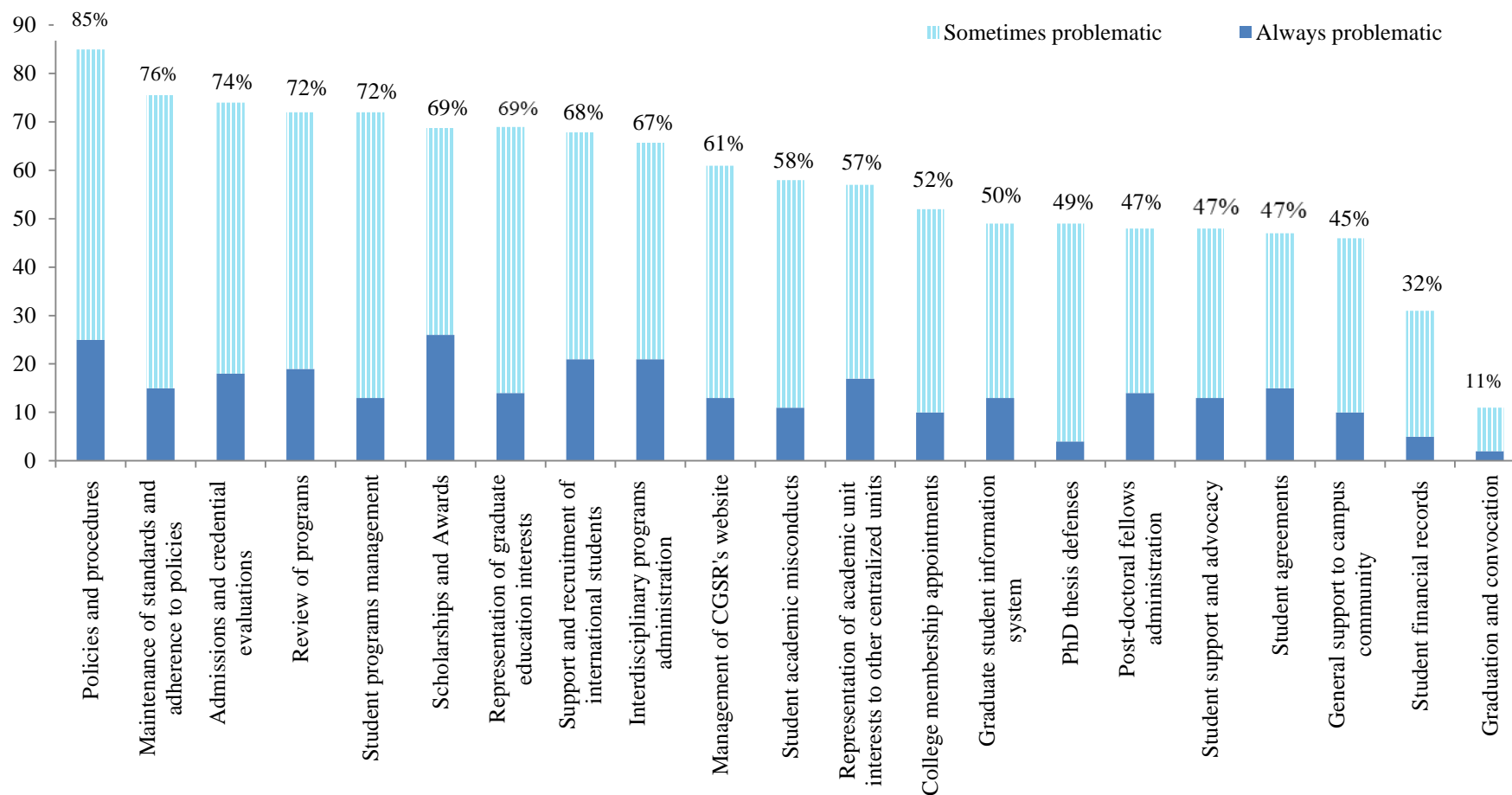
The respondents had to describe each problematic process as "never problematic", "sometimes problematic" or "always problematic". Figure 1 shows the "sometimes problematic" answers in light blue and the "always problematic" answers in dark blue. Percentages indicate the total of answers by process. For instance, 85% of the respondents said that "policies and procedures" is a problematic process.

In every case, a larger proportion of respondents described the process as "sometimes problematic" rather than "always problematic".

Question 2: What are the direct consequences of the problematic processes on your daily work?

Figure 7: Percentage of Responses for Each Category of General Consequences
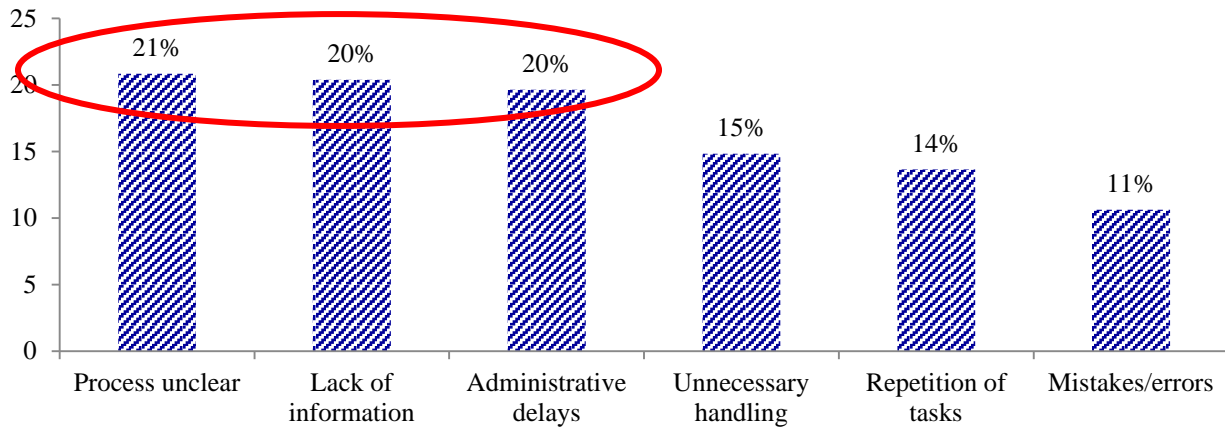
Respondents indicated that they are experiencing three main issues in the actual graduate education model. First, the processes are unclear. Second, they experience a general lack of information delivering their respective tasks. Third, they experience administrative delays.

There was an opportunity for respondents to leave specific comments or examples after every answer. The following is a selection of these comments, organized under broad categorical headings:

1. Scholarships and awards (36 comments)
"Process is so complex - we are constantly bombarded with information regarding scholarships, but the actual process for each often varied. Please combine these scholarships all into one.
"The number of scholarships and awards at U of S is much too small."

2. Support and recruitment of international students (32 comments)
"There is a lack of easily accessible and clear information on conversion of international grades to UoS grades to assess the quality of a student."

3. Management of CGSR website (28 comments)
"There are repetitions between CGSR and the units. Also, the website is very difficult to navigate."

4. Interdisciplinary programs administration (24 comments)
"I believe this might have improved, but in the past, the process was not transparent, and was slow."

5. Student academic misconducts (22 comments)
"Really slow, students disadvantaged due to lack of representation and inevitable delays/harm to their progress to completion."

6. Maintenance of standards and adherence to policies (20 comments)
"We are not sure what parameters are controlled."

7. Representation of graduate education interests (20 comments)
"Interest represented when opportunity available - not sure there are enough opportunities or that senior admin does enough "listening" about the things raised."

8. Admissions and credential evaluations (19 comments)
"Proper structure for evaluation of varied credential is not in place."

9. Post-doctoral fellow administration (19 comments)
"No one knows who is in charge of post docs and who represents them on campus."

10. Student support and advocacy (19 comments)
"Students are most connected to their dept. and in many cases they are not aware of the role of CGSR. When problems arise the student often has no connection with CGSR and confusing as to process/decision making. Units should have strong policies/procedures documents."

11. Thesis defenses (PhD) (18 comments)
"Scheduling of defenses is difficult, but the administrative delays from CGSR make the problem worse. Also, some of the rules are too restrictive."

12. Graduate curriculum (17 comments)
"Process of getting student extensions to time in program has been tiresome at times. We are constantly writing memos to justify why the extension should be granted."

13. Graduate student information system (16 comments)
"The changes in processes are not always well communicated to the departments who have a lot of admin duties related to grad students."

14. Development, approval, implementation and updating of policies and procedures (14 comments)
"Some policies and procedures create unnecessary barriers and reduce the quality of the graduate education process for the individual student. The policies and procedures are too strict."

15. Program development, creation, revision and review (14 comments)

"Petty, inconsequential issues rose by committees approving new program. (…) Would be more helpful to focus on and provide feedback on the big picture."

16. College membership appointments (professors, professional affiliates, visiting scholars, adjunct professors) (12 comments)

"The role of CGSR in making decisions on appointments is unclear. Units/colleges should be able to confirm similarly to processes for other appointments in college/dept."

17. Special agreements/ students (e.g., joint students, dual-degree students, visiting students) (12 comments)

"It is so difficult to navigate all the rules. We need principles in place, then flexibility and simplicity in approvals."

18. General support to campus community (11 comments)

"CGSR associate dean and dean are very good when asked to handle student problems one-on-one."

19. Student financial records (9 comments)

"Not sure CGSR role is vs University services."

20. Representation of academic unit interests to other centralized service units (15 comments)

"Seems like all the work is done at the college level and that CGSR is a barrier."

Question 3: What general causes explain the problematic processes?

Figure 8: Fishbone Chart
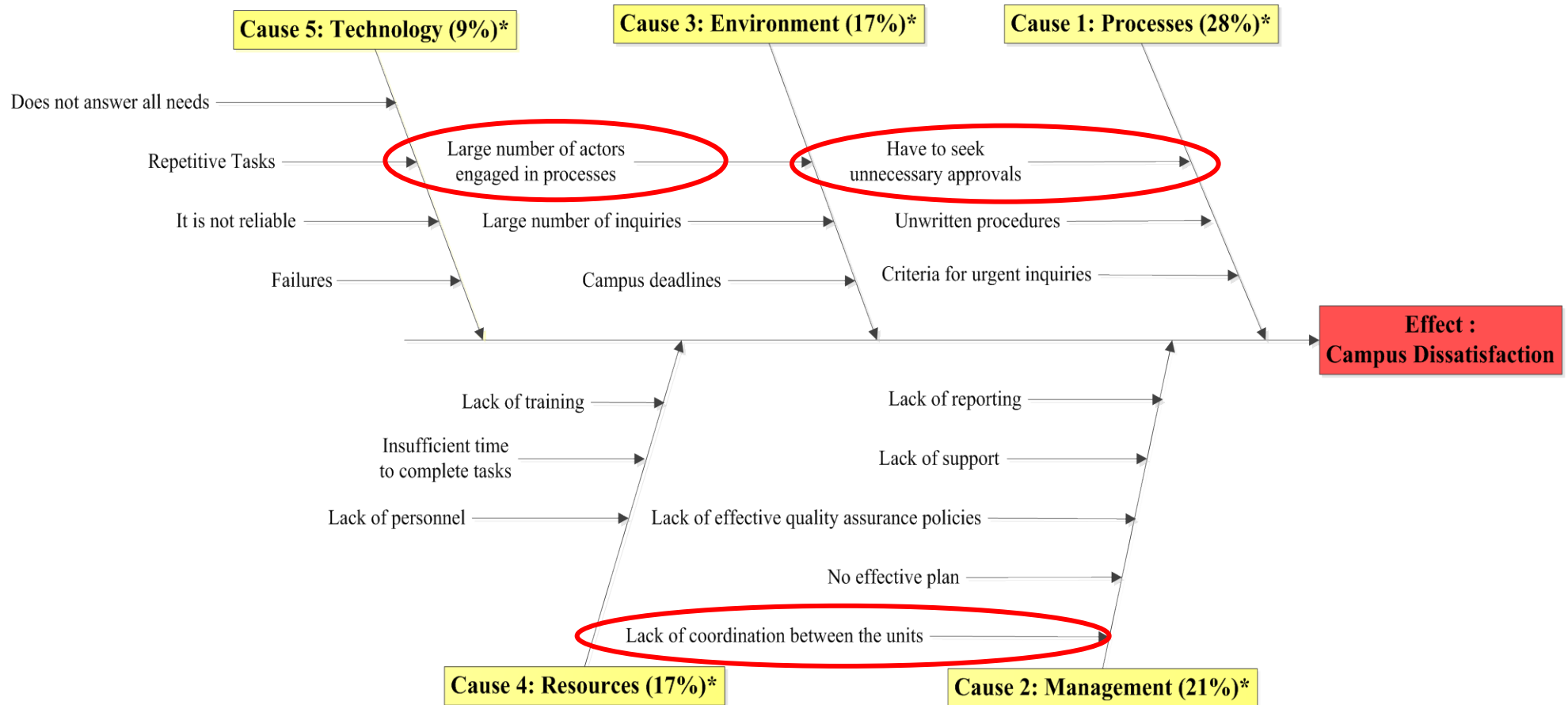
The Fishbone chart details the root causes leading to the campus dissatisfaction. According to the results, respondents indicated that amongst the five primary causes suggested in the survey, four of them are more important: processes (as listed in the glossary), management (the leaders), resources (staff), and environment (higher education). Those primary causes are broke down in secondary causes. The three most popular secondary causes are: lack of coordination between the units; have to seek unnecessary approvals and large number of actors engaged in the processes.

*The statistics indicate percentages of the respondents by primary cause.

Respondents were given the opportunity to offer an additional cause or a comment after each answer selected. A few examples are listed below:

1. **Please indicate why technology causes problems in the current graduate education structure:**
   "Poor integration."…"Students are sometimes not able to access their information."

2. **Please indicate why resources cause problems in the current graduate education structure:**
   "Confusion and lack of unity in task and process and main vision."

3. **Please indicate why environment causes problems in the current graduate education structure:**
   "Too many units who don't follow the rules creating complications for others."

4. **Please indicate why management causes problems in the current graduate education structure:**
   "There is a lack of communication, a lack of strategy and lack of understanding of administrative and governance context."…"Too much overlap/duplication."

5. **Please indicate why processes cause problems in the current graduate education structure:**
   "Duplication. CGSR adds an additional layer in some cases for approval/review. Units should be accountable as they have resources/staff designed to these activities and degree of oversight for complying seems excessive at times."

   "Inability to speed things up when an opportunity arises. U of S is not an obvious choice for strong students anywhere. When a strong student happens to apply here, the process gets in the way."

Question 4: In your opinion, how would graduate education decision-making be best served for those processes (central or local)?


Figure 9: Percentage Bar Graph of Answers by Choice (central, local)
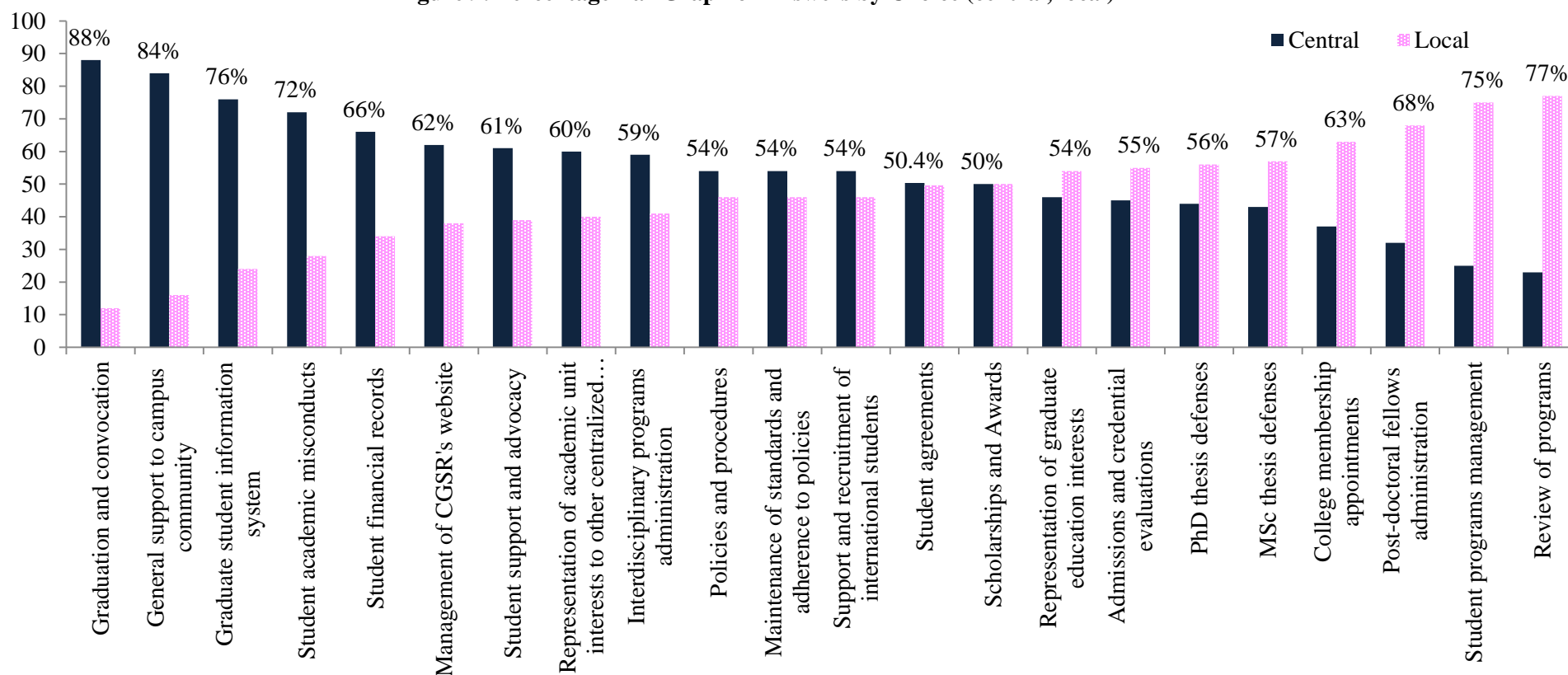
Respondents had to choose between central (in a centralized unit) and local (in the faculties or academic units). The solid blue bar graph shows the results collected for "central" and the pink bars show results for "local". According to the results, the first nine processes would be best served centrally [(1) graduation and convocation; (2) general support to campus community; (3) graduate student information system; (4) student academic misconducts; (5) student financial records; (6) management of CGSR website; (7) student support and advocacy; (8) representation of academic unit interest to other centralized units; (9) interdisciplinary programs administration], while the last six processes should be best served locally [(1) admissions and credential evaluation; (2) PhD thesis defenses; (3) college membership appointments; (4) post-doctoral fellow administration; (5) student program management; (6) review of programs]. Results are equal or almost equal for six processes [(1) policies and procedures; (2) maintenance of standards and adherence to policies; (4) support and recruitment of international students; (5) student agreements, (6) representation of graduate interests].

Figure 10: Percentage Bar Graph of Processes by Central, Local and Problematic Answers

Legend: Central | Local | Problematic/sometimes problematic/always problematic

Categories (left to right):
- Graduation and convocation — 11%
- General support to campus community — 45%
- Graduate student information system — 49%
- Student academic misconducts — 58%
- Student financial records — 32%
- Management of CGSR's website — 61%
- Student support and advocacy — 47%
- Representation of academic unit interests to other centralized units — 57%
- Interdisciplinary programs administration — 67%
- Policies and procedures — 85%
- Maintenance of standards and adherence to policies — 76%
- Support and recruitment of international students — 68%
- Student agreements — 47%
- Scholarships and Awards — 69%
- Representation of graduate education interests — 69%
- Admissions and credential evaluations — 74%
- PhD thesis defenses — 50%
- College membership appointments — 52%
- Post-doctoral fellows administration — 47%
- Student programs management — 72%
- Review of programs — 72%

Merges results collected in question 2 and question 4. In question 2, respondents indicated if, in their opinion, the processes were problematic or not, and, in question 4, for each process they had to determine if it would be better administered centrally or locally. The third column indicates the proportion of respondents describing processes as problematic. The most problematic processes are the ones in the middle of the chart, where the responses were almost equally split between better centrally and better locally administered.

Question 5: Do you have further comments?

Fifty additional comments were left which have been grouped in four general themes in the following bar graph:

Figure 11: Percentage of Bar Graph per Category of Comments
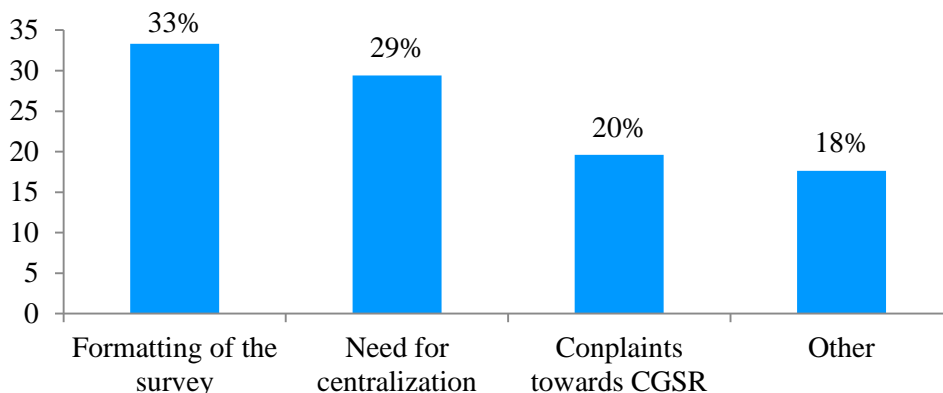
1. **Formatting of the survey:**
"This survey should have included "n/a" or "I do not know" option."

2. **Need of centralization:**
"Can't see much of a cost saving if moving to local management, as most of activities still needed."

"I do not support the elimination of the CGRS because of the important role it plays in avoiding duplications of graduate courses, review of academic dishonesty, graduate programs, review of new courses and deletions. It is neutral body that also advocate for students. I am afraid courses will be duplicated and created and no control at a central level will be there to monitor those processes."

3. **Complaints towards CGSR:**
"I find the meetings tedious and unproductive at times. It seems the focus is more on meeting procedures rather than scholarship and this discourages attendance. There are changes on faculty managing without providing adequate communication as a result we get rumors of emotional abuse from leadership which is very very sad".

4. **Other themes:**
"Ask faculty members to be involvement when a new policy is proposed."

<center>**Conclusions**</center>

Results from the online survey demonstrated a greater degree of dissatisfaction among constituents than what was observed during the consultation phase. Specifically: (1) development, approval, implementation and updating of policies and procedures, (2) admissions and credential evaluations, and (3) development, approval, and updating of programs and courses.

The online survey, in combination with the prior consultation phase, enabled the identification of three underlying root causes of that dissatisfaction.

1. There is a persistent lack of information about graduate processes generally, and a notable need for more information concerning the role and responsibilies of the CGSR. As well a more effective sharing of information between the College and its stakeholders and better coordination of activities between the parties is required.
2. Administrative heaviness, as demonstrated by the requirement to seek what is believed to be unnecessary approvals, is a recurrent problem resulting in too many administrative delays.
3. Respondents indicated that there are not sufficient staff resources, either in the CGSR or within their own units, to implement graduate student administration effectively. .

The survey facilitated more informed discussions about the potential administrative reorganization of the CGSR. In fact, a majority of respondents were of the opinion that six processes and administrative supports should continue to be provided centrally: (1) graduation and convocation; (2) general support to campus community; (3) graduate student information system; (4) student academic misconducts; (5) student financial records, and (6) student support and advocacy.

It was also found that respondents identified five other functions deemed to be better provided locally: (1) master's thesis defenses; (2) CGSR college membership appointments; (3) post-doctoral fellow administration; (4) student program management, and (5) review of programs and courses.

As indicated previously, maintenance and implementation of policies and procedures, and, the student application and admission process were identified as the two most significant problematic areas across campus. However, there was no majority ruling on whether or not reorganization should be a factor in addressing the shortcomings; respondents were equally split on centrally versus locally administered processes..

While there was some support for decentralizing portions of the current functions within CGSR, results from the survey did not provide clear evidence that the outright disestablishment of the CGSR would be supported.

CGSR Staff Interviews

In January 2014, interviews of 30 to 60 minutes in duration with all CGSR's staff members were conducted (see CGSR Staff Interview Questionnaire in Appendix 2). The interviewees included two academic leaders, three directors, three administrative professionals, and nine administrative support staff working in five sectors of business activites (see Organizational Chart in Apprendix 3):

1. Dean's Office (including a Dean, a Secretary to the Dean, and a Program Reviews Coordinator) is responsible for these areas of activities: representation of graduate education on university's committee, relations development, government reporting, improvement of research funding opportunities, graduate program reviews, college/faculty memberships, and oversight of all CGSR activities.

2. Associate Dean's Office (including an Associate Dean and a Programs Assistant) carries out and oversees these areas of activities: management of doctoral theses, student support and advocacy, post doctoral fellows administration, academic students misconducts, academic programs development and revision, maintenance of standards and adherence to policies, development, approval, implementation and updating of policies and procedures, PhD thesis defenses, special cases admissions, student Advocacy, interdisciplinary programs administration, development, approval, implementation and updating of new courses and programs, and graduate course catalogue.

3. Programs and Operations – 6.5 FTE (including a Director of Programs and Operations, a Programs Officer, an Office Assistant, an Office Assistant and Interdisciplinary Programs Graduate Secretary (0.5 FTE), and three Program Advisors.) covers these areas of activities: applications and admissions, student records, student program management, graduation and convocation, special agreements students, representation of interests of units to other central units.

4. Graduate Awards (including a Director of Graduate Awards and Financial Officer, an Awards Officer, and an Office Assistant) covers these areas of activities: development, maintenance and disestablishement of scholarships and awards, strategic distribution of scholarships, national scholarships competitions, internal scholarship competitions, and maintain financial records and financial management of the College.

5. Special Projects and International Recruitment (including a Director of Special Projects and Executive Assistant to the Dean, and, an International Recruitment and Liaison Officer) covers these areas of activities: policy development for graduate education, strategic

enrolment planning and recruitment, internationalization and development of global relations and partnerships, oversight of agreements, special programs development.

6. All activities managed by CGSR were listed during the interviews, and a workflow chart was developed for each (see Workflows in Appendix 4).

As indicate, three specific administrative processes are currently problematic in the graduate education model: development, approval, implementation and updating of policies and procedures; development of new courses and programs, and applications and admissions. The current workflow of these processes is illustrated in four models included in this section. These models provide a detailed listing on how the processes work. They were built with information collected during the CGSR staff interviews, interviews realized through the Credential Evaluation and Graduate Admission Process Review[2], and internal data. Their analysis was developed to pinpoint exactly what is causing delays, inefficiencies or variation within the processes.

Workflow Legend:

⬤ = start/end of action

◻ = Action

◻ = Decision

▲ = Wait

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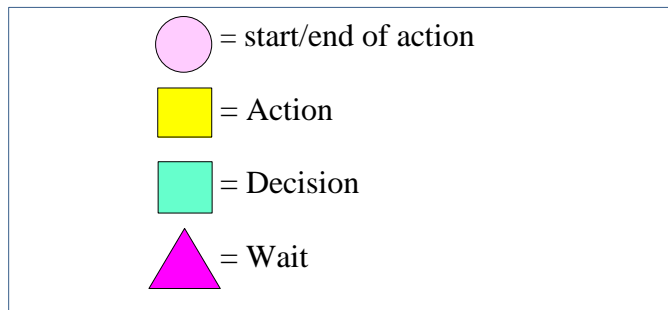
[2] Daniel-Vaugeois, É. Credential Evaluation and Graduate Admission Process Review, College of Graduate Studies and Research. September 2013.

Figure 12: Workflow of Development, Approval, Implementation and Updating of Policies and Procedures Process
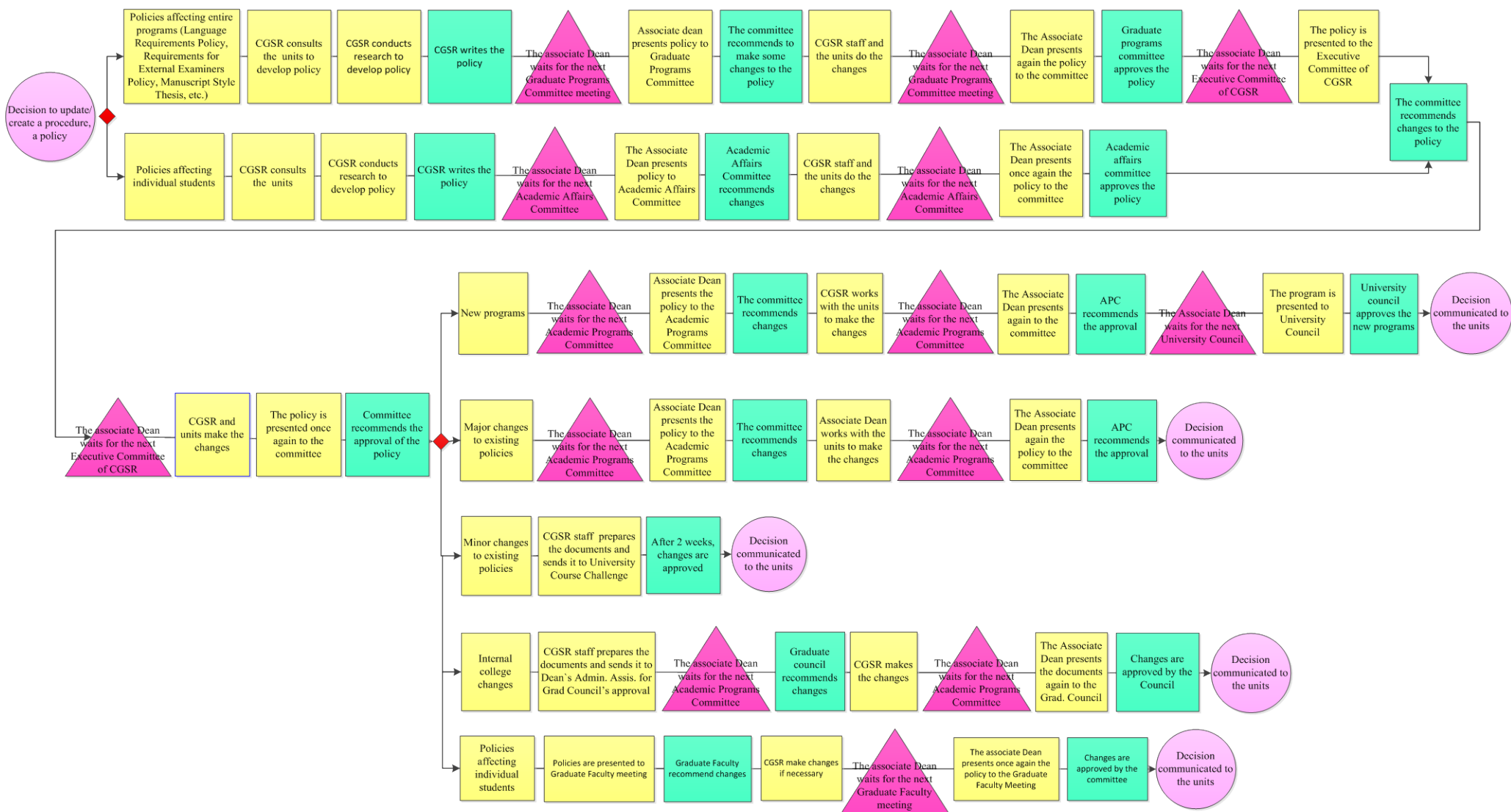
It could take from six weeks to multiple years to update or create a policy due to successive consultations and approvals by committee. Depending on the type of change, it may have to be approved by as many as three committees: the Graduate Programs Committee, or Graduate Academic Affairs Committee, the Executive Committee, and the Academic Programs Committee. For major changes, or the creation of a new policy, final approval rests with the University Council. The minor changes, must be subjected to the University Course Challenge process, however they don't have to be presented to the Academic Programs Committee.

Development or revision of a Program or a Course:

This process is divided in three workflows:

- ° Change of a Degree Requirement
- ° Creation or Revision of a Program
- ° Creation or Revision of a New Course

Figure 13: Workflow Process of Change of a Degree Requirement
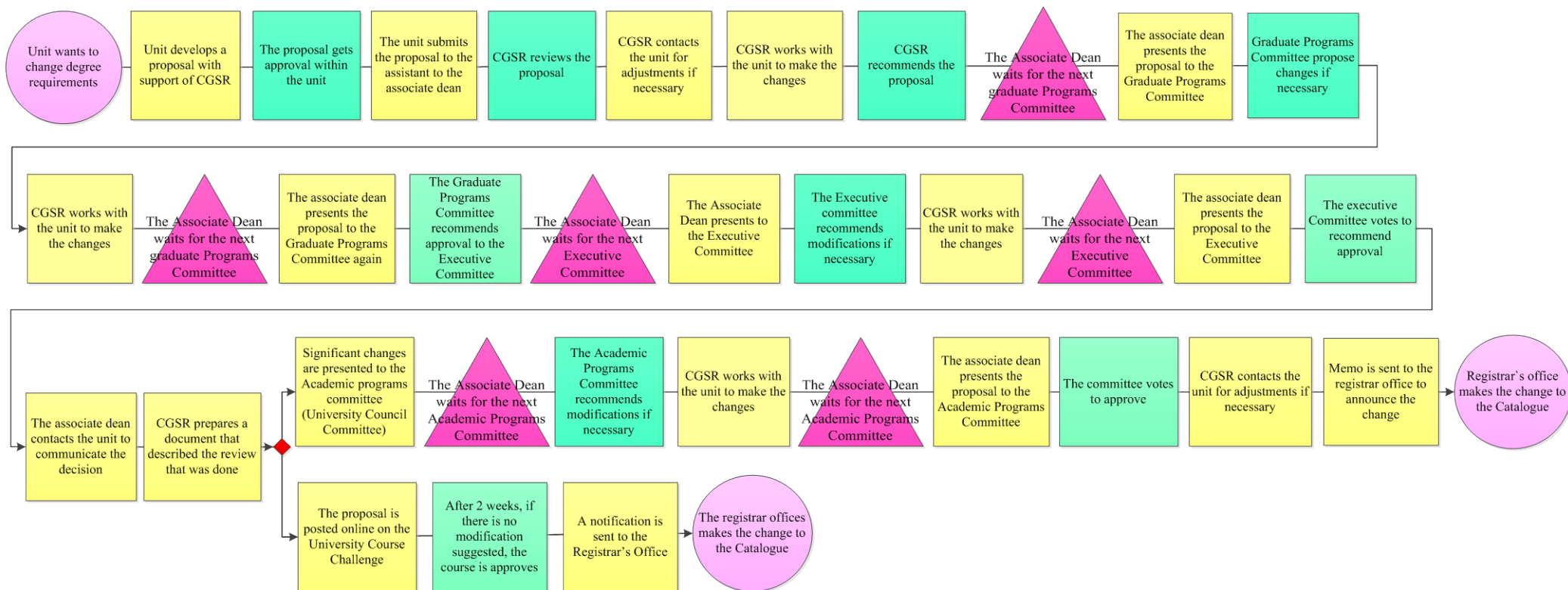
Based on experience, changing a degree requirement could take from six weeks to a year. Changes have to be approved by three committees: the Graduate Programs Committee, the Executive Committee, and the Academic Programs Committee. Although minor changes do not have to be presented to the Academic Programs Committee, they must be put through the University Course Challenge process. This change process can involve up to four administrative layers: internal unit's administration, CGSR, and potentially four university-wide committees.

Figure 14: Workflow Process of Program Revision, Development, and Creation
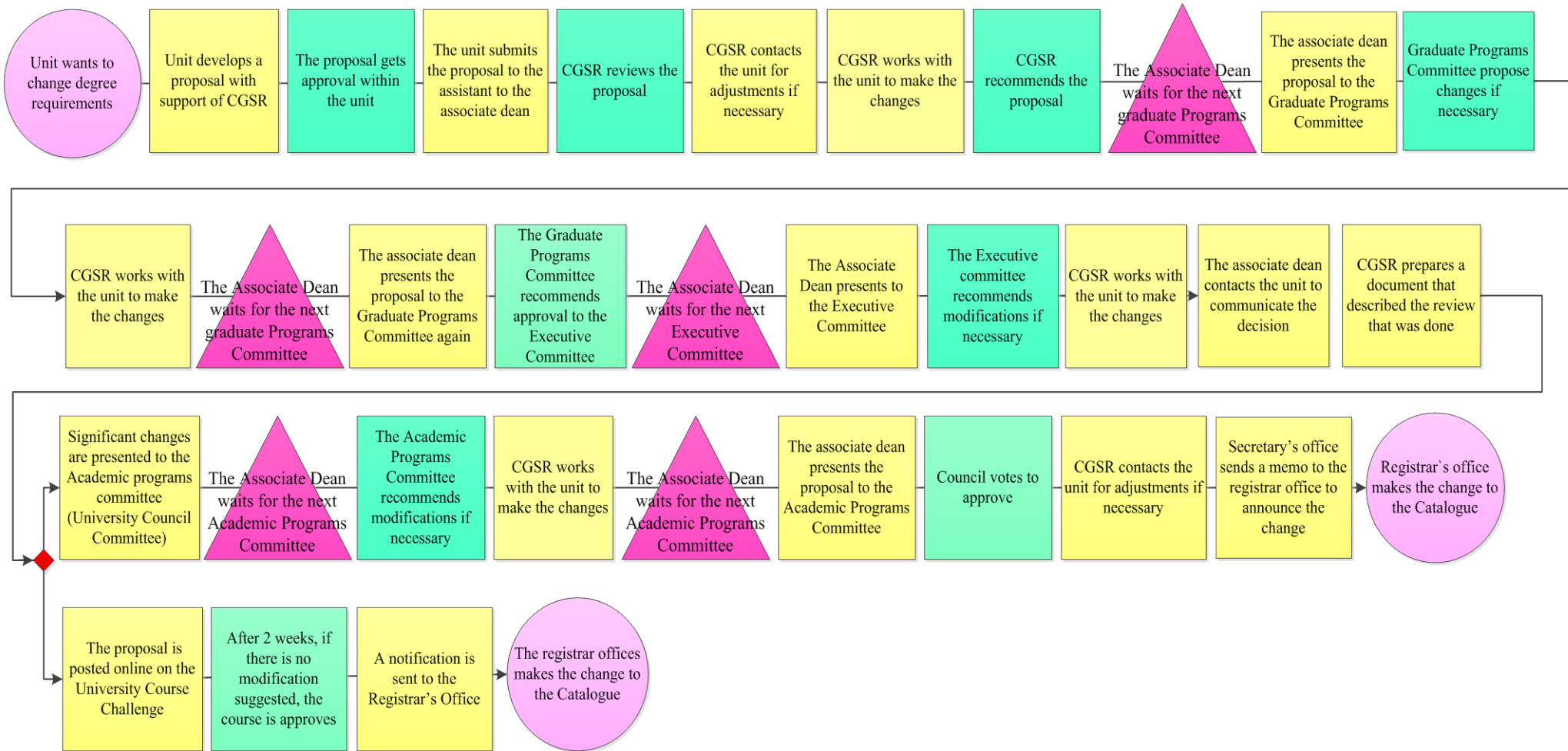
Based on experience, a new program can be approved in several months or several years after first receipt of the proposal. The new program has to be approved by three committees: the Graduate Programs Committee, the Executive Committee, the Academic Programs Committee, and finally by the University Council. Creating a new program requires approbation of the first administrative layer, the unit, to the last one, the University Council.

Figure 15: Workflow of Creation or Revision of a Course Process

Unit wants to revise or to create a new course → Unit develops a proposal advised from CGSR → The proposal gets approval within the unit → The units submit the proposal to the assistant to the Associate Dean → CGSR reviews the proposal → CGSR proposes some changes if necessary → CGSR works with the unit to make the changes → CGSR approves the proposal → The Associate Dean waits for the next Academic Affairs Committee → The associate dean presents the proposal to the Graduate Academic Affairs Committee

The committee proposes changes if necessary → CGSR works with the units to make the changes → The Associate Dean waits for the next Academic Affairs Committee → The Associate Dean presents the proposal again to the Academic Affairs Committee → The committee votes to approve the new course → CGSR prepares a document that described the review that was done → The course is posted online on the University Course Challenge → After 2 weeks, if there is no modification suggested, the course is approves → A notification is sent to the Registrar's Office and the unit → The registrar's office makes the change to the Catalogue

A new course or a change to a course can be approved in six weeks to several months. New courses have to be approved by two overseeing bodies: the Academic Affairs Committee and the University Course Challenge. Changing a course or creating a course is the less exhaustive process amongst the four workflows presented.

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Figure 16: Workflow of Applications and Admissions Process
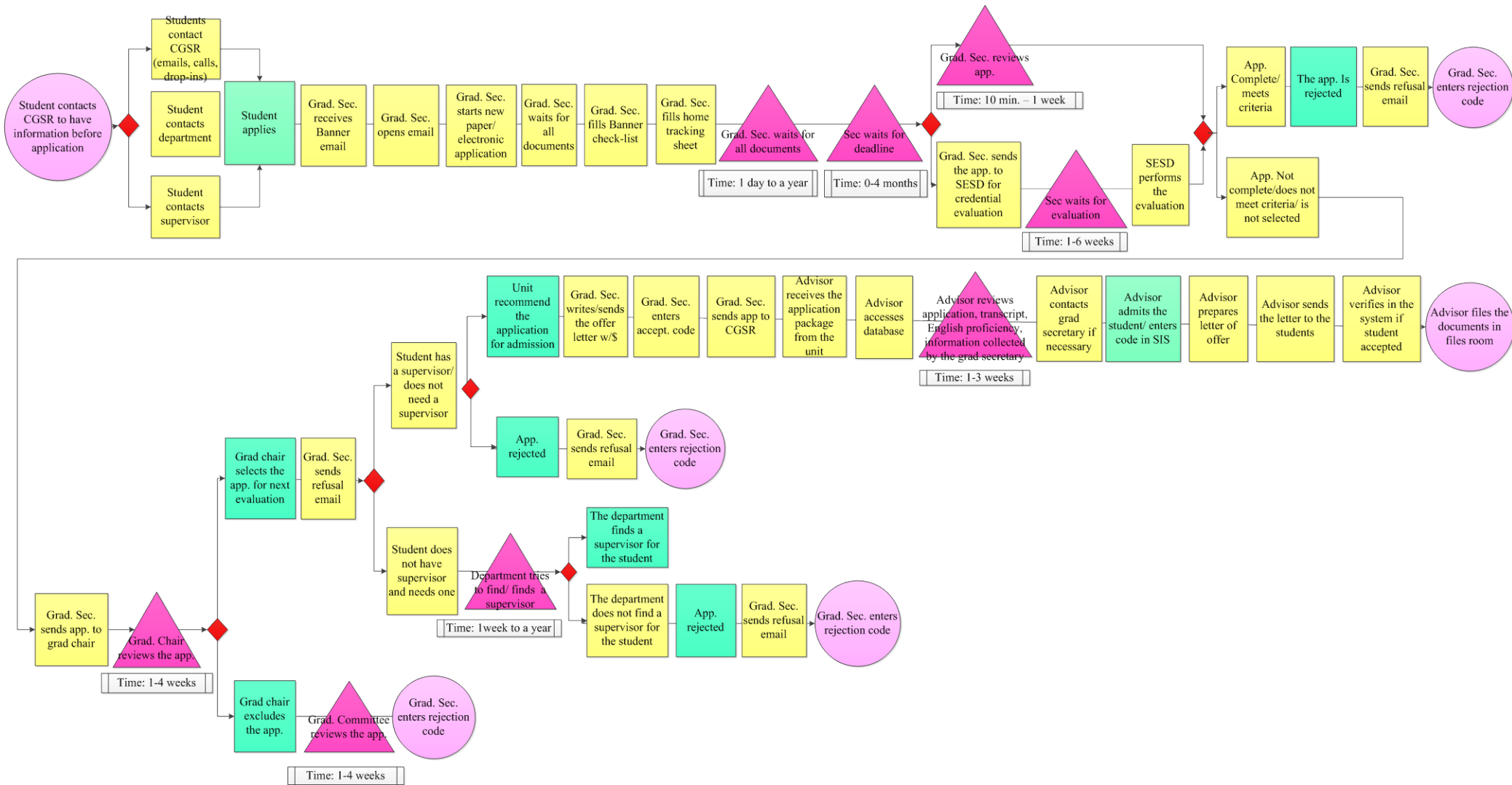
It could take from 5 weeks to six months to process an application. The applications have to be reviewed by a graduate secretary, an admission officer from SESD in some cases, a graduate chair, a graduate committee and an advisor of the College of Graduate Studies and Research. This process, despite implying only two administrative layers, generates the highest number of possibilities of actions amongst the four workflows presented in that section.

Conclusions

After the review of the staff interviews, four general observations were made during the interviews:

1. Three problematic processes (development, approval, implementation and updating of policies and procedures; applications and admissions; and development, approval, and updating of programs and courses) mentioned in the previous section, are the most complex of all processes listed. They involve the highest number of actors, steps, and possible variations. They are also amongst the processes that are the most frequently undertaken. Their complexity and variability contribute to the perception of administrative heaviness shared around campus.

2. These processes (identified in #2 above) are uncontrolled. Therefore, the time taken to complete critical tasks varies considerably. For example, it can take from 10 minutes to six weeks to perform a credential evaluation. This variable workflow can create critical delays and stakeholder dissatisfaction, and, it is also responsible for communication problems, duplicated work, and long wait times internally and externally.

3. Information technology (IT) is a major issue for all sectors of activities. Current software and computer applications do not meet the needs of the users, resulting in poor efficiencies, low productivity, skewed reports, and missing information. Staff members are required to perform several repetitive data entries to process applications and admissions (see Credential Evaluation and Graduate Admission Process Review)[1], scholarships and awards, college membership, program review, and to manage the student academic programs and files. The current IT system contributes significantly to the perception of administrative heaviness, decreased staff morale, and a general lack of efficiency in the graduate education model.

B. External Scan

U15 Graduate Education Model Comparison

In February 2014, the University of Saskatchewan requested interviews with the deans of faculties of graduate studies at all of the other U15 institutions (see U15 Graduate Education Model Comparison Questionnaire in Appendix 5). The interviews consisted of phone interviews from 30 to 60 minutes, discussions during the Western Deans Conference 2014, and follow-up e-mails with respondents. The information collected during the interviews is compiled in 14 **university cards**.

The purpose of those cards is to present an external scan comparing the current organizational structures, administrative processes, and decision-making processes amongst the U15 universities. The information collected is meant to be a concise comparative tool.

Methodology:

This report is the result of conversations with 15 leaders out of 14 of the U15 institutions and the University of Regina :

Dean Marie Audette, Université Laval
Acting Dean Adam Baxter-Jones, University of Saskatchewan
Acting Vice-Provost Carol Beynon, University of Western Ontario
Dean Bernard Boudreau, Dalhousie University
Vice-Provost and Dean Brenda Brouwer, Queen`s University
Dean and associate vice-president Roch Chouinard, Université de Montréal
Dean Brian Corman, University of Toronto
Dean and Vice-Provost John Doering, University of Manitoba
Associate Provost Sue Horton, University of Waterloo
Director, Academic Services Lynn Judge, University of Waterloo
Associate Provost and Dean Martin Kreiswirth, McGill University
Dean and Vice-Provost Susan Porter, University of British Colombia
Associate Vice-President and Dean Allison Sekuler, McMaster University
Interim Dean Timothy J. Stanley, University of Ottawa
Dean and Vice-Provost Lisa Young, University of Calgary
Dean Armin Eberlein, University of Regina

Table 1: University A

Number of members: 43
Number of graduate students: Around 10,000
Operating budget: $3.8M
Name of the centralized unit: Faculty of Graduate and Postdoctoral Studies (FGPS)
Name of the Leader: Vice-Provost and Dean

Task /	Description
1) **International Recruitment**	With the office of the VP-Research & International, FGPS manages the international partnerships and scholarships schemes, and provides some support for graduate recruitment and student mobility, and the overall continued efforts to be a global education and research leader.
	The units do their own recruitment. FGPS provides some support and consultation to programs.
	There is a regional office in Hong Kong, and one staff person there has partial responsibilities for graduate recruitment.
2) **Enrolment**	Responsibility of Enrolment Services.
3) **Applications and Admissions**	The University is moving toward a complete online application process. The programs will review the applications online and will be able to ultimately admit the students on behalf of FGPS. Some GPA calculations will be done by the system, and FGPS will provide support for evaluation of applications as needed. Transcripts will be uploaded online for evaluation, with paper transcripts submitted and approved before students' start dates.
4) **Student Program Management**	The responsibility of the FGPS.
5) **PhD Thesis Defenses**	The responsibility of the FGPS.
6) **Master Thesis Defenses**	Decentralized to the units.
7) **Graduation and Convocation**	The FGPS approves the convocation list and then passes it to Enrolment Services.
8) **Student Advocacy**	The Dean, GSS president and vice-president meet regularly.
	Members of the Dean`s office are periodically present at GSS meeting, and occasional joint GSS/Dean`s Office executive meetings take place.
9) **Post-doctoral Fellows**	FGPS handles professional development, networking events, orientation events and resources, general support and advocacy, and manages some awards.
	FGPS does not appoint the postdoctoral fellows. HR appoints them.
10) **Student Academic Misconducts**	A President's advisory committee makes recommendations to the President. There is no decision-making at the FGPS level other than whether or not to forward a case to the President's Advisory Committee. An associate-dean and the Associate Director of Student Academic Services oversee the processes.
11) **Interdisciplinary Programs**	FGPS has direct oversight of the Interdisciplinary Studies Graduate Program (ISGP), which is designed to allow students to devise their own interdisciplinary programs. FGPS decides on this budget, works directly with the

		graduate advisor, and reviews the program. The numerous thematic interdisciplinary programs at UBC are housed in disciplinary Faculties.
12)	**Program Reviews, Changes, Development, and Creations**	With the exception of ISGP, graduate programs are generally reviewed only in the context of a broader review of the academic unit. The disciplinary Deans have oversight of this process, although FGPS is involved: requirements for the self-study include material on the graduate program (developed by FGPS), FGPS provides data to the unit in advance of the review, and members of the dean's office are interviewed as part of the review. Disciplinary faculty develops and approves changes and new programs/courses, the FGPS Curriculum Committee, as part of the Senate Curriculum Committee, approve the change and then the full Senate approves it.
13)	**National Scholarships Competitions**	The awards committee develops policies around scholarships for approval by Graduate Council. FGPS is responsible for students' records. All national scholarships are centralized to the Faculty level.
14)	**Internal Scholarship Competitions**	FGPS administers all merit-based awards for the university. For centrally funded awards, allocations to disciplinary faculties are made on the basis of formulas. For centrally funded awards, funds are allocated to the programs. FGPS makes sure they meet the necessary terms. Part of the money is sent to the programs without any restrictions, as long as the funds are used to pay students. The units tell the FGPS who they want to give a scholarship to. FGPS administers the award.
15)	**Maintenance of Standards and Adherence to Policies**	Responsibility of the FGPS.
16)	**College Membership Appointments**	The faculty members must be approved by their disciplinary faculty (or functional equivalent) for membership in the Faculty of Graduate and Postdoctoral Studies. On an annual basis, each graduate program, in consultation with its disciplinary faculty (or functional equivalent) will review and update a list of individuals provided by the Faculty of Graduate and Postdoctoral Studies. FGPS may review the lists of members submitted by the faculties to determine whether the membership lists are consistent with the formal criteria established by the graduate program.
17)	**Where Graduate Students are Attached**	Faculty of Graduate and Post-doctoral Studies.
18)	**Policies and Institutional Guidelines**	There is a policy committee, a sub-committee of Graduate Council. The associate-deans of the disciplinary faculties are on the committee and develop policies for approval by Graduate Council.
19)	**Graduate Course Catalogue**	FGPS provides the content for the graduate part of it.
20)	**Link Between Research and Administration**	One associate-dean sits on the committee of Associate-Deans Research with the VP Research.

21) In your opinion, do you encounter some problems in your present structure?
Need for more centralization of a few functions to lead strategies.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

The leader is now a Vice-Provost and Dean. Those responsibilities combine their administrative and leadership roles.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Without a central unit, some units may not be able to carry out their administrative duties properly.
Quality improvement and control, scholarships, student records should be at the registrar office under the responsibility of a vice-provost.

Table 2: University B

Number of members: 31
Number of graduate students: 6,100
Name of the centralized unit: Faculty of Graduate Studies (FGS)
Name of the Leader: Vice-Provost and Dean

Tasks /	Description
1) International Recruitment	The units do their own recruitment excluding the international recruitment. FGS provides advices on the processes and strategies. The Recruitment Office sits in the Registrar Office. It has 3-4 employees. One staff member will be added in the FGs team to do the international recruitment. This person will be shared between the FGS and the Recruitment Office. Central funding is allocated to all graduate programs. In fact, this funding is for student support but can be used for international recruitment.
2) Applications and Admissions	The application system is all online. The applications go to the units. The applications go to the FGS for exceptions. The FGS has the authority to admit. It has been delegated to the units except for two cases. The FGS is responsible for the quality assurance in admissions, and audits all programs admissions annually. The FGS created the tools to support and train the units.
3) Student Program Management	All files are electronic. Reports are automatically generated by PeopleSoft: students receive an email, they fill the report. This report goes to the supervisor who approves it and then to a Graduate Program Director. The files come to the Faculty only if there is a problem.
4) PhD Thesis Defenses	FGS is responsible for defenses, regulations and submissions. It is also responsible for increasing the rigor of the programs.
5) Master Thesis Defenses	Responsibility of the FGS.
6) Graduation and Convocation	Responsibility of the FGS.
7) Student Advocacy	Responsibility of the FGS.
8) Post-doctoral Fellows	There is a Postdoctoral Office that reports to the VP Research.
9) Student Academic Misconducts	The academic misconducts are the responsibility of the FGS. There are 4 associate-deans dealing with students issues.
10) Interdisciplinary Programs	Centralized for now, but will change. Those programs will be managed in the disciplinary faculties. The Vice-Provost will sit on the committee responsible for the interdisciplinary programs.
11) Program Reviews, Changes, Development, and Creations	The last decisions are made by a committee of the General Faculties Council (which is similar in function to the Senate at other institutions). FGS advises and supports the units for program development.
12) National Scholarships Competitions	FGS runs all internal and external scholarship competitions, disburses funds, and allocates operating dollars to units to award as scholarships. All national scholarships are organized by FGS.

13) **Internal Scholarship Competitions**	For the main provincial scholarships (QE 11), half are allocated via the tri-council competition, and half are allocated to programs to award. The Internal Scholarship competition (all Internal Awards) is run by FGS.
14) **Maintenance of Standards and Adherence to Policies**	Responsibility of the FGS.
15) **College Membership Appointments**	The FGS gives privileges to the supervisors, but there is no notion of membership.
16) **Where Graduate Students are Attached**	Faculty of Graduate Studies.
17) **Policies and Institutional Guidelines**	Policies related to graduate students will be initiated by the Graduate Studies Council. Major policies will go to the equivalent of the Senate. Academic decisions are made by a sub-committee of the Senate, Academic Committee, and Senate.
18) **Graduate Course Catalogue**	Responsibility of the Faculty.
19) **Link Between Research and Administration**	Dean and Vice Provost meet with VP Research regularly. They sit together on the Senate Research Committee.

20) **In your opinion, do you encounter some problems in your present structure?** The Vice-Provost and Dean is trying to centralize a few things to help to achieve lead strategies.
21) **Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?** The leader has now two jobs: they are the voice of the graduate issues within the provost office. They also has an administrative role. It would be harder to perform the leadership role without being a dean.
22) **If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?** Quality improvement and control, scholarships, student records should be at the registrar office with a vice-provost responsible. Without a central unit, some of the units will manage just fine; some others will not be as efficient.

Table 3: C

Number of members: 19
Number of graduate students: 3,500
Operating budget: $1.4M
Name of the centralized unit: Faculty of Graduate Studies (FGS)
Name of the Leader: Dean

	Tasks /	*Description*
1)	**International Recruitment**	With international office, the Faculty provides some recruitment functions - coordination for fairs, travels abroad, answers general questions, and refers students to international office. Other recruitment is done by the programs.
2)	**Enrolment**	Enrolment is computerized. The FGS only problem solves.
3)	**Applications and Admissions**	The FGS does all the functions for graduate studies that the Registrar office does for undergrad. An officer is in charge of the registrar services in the Faculty with the help of other officers. The Registrar issues the formal acceptance letter.
4)	**Student Program Management**	The responsibility of the FGS.
5)	**PhD Thesis Defenses**	The responsibility of the FGS.
6)	**Master Thesis Defenses**	Decentralized to the programs.
7)	**Graduation and Convocation**	The FGS approves the list of graduates.
8)	**Student Advocacy**	Done at the Student Services Office.
9)	**Post-doctoral Fellows**	An associate-dean and a clerk are responsible for post-doctoral administration in the Faculty.
10)	**Student Academic Misconducts**	The academic misconducts are solved in the programs. The FGS intervenes only in case of problems. FGS does fully control misconduct with respect to thesis defenses.
11)	**Interdisciplinary Programs**	Only have interdisciplinary PhDs. They are centralized at the FGS.
12)	**Program Reviews, Changes, Development, and Creations**	The FGS, the Faculty Council and the Academic Planning and Curriculum Committee are responsible for all new programs, modifications to programs and closing-down programs. All those changes are sent to Senate. The Province's Higher Education Commission sets the standards used for degree audits.
13)	**National Scholarships Competitions**	The big competitions are organized by the FGS. The FGS is responsible for the financial records of the students, and the payment of scholarships and stipends, but not teaching assistantships.
14)	**Internal Scholarship Competitions**	Is controlled by the FGS. The funding is divided by an algorithm. The units are not accountable to the FGS for the repartition of the money received.

15) Maintenance of Standards and Adherence to Policies	The responsibility of the Faculty.
16) College Membership Appointments	The responsibility of the Faculty. All new memberships are submitted to the FGS.
17) Where Graduate Students are Attached	Faculty of Graduate Studies.
18) Policies and Institutional Guidelines	Council sets up the rules and how to deal with the exceptions. The overall guidelines are developed by the University Council and the Faculty. The academic part is approved by the Faculty Council.
19) Graduate Course Catalogue	The responsibility of the FGS.
20) Link Between Research and Administration	Dean sits with VP Research approximately once a month as part of the University's Research Advisory Committee. They also sit together on the Dean Council (which meets every two weeks).

21) In your opinion, do you encounter some problems in your present structure?

To break the misconception that the Faculty is really bureaucratic, it is important to separate the academic from the administrative. The academic is handled by committees. Decentralizing/centralizing does not seem like a viable solution to make the units follow the rules.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

Decentralizing is not an economically viable solution, unless you are ready to give up functions.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Most of the responsibilities should be kept centralized, including scholarships and records.

Table 4: University D

Number of members: 15
Number of graduate students: 10,000
Operating budget: $1.15M
Name of the centralized unit: Faculty of Graduate and Postdoctoral Studies (FESP)
Name of the Leader: Dean

Tasks /	Description
1) **International Recruitment**	This is a shared responsibility with the Recruitment Office, the International Office and the FESP.
2) **Enrolment**	Registrar Office.
3) **Applications and Admissions**	Registrar Office is responsible of the admission process. The admissions are granted by the academic units.
4) **Student Program Management**	The responsibility of the files is decentralized to the units. The curriculum is one the main responsibilities of the FESP. The FESP intervenes in the progress reports only when there is a problem.
5) **PhD Thesis Defenses**	One of the main responsibilities of the FESP. The Faculty also manages the problems and student failures.
6) **Master Thesis Defenses**	Responsibility of the Faculty.
7) **Graduation and Convocation**	Responsibility of the Faculty.
8) **Student Advocacy**	It is a shared responsibility with an Ombudsman.
9) **Post-doctoral Fellows**	Responsibility of FESP. Quality of supervision under the responsibility of the FESP.
10) **Student Academic Misconducts**	It is a shared responsibility with Ombudsman and Harassment Prevention Office.
11) **Interdisciplinary Programs**	It is a shared responsibility with the units and the FESP. The FESP supports the development of interdisciplinary programs. Individual (ad hoc) programs. The work of the FESP focuses on the development of specific areas and programs such as sustainable development.
12) **Program Reviews, Changes, Development, and Creations**	The Dean of the FESP advises and supports the units for program development. This is one of the main tasks of the Dean.
13) **National Scholarships Competitions**	It is a shared responsibility with Scholarships Office and the FESP. The FESP participates to the selection process; the associate-dean is the chair of the committee. The FESP does not control the money.
14) **Internal Scholarship Competitions**	Shared responsibility with Scholarships Office and the FES.

15)	Maintenance of Standards and Adherence to Policies	Shared responsibility with strategic Planning Office and the FESP.
16)	College Membership Appointments	The professors, following the collective agreement, have the ability to supervise theses. Only adjuncts professors have to be appointed by the FESP to be supervisors.
17)	Where Graduate Students are Attached	In their home faculty.
18)	Policies and Institutional Guidelines	Policies are the responsibility of the Vice-Provost offices. The FESP participates on the writing of the policies. The FESP supports the disciplinary faculties, graduate chairs, faculty council, etc. in the writing and revision of those institutional policies.
19)	Graduate Course Catalogue	The FESP supports the Registrar Office.
20)	Link Between Research and Administration	The Dean is a member of Research Commission and a member of the Table of Faculty Research Leaders

21) In your opinion, do you encounter some problems in your present structure? Some business processes have been decentralized. The Faculty stays in support of those processes.
22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?   It is more economically viable to centralize processes. It is really important to have one voice for the graduate studies. Thesis defenses must be centralized for the harmonization of the criteria. The University needs a place to discuss the harmonization of scholarships and different graduate studies issues.
23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?   Development of new programs and quality assurance. Consistency of the academic quality should be assured in any case. Decentralization should not make the Faculty loses its ability to intervene. The University needs a neutral place to solve conflicts.

Table 5: University E

Number of members: 29 (22 FTE staff)
Number of graduate students: 3,700
Name of the centralized unit: Faculty of Graduate Studies
Name of the Leader: Vice-Provost and Dean.

	Tasks /	Description
1)	**International Recruitment**	FGS provides the brochures that are not unit specific. It coordinates the information from the units on the web pages. No money is transferred to the units for recruitment.
2)	**Enrolment**	The responsibility of the FGS.
3)	**Applications and Admissions**	All the applications are received in the FGS. The FGS ultimately admits the students. The units are trained to calculate the GPA although the FGS recalculates it.
4)	**Student Program Management**	The responsibility of the FGS.
5)	**PhD Thesis Defenses**	The FGS has complete oversight over PhDs, all electronically.
6)	**Master Thesis Defenses**	The FGS does not organize the Master thesis.
7)	**Graduation and Convocation**	The FGS approves the convocation list. The registrar office organizes the convocation.
8)	**Student Advocacy**	The responsibility of the Student Advocacy for Graduate and Undergraduate Students Office.
9)	**Post-doctoral Fellows**	The Vice-Provost Research Office is responsible for the administration of post-doctoral fellows. The post-doctoral fellows are not unionized.
10)	**Student Academic Misconducts**	It is a shared responsibility with the units and the Vice-Provost Research Office.
11)	**Interdisciplinary Programs**	The responsibility of the FGS. A student can create an individually tailored interdisciplinary program. All such programs are vetted by FGS.
12)	**Program Reviews, Changes, Development, and Creations**	The change has to be approved by the unit head and then the FGS approves the changes.
13)	**National Scholarships Competitions**	All competitions are organized by the FGS. National competitions are organized by the FGS.
14)	**Internal Scholarship Competitions**	Funds are divided based on proportional representation.
15)	**Maintenance of Standards and Adherence to Policies**	Quality assurance is done via a cyclical review process for the FGS is responsible for running. Institutional Analysis is the keeper of all data, but doesn't administer the graduate program review process.
16)	**College Membership Appointments**	Faculty members holding rank are members. All others are approved on a case-by-case basis.
17)	**Where Graduate Students**	Faculty of Graduate Studies.

	are Attached	
18)	**Policies and Institutional Guidelines**	Policies are the responsibility of the FGS. There is a policies committee. The FGS usually writes the policies and asks feedback from the units. For a major change: the policy goes to the Faculty Council and then to the Senate. The Dean takes the decision for exceptions.
19)	**Graduate Course Catalogue**	It is the responsibility of the FGS.
20)	**Link Between Research and Administration**	Vice-Provost and Dean meets with VP Research 2 times a week.

21)	**In your opinion, do you encounter some problems in your present structure?** The model works. There is a danger to decentralize too much. An audit process becomes necessary with a decentralized process.
22)	**Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?** Everything was decentralized 10 years ago. Applications were decentralized and this model was not working. The applications were centralized again. Software was bought. This new software made a difference. Decentralization in other Canadian universities also appeared to be problematic.
23)	**If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?** In order to treat the students equally, some things need to be centralized like admissions, awards and misconducts. Having a vice-provost makes a big difference: it changes the relationship with the other deans. The vice-provost is not a `budget dean`.

Table 6: University F

Number of members: ~ 20 + 6 associate deans
Number of graduate students: 4,000
Operating budget: operating budget: $1.5M; scholarships budget: between $13M and $14M
Name of the centralized unit: School of Graduate Studies (SGS)
Title of the Leader: Associate Vice President and Dean

Tasks /	Description
1) **International Recruitment**	SGS does a part of the recruitment, although it does not have full time staff responsible for this activity.
2) **Enrolment**	Responsibility of SGS.
3) **Applications and Admissions**	McMaster has a central application system. The units recommend the admissions and SGS takes the last decision. When a student does not meet the minimum requirements, the units make a case. An associate dean takes the last decision about the admission. There are two people responsible for admissions and credential evaluations full-time in SGS. Those people verify the applications before admitting the students.
4) **Student Program Management**	Responsibility of SGS.
5) **PhD Thesis Defenses**	SGS has a full time thesis coordinator. That person is responsible for managing the organization of the thesis defenses. A review of the thesis is done by SGS once submitted, but not for plagiarism. To increase quality, the department head will soon have to add his signature on the thesis.
6) **Master Thesis Defenses**	Responsibility of the departments.
7) **Graduation and Convocation**	SGS takes the list to the Graduate Council and then brings it to Senate. SGS collaborates with the registrar's office to organize the convocations.
8) **Student Advocacy**	Responsibility of SGS in collaboration with other units on campus. The Associate Vice President and Dean meets once a month with the graduate students' association. She also sits on a joint committee working with the post-doctoral fellows' union (CUPE). SGS is responsible to assure that the students have the services needed. SGS organizes working groups where students' issues are brought to surface and discussed (i.e. international students group)
9) **Post-doctoral Fellows**	The post-doctoral fellows fill a form that is later approved by SGS. SGS is responsible for the policies surrounding the fellowships. SGS also organizes professional development and events for post-doctoral fellows.
10) **Student Academic Misconducts**	Responsibility of SGS in collaboration with other units. To resolve conflicts, SGS works with the students, supervisors, Human Rights and Equity Services, and the Academic and Research Integrity group.

		SGS has one associate dean who is responsible for the investigations on academic misconducts.
11)	**Interdisciplinary Programs**	McMaster is currently in a transition. It is going to a new process activity based model; the interdisciplinary programs will be linked to a faculty to be calculated as an "activity". This way, funding will be transferred to the appropriate unit in charge of the program. McMaster U does not allow individualized interdisciplinary programs.
12)	**Program Reviews, Changes, Development, and Creations**	SGS is responsible for leading the processes. Minor changes go to graduate policy committee meeting. Major changes/creation of new courses and programs has to go to the usual larger process following the quality insurance process designed by the Ontario Government.
13)	**National Scholarships Competitions**	Responsibility of SGS. Some competitions are organized by the AVP office. There are two different scholarships committees. Each of them is chaired by the associate dean of SGS. SGS team also has two full time scholarships officers.
14)	**Internal Scholarship Competitions**	SGS allocates between $11 and $12 M to faculties with an algorithm. SGS used to allocate the money directly to the departments. The money is now sent to the faculties; those latter are responsible for distributing the money to the departments. Following the Quality Insurance framework designed by the Ontario Government, SGS still has to monitor the distribution of the money.
15)	**Maintenance of Standards and Adherence to Policies**	Quality insurance is assured through the ongoing review and developing of the programs.
16)	**College Membership Appointments**	There is no formal system; all new faculty members have to be interviewed by associate dean or the dean. SGS has the authority to revoke rights to supervise to professors.
17)	**Where Graduate Students are Attached**	In their home faculties.
18)	**Policies and Institutional Guidelines**	Responsibility of SGS in collaboration with other units.
19)	**Graduate Course Catalogue**	Responsibility of SGS.
20)	**Link Between Research and Administration**	The Associate Vice President and Dean attends regularly meetings with AVP formally and informally. She talks with the AVP office several times a week. They are in constant contact. SGS has two associate deans research. The Associate Vice President and Dean meets with them every week.

21) In your opinion, do you encounter some problems in your present structure?

Faculty's needs don't necessarily correspond to the University's needs. This is sometimes hard to balance.

Having the two titles is helpful. Stay on loop of everything that is happening.

As a dean, I have all the responsibilities but not the power.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

The associate deans in the SGS report to the Vice President and Dean and to the deans of the faculties.
Now the associate deans know what is going on in the faculties. It also empowered the Vice President and Dean a lot as she has now better information.

We used to allocate the money directly to the departments, but we don't do that anymore. The faculties have now the responsibility of allocating the money to the departments. The change makes sense and the process became more efficient.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

If SGS does not exist, there will be a lot of redundancy; there have to be some centralized committee. Would become much less efficient system and the university will lose all the knowledge. A central unit is very important for maintaining quality.
More people involved in the processes means less expertise.

Could decentralize the selection of the external examiners for PhD theses defenses.

Table 7: University G

Number of members: 17 + 3 associate deans
Number of graduate students: 8,000
Name of the centralized unit: Graduate and Postdoctoral Studies (GPS)
Title of the Leader: Associate Provost and Dean
Mission:

	Tasks /	Description
1)	**International Recruitment**	It is a shared responsibility between the Office of International relations in the Vice President Office, GPS, and the Faculties. GPS in responsible for developing the agreements. All agreements have to be approved by Council.
2)	**Enrolment**	Responsibility of Registrar's Office with regulatory oversight by GPS.
3)	**Applications and Admissions**	GPS is responsible. This year, the university moved to an electronic application process. GPS's staff still prints some of the letters of offer for now. With the new process, letter will be printed online for almost all applicants. An electronic tool for grade conversion is currently provided to the units.
4)	**Student Program Management**	GPS uses the shared services model with the Registrar`s office. Registrar`s office is ultimately responsible for the student files.
5)	**PhD Thesis Defenses**	The responsibility of GPS.
6)	**Master Thesis Defenses**	Defenses under GPS rules. The units are in charge of organizing the defense.
7)	**Graduation and Convocation**	Senate approves the last convocation list because there is no Faculty meeting.
8)	**Student Advocacy**	Yes. Manage hundreds of academic conflicts annually.
9)	**Post-doctoral Fellows**	GPS is in charge of the post-doctoral administration. The post-doctoral fellows are not students, not employees.
10)	**Student Academic Misconducts**	GPS is the last instance solving the problems when they come to appeal.
11)	**Interdisciplinary Programs**	Responsibility of GPS when they cross Faculties. University offers to possibility to individual students to create individualized programs. In those cases, the programs are under the responsibility of GPS.
12)	**Program Reviews, Changes, Development, and Creations**	Programs development and changes are under the responsibility of GPS together with the Faculties. University has units' reviews every 7 years. Associate Provost and Dean of GPS is a part of the review team, but the Provost office is ultimately responsible for the organization of the processes.
13)	**National Scholarships Competitions**	GPS is in charge of provincial and federal awards. It is also responsible for several other centralized awards. GPS has oversight, including the creation of university awards committees.
14)	**Internal Scholarship Competitions**	Anything university-wide GPS provides a formula for distribution.
15)	**Maintenance of Standards and Adherence to Policies**	Responsibility of GPS.
16)	**College Membership Appointments**	There is no notion of membership although GPS sets the regulations for PhD supervisors.

17)	**Where Graduate Students are Attached**	They are enrolled in graduate studies and in their respective Faculties.
18)	**Policies and Institutional Guidelines**	The policies have to be approved by Graduate Council, Academic Program Committee, Academic Planning Committee, and Senate.
19)	**Graduate Course Catalogue**	The responsibility of GPS and Faculties
20)	**Link Between Research and Administration**	The Associate Provost and Dean sits on the Research Committee regularly.

21) In your opinion, do you encounter some problems in your present structure?

Need clarity on where the responsibilities lie for the students and supervisors.

Great collaboration between grad studies and deans.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

Used to be a Faculty up to 2003. They separated them. Don`t have a Faculty anymore but all the responsibilities of a Faculty.

Theoretical solutions are not the best way to go rather than start with the structure.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Academic oversight.

Table 8 : University H

Number of members: 25
Number of graduate students: 15,000
Operating budget: Between $1.5 M and $2M
Name of the centralized unit: Faculty of graduate and postdoctoral studies (FESP)
Name of the Leader: Dean and Associate Vice-President

Tasks /	Description
1) **International Recruitment**	It is a shared responsibility between the faculties, the academic units, the Recruitment Office, and the International Office. The FESP is responsible for the policies and procedures, the agreements, joint programs, co-supervised thesis, etc. The FESP also offers support to the faculties for doctoral recruitment.
2) **Enrolment**	The responsibility of the Admission Office and FESP.
3) **Applications and Admissions**	The Faculties make the decisions. The FESP verifies and issues the admission and refusal letters. The FESP makes the final decision regarding the admission of international students.
4) **Student Program Management**	The faculties are responsible for the overall academic path of the students but FESP verifies that the Graduate Studies Rule (Règlement pédagogique de la FESP) is respected.
5) **PhD Thesis Defenses**	The faculties are responsible for organizing the thesis defenses. They have to submit to the FESP the recommendations of graduation. Those recommendations are later submitted to the Faculty Council, the Registrar Office and the University Council. It is a shared responsibility. For the faculties with departments, the process is decentralized. For the faculties without department, the process is centralized to the FESP.
6) **Master Thesis Defenses**	The faculties are responsible for organizing the thesis defenses. They have to submit to the FESP the recommendations of graduation. Those recommendations are later submitted to the Faculty Council, the Registrar Office and the University Council. It is a shared responsibility. For the faculties with departments, the process is decentralized. For the faculties without department, the process is centralized to the FESP.
7) **Graduation and Convocation**	The faculties present their list of recommended graduates to the FESP that later endorses this decision.
8) **Student Advocacy**	Shared responsibility with the Ombudsman Office. The FESP often acts as an intermediary between the parties concerned.
9) **Post-doctoral Fellows**	The post-doctoral fellows administration is the FESP`s responsibility. The FESP also offers appropriate professional training for those fellows.
10) **Student Academic Misconducts**	Not the responsibility of the FESP. A Disciplinary Regulation and a Plagiarism Regulation inform the students and faculty members regarding academic discipline and integrity. Those regulations are not the responsibility of the Dean and Associate Vice-President.
11) **Interdisciplinary Programs**	The interdisciplinary programs are the responsibility of the academic units and the Faculties. The FESP is responsible for the development of interdisciplinarity by creating incentives for the development of interdisciplinarity, and assuring an institutional reflection about this concept.
12) **Program Reviews, Changes,**	The faculties are responsible for the development, creation and modification of programs. The FESP supports the

Development, and Creations	faculties and units through the overall processes. The FESP needs to be consulted in each process. The Academic Vice-Provost office is responsible for the review and evaluation of the programs and monitoring quality.
13) **National Scholarships Competitions**	The FESP is responsible for the organization of the external, some internal and special competitions. It is responsible for the financial records. National scholarships competitions are organized centrally by the FES.
14) **Internal Scholarship Competitions**	The FESP is responsible for the strategic distribution of the envelopes for internal funding. There is an algorithm in place to distribute the money. Faculties are accountable to the FESP on how the money is distributed. FESP supports the students and academic units through the processes.
15) **Maintenance of Standards and Adherence to Policies**	An Associate Vice-President monitors quality assurance.
16) **College Membership Appointments**	The process automatically grants membership privileges to the faculty members. Faculty members are attached to their home faculties. Any faculty can rescind the privilege of its faculty members if they do not meet the requirements and expectations.
17) **Where Graduate Students are Attached**	Faculties.
18) **Policies and Institutional Guidelines**	All policies need to be approved by the Faculty Council. Some exceptions are dealt by the Dean of the FESP. The Graduate Studies Rules (Règlement pédagogique) is under the responsibility of the FESP.
19) **Graduate Course Catalogue**	This is a responsibility of the faculties and the Registrar's Office.
20) **Link Between Research and Administration**	A Research Committee meets several times every year. The Dean of the FESP and Associate Vice-President is a member of that committee. He also works closely with the Research Vice-President's office.
21) **In your opinion, do you encounter some problems in your present structure?** Would not go back to a more centralized model although the risk of error increases with a high number of people managing the academic path of the students.		

Table 9: University I

Number of members: 31staff + 3 academic appointments
Number of graduate students: 6,200
Operating Budget: $3.2M
Name of the centralized unit: Faculty of Graduate Studies and Post-Doctoral Studies (FGPS)
Name of the Leader: Dean

Tasks /	Description
1) **International Recruitment**	It is a shared responsibility between the FGPS, the International Office and the units.
2) **Enrolment**	The majority of enrolment operations are decentralized to the units.
3) **Applications and Admissions**	All applications are transferred to the units: The GPAs for Canadian students and some international students are calculated there. The official admissions come out under the name of one representative of the home Faculty, but the letters are standardized at the FGPS level: The FGPS is dealing only with the calculations of international GPAs and with the exceptions.
4) **Student Program Management**	The student records are the responsibility of the FGPS. The FGPS intervenes only when there are exceptions or problematical cases.
5) **PhD Thesis Defenses**	The responsibility of the FGPS.
6) **Master Thesis Defenses**	The FGPS is ultimately responsible although the process is decentralized to the units. The Faculty intervenes only when there are exceptions.
7) **Graduation and Convocation**	The responsibility of the FGPS.
8) **Student Advocacy**	The responsibility of the FGPS.
9) **Post-doctoral Fellows**	The responsibility of the FGPS.
10) **Student Academic Misconducts**	The grade appeals are done by the faculties. The FGPS deals with allegations of academic fraud in course work and in theses.
11) **Interdisciplinary Programs**	All interdisciplinary programs have been attached to the regular faculties or institutes except one at the moment.
12) **Program Reviews, Changes, Development, and Creations**	The responsibility of the FGPS. If an important change needs to be made, the decision has to go to the Senate.
13) **National Scholarships Competitions**	The FGPS manages all scholarships and awards. The Associate Dean is responsible to distribute the funding.
14) **Internal Scholarship Competitions**	The main internal scholarship is our admission scholarship. These pay a total of $18,000 per year for four years to Canadian PhD students with an A- average or higher, made up of $9,000 from the FGPS and $9,000 in matching from the program (usually research and teaching assistants in the humanities and from the thesis supervisor in the sciences). The equivalent program for research masters is $15,000 a year for two years/7,500 + 7,500. At the PhD level, scholarships are offered automatically at admission; at the master's level, the file has to be recommended by the academic unit. We have a small number of similar scholarships for international students. The University also provides tuition fee waivers to Francophone International students that allow them to pay Canadian fees. These later do not involve matching contributions.

15)	**Maintenance of Standards and Adherence to Policies**	Working with the data from the Institutional Research and Planning Office. The FGPS carries out the periodic appraisal of all graduate programs.
16)	**College Membership Appointments**	The member applications are examined by the Departmental Teaching Personnel Committee, the director, and by the Faculty Teaching Personnel Committee and the dean of disciplinary faculty. Their recommendations are forwarded to the Dean of the FGPS, who submits the file to the Executive Committee (Membership Subcommittee); the Executive Committee decides for or against membership.
17)	**Where Graduate Students are Attached**	Faculty of Graduate and Postdoctoral Studies. The registration system is now electronic, so students register themselves. The actual process of putting things into our registration system, Rabaska, is shared between the home faculty and ourselves.
18)	**Policies and Institutional Guidelines**	In general, the policies are discussed at the Faculty Council of the FGPS. The last decision goes to the Senate.
19)	**Graduate Course Catalogue**	Responsibility of the FGPS.
20)	**Link Between Research and Administration**	The Dean sits on a number of central university committees either officially or as a "resource person". For example, he is a resource person to the executive of Senate that approves all program changes. He also is a member of the University's Research Commission, its Senate and serves on the Vice President Academic's preparatory committee for meeting of the Central Administrative (CA) Committee. He participates with the other deans in regular meetings with the CA. The Dean is also on Joint Committee, which approves all tenure and promotions.

21) In your opinion, do you encounter some problems in your present structure?

Some of the policies are obsolete. They were put in place when there were much less graduate students.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

Those functions should be kept centralized:
1. Theses; 2. Scholarships and relations with council; 3. Relationship with post doc employees; 4. Expertise for recruitment; 5. An advocate for graduate students; 6. Expertise for quality insurance; promote good practices.

There is a need to educate high administration about the value of central place for graduate studies. Decentralization increases the risk of mistakes and therefore, lawsuits.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Exceptions to policies.

Table 10: University J

Number of members: 27
Number of graduate students: 4,318
Name of the centralized unit: School of Graduate Studies
Name of the Leader: Vice-Provost and Dean

	Tasks /	Description
1)	**International Recruitment**	Shared responsibility between graduate programs and the SGS to develop and support recruitment strategies.
2)	**Enrolment**	Strategic Enrolment Management Group, SGS and Faculties
3)	**Applications and Admissions**	The applications are done online. SGS receives the applications, and then pushes them to the faculties. The SGS makes the official offer.
4)	**Student Program Management**	The SGS is the house of the official student files. It sets policies, provides templates, but leaves it to the units to implement. SGS audits selectively certain units. It also manages leaves and extensions. The design, implementation and oversight of graduate curriculum are governed by our Quality Assurance Processes (academic unit to Faculty Graduate Councils/Committees to GSEC to Senate (if required)). The units are responsible for regulating the progress of the graduate students and reporting as required the passing or failure of requirements. The units recommend to their Faculty Graduate Council, or Faculty Graduate Committee requests for students to proceed from a master`s into a doctoral program, withdrawals and exemptions from regulations.
5)	**PhD Thesis Defenses**	SGS establishes procedures for doctoral examinations. It also finds the chairs, makes sure that thesis is reviewed, prepare the documents for the chairs, etc. The academic units determined the supervisory committee.
6)	**Master Thesis Defenses**	SGS establishes procedures for master`s examinations. The process is managed by the Faculty Graduate Councils/Committees.
7)	**Graduation and Convocation**	SGS puts together the degree lists. Through Graduate Studies Executive Council, SGS recommends to Senate the awarding of graduate degrees; The registrar office manages the convocations.
8)	**Student Advocacy**	SGS sets policies and practices. It also manages funding awards, Queen's graduate awards, graduate achievements, student support and professional success, workshops and seminars.
9)	**Post-doctoral Fellows**	Responsibilities for Post-doctoral fellows have recently been transferred from Research Services to the SGS. Post docs are unionized.
10)	**Student Academic Misconducts**	The SGS manages the misconducts when they come to appeal. In the first instance, the units resolve the problems.
11)	**Interdisciplinary Programs**	Like all graduate programs, IDP fall under the jurisdiction of the SGS; in an activities-based model programs are resourced by the faculty – when IDPs cross faculties' revenues and costs are distributed. The University has individual interdisciplinary programs, only collaborative programs and direct entry.

12) **Program Reviews, Changes, Development, and Creations**	SGS advises and supports the units for programs development. The units approve the changes to the programs. Then, the Faculty Council and Graduate Studies Executive Council approve it. The new programs have to finally be approved by the Senate. Regular operations, policy and management is delegated to the SGS by Senate
13) **National Scholarships Competitions**	Fellowship committees and sub-committees (NSERC, SSHRC, and CIHR committees) are responsible.
14) **Internal Scholarship Competitions**	The funding is distributed within the units and recipient names reported to the SGS with a spreadsheet to initiate payment; The university registrar handles needs-based general bursaries. SGS is responsible for managing the University's graduate student awards. Discretionary graduate award money is distributed by headcount; the Fellowships Committee, a subcommittee of SGS, adjudicates awards/fellowships and scholarships.
15) **Maintenance of Standards and Adherence to Policies**	SGS manages the quality with the provost's office. For programs development and changes, SGS works with the units to prepare the documents necessary for internal and external quality assurance review. The School is mandated by the province to develop their own monitoring and evaluation quality framework. SGS ensures adherence to program quality assurance standards and compliance with provincial government regulations as it relates to program quality, program approval, and program funding requirements.
16) **College Membership Appointments**	All tenure/tenure faculties are members (automatic). Other members must be approved by the SGS.
17) **Where Graduate Students are Attached**	All graduate students are registered in the SGS. (except professional programs in the School of Business)
18) **Policies and Institutional Guidelines**	The School of Graduate Studies works with the Graduate Councils for major policies changes, then report to Senate.
19) **Graduate Course Catalogue**	Manage the information in the electronic calendar.
20) **Link Between Research and Administration**	Representation on university-wide committees chaired by the VP (Research) – including Research advisory committee, CRC and Queen's National Scholar
21) **In your opinion, do you encounter some problems in your present structure?** The university has now an activity-based budget model. It has been very good for graduate studies. Faculties see that all the money is transferred to them and that the school does not control it.	

22)	**Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?**

Did a reporting 2009. The academic units, the colleges and the School wanted changes. An external report was written. Went to principal of provost academic, sub-committees of senate and then, all changes went to Senate. It took a year to implement the changes.
A year later, a second review was done. The University Committee was satisfied with the new structure. The keys to success are:
- To make sure that the faculty is on board
- That you have a contact person in the School of Graduate Studies
- To provide a skeleton online of the major changes
- To streamline the functions to enhance communication.

The review maintained a strong centralized Graduate School while engaging to a far greater degree the faculty offices. The overall intent of the recommendations were:

- To enhance the role of the School in the decisions of the University
- To streamline the work done by the School
- To align the structures of the School more closely with the structures of the Faculty offices
- To engage the Faculty offices more closely with the work of graduate studies and to develop closer connections with the Faculty offices

To locate interdisciplinary program, growth and support within the School.

23)	**If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?**

Quality insurance and related policies.

Table 11: University K

Number of members: 17
Number of graduate students: 3,886
Name of the centralized unit: College of Graduate Studies and Research (CGSR)
Name of the Leader: Dean
Mission:

	Tasks /	Description
1)	**International Recruitment**	CGSR collaborates with other centralized units and faculty members to develop strategies. It coordinates and leads CGSR recruitment faculty/staff delegations abroad. It plans, coordinates and facilitates training and information sessions for graduate faculty and CGSR staff (i.e.: Special Scholarship Info Session, Visa Info Session, Faculty Ambassador Program Info Session, Graduate Pathways Certificate Info Session, etc.)
2)	**Enrolment**	CGSR has 3 advisors in support of the programs. Those advisors are responsible for helping academic units in managing students' records and files.
3)	**Applications and Admissions**	The programs receive the applications. They recommend the admissions to CGSR. CGSR supports the programs to calculate the GPAs and review the applications. It ultimately admits the students.
4)	**Student Program Management**	Responsibility of CGSR.
5)	**PhD Thesis Defenses**	Approximately 150 theses are reviewed every year by CGSR. The associate-dean reviews thesis structure, clarity, plagiarism, and content. He also approves external examiners and solves conflicts of interests.
6)	**Master Thesis Defenses**	The responsibility of the programs. CGSR is responsible for publishing the theses on the university`s website and issuing the letters of attestation.
7)	**Graduation and Convocation**	CGSR prepares the convocation lists. Registrar`s office organizes the convocations.
8)	**Student Advocacy**	CGSR plays a mediator role in cases of student-student conflicts; student-academic units` conflicts; students-supervisor conflicts, etc. It also advocates across campus for student health, GSA and other students' issues.
9)	**Post-doctoral Fellows**	The associate-dean of CGSR approves the appointments of the Postdoctoral fellows.
10)	**Student Academic Misconducts**	The formal complaints are sent to CGSR. It provides neutral support to the programs and students to resolve issues. It arranges the hearing for the complainant and respondent and hearing panel. It communicates the outcome of the hearing to the secretary`s office, registrar`s office, and academic units.
11)	**Interdisciplinary Programs**	University of Saskatchewan allows students to design individualized interdisciplinary programs. The administration of those programs involves CGSR staff and a committee of faculty members.
12)	**Program Reviews, Changes, Development, and Creations**	Program reviews are the responsibility of CGSR and Institutional Planning and Assessment Office. CGSR supports strongly the units in the realization of program changes, development and creations.
13)	**National Scholarships Competitions**	CGSR organizes an overall of 25 competitions annually; There is a portion of funding called devolved and another one called non-devolved: CGSR identifies opportunities for the strategic use of scholarships and awards; It develops

		new scholarship partnerships, secure funding, and write agreements; It also writes proposals for new/revised awards. It is responsible for financial records; CGSR advises the faculty members, helps the staff and supports students through those processes; CGSR runs a central competition for the programs that don't qualify to the devolved scholarships.
14)	**Internal Scholarship Competitions**	The devolved funding is divided to the units by a formula.
15)	**Maintenance of Standards and Adherence to Policies**	Quality insurance goes through program reviews. CGSR insures campus compliance with policies and procedures.
16)	**College Membership Appointments**	Dean of CGSR approves recommendations for appointments and renewal of the faculty members and reports to the Faculty Council those appointments.
17)	**Where Graduate Students are Attached**	College of Graduate Studies and Research.
18)	**Policies and Institutional Guidelines**	Associate-dean works to update the policies in collaboration with the programs. The policies go to the executive committee of CGSR. University council approves ultimately the new programs.
19)	**Graduate Course Catalogue**	Responsibility of CGSR.
20)	**Link Between Research and Administration**	The Dean of the College of Graduate Studies and Research reports to the Provost and Vice President Academic. That relationship with the Provost helps provide an awareness and oversight of the graduate academic programs. The Dean is also a member of the Research, Scholarly and Artistic Works Committee of University Council (Senate) and a member of the advisory committee assembled by the Vice President (Research). The Dean's participation in those committees with a focus on research and external partnerships helps to provide a sharing of information and creates mutual awareness of graduate programs and research initiatives.
21)	**Q2: In your opinion, do you encounter some problems in your present structure?** All processes can be improved; Student information system needs to be improved for decision-making and to reduce process time. Student aid needs to be improved; The structure should be reviewed.	
22)	**Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?** Students` academic path may be decentralized.	
23)	**If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?** Advocate for the graduate students to insure that they have a quality across programs, equal ability to apply for funding, that they have good supervisor, equity through programs. Scholarships and awards, policies and procedures, admissions process and credential evaluation process, defense processes (master and phD), student misconduct, and program development should be centralized.	

Table 12: University L

Number of members: 50
Number of graduate students: 15,884
Operating budget: $7M
Name of the centralized unit: School of Graduate Studies (SGS)
Name of the Leader: Vice-Provost and Dean

\ Tasks /	Description
1) **International Recruitment**	Shared responsibility with the units. SGS does some fairs. SGS builds website, builds the tools, and organizes regular chat groups with potential applicants.
2) **Enrolment**	Units do it. They send later the information collected to SGS.
3) **Applications and Admissions**	The applications are done centrally. The acceptance letter is sent by SGS. For exceptions to admission policies, the committee of graduate coordinators reviews the application and takes the decision; If it is a rush, the vice-dean can review the application and make the decision.
4) **Student Program Management**	Decentralized to the units.
5) **PhD Thesis Defenses**	Done by the Vice Dean.
6) **Master Thesis Defenses**	Decentralized to the units
7) **Graduation and Convocation**	SGS approves the convocation list. The office of convocation organizes the convocations.
8) **Student Advocacy**	Shared responsibility with Students Advocacy Office.
9) **Post-doctoral Fellows**	The central post doc office is in SGS. Some of the postdoctoral fellows are unionized and some other are not unionized. SGS processes postdoctoral fellow registrations to provide further support. The School manages professional development opportunities (like non-credit activities and language support).
10) **Student Academic Misconducts**	The School provides advice and support for worst cases of student misconducts. It also supports diversity, equity, fairness. Appeals are possible beyond SGS
11) **Interdisciplinary Programs**	Decentralized to the units. Individualized programs are not allowed.
12) **Program Reviews, Changes, Development, and Creations**	The Office of the Vice-Provost, Academic coordinates the program reviews. All changes go to Faculty Council. SGS has some involvement in small changes, but is generally only informed of the changes. SGS still provides guidance for graduate programs.
13) **National Scholarships Competitions**	National scholarships competitions are organized by SGS.
14) **Internal Scholarship Competitions**	Graduate funding packages just go directly to the units. Funding is distributed to the units with a formula (success rate, numbers of students, etc.). SGS does not have the control on how this funding is spent.

15)	**Maintenance of Standards and Adherence to Policies**	Shared responsibility between SGS and the Office of the Vice-Provost, Academic that has been created to insure quality.
16)	**College Membership Appointments**	Graduate faculty membership is initiated by the Chair/Director of the graduate unit. With the approval of SGS, the Chair confirms graduate membership to the faculty member.
17)	**Where Graduate Students are Attached**	Handled jointly by the units and SGS
18)	**Policies and Institutional Guidelines**	Depends on the issue. The most important guidelines are developed where they are relevant, but they have to be approved by the faculty and the governing council. Some exceptions are managed by SGS.
19)	**Graduate Course Catalogue**	The responsibility of SGS.
20)	**Link Between Research and Administration**	Evolving. The next Dean will also now be called "Vice-Provost, Research and Graduate Education." The SGS Dean currently sits on the Research Advisory Board and the Connaught Committee. More links are anticipated.

21) In your opinion, do you encounter some problems in your present structure?
The new structure still needs to be stabilized. The School is increasingly seen as a part of the provost office.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience? Almost everything is done by units and audited by the officers. Those officers support the units, staff, students and prospective students.
The leader is now a vice Provost and a Dean. The Leader is still called a Dean because they still have responsibilities of a Dean. The Vice-Provost speaks for the Provost for graduate studies. Just a Dean would not be that connected with the Provost to discuss graduate studies affairs. The leader does not hold faculty, money or students.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered? Certain activities need to be centralized such as the writing and updating of procedures, operation of some aspects of the graduate education. The University needs a home for graduate students to not lose them. The university has to make sure someone is looking for the graduate students. The Vice-Provost and Dean represent graduate students in higher administration.

Table 13: M

Number of members: 29
Number of graduate students: Around 5,100
Operating budget: n/a
Name of the centralized unit: Office (GSO)
Name of the Leader: Associate-Provost

	Tasks /	Description
1)	**International Recruitment**	Academic units do their own travels. GSO offers a centralized support to the units and faculties. It negotiates the agreements, makes the strategies and the big policies.
2)	**Enrolment**	GSO does the strategic enrolment planning.
3)	**Applications and Admissions**	GSO is responsible for the admissions. The admission process is online. One graduate officer by academic unit receives the applications. The units are trained to calculate the GPA. GSO does a random checking of the GPAs calculated. It processes the applications in 3 to 5 days.
4)	**Student Program Management**	GSO is responsible for the student records and graduate curriculum. It coordinates the professional development. GSO manages the student systems and information.
5)	**PhD Thesis Defenses**	The theses are the responsibility of the GSO. It is the last line to take the decision. It manages the online system: the Council of Senate sets out the rules.
6)	**Master Thesis Defenses**	Responsibility of the units.
7)	**Graduation and Convocation**	Responsibility of the GSO.
8)	**Student Advocacy**	It is a very important role of the GSO.
9)	**Post-doctoral Fellows**	Responsibility of the Post-doctoral office. The Postdoctoral Office is headed by the Associate Provost Graduate Studies.
10)	**Student Academic Misconducts**	GSO provides advice and support in the worst cases of student misconducts.
11)	**Interdisciplinary Programs**	Decentralized at the unit level. There are no individualized interdisciplinary programs at the graduate level (only undergraduate).
12)	**Program Reviews, Changes, Development, and Creations**	GSO coordinates program reviews and supports new programs. Faculty members send the course content to the Office. The information then goes to the Council for approbation.
13)	**National Scholarships Competitions**	The Associate-Provost is the chair of a committee with the 6 associate-deans. The committee oversees the applications for Vanier and other national competitions. The new awards have to be approved by the GSO.
14)	**Internal Scholarship Competitions**	The rest of the funding is devolved scholarships. It is managed by the units. There are also larger bursaries managed by the registrar office.
15)	**Maintenance of Standards and Adherence to Policies**	One section of the GSO is dedicated to quality insurance.
16)	**College Membership Appointments**	Done at the faculty level.

17)	**Where Graduate Students are Attached**	To their disciplinary faculties.
18)	**Policies and Institutional Guidelines**	The graduate operations committee, including an associate-dean, an associate-provost and 6 associate-deans look at all the business processes. Standards, regulations and policies have to be approved by the Senate of Graduate and Research Council and Senate.
19)	**Graduate Course Catalogue**	The responsibility of GSO.
20)	**Link Between Research and Administration**	The associate-Provost co-chairs the Senate Graduate and Research Committee, along with the VP Research. One of his Associate VPs attends the Grad Operations committee each month.

21)	**In your opinion, do you encounter some problems in your present structure?** The structure works well. Each graduate unit has a graduate director who works with their associate dean. The associate deans work with the Associate-Provost. The technology helps a lot. The programs are also more mature, which helps. The office does not control the money. The Associate-Provost decides how much money goes to the units without holding the money. The role of gatekeeper is really valorized. The office does not have an interventionist approach. The office is more a judge than a police. The Office looks at the business processes.
22)	**Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?** The leader is not a Dean anymore, but an Associate-Provost. The Office never has been a Faculty. There are 2 academic people in the Office: the Associate-Provost and an associate dean.
23)	**If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?** Student advocacy and quality insurance.

Table 14: University N

Number of members: 13 + 2 associate deans
Number of graduate students: 4,770
Name of the centralized unit: School/Post-Doctoral Studies (SGPS)
Name of the Leader: Vice-Provost and Dean

Tasks /	Description
1) **International Recruitment**	It is a shared responsibility between the SGPS, the schools and the International Office. There is a graduate person to help the departments in the SGPS. The SGPS participates in some job fairs in Ontario and online. The schools hold their own budget for recruitment.
2) **Enrolment**	Responsibility of the programs and schools and fed through faculty in annual planning cycle.
3) **Applications and Admissions**	Responsibility of the SGPS. There is an in-house application system. The programs look at the applications online, ask the SGPS to calculate the GPA, and then recommend the students. SGPS admits the students.
4) **Student Program Management**	Everything is electronic. The SGPS is responsible for the files. Programs are responsible for the reports. If there is a problem, the units come to the SGPS for help and support.
5) **PhD Thesis Defenses**	SGPS organizes PhD only.
6) **Master Thesis Defenses**	Decentralized although the SGPS is informed of all aspects
7) **Graduation and Convocation**	SGPS makes the final list, and then submits it to Convocation Office.
8) **Student Advocacy**	SGPS advocates for the students.
9) **Post-doctoral Fellows**	Responsibility of the SGPS. One person is responsible for the administration of the post-doctoral fellows.
10) **Student Academic Misconducts**	The appeals and misconducts are processed by the SGPS. The SGPS also works with the Vice-Provost Office to resolve the issues related to professor misconducts.
11) **Interdisciplinary Programs**	Decentralized.
12) **Program Reviews, Changes, Development, and Creations**	Minor changes are handled by the Senate Committee on graduate program review (SUPR-G); then Senate and QA are informed in an annual report: Major modifications reviewed and approved by SUPR-G; sent to Senate for information; and to QA in annual report. New programs: approved by SUPR-G to proceed to external review; approvals with modifications; passed by Senate and then to QA and MTCU for approval Graduate program reviews are organized by the SGPS.
13) **National Scholarships Competitions**	The national competitions are centralized.

14) Internal Scholarship Competitions	The budget model was changed. The funding now goes directly to the schools. The money is divided by an algorithm. The SGPS has access to financial records for all graduate students.	
15) Maintenance of Standards and Adherence to Policies	Responsibility of the SGPS.	
16) College Membership Appointments	Faculty members have to apply for membership to the SGPS. If it is the first time they supervise, they have a mentor. Once they have supervised the master thesis, they can apply to doctoral membership. There is a teaching support centre. It serves all faculty and graduate students. Give them opportunity to increase professional opportunities. Can also help international people.	
17) Where Graduate Students are Attached	School of Graduate and Post-doctoral Studies.	
18) Policies and Institutional Guidelines	Graduate Education council committee is formed by the Senate to vote policy. On the committee, there are students, faculty, graduate chairs and the vice provosts.	
19) Graduate Course Catalogue	There is no grad course catalogue per se. The programs create their own courses. SGPS has an online overview catalogue of all graduate courses by program in the system with enrolments, when offered etc.	
20) Link Between Research and Administration	2 SGPS Associate Vice-Provosts meet with the Research Committee once a month.	

21) In your opinion, do you encounter some problems in your present structure?

The graduate funding should be back in the graduate office. It is a way to work strategically with the other faculties.
Would like to have a grad recruiter in all the faculties.

22) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

5 years ago, the interdisciplinary programs were moved to the home faculties. That change has been very positive. The students have far more support from their faculties; Also, the provost office gives money annually to encourage the development new interdisciplinary programs.

Decentralized the calculation of the GPA; recentralized it this year; The graduate funding was also decentralized but this change is less positive.
Would not to decentralize anything further. The accountability to a central office is important.
5 years ago, had a dean and moved it to a vice-provost. This way, the leader has more oversight on the programs.

23) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Central control over program, program quality insurance and student advocacy.

Table 15: University O

Number of staff: 11
Number of graduate students: 1,062
Name of the centralized unit: Faculty of Graduate Studies and Research (FGSR)
Name of the Leader: Dean

1)	**International Recruitment**	FGSR looks after international recruitment and shares the functions with the office of international recruitment. FGSR organizes fairs.
2)	**Enrolment**	Responsibility of Registrar's Office.
3)	**Applications and Admissions**	FGSR is responsible for the final offer.
4)	**Student Program Management**	Responsibility of FGSR.
5)	**PhD Thesis Defenses**	FGSR is responsible for the organization of the PhD Thesis defenses.
6)	**Master Thesis Defenses**	FGSR has an oversight on the process, but the faculties are responsible for the organization of the Master Thesis defenses.
7)	**Graduation and Convocation**	Responsibility of FGSR.
8)	**Student Advocacy**	Not the responsibility if FGSR.
9)	**Post-doctoral Fellows**	The administration of post-doctoral fellows is the responsibility of the faculties.
10)	**Student Academic Misconducts**	Not the responsibility of FGSR.
11)	**Interdisciplinary Programs**	The responsibility of FGSR.
12)	**Program Reviews, Changes, Development, and Creations**	The program reviews are mainly organized by the provost office although FGSR supports the units to develop new programs.
13)	**National Scholarships Competitions**	The departments nominate the candidates while FGSR manages all competitions.
14)	**Internal Scholarship Competitions**	The money is divided to the units with an algorithm.
15)	**Maintenance of Standards and Adherence to Policies**	
16)	**College Membership Appointments**	Faculty members have to be members of FGSR. The Dean of FGSR approves these memberships.
17)	**Where Graduate Students are Attached**	To FGSR.
18)	**Policies and Institutional Guidelines**	Policies and institutional guidelines have to be approved by the faculties, FGSR council, executive of council, the council, and by the senate.

19)	Graduate Course Catalogue	Responsibility of FGSR.
20)	Link Between Research and Administration	Actually building a relationship.

24) In your opinion, do you encounter some problems in your present structure?

Would like to decentralize but the units are not ready.

25) Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

Teaching assistantships money was decentralized, but was centralized again. The units were using the money for something else than the teaching assistantships.

26) If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

Admissions; registrations; convocations; thesis defenses; scholarships. Without centralization, standards and quality would drop.

Table 16: P

Number of members: -
Number of graduate students: 8,240
Name of the centralized unit: No centralized unit.
Name of the Leader: -

International Recruitment	Responsibility of the faculties and Registrar's Office.
Enrolment	Responsibility of Registrar's Office.
Applications and Admissions	All applications are electronically collected by a central system that pushes the applications to the faculties for review.
Student Program Management	Responsibility of the faculties.
PhD Thesis Defenses	Responsibility of the faculties.
Master Thesis Defenses	Responsibility of the faculties
Graduation and Convocation	Responsibility of the Registrar's Office.
Student Advocacy	Mainly the responsibility of Student Service Office, in collaboration with the faculties and Vice-President Student office.
Post-doctoral Fellows	Post-doctoral administration is done in the faculties. Registrar's office is responsible for the registration of the fellows. These fellows are registered as students.
Student Academic Misconducts	Responsibility of faculties, Ombudsman office, and Vice-President Student office when problems arise.
Interdisciplinary Programs	Vice-President Academic Office is responsible for developing interdisciplinary programs. The administration of these programs is the responsibility of the faculties.
Program Reviews, Changes, Development, and Creations	The new programs have to be approved by each faculty, and then by the Board of Studies (formed by professors, vices-deans, services managers). Cyclical program reviews are the responsibility of Vice-President Student office.
National Scholarships Competitions	The faculties suggest candidates to the Vice-President Research Office.
Internal Scholarship Competitions	Vice-President Research Office divides the money to the faculties by headcounts.
Maintenance of Standards and Adherence to Policies	Vice-President Student office is responsible for quality assurance.
College Membership Appointments	The faculties are responsible for selecting candidates. The university executive committee reviews the selected candidates and approve ultimately the hires.
Where Graduate Students are Attached	To their home faculties.

Policies and Institutional Guidelines	Central politics are the responsibility of the executive committee, the Research Council, and the Studies Council. Each faculty also has a graduate studies committee that manages graduate studies.
Graduate Course Catalogue	Responsibility of the faculties with the registrar's office.
Link Between Research and Administration	The Research Council and executive committee meet on a regular basis.

In your opinion, do you encounter some problems in your present structure?

The process of writing a new policy is difficult, as it requires negotiation with nine faculties with very different cultures.

Would like to promote graduate studies on campus, but the present structure makes it difficult.

Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

Before 2000, faculties' budgets were centralized to Financial Services. They were then decentralized, making the faculties responsible for the administration of their budgets. New positions were created in each faculty to manage the financing.

Centralization cannot be done without consultation. Leadership has to mobilize people around the idea of decentralization to make it happen. The faculties need to have the impression that they are the ones taking decisions.

Decentralization is an opportunity to mobilize campus around graduate studies.

Summary Table

The information included in the university cards is summarized in Table 17. It compares the different level of centralization of the graduate education models of the universities interviewed. It shows how each administrative process is managed (centrally, locally or shared responsibility).

The processes are summarized by a five-color code:
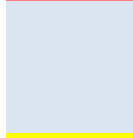
■	The final responsibility of the administrative process belongs to the Faculty/School/Office of Graduate Studies. Red means that the process is a direct responsibility of Graduate Studies.
■	Pink means that multiple central instances are responsible for the final decisions related to the tasks. It could be central committees or central units.
■	The responsibility of this process is decentralized to the units. The Faculty/School/Office of Graduate Studies intervenes only in the difficult cases or problems.
■	The process is a shared responsibility between one central unit (Faculty/School/Office of Graduate Studies or the Vice-Provost office) and the faculties.
■	The process is completely devolved to different central unit than the Faculty/School/Office or graduate Studies.

Table 17: U15 Comparative Summary Table

More centralized ↑ / Less centralized ↓ (rows)

More centralized ← → Less centralized (columns)

U15	Graduation, convocation	Policies and institutional Guidelines	Graduate course catalogue	Maintenance of Standards and adherence to policies	National scholarships Competitions	Program changes, development, creations	PhD Thesis Defenses	Cyclical program reviews	Applications and Admissions	Student advocacy	Post doc fellows	Where Graduate Students are attached?	Academic Student Misconducts	Student program management	Enrolment	College/Faculty Memberships	Interdisciplinary programs	Master Thesis Defenses	Internal scholarship Competitions *	International Recruitment	Total of centralized tasks (red, pink)
U of S																					16
Dalhousie U																					14
U of W. Ontario																					14
McMaster U																					14
UBC																					14
U of Calgary								n/a													11
U of Ottawa																					12
McGill U																					13
U of Toronto																					13
U of Manitoba																					13
Queen's U																					12
U of Waterloo																					12
U Laval																					10
U de Montréal																					8
Total of centralized tasks	14	14	14	13	13	13			10	10	10	10	7	7	6	5	4	2	0	0	

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Conclusions

Through the interviews conducted, several best practices were identified:

1. International recruitment is a <u>shared responsibility</u> for all universities interviewed (as currently performed at the U of S).

4. The following processes are <u>decentralized</u> at seven or more of the 13 universities examined: **(1)** college membership appointments; **(2)** interdisciplinary program administration; **(3)** master's thesis defense organization, and **(4)** student program management. **(5)** All universities have a decentralized part in their administration of the internal scholarship competitions.

5. The following processes are <u>centralized</u> for a majority of the respondents as is the current situation at the U of S: **(1)** development of policies and institutional guidelines; **(2)** maintenance of graduate course catalogue; **(3)** graduation and convocation; **(4)** maintenance of standards and adherence to policies; **(5)** organization of PhD thesis defenses; **(6)** organization of national scholarship competitions and choice of recipients/ nominees; **(7)** administration associated with post-doctoral fellows; **(8)** student advocacy; **(9)** program changes, and development; **(10)** cyclical program reviews; **(11)** Applications and Admissions, and **(12)** where graduate students are enrolled.

4. In an exercise to decentralize activities related to graduate education, the U15 leaders interviewed think that the following processes <u>should remain centralized</u>: **(1)** quality control; **(2)** the management of scholarships and awards; **(3)** student advocacy; **(4)** resolution of student academic misconducts; **(5)** representation of graduate education interests.

5. The leaders interviewed also believe that combining the two titles of dean and associate-provost is beneficial to generate a strategic focus.

6. According to the same leaders, excessive decentralization of the graduate education model would not be economically viable.

The following universities have experienced a decentralization process within the last nine years: Queen's (2009), UBC (2011-2013), U of Montreal (2006-2007), U of T, and U of Ottawa (2014). Some lessons can be learned from their experiences:

1. The following functions were reclaimed centrally after being decentralized: applications and admissions, thesis defenses, management of internal scholarships, and the academic

home of graduate students (their home faculty or to the College/School/Faculty of Graduate Studies).

2. Effective leadership and management before, during, and after implementation of a revised model are essential to making decentralization work.

Processes involving administration of interdisciplinary programs, management of student programs, and college membership appointments are markedly different at the U of S compared with those followed at other U15 institutions.

After comparison, the University of Saskatchewan is the most centralized university of all institutions interviewed. Given the information collected in the internal scan, decentralization of some aspects of the current graduate education model is strongly recommended.

Appendix 1

Graduate Education Concept Paper
Survey to the Campus Community

The Graduate Education Review and TransformUS taskforce reports recommend that the College of Graduate Studies and Research be disestablished and replaced with a new model to improve the administration of graduate education; the aim now is to produce a concept paper that will identify the activities of the new proposed model at the local and central levels using a shared services framework.

Acting Dean Baxter-Jones has already started a campus consultation process by attending Faculty Council meetings, listening and recoding these groups' comments.

To further inform the development of the concept paper we request your support by asking you to complete this anonymous survey. We want to give you the opportunity to give feedback on how to improve our graduate education administrative processes.

For any questions, please contact Eleonore Daniel (eleonore.daniel@usask.ca), administrative assistant to Dr Baxter-Jones.

Best regards,

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Questions 1 to 20: For each of the following questions, please answer the three sub questions:

1- In your opinion, is this process **problematic**? Please select the appropriate answer.

2- If applicable, for each problematic process, indicate the **direct consequence(s)** of the problems in your daily work. Please select all that apply.

3- In your opinion, how would graduate education **decision making in the future** be best served for this process? Please select "centrally" (centralized unit), "locally" (decentralized in the different colleges), "both" (central and local), "n/a" or "I don't know".

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1. **Does CGSRs' represent graduate education interests for all students** (for example, CGSR leaders representation of issues and interests related to graduate education from an institutional perspective in different committees)?

   - **Is this process problematic?**
     ☐Yes
     ☐No
     ☐I don't know

   - **If yes, what are the direct consequences on your daily work (please select)?**

     ☐Administrative delays
     ☐Repetition of tasks
     ☐Lack of information
     ☐Process unclear
     ☐Overly burdensome administration
     ☐Mistakes/errors
     ☐Other (please mention): Click here to enter text.
     ☐None of the above
     ☐I don't know

   - **How is this process best served in the future (please select)?**

     ☐Centrally
     ☐Locally
     ☐Both
     ☐N/A
     ☐I don't know

   - **Do you have any further comments?** Click here to enter text.

2. CGSRs' development, approval, implementation and updating of institutional policies and procedures

- **Is this process problematic?**
  ☐ Yes
  ☐ No
  ☐ I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐ Administrative delays
  ☐ Repetition of tasks
  ☐ Lack of information
  ☐ Process unclear
  ☐ Overly burdensome administration
  ☐ Mistakes/errors
  ☐ Other (please mention): Click here to enter text.
  ☐ None of the above
  ☐ I don't know

- **How is this process best served in the future (please select)?**

  ☐ Centrally
  ☐ Locally
  ☐ Both
  ☐ N/A
  ☐ I don't know

- **Do you have any further comments?** Click here to enter text.

3. CGSRs' maintenance of standards and policing of adherence to institutional policies (providing oversight to ensure that institutional policies and standards are respected across the campus)

- **Is this process problematic?**
  ☐ Yes
  ☐ No
  ☐ I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

4. **CGSRs' student academic misconduct processes** (advice to the parties concerned, resolution of problems, support, hearings, penalties, etc.)

   - **Is this process problematic?**
     ☐Yes
     ☐No
     ☐I don't know

   - **If yes, what are the direct consequences on your daily work (please select)?**

     ☐Administrative delays
     ☐Repetition of tasks
     ☐Lack of information
     ☐Process unclear
     ☐Overly burdensome administration
     ☐Mistakes/errors
     ☐Other (please mention): Click here to enter text.
     ☐None of the above
     ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

5. **CGSRs' membership appointments** (appointments of professors, professional affiliates, visiting scholars, adjunct professors)

   - **Is this process problematic?**
     ☐Yes
     ☐No
     ☐I don't know

   - **If yes, what are the direct consequences on your daily work (please select)?**

     ☐Administrative delays
     ☐Repetition of tasks
     ☐Lack of information
     ☐Process unclear
     ☐Overly burdensome administration
     ☐Mistakes/errors
     ☐Other (please mention): Click here to enter text.
     ☐None of the above
     ☐I don't know

   - **How is this process best served in the future (please select)?**

     ☐Centrally
     ☐Locally
     ☐Both
     ☐N/A
     ☐I don't know

   - **Do you have any further comments?** Click here to enter text.

6. CGSRs' review of programs (processes to review and create new courses and programs)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

7. CGSRs' administration of Interdisciplinary programs (support for students within individualized interdisciplinary programs, considering applications for admission, managing student files within individualized programs, etc.)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

8. **CGSRs' support of admissions and credential evaluations** (all processes related to admission and credential evaluations)

   - **Is this process problematic?**
     ☐Yes
     ☐No
     ☐I don't know

   - **If yes, what are the direct consequences on your daily work (please select)?**

     ☐Administrative delays
     ☐Repetition of tasks
     ☐Lack of information
     ☐Process unclear
     ☐Overly burdensome administration
     ☐Mistakes/errors
     ☐Other (please mention): Click here to enter text.
     ☐None of the above
     ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

9. **CGSRs' student's programs management** (progress reports, processing of extensions, registration, changes of programs, program transfers, leaves, withdrawals, etc.)

   - **Is this process problematic?**
     ☐Yes
     ☐No
     ☐I don't know

   - **If yes, what are the direct consequences on your daily work (please select)?**

     ☐Administrative delays
     ☐Repetition of tasks
     ☐Lack of information
     ☐Process unclear
     ☐Overly burdensome administration
     ☐Mistakes/errors
     ☐Other (please mention): Click here to enter text.
     ☐None of the above
     ☐I don't know

   - **How is this process best served in the future (please select)?**

     ☐Centrally
     ☐Locally
     ☐Both
     ☐N/A
     ☐I don't know

   - **Do you have any further comments?** Click here to enter text.

10. **CGSRs' management of PhD thesis defenses** (organization of the defenses, review of the thesis for plagiarism, publication of thesis on the library website)

    - **Is this process problematic?**

☐Yes
☐No
☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

☐Administrative delays
☐Repetition of tasks
☐Lack of information
☐Process unclear
☐Overly burdensome administration
☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

☐Centrally
☐Locally
☐Both
☐N/A
☐I don't know

- **Do you have any further comments?** Click here to enter text.

11. **CGSRs' management of graduation and convocation** (approval of the convocation list, organization of the convocation days)

- **Is this process problematic?**
☐Yes
☐No
☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

☐Administrative delays
☐Repetition of tasks
☐Lack of information
☐Process unclear
☐Overly burdensome administration
☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

12. **CGSRs' support for recruitment of international students** (recruitment, support through the application process, help to integrate students within the campus community)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

13. **CGSRs management of scholarships and awards** (administration of the devolved and non-devolved funding, development of new scholarship partnerships, agreements, proposals for new/revised awards, etc.)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

14. **GGSRs' management of student financial records** (payments to the students from central sources, including funds provided by external agencies)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration

☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

15. **CGSRs' support of student advocacy** (protect the interests of the students, support and develop services for the students, resolve problems when occur, support to the GSA, etc.)

- **Is this problem problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

16. **CGSRs' management of student agreements** (joint students, dual-degree students, visiting students, etc.)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

17. **The graduate student information system** (Banner, Degree works, etc.)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration

☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

☐Centrally
☐Locally
☐Both
☐N/A
☐I don't know

- **Do you have any further comments?** Click here to enter text.

18. **CGSRs' management of its web site** (updating and maintaining its website with institutional information relevant to graduate studies)

- **Is this process problematic?**
☐Yes
☐No
☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

☐Administrative delays
☐Repetition of tasks
☐Lack of information
☐Process unclear
☐Overly burdensome administration
☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

☐Centrally
☐Locally
☐Both
☐N/A
☐I don't know

- **Do you have any further comments?** Click here to enter text.

19. **CGSRs' advocating for and maintenance of services from other centralized service units** (improvements to the electronic information systems, processes within the information system, forms, procedures, etc. for ancillary centralized units)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear
  ☐Overly burdensome administration
  ☐Mistakes/errors
  ☐Other (please mention): Click here to enter text.
  ☐None of the above
  ☐I don't know

- **How is this process best served in the future (please select)?**

  ☐Centrally
  ☐Locally
  ☐Both
  ☐N/A
  ☐I don't know

- **Do you have any further comments?** Click here to enter text.

20. **CGSRs' post-doctoral fellows administration** (appointment of and support for PDFs)

- **Is this process problematic?**
  ☐Yes
  ☐No
  ☐I don't know

- **If yes, what are the direct consequences on your daily work (please select)?**

  ☐Administrative delays
  ☐Repetition of tasks
  ☐Lack of information
  ☐Process unclear

☐Overly burdensome administration
☐Mistakes/errors
☐Other (please mention): Click here to enter text.
☐None of the above
☐I don't know

- **How is this process best served in the future (please select)?**

☐Centrally
☐Locally
☐Both
☐N/A
☐I don't know

- **Do you have any further comments?** Click here to enter text.

21. **Other process (please mention)** Click here to enter text.

Do you have further comments?

<table>
<tr><td></td></tr>
</table>

Question 21: In your opinion, what are the **causes** of the problems in the current graduate education **structure**? Please select all that apply.

Cause 1: Technology	Cause 2: Resources	Cause 3: Environment	Cause 5: Management	Cause 6: Processes
☐It is not reliable	☐Lack of personnel	☐Too much work	☐No effective plan	☐Have to seek unnecessary approvals
☐Does not answer all needs	☐Insufficient time to complete tasks	☐Campus deadlines	☐Lack of coordination between the different units	☐Not written procedures
☐Repetitive tasks	☐Lack of training of Faculty and staff	☐Large number of actors engaged in processes	☐Lack of support	☐Criteria for urgent inquiries
☐Failures	☐Other (please mention)Click here to enter text.	☐Other (please mention)Click here to enter text.	☐Lack of reporting	☐Other (please mention) Click here to enter text.
☐Other (please mention) Click here to enter text.	☐None of the above	☐None of the above	☐Lack of effective quality assurance policies	☐None of the above
☐None of the above	☐I don't know	☐I don't know	☐Other (please mention)Click here to enter text.	☐I don't know
☐I don't know			☐None of the above ☐I don't know	

Do you have further comments?

┌──┐
│   │
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│   │
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└──┘

Question 22: Please indicate any further comments related to graduate education on campus:

Appendix 2

<p align="center">**CGSR Staff Interview Questionnaire**</p>

Date: _____

Name: _____

Position: _____

QUESTION 1: **Table 1 lists the functions identified as needing to be carried out for graduate studies. Which of these activities do you personally handle? Are there functions you perform which are missing from the list? (If so, please name them)**

Please detail the tasks related to each activity you perform.

Please describe how much of your time is dedicated to each activity you perform.

QUESTION 2: **Who are the people/units you work with on a daily basis?**

QUESTION 3: **What computer programs/systems do you use?**

QUESTION 4: **What are the difficulties you are facing in your daily work?**

QUESTION 5: **In your opinion, what challenges arise from the current methods used to divide work/responsibility in the College of Graduate Studies and Research? What are your suggestions to solve those issues?**

QUESTION 6: **Are there centralized functions that you think should be decentralized? Are there decentralized functions that you think should be centralized? Please explain your answers.**

QUESTION 7: **What are your responsibilities that you consider the most valuable to the University?**

QUESTION 8: **Are there tasks you participate in that you feel are a waste of time? Expand.**

Question 9: **Nearly 2 years ago, the College of Graduate Studies and Research was restructured in a commitment to a stronger model of service. This model allows greater autonomy for academic units but also requires greater responsibility for them.**

Have all units willingly accepted this greater autonomy and responsibilities?

Do all units have the capacity to meet the responsibilities?

Do all units have the ability to meet the responsibilities?

6 Functions – College of Graduate Studies and Research					
1. Recruitment	**2. Applications and Admissions**	**3. Graduate Students and Post Docs Administration**	**4. Graduate Programs Administration**	**5. Scholarships and Awards**	**6. Administration and Operations**
· Recruitment strategies · Recruitment Activities · Support to international applicants · Support to Faculty · International Agreements · Retention · Internationalization (diversity) · Exchange programs · Aboriginal Recruitment · Languages competencies · Training/information sessions · Visas information · Campus work permit	· Enrolment growth planning · Support to applicants and prospective students · Admission files · Admission Checklists · Application Deadlines · Online Services · Review and Process Applications · Transfer credit · Admission communications · Students Records · Transcripts ordering, planning and averaging · Application fees and tuition assessment	· Enrolment · Students files · Grad curriculum · Progress reports · Change of programs · Doctoral exams · Thesis (defense, regs, submission) · Graduation/Convocation · Students support · Advocacy · Support to GSA · Post doc fellows records · Students misconduct · Administration of interdisciplinary programs · Professional development opportunities · Raise funds for graduate students	· Degree requirements · Program review · Program development · Creation of new programs · Modification of actual programs · Advise and support the units for program development to the units · Exemptions for programs requirements · Course content and clarity · Program credibility · Graduate course catalogue · Graduate course catalogue	· Strategic distribution of scholarships and awards · Organize scholarships competition · Medals · Bursaries · Financial records (nominations, eligibility review, data entry)	· Represent interest of graduate studies · Represent GS on most u committees · Chair committees · External liaison · Relations development · Government reporting · Policies development and updating · Guidelines · Services standards · Performance indicators · Monitoring and Quality insurance · Data analysis · HR · Finances · Business processes · Business systems · Security systems · Communications · Web content · Faculty advocacy · Faculty Award · College memberships · Special project · Graduate calendar · Document management · Travel assistantship · Allocation and reconciliation

99

Appendix 3

Organizational Chart

```
                                    ┌─────────────────────────────┐
                                    │ Programs Review Coordinator │
          ┌──────────────────┐      ├─────────────────────────────┤
          │      Dean        │──────│   Secretary to the Dean     │
          └──────────────────┘      └─────────────────────────────┘

                              ┌──────────────────┐
                              │ Associate Dean   │──────┌──────────────────┐
                              └──────────────────┘      │ Programs Assistant│
                                                        └──────────────────┘
```

Director of Special Project/ International/Recruitment	Director of Graduate Awards and Scholarships/ Financial Officer	Director of Programs and Operations
Int. Recruitment and Liaison Officer	Awards Officer	Office Assistant
	Office Assistant	Office Assistant, Interdisciplinary Programs Graduate Secretary (0.5 FTE)
		Programs Officer
		Programs Advisor
		Programs Advisor
		Programs Advisor

Appendix 4

<div align="center">

Workflows

Table of Contents

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This document contains 39 workflows summarizing administrative processes handled by the College of Graduate Studies and Research. The information necessary to build these workflows was collected during staff interviews held in January 2014. Interviews of 30 to 60 minutes in duration with all CGSR's staff members were conducted. Interviewees included two academic leaders, three directors, three administrative professionals, and nine administrative support staff.

Legend:

◯ = *Start/end of a process*

▢ = *Action*

▢ = Decision

▲ = Wait

1. Academic Student Misconduct

```
Student, a supervisor, grad chair, faculty, pdf makes a request to CGSR
    →
Associate Dean has a confidential conversation with the complainant
    → ◆
```

Branch (top):
- The complainant files a formal complaint
- Formal complaint received by CGSR
- CGSR forms a sub-committee of the Graduate Academic Affairs Committee and a student representative
- CGSR arranges the hearing for the complainant, respondent and hearing panel
- CGSR contacts the secretary office to determine if there was a previous offense.
- Committee meets and discusses the case
- Committee makes a decision
- CGSR provide support by preparing minutes and communicating the decision. CGSR communicates the outcome of the hearing to the secretary office, registrar, academic unit, home academic unit
- Penalty applied

Branch (middle):
- The complainant initiates an informal process
- Informal agreement is written between the complainant and respondent
- The penalty applied

Branch (bottom):
- The complainant does not make a complaint

2. Adjunct Professor Appointments

- Professors recommend to department head a name of an adjunct
- Department head and department staff vote for the adjunct
- Unit fills a form
- Unit sends the form to CGSR
- Dean signs the form
- Admin. Assis enters adjunct`s info in the database.
- Admin. Assis. Contacts the unit to confirm the appointment
- Admin. Assis. Reports appointments to grad council and grad faculty.

3. Application Fee Distribution

The app fees are collected → Every month, run a publisher reports → Awards staff codes all the applications to their own department → Awards staff builds a spreadsheet to compile the data collected → Awards staff compiles the data, distribute the money → Awards staff creates a J-V → Awards staff sends the money to the departments

4. Applications and Admissions

5. Bursaries, Internal Donor Awards

Bursaries, internal donor awards → CGSR sends an email to the appropriate departments eligible to apply → CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.) → Students apply to Scholarships and Awards Office, paper → CGSR updates the database → CGSR sets up the CGSR Awards Committee → Committee selects the recipients → CGSR communicates the results to the applicants

6. Change of Degree Requirement

A unit wants to create a new program

Unit develops a proposal with the support of CGSR

A notice of intent is submitted to the Planning and Priorities Committee

PPC submits comments of the notice of intent to APC, CGSR and registrar

The unit wait for the comments

CGSR works with the unit to make the changes as recommended by PPC

The proposal gets approval within the unit

The unit submits the proposal to the assistant to the Associate Dean

CGSR reviews the proposal

CGSR proposes some changes if necessary

CGSR works with the unit to make the changes

CGSR approves the proposal

The Associate Dean waits for the next Graduate Programs Committee meeting

The associate dean presents the proposal to the Graduate Programs Committee

The GPC proposes changes if necessary

CGSR works with the units to make the changes

The Associate Dean waits for the next Graduate Programs Committee meeting

The Associate Dean presents the proposal to the Graduate Programs Committee

The GPC recommends approval to the Executive Committee

The Associate Dean waits for the next Executive Committee

The Associate Dean presents the proposal to the Executive Committee

The committee proposes revisions if necessary

CGSR works with the units to make the changes

The Associate Dean waits for the next Executive Committee

The committee votes to recommend approval to the Academic Programs Committee

CGSR prepares a document that describes the review that was done

The Associate Dean waits for the next Academic Programs Committee

The Associate Dean presents the document to the Academic Programs Committee

The Academic Programs Committee proposes revisions if necessary

CGSR works with the units to make the changes

The Associate Dean waits for the next Academic Programs Committee

The Associate Dean presents again to the Academic Programs Committee

The committee votes to recommend approval to the University Council

The Chair of Academic Programs Committee waits for University Council next meeting

The proposal is presented to the University Council by the chair of Academic Programs Committee

University Council proposes revisions if necessary

CGSR works with the units to make the changes

The Chair of Academic Programs Committee waits for University Council next meeting

The Associate Dean presents the proposal again to the Executive Committee

The chair of APC presents again the proposal to the University Council

The committee votes to approve the new program

CGSR sends a notification to the registrar office and to the unit

The registrar's office changes the university catalogue

7. Cyclical Program Reviews

Every 7 years cycle, to process is started → List of the programs to be reviewed is developed by the Dean and Program Review Coordinator → The Dean has a conversation with the Deans` Council to set the order of the review → The order of the review is decided → The coordinator puts the order online → The coordinator sends email to the unit to start the process → The unit, with support from the coordinator, writes the self-study → The coordinator invites the unit to recommend possible reviewers

The Dean chooses the reviewers – one internal, one Canadian, one international → The coordinator confirms their availability → The coordinator sends the self-study to the examiners → The coordinator organizes the on-site visit (2 days) → The on-site visit takes place → The reviewers has 2 weeks to write a report. → Reviewers write the report of the visit → The report is sent to the Dean and Provost Academic

The Dean Provost Academic read the report → The Dean and Academic Provost make some recommendations and comments to the report → The report is sent to the unit → The unit writes a response → **Dean and Provost communicate to the unit to define the necessary changes in respond to the review**

8. Dean's Scholarships

Dean's Scholarships 2 rounds a year, send an email campus wide to faculty and grad chairs, grad secs, department heads calling for applications → For master=2 years scholarships (1 year- 1 year) PhD= 3 years scholarships → Support to applicants and units → Students apply → The award staff builds a spreadsheet to compile the applications → The applications are ranked by the formula → The director takes the spreadsheet. With the Chair of the Awards Committee and the Dean, decide who has the awards. → Awards staff writes an email to all participants to communicate the results. → Student accept-refuses the award → **Awards staff pays the students**

9. Development, Approval, Implementation and Updating of Policies and Procedures

Flowchart nodes:

Decision to update/create a procedure, a policy

Row 1 (Policies affecting entire programs):
Policies affecting entire programs (Language Requirements Policy, Requirements for External Examiners Policy, Manuscript Style Thesis, etc.) → CGSR consults the units to develop policy → CGSR conducts research to develop policy → CGSR writes the policy → The associate Dean waits for the next Graduate Programs Committee meeting → Associate dean presents policy to Graduate Programs Committee → The committee recommends to make some changes to the policy → CGSR staff and the units do the changes → The associate Dean waits for the next Graduate Programs Committee meeting → The Associate Dean presents again the policy to the committee → Graduate programs committee approves the policy → The associate Dean waits for the next Executive Committee of CGSR → The policy is presented to the Executive Committee of CGSR → The committee recommends changes to the policy

Row 2 (Policies affecting individual students):
Policies affecting individual students → CGSR consults the units → CGSR conducts research to develop policy → CGSR writes the policy → The associate Dean waits for the next Academic Affairs Committee → The Associate Dean presents policy to Academic Affairs Committee → Academic Affairs Committee recommends changes → CGSR staff and the units do the changes → The associate Dean waits for the next Academic Affairs Committee → The Associate Dean presents once again the policy to the committee → Academic affairs committee approves the policy

Row:
The associate Dean waits for the next Executive Committee of CGSR → CGSR and units make the changes → The policy is presented once again to the committee → Committee recommends the approval of the policy

New programs:
New programs → The associate Dean waits for the next Academic Programs Committee → Associate Dean presents the policy to the Academic Programs Committee → The committee recommends changes → CGSR works with the units to make the changes → The associate Dean waits for the next Academic Programs Committee → The Associate Dean presents again to the committee → APC recommends the approval → The Associate Dean waits for the next University Council → The program is presented to University Council → University council approves the new programs → Decision communicated to the units

Major changes to existing policies:
Major changes to existing policies → The associate Dean waits for the next Academic Programs Committee → Associate Dean presents the policy to the Academic Programs Committee → The committee recommends changes → Associate Dean works with the units to make the changes → The associate Dean waits for the next Academic Programs Committee → The Associate Dean presents again the policy to the committee → APC recommends the approval → Decision communicated to the units

Minor changes to existing policies:
Minor changes to existing policies → CGSR staff prepares the documents and sends it to University Course Challenge → After 2 weeks, changes are approved → Decision communicated to the units

Internal college changes:
Internal college changes → CGSR staff prepares the documents and sends it to Dean`s Admin. Assis. for Grad Council's approval → The associate Dean waits for the next Academic Programs Committee → Graduate council recommends changes → CGSR makes the changes → The associate Dean waits for the next Academic Programs Committee → The Associate Dean presents the documents again to the Grad. Council → Changes are approved by the Council → Decision communicated to the units

Policies affecting individual students:
Policies affecting individual students → Policies are presented to Graduate Faculty meeting → Graduate Faculty recommend changes → CGSR make changes if necessary → The associate Dean waits for the next Graduate Faculty meeting → The associate Dean presents once again the policy to the Graduate Faculty Meeting → Changes are approved by the committee → Decision communicated to the units

10. Devolved Scholarships

```
[Once a year, Devolved Scholarship Competitions start] → [CGSR looks at the past 3 years of statistics] → [CGSR requests the list from EMAP] → [CGSR prepares the lists of students' info manually (year in program)] → [CGSR Sends the list to the units manually to verify time in program] → [The units revise the lists if necessary] → [The units send the lists back to CGSR Awards Office] → [CGSR enters the data from the units to the original spreadsheet] → [CGSR updates the statistics in the spreadsheet (supervisors with credits; supervisors without credits)] → [CGSR applies the formula] → [According to the formula, CGSR allocates 75% of the last's year allocation plus the new 3-year of statistics]

[CGSR sends a notice email to tell the units their allocation] → [CGSR sends an email to the units to request their spreadsheet of how the money was spent last year] → [CGSR verifies the balance of the units] → [CGSR contacts the unit if necessary] → [CGSR creates a JV to deposit the money into the devolved units' fund] → [The money is put in the fund] → [The units do their own payroll for devolved money] → [In March, CGSR sends an email to the devolved units asking them to project their April 30th balances on devolved funding] → [CGSR monitors the funds] → [If necessary, Award staff contacts the units for adjustments]
```

11. Donor Awards

```
[Award staff prepares a Paws announcement] → [Award staff sends Paws announcements] → [Award staff assure support campus community after Paws announcement (emails, calls, drop-ins, etc.)] → [Students apply] → [Award staff receives applications by walk-ins and emails] → [Award staff prints applications] → [Award officer enters in a spreadsheets all applicants' information] → [Award officer files the applications in students files]

◆ → [Awards staff sets up CGSR Award Committee if necessary] → [Committee meets and selects the applicants] → [Award staff compiles the results] → [Award staff prepares and send the letters] → [Award staff prepares a document to SAT] → [Award staff sends the document to SAT]

◆ → [The director selects bursaries recipients] → [Award staff compiles the results]
```

12. Institutional Approval for Graduate Awards paid through SAT

Institutional approval for graduate awards paid out through SAT → The departments send CGSR spreadsheet with the names of the students receiving an award → The director verifies the eligibility of the students → CGSR forwards the information to SAT to pay the students

13. Graduate Curriculum

Student makes a request* to the unit → Unit sets up the supervising committee → Supervising committee studies the request → The units accepts the request → Unit and student make a request to CGSR → CGSR receives the request → CGSR verifies legitimacy of the request → CGSR processes the request with other central service units, academic units, students account and treasury, etc.

If there is a problem, CGSR goes back to the unit. CGSR also advises the units on the processes. → CGSR approves the request → The decision is communicated the decision to the advisors. → Advisor enter the changes in the Student Information System → Advisors communicate the result to the parties involved.

*The requests can be:

Progress reports; Add/drop a program; Absence; Failure; Change in personal information; Change in registration; Voluntary withdrawal; Readmission after withdrawal or failure; Verification of status; Enrolment; Transfer from one academic unit to another; Transfer from of into the Postgraduate diploma; Transfer between programs; Leaves of absence (compassionate, medical leaves, maternity, adopting, parenting leaves, co-op programs); Annual Progress Report; Time in program; Vacation; Extensions; Continuous registration and Maintenance of status; Supplemental and deferred examinations.

14. Graduate Service Fellowships

Graduate service fellowships → Campus contacts the director about Graduate service fellowships → Individuals sends the application to the director saying what the fellowship is for, what is the benefit the students get from it, etc. → The director reviews the application, passes the comments to the dean → The dean reviews and makes his decision. He communicates his decision to the director → The director contacts the applicants → The director verifies the eligibility of the student → Awards staff does the payroll → The director Monitors the account

15. Graduate Teaching Assistantships

Graduate teaching assistantships → Every year, Awards staff collects the stats to know how many thesis students in program → Awards staff prepares the spreadsheet → The director verifies if the units spent the money → The director distributes the money → Awards staff creates the J-V → Awards staff pays the students

16. Graduate Teaching Fellowships

Grad teaching fellowships (47) (once a year) → A spreadsheet is sent to the director with the formula and distribution of colleges on it → Send an email to each college to notify them how many GTF that have been allowed → The units send the director names that have to respect certain criteria → The Director approves the GTF → Awards staff does the payroll for every GTF → The director monitors the funds → CGSR staff does payroll for the summer portion

17. Graduation and Convocation

Student applies to graduate online → Registrar's office assembles the convocation list → CGSR receives list from Registrar`s Office → CGSR staff members go through the list to see if student completed the degree requirements → CGSR staff contacts unit if problems/ questions → CGSR staff prepares the final graduate list → Associate dean reviews the list → CGSR sends the list to the academic units for review → Program officer makes modifications if necessary → The list is considered for approval at a meeting of Graduate Faculty → Graduate faculty council approves the list → CGSR staff prints the cards → CGSR staff members organize the procession of graduate students at convocation → CGSR staff members prepare attestation of degree completion → Convocation

18. Interdisciplinary Program Administration

A student contacts CGSR → Admin. Assis. helps students to find a supervisor → Student finds a supervisor → The student and supervisor define the program and advisory committee → A student applies to an interdisciplinary program → Admin. Assis. Organizes InterD meeting → Admin. Assis. Takes minutes during meeting → Committee selects the applicants → The committee votes → Admin. Assis. writes a memo to advisor to communicate the decision → Advisor writes letter of offer and admission → Student accepts the offer → Advisor processes the admission → If changes to the program or the initial presentation package, the student writes a memo to the committe → Admin Assist. processes changes in the student information system if applicable → Admin. Assist. Updates website content → Admin. Assis. manages financial accounts (miscellaneous account, graduate teaching assistantship, InterD devolved account) → Admin. Assis. Reports financial statement of the program to the committee

19. New Faculty Graduate Students Support Program

New faculty graduate student support program

New faculty have to send a cover letter where the matching source of money will come from

The director verifies the eligibility of the applicants

Awards staff sends a letter to the faculty member to communicate the decision

The faculty member has 2 years to find a student to fund

The Faculty member selects a student

The faculty sends the information to Scholarships and Awards to verify the eligibility of the students

The faculty has to give a rational if the student does not meet the minimum requirements

Awards staff sends the student's info to Research Services

Research services enters the information in their database

Research services sends the package to financial reporting

Financial reporting assigns the fund number

Research services deposit the money in the account

The faculty member is responsible for payroll

Scholarships and Awards support the faculty member is there is a change or problem, etc.

The director Monitors the account

20. Non-Devolved Competitions

```
[Non-devolved competitions (University Graduate Scholarships)] → [CGSR sends an email to the appropriate departments eligible to apply] → [CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.)] → [Department nominates students] → [Students apply to Scholarships and Awards Office, paper] → [Awards staff compiled the applications with particular details in a spreadsheet] → [Awards staff scan the application and save the applications in Paws]

[CGSR sets up the CGSR Awards Committee (book the boardroom, contact the members for availabilities)] → [Committee meets and selects the recipients] → [CGSR communicates the results to the applicants] → [The students accept the awards] → [Awards staff does the payroll] → [CGSR monitors the funds] → [Advisors notify when a student is taking a leave, or finishes program or quit] → [The director updates spreadsheet and payroll]
```

21. NSERC-USRA

NSERC USRA – Undergrade Award

→ CGSR sends an email to the appropriate departments eligible to apply

→ CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.)

→ A grant holder can nominates a potential of 2 students. If the supervisors are applying for the first time, they are allowed to nominate 1 student only

→ Students apply online

→ Awards staff compiles and saves the applications to Paws

→ Awards staff sets up awards committee

→ The committee ranks the applications

→ The applications are sent to Awards office

→ Awards staff compile the results of the ranking

→ The ranking is discussed at the Awards Committee and the recipients are selected

→ Awards staff sends the supervisor the spreadsheet. They have to provide the fund number for their contribution of the award.

→ The supervisors must fill out the institutional approval form allowing CGSR to do payroll on the grant fund.

→ Send all the forms to financial reporting to be on file

→ Award staff communicates the results to the applicants

→ Awards staff do the payroll

→ Try Council sends the On going eligibility report to the director

→ The director verifies the eligibility of the recipients

→ Case by case, the director has to let the agency knows of there is an interruption of the awards (leaves, maternity leaves, early termination)

→ The director updates the information of the students

22. Partnership, Agreement and Program Development

Partnership Development

The initiative can come from a Unit/ Faculty

The initiative can come from CGSR that identifies opportunities and potential partners

The initiative can come from an external request

CGSR does the research and assesses the potential of the partnership development

CGSR decides to develop a partnership

CGSR starts a collaborative process with units, committees, USLC, SESD and International Research

CGSR writes a draft of the partnership

An institutional visit and/or faculty takes place

CGSR drafts the partnership

CGSR presents the partnership to the International Office

CGSR modifies the partnership if necessary

Provost accepts partnership

The Partnership is ready

There is proposition of writing an agreement/MOU following the partnership

The initiative can come from a Unit/ Faculty

The initiative can come from CGSR that identifies opportunities and potential partners

The initiative can come from an external request

CGSR does the research and assesses the potential of the Agreement/Mou

CGSR decides to develop Agreement/ MOU

CGSR starts a collaborative process with units, committees, USLC, SESD and International Research

CGSR writes a draft of the Agreement/MOU

CGSR presents the Agreement/MOU to the International Office

CGSR modifies the Agreement/MOU if necessary

Provost accepts Agreement/MOU

The agreement is ready

CGSR wants to develop a program

The initiative can come from a Unit/ Faculty

The initiative can come from CGSR that identifies opportunities and potential partners

The initiative can come from an external request

CGSR does the research and assesses the potential of the Agreement/Mou

CGSR decides to develop a program

CGSR drafts the program

CGSR consults stakeholders

CGSR modifies the program if necessary

Degree program or credited course

The program goes through the collegial approval

The program is finished

Non credited course

The provost accepts the program

The program is finished

23. PDF

CGSR liaises with the China Scholarship Council, Brazil`s Science Without Border for the recruitment of funded Post doc fellows

Recruitment team introduces potential fellows to professors when needed

Fellow contacts a unit to come here

Unit and fellow agree to work together

The fellow fills the Post Doc registration form and prepares documentation (letter of offer, CV, intellectual property agreement)

PDF makes sure the form is signed by the supervisor and dep. head

Unit fills the Electronic Job Submission and sends it to HR

Admin. Assis. verifies if the package is complete

Admin. Assis. Contacts the unit if necessary

Associate Dean reviews the documents; contact unit if necessary

Associate Dean approves the Fellow

Admin. Assis. makes a copy of the registration form; files it

Admin. Assis. sends the package to HR

24. PhD Thesis Defense Administration

```
[Student has material ready for review]
  → Supervisor reviews the thesis
  → Student and supervisor agree that the draft is ready to go
  → Advisory committee is set by the grad chair
  → The advisory committee determines if the thesis is acceptable in form and content
  → Committee recommends external examiners
  → The committee proposes dates for oral defenses
  → Unit prepares memo with recommendation for defense (copy of thesis, form, external examiners cv)
  → CGSR Receives documentation for defenses
```

```
  → Advisor reviews the student files: courses, student registered, etc.
  → The advisor contacts the unit if problem
  → The advisor passes the thesis to the associate dean
  → The associate Dean Reviews structure, clarity, plagiarism, content, conflict of interest, level of thesis.
  → Associate dean contacts the supervisor or unit if necessary
  → Associate dean verifies if the appointments of external examiners fit policies and procedures
  → Associate dean approves the thesis
```

```
  → Associate dean returns thesis to advisor
  → Advisor Sends the thesis out to the external examiner
  → Advisor prepares the defense package
  → Advisors finds somebody to chair the Phd denfense
  → Advisor gives the package to the designate
  → The unit organizes the thesis defense
  → Defense
  → The internal chair of the department takes the defense package
```

```
  → Students complete corrections
  → The thesis is reviewed again
  → The thesis is approved
  → Paper File comes back to CGSR office, advisor enter info in the system
  → The thesis become available to the advisors on the library site
  → Advisor verifies if the thesis meets formatting standards
  → Advisor publishes the thesis on the website
  → The advisor contacts the student to let him know the thesis is online
```

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  → The student asks the advisor an attestation of studies
  → The advisor writes the attestation
  → The advisors sends the letter to the student
  → The advisor puts the file with convocation files
  → Student graduates
  → Student and supervisor can request to the advisors to put an embargo on the thesis
  → Renewal of embargo (can be renewed 2 more time)
  → [Student graduates]
```

25. Professional Affiliate Appointments

A Professional affiliate is appointed in the Faculty → The department sends the form to CGSR → CGSR verifies the form → CGSR contacts the department if necessary → The admin assistant passes the form to the Dean → Dean approves the appointment → Administrative Assis. Issues the letter to the scholar → Admin assis. sends the letter to the scholar → Admin Assis updates the electronic file → Admin Assis files the papers in archive room → Admin assis. reports the appointments to the Graduate Council meeting

26. Program Revision, Development and Creation

27. Recruitment Activity Development and Implementation

28. Reporting of Central Scholarship Money Allocated

29. Represent interests of units to other central units

A request come from the units → SIS, disabilities services, International Student and Study Abroad Centre, registrar`s office, Student Central Support Services, Student Health and Counselling Services, units, Communication Office and Advancement → CGSR receives the initial request → CGSR plays the mediator. Represent interests of both sides → Work with other units to make sure the policies are respected → Communicate changes to students and units → Depending on the change, often present changes to committees to the Executive Committee; Graduate Faculty council.

30. Revision or Creation of a New Course

Unit wants to revise or to create a new course → Unit develops a proposal advised from CGSR → The proposal gets approval within the unit → The units submit the proposal to the assistant to the Associate Dean → CGSR reviews the proposal → CGSR proposes some changes if necessary → CGSR works with the unit to make the changes → CGSR approves the proposal → The Associate Dean waits for the next Academic Affairs Committee → The associate dean presents the proposal to the Graduate Academic Affairs Committee →

The committee proposes changes if necessary → CGSR works with the units to make the changes → The Associate Dean waits for the next Academic Affairs Committee → The Associate Dean presents the proposal again to the Academic Affairs Committee → The committee votes to approve the new course → CGSR prepares a document that described the review that was done → The course is posted online on the University Course Challenge → After 2 weeks, if there is no modification suggested, the course is approves → A notification is sent to the Registrar's Office and the unit → The registrar's office makes the change to the Catalogue

31. SaskInnovation

Saskinnovation and opportunity scholarship: annual funding from the Saskatchewan government → Saskinnovation committee decides the split of the money between grad and undergrad → The committee communicates the numbers to Scholarships and Awards → The director asks SIS to run the report of all eligible students on campus → The director gets the list that comes in a raw format → Awards staff has to go through all the year in programs and go grad the admission GPAs → Awards staff sends the NSID to emap → Emap enters the NSID in the system

Awards staff sends the invitation to apply to all eligible students → The students apply online → Emap sends a spreadsheet of the data from the competition to awards staff → Awards staff compile in a spreadsheet the information and rank the students → The director and the dean reviews the spreadsheet going through each individual and select the students → Awards send email to the students to communicate the result → The Saskinnovation report is written → Send the SASKINNOIVATION reporting speadsheet to the chair of the committe

The committee reports to the government → Awards staff sends the information to SAT → SAT staff pays the students

32. Special Agreements Students

Opportunity of Special Agreement is created → Discussions about the special agreement → Agreements are written → There is a problem when a student wants to register → The request is received in CGSR → Contact SIS and Registrar`s office to find out what is needed to solve the problem → Codes, customizing fee assessment are created → Communicate with the students and units to announce the changes.

33. Special-Case Admissions

Student finds a supervisor

→ The student and supervisor define the content of the program and the advisory committee

→ Student applies

→ Recommended-approval of the department

→ Admin. Assis. Organizes GAA to consider the recommendation

→ The committee discusses the program and votes

→ Admin. Assis. writes a memo to the supervisor, graduate chair, advisor to communicate the decision

→ Advisor writes letter of offer and admission

→ The student accepts the offer

→ Advisor processes the admission

→ If changes to the program or the initial presentation package, the student writes a memo to the committe

→ Advisor Processes changes in the student information system if necessary

34. Student Advocacy

A request about policy advocacy, mediation and advice comes in CGSR by emails, phone calls, drop-ins

→ Requests are from students, international students, faculty, student health, HR, GSA, or Academic Units

→ Requests may be about options, processes, deadlines, policies, contact on campus

→ The person who received the question in CGSR processes the request

→ The person responds the question or liaises with the appropriate person/unit

→ CGSR communicate the decision with students and campus. (documents- URL – email)

35. Tenure Track Professor Appointments

```
Unit hires a new tenure track professor → Unit fills a form → Unit sends the form to CGSR → Dean signs the form → Admin. Assis enters prof`s info in the database. → Admin. Assis. Contacts the unit to confirm the appointment → Appointments are reported to grad council and grad faculty.
```

36. Thesis Awards and Governor Gold Medal

```
Thesis Awards and Governor Gold Medals → CGSR sends an email to the appropriate departments eligible to apply → CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.) → Department nominates students → The units submits the applicable packages → Awards staff scan the application and save them on Paws → Awards staff contacts the departments if the applications are not complete →

Awards staff set up awards committee → The committee ranks the applications → The applications are sent to Awards office → Awards staff compile the results of the ranking → The ranking is discussed at the Awards Committee and the recipients are selected → Awards staff communicates the results to the applicants → Awards staff orders the certificates to printing services →

The dean signs the certificates → Awards staff sends the list of recipients to SAT → SAT pays the students
```

37. Tri Council

National Competitions

Master's Competitions → CGSR sends communication announcing the competition → CGSR Supports the campus community in the application process (emails, calls, drop-ins, etc.) → Students apply online → Once the competition closed, CGSR exports the applications to Paws → CGSR creates a spreadsheet compiling the applicants` information → CGSR schedules the CGSR Awards Committee → The committee ranks all the applications and selects the candidates → CGSR compiles the results in the system → On April 1st CGSR makes offers on behalf on Try Council → Students accept/refuse the offer → 21 days later, CGSR makes the second round the offers if applicable (repeat the process until all the scholarships are allocated) → CGSR communicates results to campus community

PhD competitions (NSERC, SSHRC) → Students apply online → CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.) → CGSR exports the applications to Paws → CGSR creates a spreadsheet compiling the applicants` information → Forward the applicatins to Try Council → Try council reviews and select the winners → Try Council enters the results in the portal → CGSR Communicates the results with campus → Minister sends an email to tell that the results can be shared

CIHR competition → Students come to see CGSR to sign the students`applications. Students are eligible to apply. → Students apply by their own → If applicable, CGSR communicates results to campus community

Vanier competition → Students apply on CIHR portal → CGSR supports the campus community in the application process (emails, calls, drop-ins, etc.) → CGSR organizes CGSR Awards Committee → Committee selects the applications to send to Vanier → Vanier select the candidates → Vanier enters their results in the portal → CGSR updates the database → CGSR contacts the recipients → CGSR sends the results to Campus (Paws announcement and list serves) → Vanier sends an email to tell that the results can be shared

Appendix 5

U15 Education Model Comparison Questionnaire
College of Graduate Studies and Research
University of Saskatchewan, 2014

Date:

Name:

University:

Position:

Number of graduate students:

Total Number of Employees in Your Faculty:

Operating Budget:

Preamble

The University of Saskatchewan, at the direction of the President, has undertaken a review of the structure of graduate studies across the university. The review suggested that graduate education at the U of S should be transformed from its current academic structure to a service structure.

To assist in the restructuring, we are contacting senior administrators in graduate studies and research at U15 universities to determine the functions and activities that should be carried out on a centralized and de-centralized basis.

About us…

Location: Saskatoon, Saskatchewan

President: Dr. Ilene Busch-Vishniac
Dean of the College of Graduate Studies and Research (CGSR): Dr Adam Baxter-Jones

Number of Graduate Students: 2 951

Total number of employees: 15

Functions Actually Carried by CGSR: Recruitment, applications and admissions, graduate students and post docs administration, graduate programs administration, scholarships and awards, and administration and operations (please see Annex 1 for the detailed functions).

QUESTION1: Table 1 lists the functions that need to be carried out for graduate studies. Which of these functions are carried out by your office and are your responsibility, and which of these functions are carried out by other units (either on a centralized or decentralized basis)? "Centralized", "Decentralized", "Shared Responsibility"

1.1 Recruitment:
Number of employees dedicated to this function:

1.2 Applications and Admissions:
Number of employees dedicated to this function:

1.3 Graduate Students and Post Docs Administration:
Number of employees dedicated to this function:

1.4 Graduate Programs Administration
Number of employees dedicated to this function:

1.5 Scholarships and Awards
Number of employees dedicated to this function:

1.6 Administration and Operations
Number of employees dedicated to this function:

Are there any activities that you carry out that were not discussed above?

QUESTION 2: In your opinion, do you encounter some problems in your present structure? If so, what are your suggestions to solve those issues?
Are there centralized functions that you think should be decentralized? Are there decentralized functions that you think should be centralized?

QUESTION 3: Do you have any history of centralizing/decentralizing any of the functions mentioned above? If so, can you tell us the lessons learned from your experience?

QUESTION 4: If your position ceases to exist, what are the responsibilities that should continue to be centrally considered?

QUESTION 5: How are the policies and institutional guidelines and standards developed and approved at your university?

Do these process require faculty engagement? If "yes", how is this achieved? How are exceptions to institutional policies considered?

Table 1: 6 Functions – College of Graduate Studies and Research

1. Recruitment	2. Applications and Admissions	3. Graduate Students and Post Docs Administration	4. Graduate Programs Administration	5. Scholarships and Awards	6. Administration and Operations
· Recruitment strategies · Recruitment Activities · Support to international applicants · Support to Faculty · International Agreements · Retention · Internationalization (diversity) · Exchange programs · Aboriginal Recruitment · Languages competencies · Training/information sessions · Visas information · Campus work permit	· Enrolment growth planning · Support to applicants and prospective students · Admission files · Admission Checklists · Application Deadlines · Online Services · Review and Process Applications · Transfer credit · Admission communications · Students Records · Transcripts ordering, planning and averaging · Application fees and tuition assessment	· Enrolment · Students files · Grad curriculum · Progress reports · Change of programs · Doctoral exams · Thesis (defense, regs, submission) · Graduation/Convocation · Students support · Advocacy · Support to GSA · Post doc fellows records · Students misconduct · Administration of interdisciplinary programs · Professional development opportunities · Raise funds for graduate students	· Degree requirements · Program review · Program development · Creation of new programs · Modification of actual programs · Advise and support the units for program development to the units · Exemptions for programs requirements · Course content and clarity · Program credibility · Graduate course catalogue	· Strategic distribution of scholarships and awards · Organize scholarships competition · Medals · Bursaries · Financial records (nominations, eligibility review, data entry)	· Represent interest of graduate studies · Represent GS on most u committees · Chair committees · External liaison · Relations development · Government reporting · Policies development and updating · Guidelines · Services standards · Performance indicators · Monitoring and Quality insurance · Data analysis · HR · Finances · Business processes · Business systems · Security systems · Communications · Web content · Faculty advocacy · Faculty Award · College memberships · Special project · Graduate calendar · Document management · Travel assistantship · Allocation and reconciliation

Appendix ^

University of Saskatchewan Graduate Education Review Committee Report – November 27th, 2013

As a result of its deliberations over the last year, the Graduate Education Review Committee (GERC) has arrived at a set of conclusions and recommendations that it would like to present to the University of Saskatchewan faculty, staff and students. The conclusions and recommendations fall into three categories: (1) a proposal that graduate education at the U of S should be transformed from its current academic structure to an administrative structure; (2) a set of principles that the GERC believes should guide any re-visioning of graduate education and restructuring of the College of Graduate Studies and Research (CGSR); and (3) a set of suggestions regarding the activities that a centralized administrative structure might carry out.

The GERC believes there is widespread support for a major restructuring of graduate education at the U of S. To both gauge this support and to obtain additional ideas and suggestions, the GERC is asking faculty, staff and students to comment on the conclusions and recommendations presented in this document. Following a short consultation period and assuming there is indeed widespread support for the changes outlined in this document, a GER Transition Committee will be established to work out the details associated with the changes that are proposed. The activities of the Transition Committee will allow – and indeed require – additional opportunities for
faculty, staff and student input. At the conclusion of the Transition Committee's work, a detailed plan will be taken to University Council for approval.

Proposal for Graduate Education at the University of Saskatchewan
The GERC has come to the conclusion that the CGSR should be transformed from a centralized academic unit to a centralized administrative unit that would support graduate education and graduate students across the campus. Given the affinity that graduate students feel to their academic programs and the academic homes of their supervisors, this new unit **would not be a college**.

Principles to Guide the Restructuring
In developing the new administrative unit, the following principles will be observed:

- As a member of the U15, the U of S must assume a leadership role in graduate education. Therefore, a key principle will be that we will always aim to lead in graduate education rather than simply catch up to our peers.
- The U of S needs a centralized graduate administrative unit focused on and facilitating the success of department, college and school-driven programs. Such an administrative unit should be sufficiently flexible so as to provide wide- ranging support to academic units in achieving their desired goals and outcomes.

- Policies and decisions from the central graduate administrative unit must promote innovation while retaining simplicity and coherence.
- A central graduate administrative unit should focus on the needs of students.
- Decisions regarding structure should be made on the basis of which functions
- are better served by the central structure and which functions are better carried out at the program, college, or school level.

Suggested Responsibilities

Some of the possible responsibilities of the centralized graduate administrative unit could be to:

- Perform collective advocacy for graduate studies and for graduate students and postdoctoral fellows, both internal to the University and externally,
- Establish campus-wide standards and coordinate policies and procedures related to graduate student and postdoctoral fellow supervision,
- Facilitate and support quality assurance and assessment processes,
- Provide strategic advice to units regarding developmental opportunities for graduate programs,
- Advocate for graduate students and postdoctoral fellows in dispute resolution,
- Facilitate strategic programming and services for graduate student and postdoctoral fellow matters that cut across academic units,
- Raise funds in support of graduate students and postdoctoral fellows,
- Provide support to the Graduate Students' Association to aid it in achieving its
    o goals and to ensure continuity as leadership of GSA changes,
- Facilitate professional development activities for graduate students and postdoctoral fellows.

Some of the responsibilities of the decentralized academic units could be:

- Supervision of graduate students and postdoctoral fellows,
- Coordination of decentralized graduate student funding,
- Establishment of appropriately populated graduate student supervisory and examining committees,
- Conduct of appropriate qualifying and comprehensive exams for graduate students,
- Coordination of course offerings associated with the graduate academic program,

Examples of the responsibilities to be shared between the centralized administrative unit and academic units could include:

- Admissions to academic unit graduate programs

College of Graduate Studies and Research, 2014, EDV.

- Action on matters of non-academic discipline, in coordination with the Office of the University Secretary.

Next Steps
- Receive feedback from the faculty, staff and students on the conclusions and recommendations in this report. This consultation – which is estimated to conclude in early 2014 – will focus on determining support for the proposal that graduate education at the U of S be transformed from its current academic structure to an administrative structure.
- Assemble a GER Transition Committee that will develop a detailed implementation plan following the guidelines expressed above. The Transition Committee will include selected GERC members, plus additional members chosen to provide representation from the campus community.
- The Transition Committee, through wide consultations, will examine issues such as: how current Graduate Council committees can be restructured to work
- within this new structure; how best to address the graduate application process;
- how best to structure the appointment and support for postdoctoral fellows; how a new centralized administrative office might be structured (including job descriptions and titles of its executive); and the role of a centralized unit in the process of faculty recruitment.
- Present a detailed plan to University Council for approval.

Appendix III

Graduate Council (GC)

Generally heads or graduate chairs and deans of non-departmentalized colleges + others

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Equity and International Committee

Standing committee of GC

Executive Committee (EC)

Standing committee of GC

Awards Committee

Standing committee of GC

Nominations Committee

Standing committee of GC

Graduate Academic Affairs Committee

Standing sub-committee of EC

Graduate Programs Committee

Standing sub-committee of EC

Interdisciplinary Committee

Standing sub-committee of EC

Earned D. Litt. Committee

Standing sub-committee of EC

Earned DSc. Committee

Standing sub-committee of EC

Appendix IV

Canadian Postdoctoral Comparative Study

February 2015

Dr. Trever Crowe, Associate Dean, College of Graduate Studies and Research

Éléonore Daniel-Vaugeois

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List of Abbreviations

EI
Employment insurance

CPP
Canadian pension plan

PDF
Postdoctoral fellow/appointee/scholar

UofS
University of Saskatchewan

CIHR
Canadian Institutes of Health Research

NSERC
Natural Sciences and Engineering Research Council of Canada

SSHR
Social Sciences and Humanities Research Council of Canada

A. Introduction

In Canada, postdoctoral scholars publish more articles annually than their professors and PhD candidate counterparts, and their research has generally more scientific impact.[1] Despite the tremendous scientific and economic value of postdoctoral work in our Canadian universities, a large gap separates the postdoctoral scholars' recognition and work conditions from the professors'.

On our campus, the significance and importance of work by our postdoctoral fellows have been established, generally in the Third Integrated Plan and specifically in the plans prepared by the Office of the Vice President Research and the College of Graduate Studies and Research. In effect, one of the University of Saskatchewan's strategic goals is to "recruit the best"[2], increasing the number of highly qualified postdoctoral scholars in our university. In an effort to make progress on this institutional goal, information about postdoctoral fellows at the U of S and other institutions was collected and analyzed.

This document presents background information concerning postdoctoral administration at the University of Saskatchewan, and it aims to identify best practices in postdoctoral administration in Canada. It is divided in two sections: first, the results of The Postdoctoral Fellows at the U of S: Results of the 2013 CAPS Survey[3] will be presented. Second, the results of interviews with fourteen Canadian Universities will be presented: University of Alberta, University of British Colombia, Concordia University, Dalhousie University, University of Guelph, Université Laval, University of Manitoba, Université de Montréal, University of Ottawa, Queen's University, University of Saskatchewan, University of Toronto, University of Waterloo, and Western Ontario University.

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[1] L'importance des postdoctorants pour le système de la recherche. De Souza, Held Barbosa and Lariviere. Chroniques. Association francophone pour le savoir. http://www.acfas.ca/publications/decouvrir/2014/11/l-importance-postdoctorants-systeme-recherche. Free translation.

[2] Third Integrated Plan : http://www.usask.ca/plan/documents/Promise%20and%20Potential%20-%20Full%20Version.pdf

[3] CAPS and Mitacs, The 2013 Canadian Postdoc Survey: Painting a Picture of Canadian Postdoctoral Scholars.

B.   Postdoctoral Fellows at the U of S: Results of the 2013 CAPS Survey

The following section presents data collected through the 2013 Canadian Postdoc Survey: Painting a Picture of Canadian Postdoctoral Scholars realized by CAPS-ACSP and Mitacs. The data situate the results collected for the University of Saskatchewan (UofS) in comparison to the results collected for 130 universities, hospitals, government laboratories, and private companies across Canada and abroad. The intent is that the reader will study these tables and figures as we work towards developing recommendations.

A. Demographics

Figure 1: Total Number of Respondents by Institution

Institution	Total Number of Respondents
University of Toronto	211
University of British Colombia	209
McGill University	202
University of Alberta	99
University of Western Ontario	91
Université Laval	81
McMaster University	78
University of Saskatchewan	**75**
Dalhousie University	70
Université de Montréal	59
University of Calgary	53
University of Waterloo	46
University of Ottawa	44
University of Victoria	42
Université de Sherbrook	38
Queen's University	32
Samuel Lunenfeld Research Institute	22
Carleton University	20
Memorial University of Newfoundland	20
Prefer not to say	9
Other	329
Total	1501

In total, 1501 postdoctoral scholars (PDFs) participated to the 2013 Canadian Postdoc Survey (Figure 1). Amongst those, 75 of our 140 PDFs from the University of Saskatchewan participated, which represents a participation rate of 53.57%.

Figure 2: Proportion of Participants by Fields of Research and Region

Field	UofS	Canada
Health Sciences/Medicine	32%	33%
Biological Sciences	29.3%	24.6%
Agricultural Sciences	18.7%	16.1%
Chemistry	9.3%	7.3%
Engineering	8%	16.1%
Earth/Environmenttal Sciences	8%	6.4%
Social Sciences	4%	5.8%
Mathematical Sciences	4%	3.4%
Physical Sciences	2.7%	2.1%
Psychology	1.3%	5.1%
Physics	0%	5.2%
Computer and Information Sciences	0	5.1%
Humanities	0	4.5%
Education	0	1%
Business/Management	0	0.9%
Fine and applied arts	0	0.6%
Communication and Library Science	0	0.4%
Law	0	0.2%
Architecture	0	0.2%

80% of the U of S PDF respondents were categorized within 3 fields of research: Health Sciences/Medicine, Biological Sciences or Agricultural Sciences. In comparison with the rest of the country, only 73.7% of all respondents were defined within these groups. The data in Figure 2 show a greater concentration of PDFs within the agricultural sciences, compared with the rest of Canada.

Figure 3: Country where U of S PDFs completed their highest academic degree
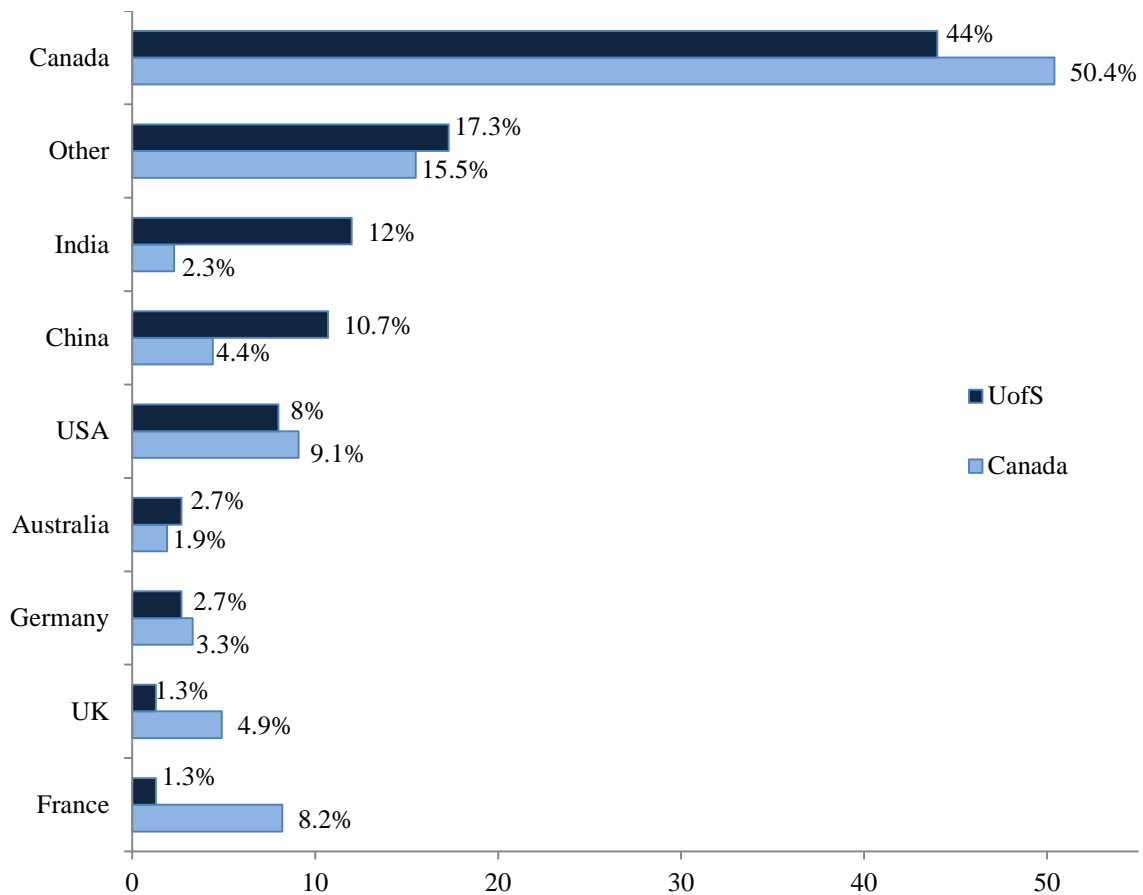
Figure 3 shows that 44% of the UofS PDF respondents completed their highest academic degree in Canada, compared with more than 50% of the respondents at other institutions. This suggests that the UofS attracts a larger proportion of international PDFs than its Canadian colleagues.

Figure 4: Reasons for pursuing a postdoctoral appointment in Canada[4]
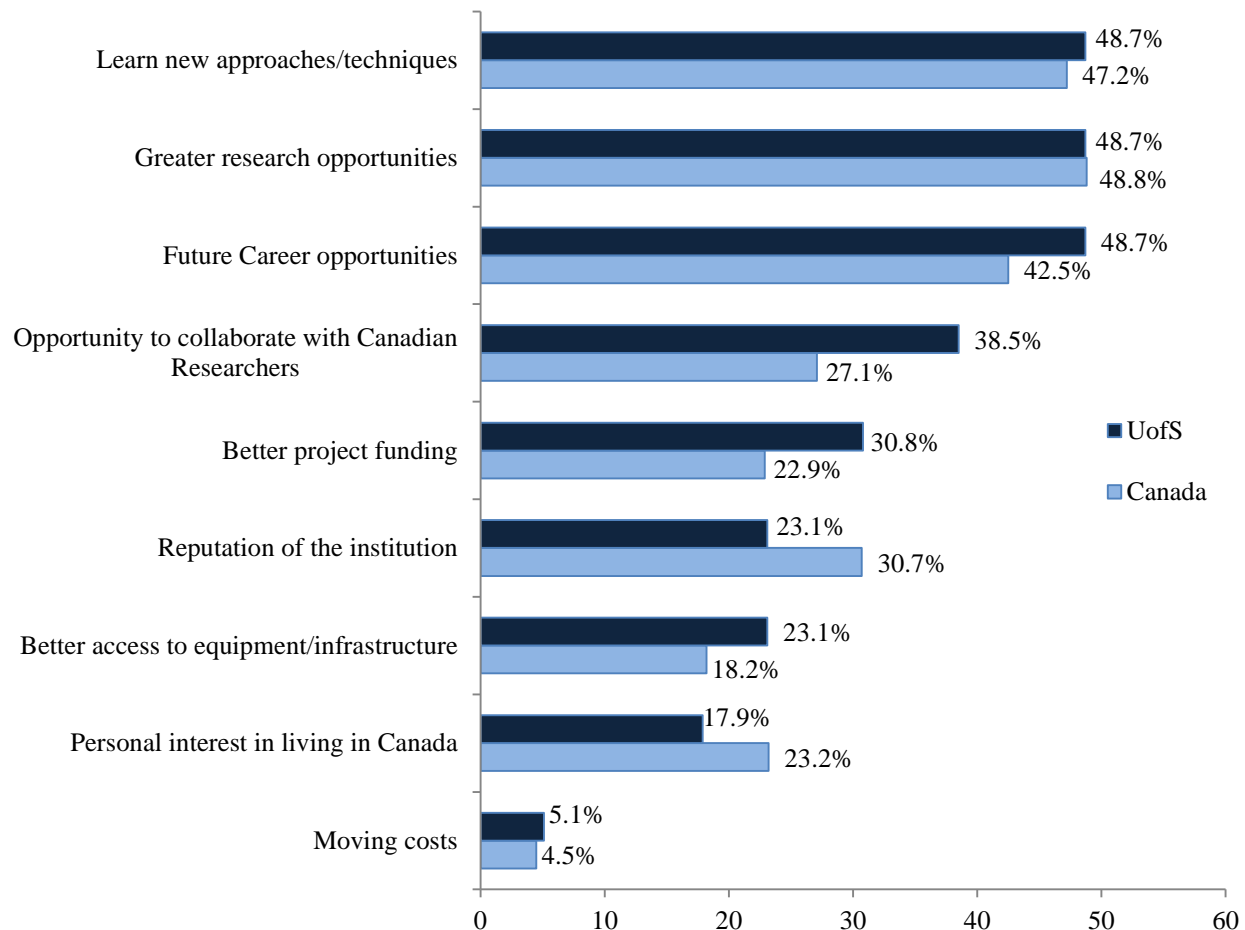
The reasons PDFs give for pursuing postdoctoral training in Canada (Figure 4) are, generally, very similar between the U of S and other parts of Canada. Three common reasons motivate PDFs for pursuing a postdoctoral appointment in Canada: (1) learn new approaches; (2) greater research opportunities; (3) future career opportunities.

For the UofS PDFs, (1) the opportunity to collaborate with Canadian researchers, (2) better project funding, and (3) better access to equipment were more highly ranked than for the rest of the respondents.

In opposition, (1) the reputation of the institution and (2) personal interest in living in Canada were reasons that were less important than for their Canadian colleagues for pursuing a postdoctoral appointment in Canada.

---

[4] The statistics represent the proportion of respondents who indicated that the reasons listed were "very important" in their decision for pursuing a postdoctoral appointment in Canada.

Figure 5: Total expected number of postdoctoral appointments

Legend: ☐ One   ☐ Two   ☒ Three or more   ☐ Don't know

Category	One	Two	Three or more	Don't know
UofS/all respondents	28%	22.7%	6.7%	42.7%
Canada/All respondents	29.6%	32.9%	15.8%	21.7%
UofS/Interdisciplinary	33.3%	66.7%		
Canada/Interdisciplinary	26.7%	35.6%	15.8%	21.9%
UofS/Social Sciences-Humanities	25%			75%
Canada/Social Sciences-Humanities	36.8%	31.2%	10.4%	21.6%
UofS/Physical Science-Engineering	26.3%	21.1%	10.5%	42.1%
Canada/Physical Science-Engineering	27.2%	32.4%	19.9%	20.6%
UofS/Life Science	28.6%	22.4%	6.1%	42.9%
Canada/Life Science	29.7%	33.3%	14.5%	22.5%

Figure 5 shows the total number of expected postdoctoral appointments for PDFs at the U of S and in Canada. The proportion of PDFs at the U of S who don't know the expected total number of postdoctoral appointments is two times higher than for the Canadian PDFs (respectively 42.7% vs. 21.7%). UofS PDFs in the social sciences-humanities are most uncertain, with 75% of the respondents being unsure.

The proportions of the PDFs who expect to pursue only one postdoctoral appointment are similar for both categories – UofS and Canadian PDFs- except for the PDFs in the social sciences and humanities fields. U of S PDFs in the social and humanities fields were more optimistic that counterparts in the rest of the country, as only 25% of them expect to complete one postdoctoral appointment vs. 36.8% of similar PDFs in the rest of the country.

At the UofS, no PDF in interdisciplinary studies expect to pursue 3 or more PDF appointments.

Figure 6: Total expected number of years as a postdoctoral fellow
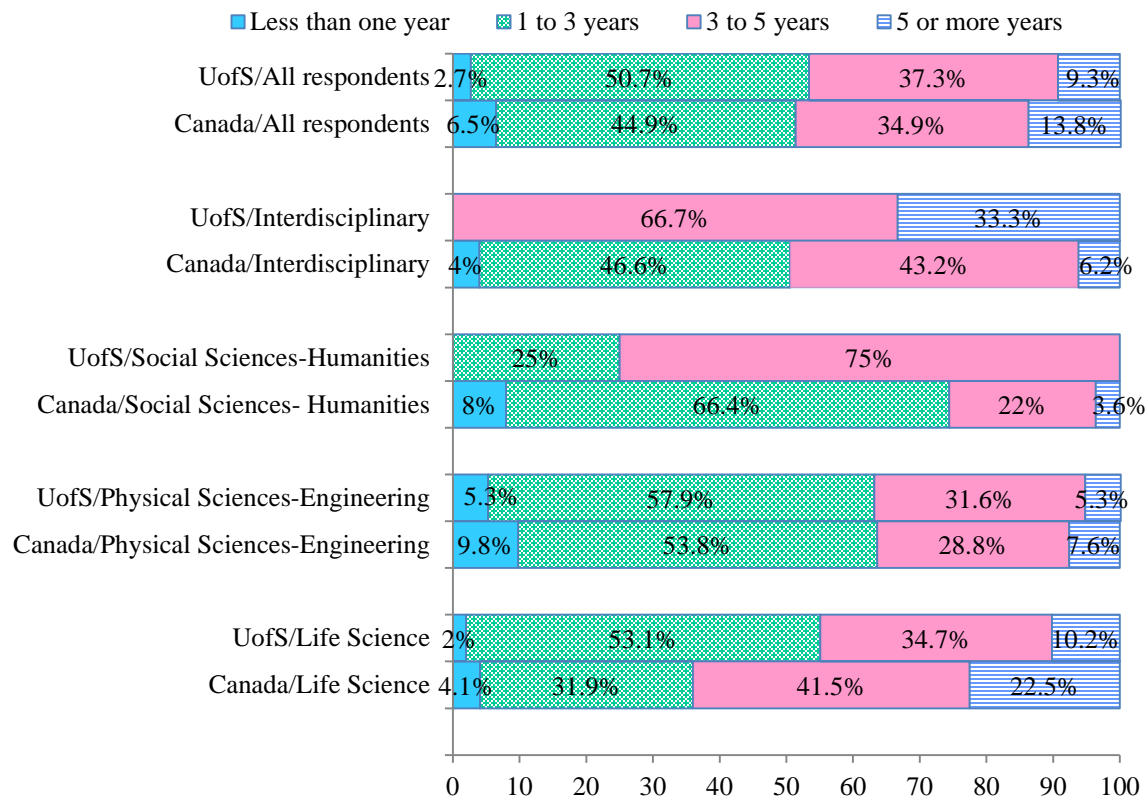
Figure 6 shows the durations that respondents expected to spend as a postdoctoral fellow. More than 90% of the UofS PDFs expect to spend 5 years or less as a PDF, and more than half expect to be a PDF for 1-3 years.

Figure 5 shows that UofS PDFs in interdisciplinary studies expect to pursue 2 or fewer PDF appointments, and Figure 6 shows that PDFs in this same group have the highest proportion of PDFs expecting to be in such a role for 5 years or more.

None of the UofS PDFs in the social sciences and humanities expect to be a PDF for more than 5 years.

1. **Classification**

Figure 7: The perceived current classification status
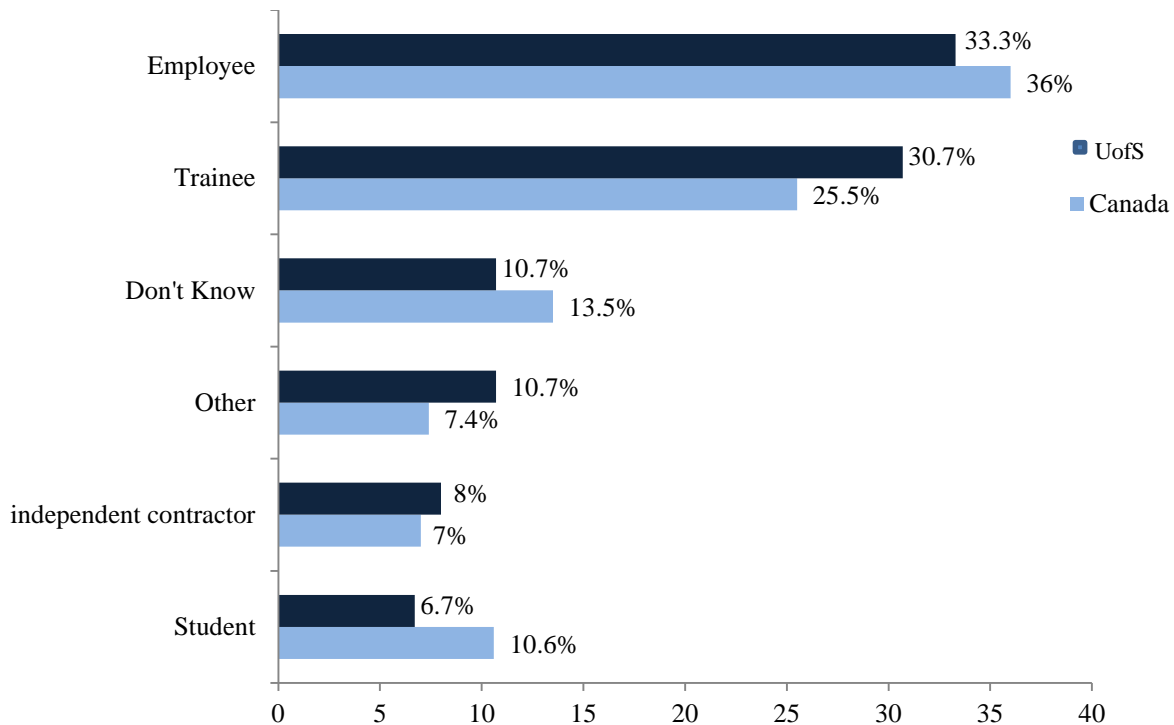
Figure 7 illustrates confusion amongst the U of S PDFs. PDFs at the U of S are either employees (largely appointed within VIDO Intervac) or trainees in almost all other areas of campus. The language in the letters of appointment is clear in both cases. A letter offering an appointment within VIDO Intervac clearly indicates that the PDF is an employee and letters for other PDFs at the U of S clearly indicate that they are trainees, not employees. More than one third of the PDFs at the U of S don't know their correct appointment classification.

Figure 8: Proportion of respondents wishing to be classified differently, by region and type of current classification
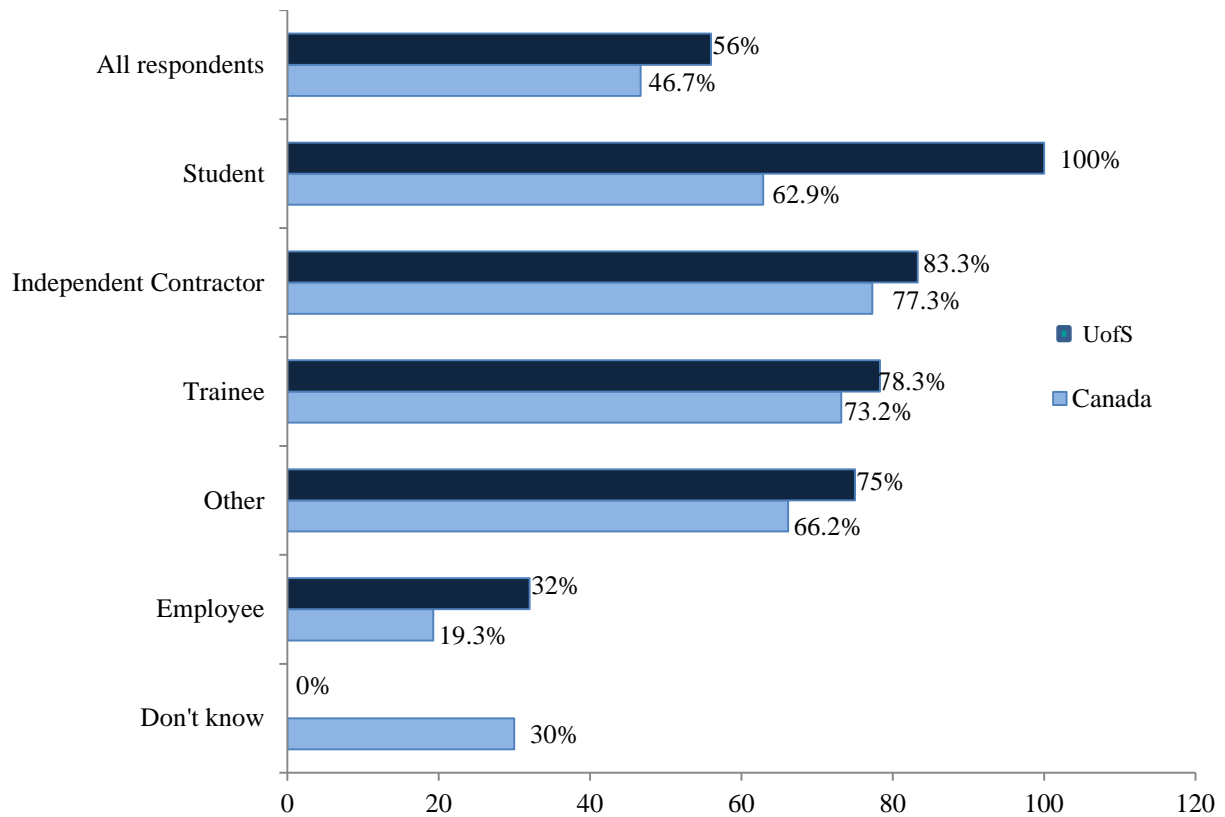
Figure 8 shows that for all classifications other than employee, a high proportion of PDFs wish to be classified as something other than their current (perceived) classification. This suggests that the "employee" is the preferred classification.

Figure 9: Preferred classification by region[5]
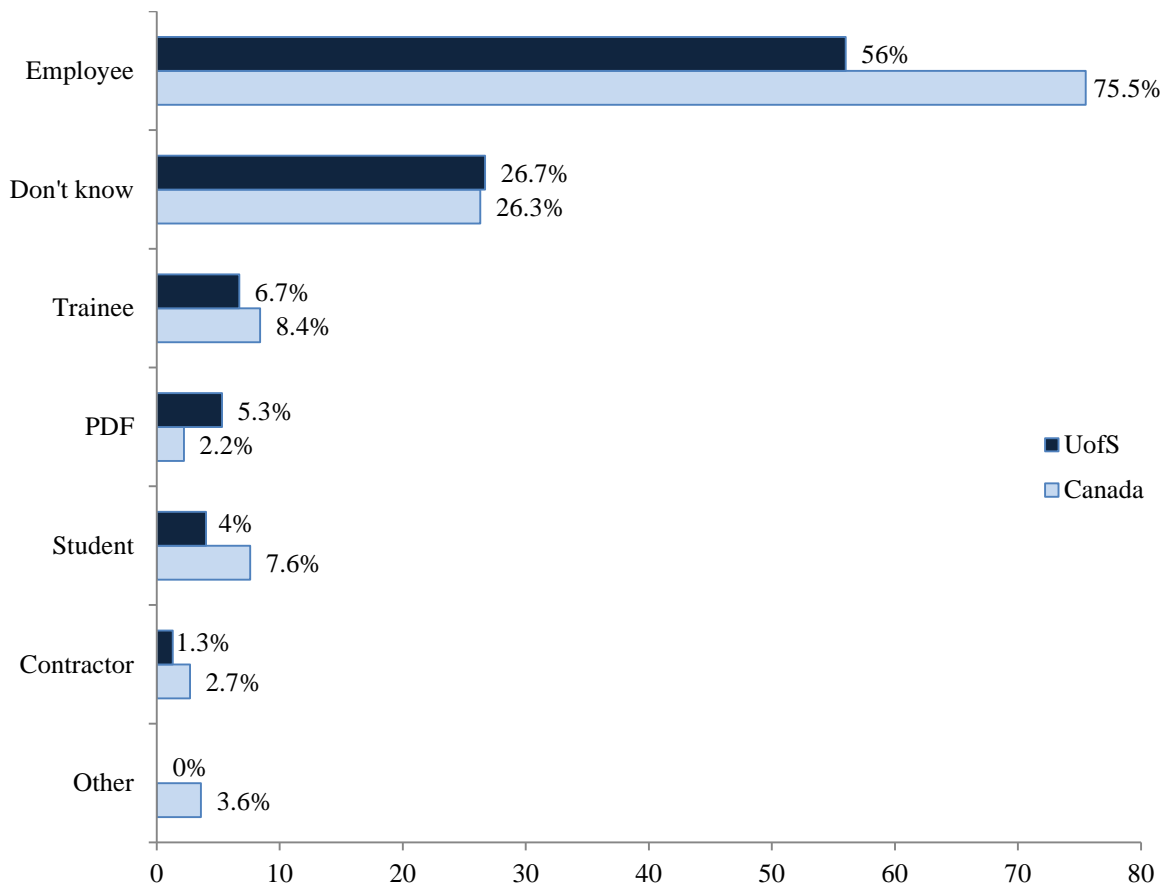
Following on the data presented in figure 8, figure 9 confirms that PDFs across the country would prefer to be classified as employees (56%). In opposition, small proportions of them wish to be classified otherwise. It's interesting that more than a quarter of all respondents do not know which classification would be preferred.

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[5] This figure is provided by CAPS. We are actually trying to validate the data presented.

2. Financial Aspects

Figure 10: Primary source of funding for salary/stipend by field of research[6]
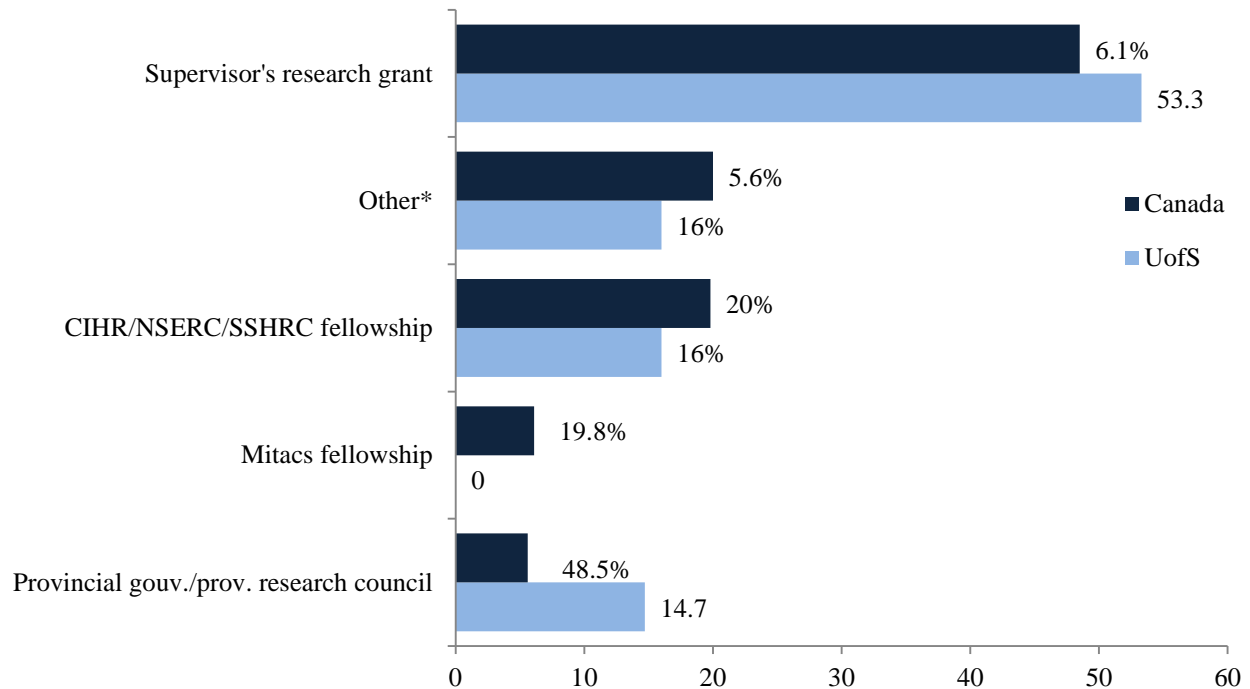
Figure 10 shows that a majority (53.3%) of the UofS PDFs are funded by their supervisor's research grant, which is slightly higher than the national average of 48.5%. Compared to the national average, relatively fewer UofS PDFs received funding from the tri-agencies, but a higher proportion of our PDFs were supported by provincial funding agencies. It's noteworthy that none of the UofS PDFs were supported by a Mitacs fellowship.

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[6] Other includes: Private foundation fellowship, Industrial/departmental training grant, foreign government or entity, Industrial fellowship, Private sector company, Private donation, Don't know, other.

3. Gross annual salary

Figure 11: Gross annual salary by region
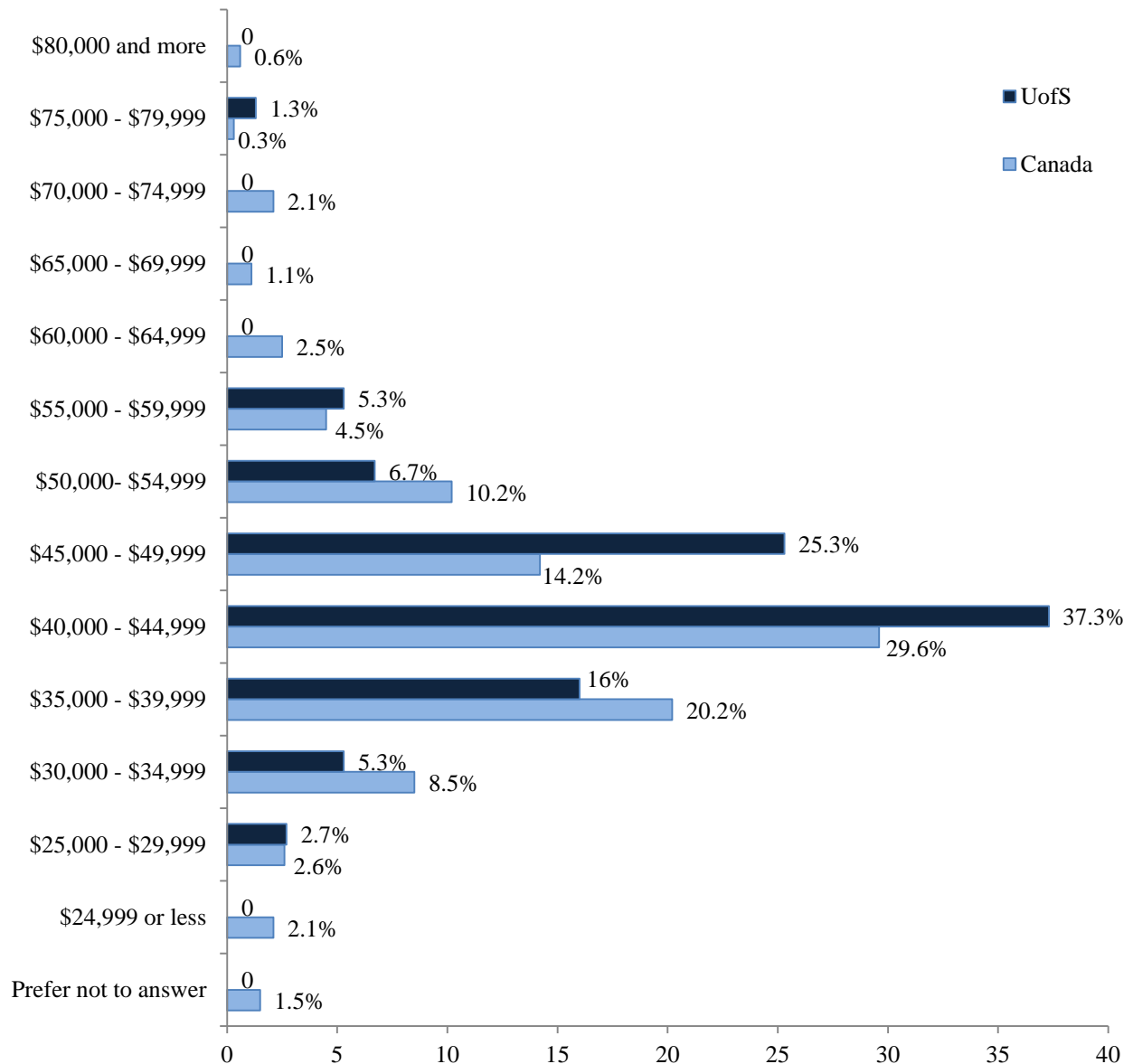
Figure 11 shows that more than 98% of all U of S PDFs receive financial support that ranges between $30,000 and $60,000. It's interesting that a small proportion of U of S respondents indicated they receive less than $30,000 annually, when the minimum support level at the time of the survey was $31,500. A small minority (1 person) receives more than $75,000 per year.

Figure 22 Monthly Living Expenses
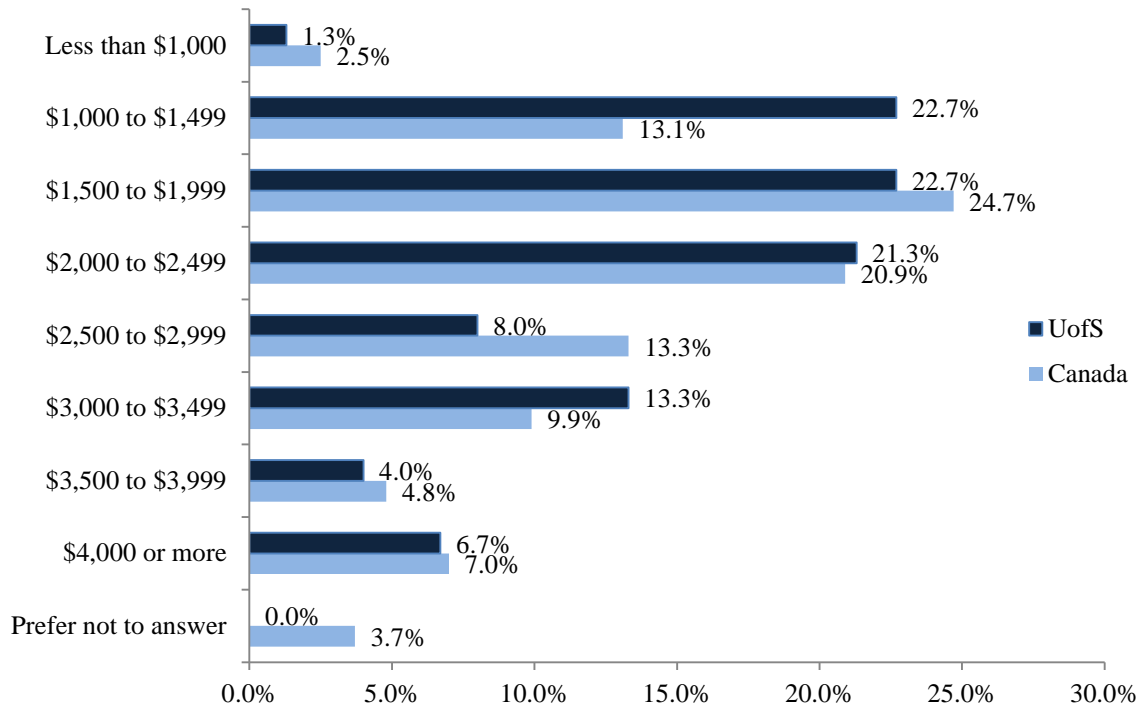
Figure 12 provides a graphic that describes the monthly living expenses of the PDFs. Living expenses depend on the individual's lifestyle, as well as other personal factors, including marital status and whether the PDF is part of a family environment. Figure 12 shows that approximately one-third of the PDFs at the UofS have monthly living expenses in excess of $2,500.

Figure 13: Educational Debt
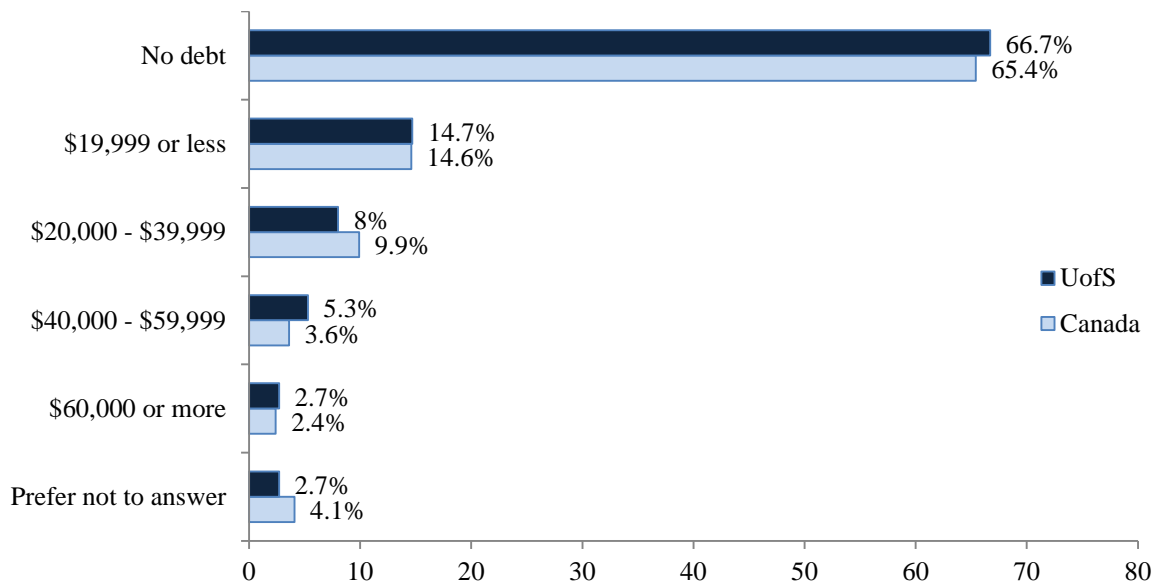
Approximately two-thirds of all PDFs don't carry any educational debt.

Figure 14 Tax forms received (multiple responses)
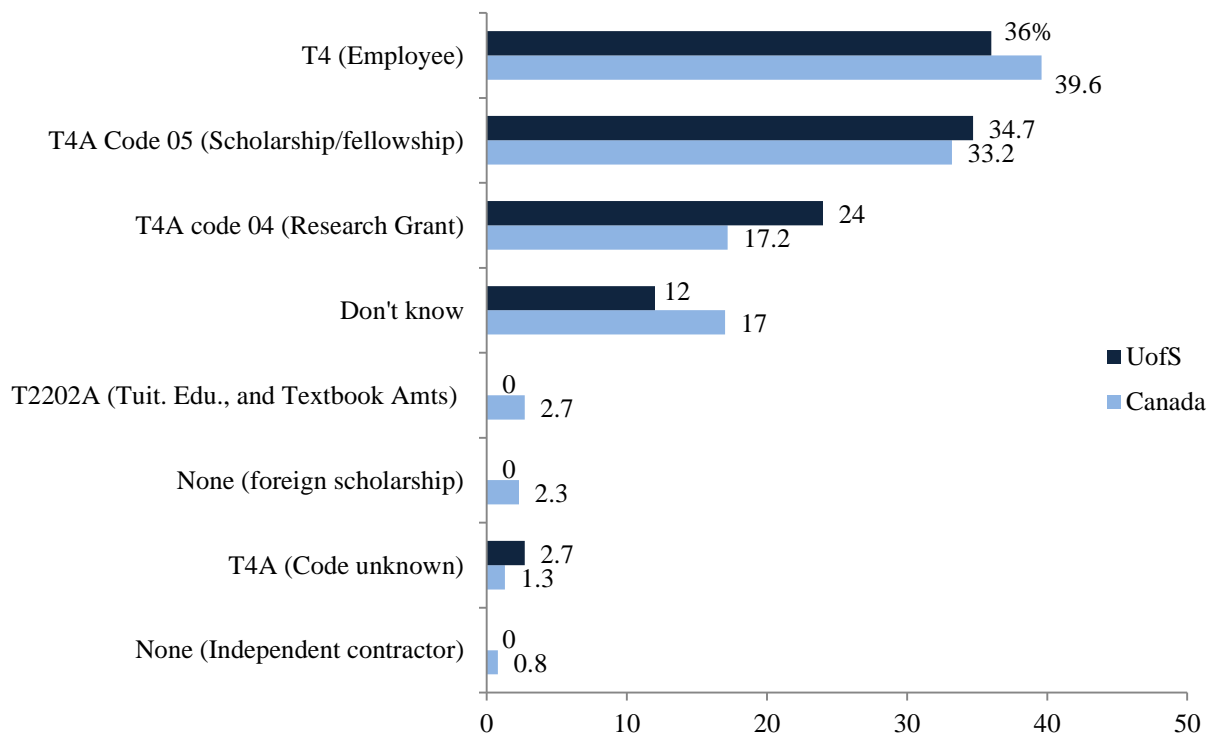
4. Benefits

Figure 15 Benefits available, as indicated by PDF respondents
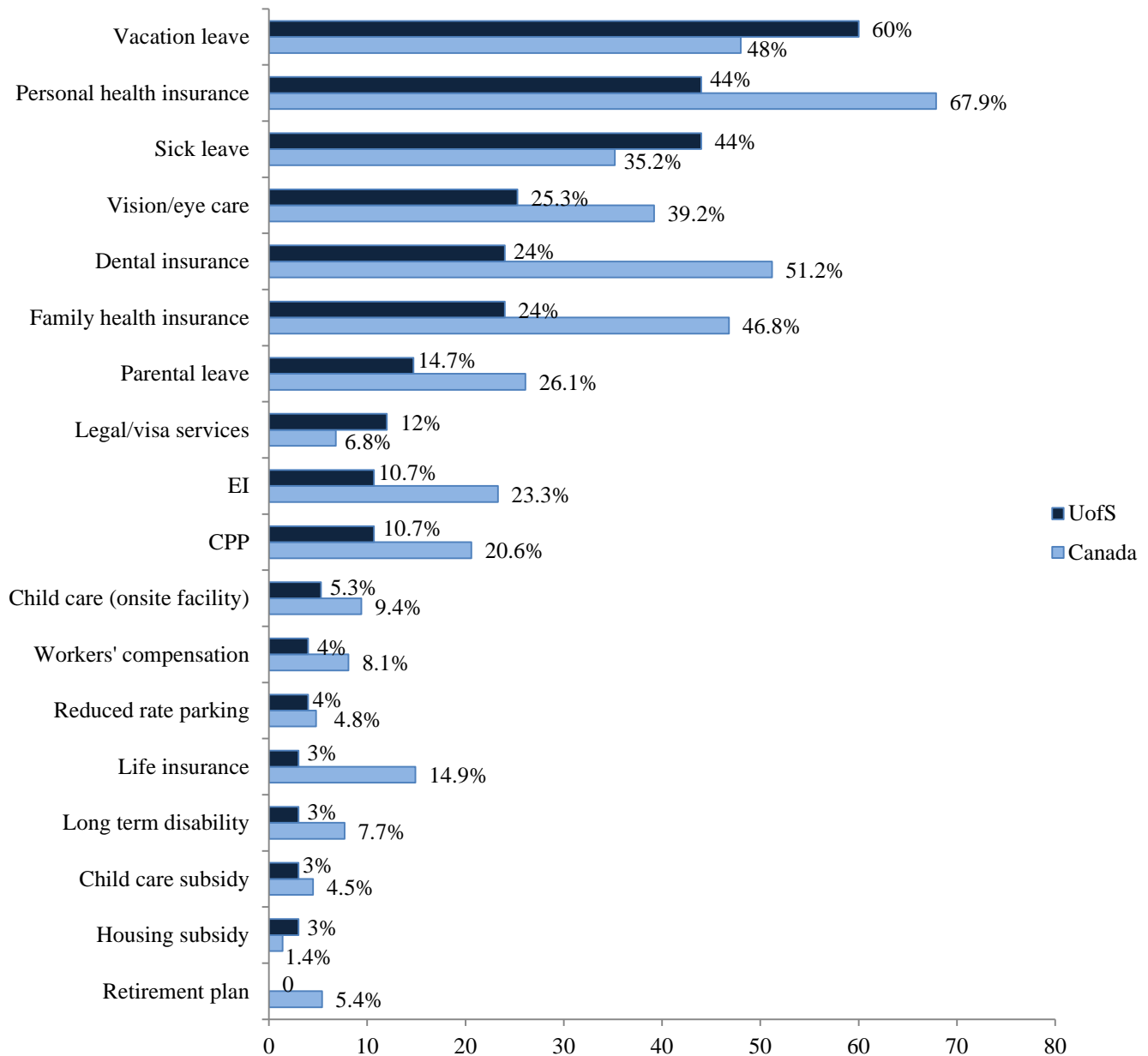
Figure 16 Top benefits desired (multiple responses)
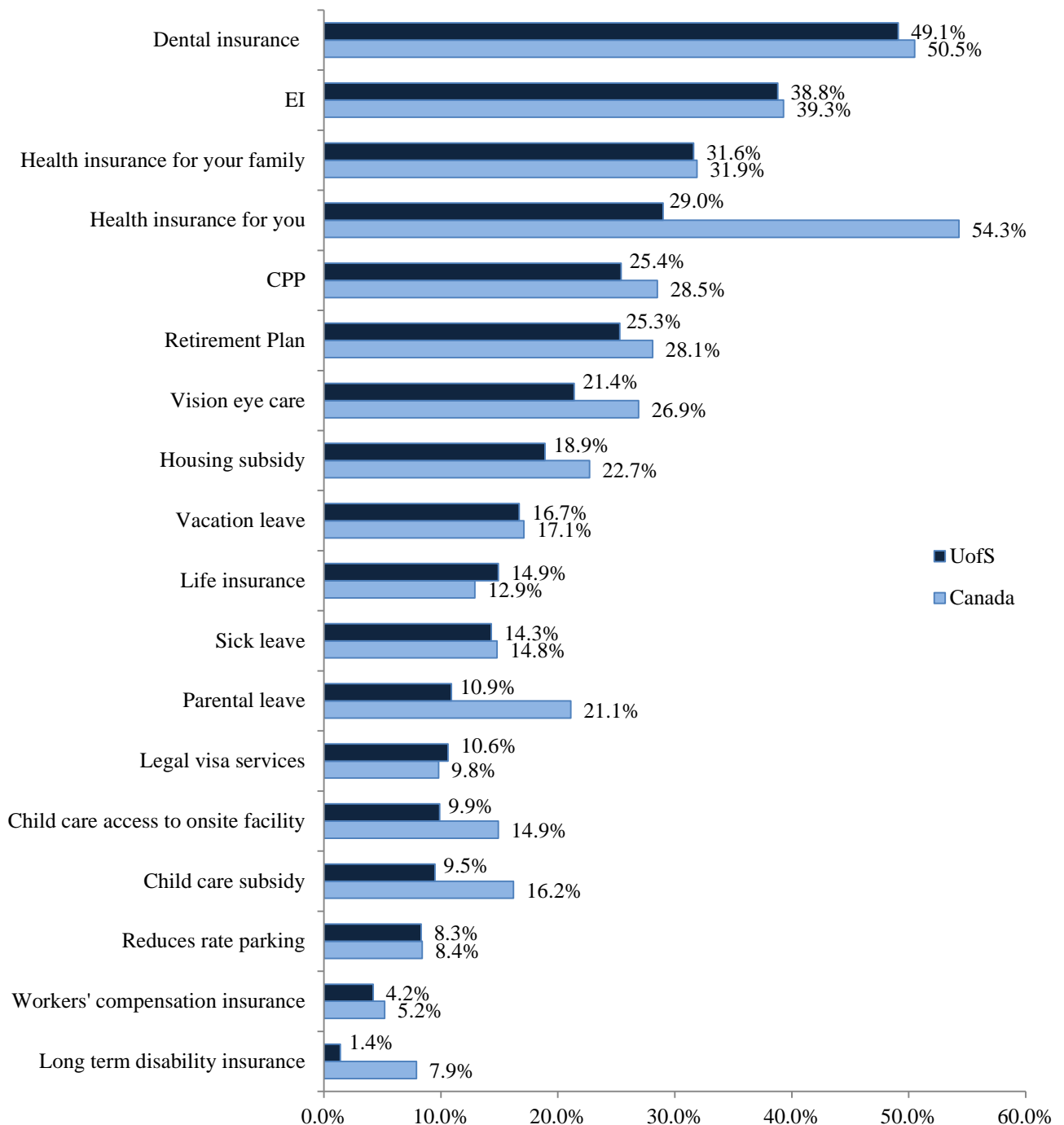
Figures 15 and 16 suggest that U of S PDFs are unaware of the benefits available to them. Letters of offer indicate that PDFs may participate in the health and dental plans through the GSA. These benefits are available, yet some of our PDFs wish they could be accessed. The assumption is that PDFs are simply unaware.

5. Training

Figure 21: Interest in formal professional development training

	UofS	Canada
Grant writing	84%	67.30%
Project management	62.70%	48.40%
Career development	52%	47.30%
Teaching skills	46.70%	40.90%
Writing skills	37.30%	25.60%
Group management	33.30%	37%
Negotiating skills	24%	28.40%
Conclict resolution	21.30%	16.20%
Presentation skills	20%	16.60%
Intellectual property	17.30%	20.10%
English language	14.70%	14%
French language	12%	12.60%
Research ethics	6.70%	7.90%
None		4.30%
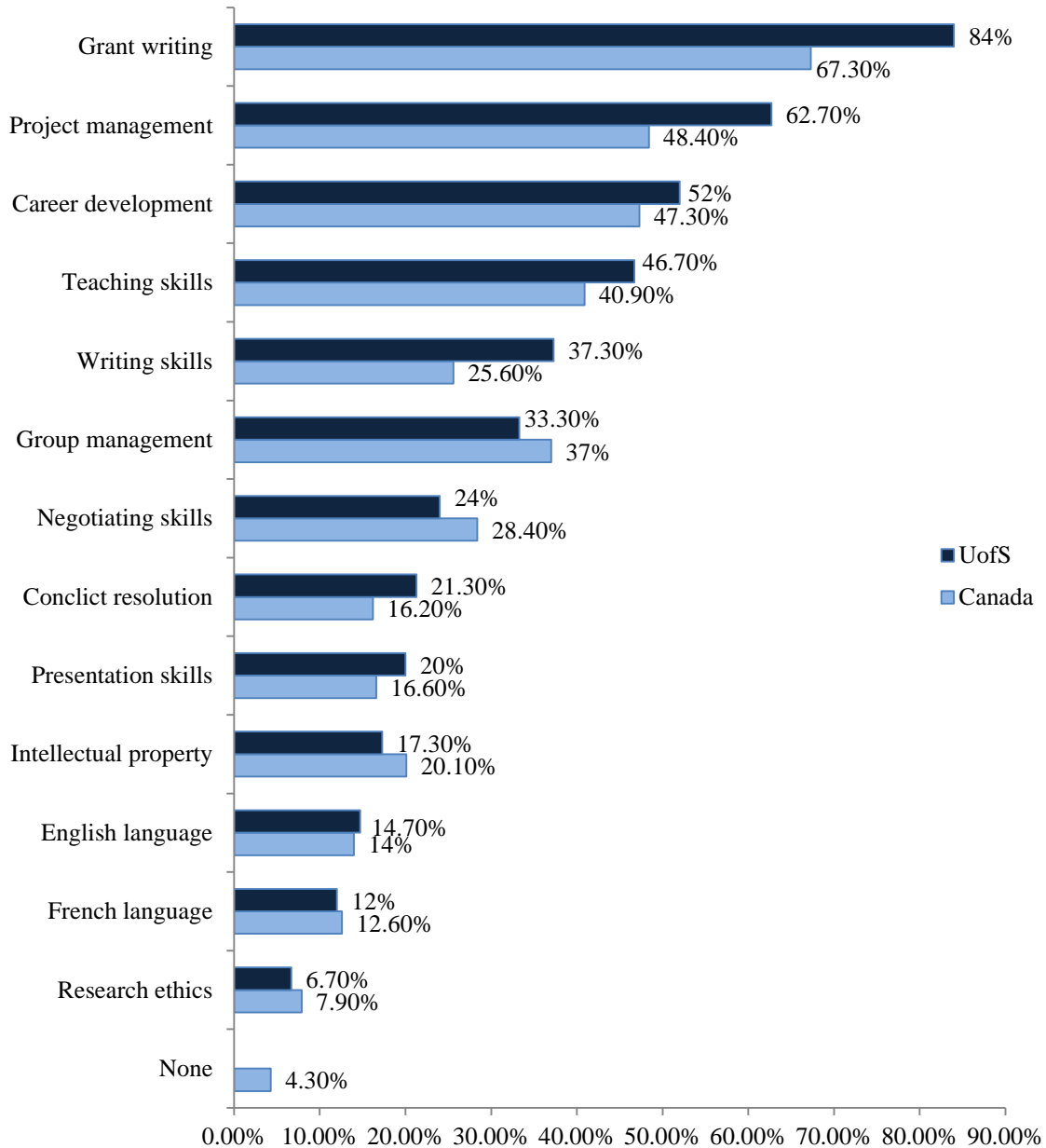
Four professional development activities are highly sought by UofS PDFs: (1) grant writing, (2) project management, (3) career development and (4) teaching skills.

Figure 22: Exposure to Non-Academic Career Opportunities
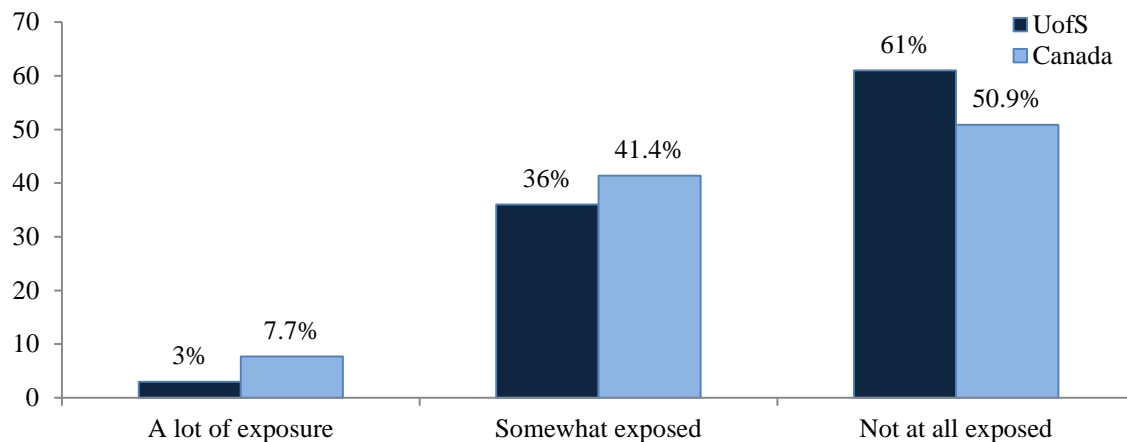
The UofS PDFs said to be less exposed to non-academic career opportunities than their Canadian colleagues. Indeed, only 40% of them said to be somewhat or exposed a lot to non-academic career opportunities vs. 49.1% for their Canadian colleagues.

Figure 23: Level of Encouragement from Postdoctoral Advisor to Pursue Professional Development Training

32/22
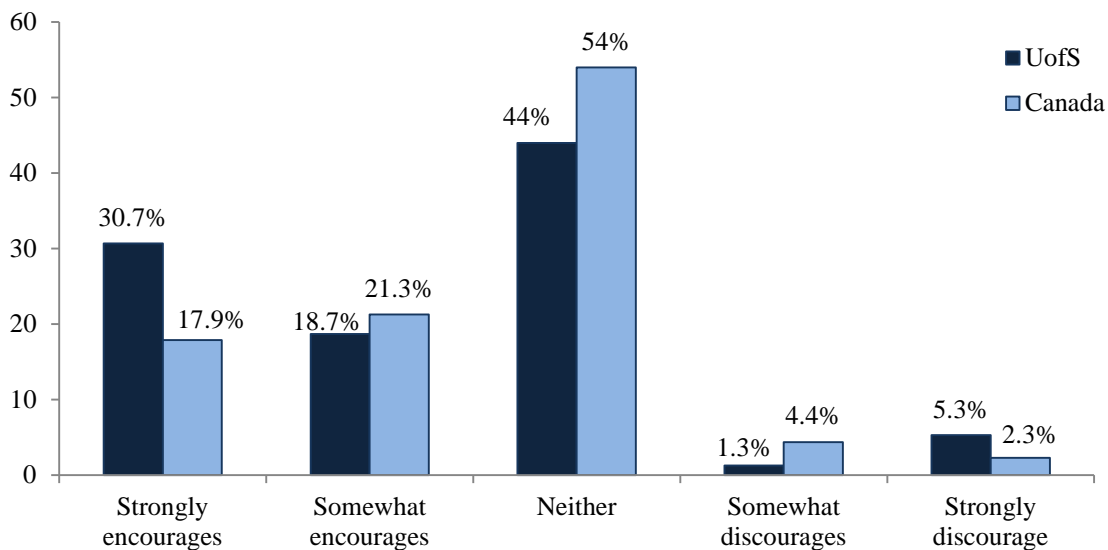
49.4% of the UofS postdocs said to be somewhat encouraged or strongly encouraged by their postdoctoral advisor to pursue professional development training. A majority of UofS PDFs (50.6%) said to be neither encouraged or discouraged, somewhat discouraged or strongly discouraged by their advisor to pursue professional development training.

6. Career Goals

Figure 24: Change in career goals before starting postdoc (multiple responses)[7]
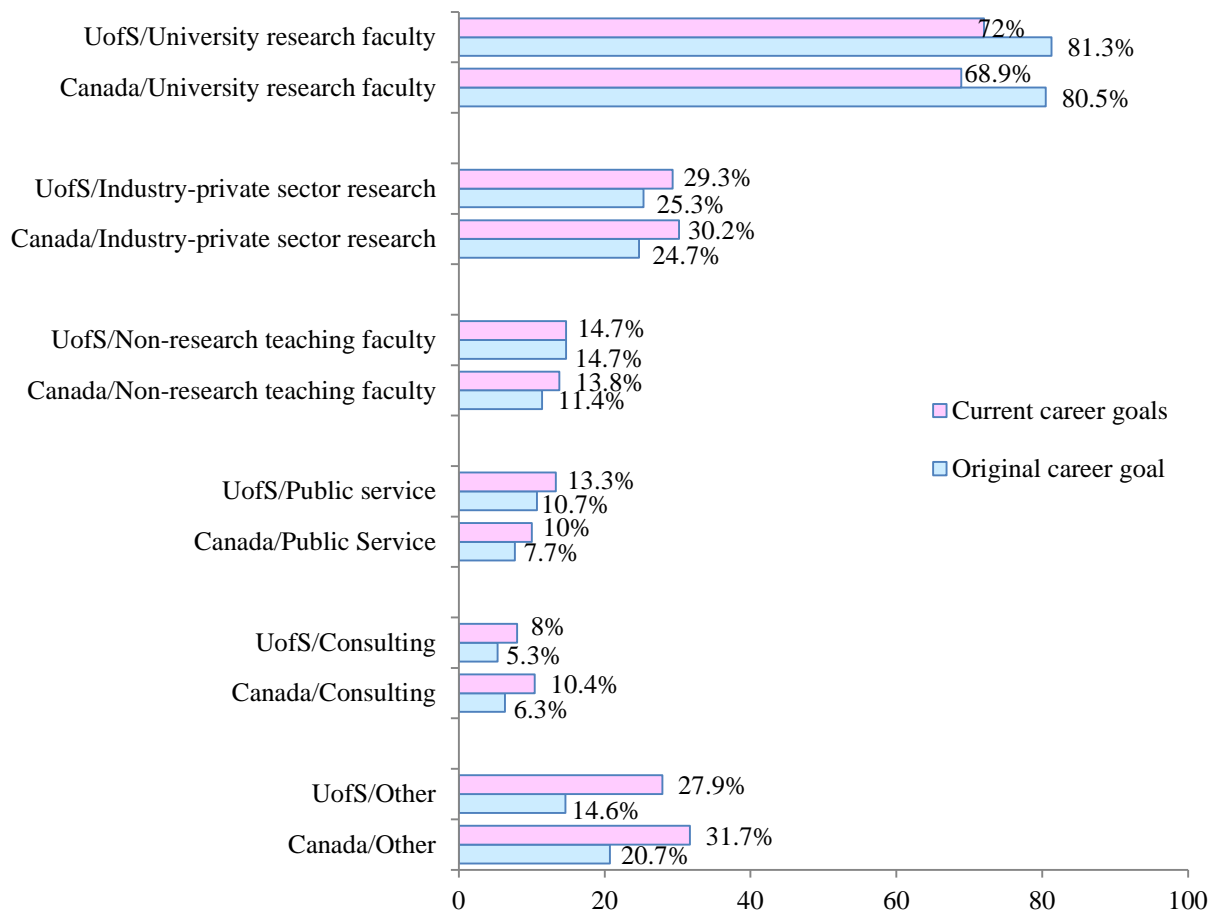
Figure 24 shows that 9.3% of UofS PDFs changed their mind about having a university research faculty as the main professional goal.

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[7] Other contains: NGO research, entrepreneurship, professional practice, unsure, other.

Figure 25: Reasons for changed goals – Canada only
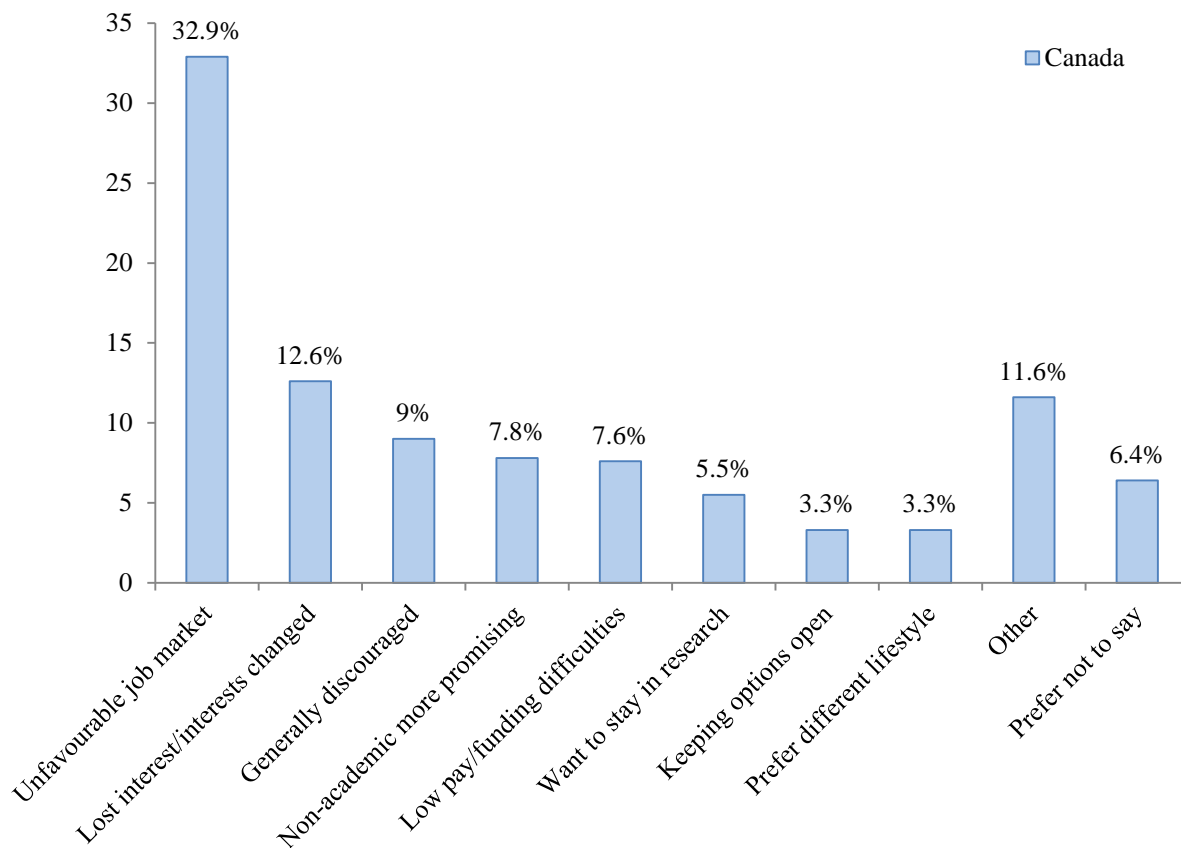
The most popular reason for changing professional goal is the (1) unfavorable job market. The two other main reasons to change their goals are (2) the interest lost or change in their initial goal, and (3) general discouragement.

Figure 26: Quality of Postdoctoral Experience in Preparing for Career

Legend: ☐ Excellent ■ Good ☐ Fair ☐ Poor ▨ Very poor

Category	Excellent	Good	Fair	Poor	Very poor
UofS/Research skills	46.7%	46.7%	6.7%		
Canada/Research skills	45%	33.9%	9.8%	4.6%	6.7%
UofS/Communication skills	22.7%	40%	30.7%	5.3%	1.3%
Canada/Communication skills	18%	41.6%	24.5%	11%	4.9%
U of S/Management skills	12%	45.3%	29.3%	10.7%	2.7%
Canada/ Management skills	11%	34.8%	31.1%	18.4%	4.7%
U of S/Teaching skills	12%	16%	34.7%	26.7%	10.7%
Canada/Teaching skills	9.8%	21.8%	26.1%	26.2%	16.1%

Figure 26 shows that U of S PDFs are mostly satisfied with the quality of their experience in enhancing their research skills. The proportion of UofS PDFs who indicated that their experience was poor or very poor is lower than the Canadian answers for all aspects of their postdoctoral experience.

Comparable to the national average, 37.4% of the UofS PDFs think that the quality of their postdoctoral experience regarding teaching skills was poor or very poor.

7. Satisfaction of Postdoctoral Training

Figure 27: Overall Satisfaction with Postdoctoral Training to Date
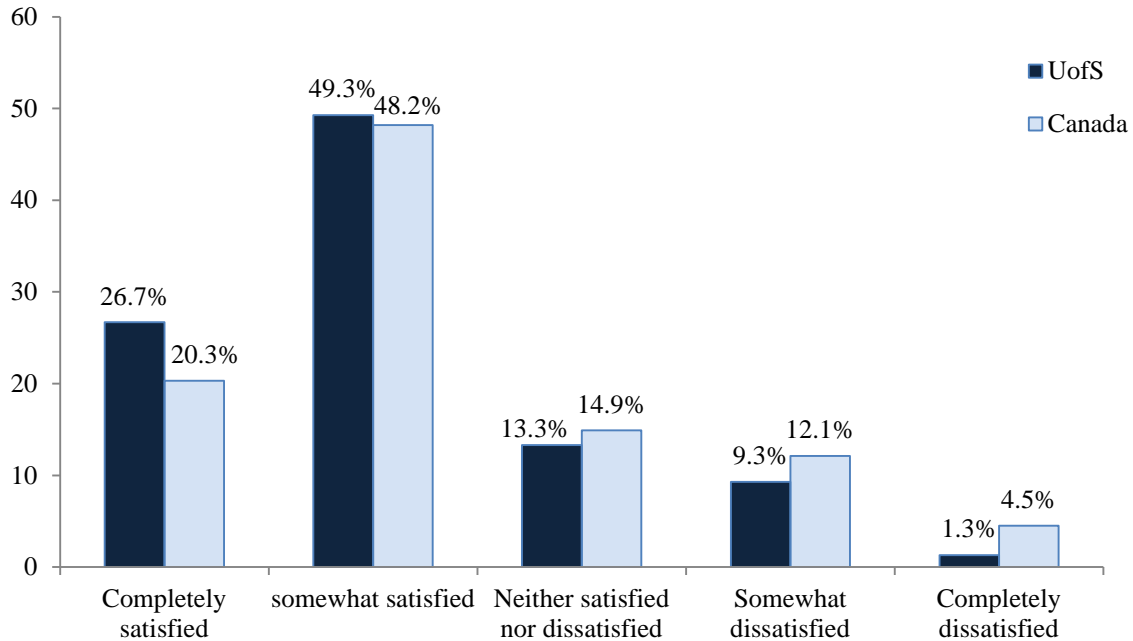
A majority of UofS PDFs (76%) indicated being somewhat satisfied or completely satisfied with their postdoctoral training to date. 10.6% of the UofS PDFs said to be somewhat dissatisfied or completely dissatisfied with their experience vs. 16.6% in Canada. The UofS PDFs are generally more satisfied with their experience than their Canadian colleagues.

Figure 28: Satisfaction with Elements of Postdoctoral Experience

Legend: ▥ Completely satisfied ▧ Somewhat satisfied ▨ Neither satisfied nor dissatisfied ▢ Somewhat dissatisfied ▢ Completely dissatisfied

	Completely satisfied	Somewhat satisfied	Neither satisfied nor dissatisfied	Somewhat dissatisfied	Completely dissatisfied
UofS/Benefits	4%	14.7%	22.7%	24%	34.7%
Canada/Benefits	7.4%	22%	22.1%	22.3%	26.2%
UofS/Salary	9.3%	29.3%	22.7%	24%	14.7%
Canada/Salary	14.9%	29.2%	17.3%	23.7%	14.9%
UofS/Professional training opportunities	16%	29.3%	18.7%	26.7%	9.3%
Canada/Professional training opportunities	10.5%	26.1%	30.9%	22.8%	9.7%
UofS/Career development	17.3%	34.7%	24%	14.7%	9.3%
Canada/Career development	12.1%	30.4%	25.9%	20.8%	10.8%
UofS/Funds for research and travel	26.7%	34.7%	18.7%	16%	4%
Canada/Funds for research and travel	23.6%	32.1%	16.6%	18.2%	9.6%
UofS/Work-life balance	29.3%	32%	17.3%	13.3%	8%
Canada/Work-life balance	23.8%	36%	17.9%	15.3%	7%
UofS/Resources and facilities	30.7%	48%	9.3%	9.3%	
Canada/Resources and facilities	30.8%	40.9%	14.5%	9.6%	
UofS/Opportunities for research collaborations	32%	34.7%	14.7%	9.3%	9.3%
Canada/Opportunities for research collaborations	29.7%	30.2%	19.5%	13.8%	6.8%
UofS/Work environment-peer interaction	41.3%	25.3%	14.7%	13.3%	5.3%
Canada/Work environment-peer interaction	32.3%	36.4%	13.1%	12.4%	5.8%
UofS/Level of supervision-independence	52%	38.7%	5.3%	1.3%	
Canada/Level of supervision-independence	42.6%	34.8%	10.4%	8.1%	

For the UofS PDFs, the biggest disappointments are the (1) benefits, (2) the salary, and (3) the professional training opportunities.

Figure 20: Satisfaction with Career Options
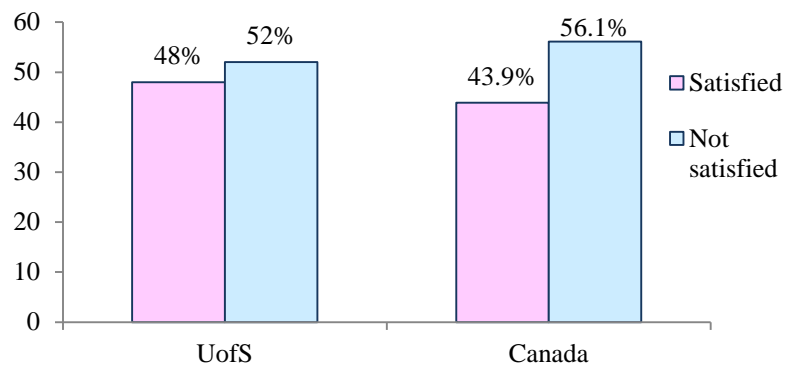
The UofS PDFs are more satisfied with their career options (48%) than their Canadian counterparts (43.9%). Still, in both cases, a majority of PDFs are not satisfied with their career options.

Figure 30: Challenges experienced by international postdocs (multiple responses)
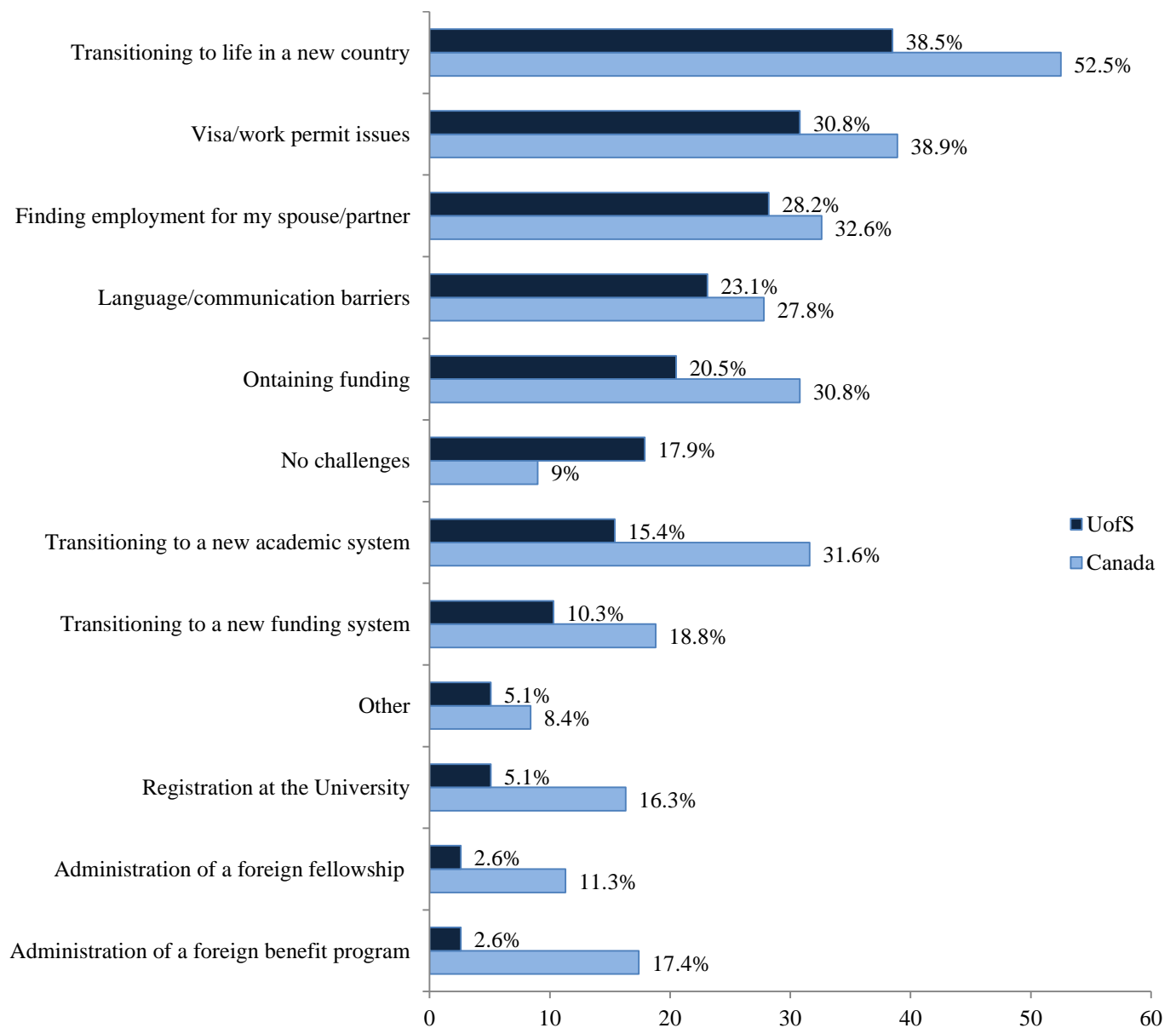
The three most challenging elements experienced by international UofS postdocs are: (1) transitioning to life in a new country, (2) visa/work permit issues, (3) finding employment for spouse/partner.

C. Canadian Comparative Study

In November 2014, the University of Saskatchewan requested interviews with postdoctoral administrators from fourteen Canadian universities. Face-to-face and phone interviews from 30 to 60 minutes were held with these administrators (see questionnaire in Appendix 1). Discussions during the Canadian Association of Postdoctoral Scholars Conference 2014 and follow-up e-mails with respondents were exchanged. The information collected during these interviews is compiled in the following university cards: University of Alberta, University of British Colombia, Concordia University, Dalhousie University, Guelph University, Université Laval, University of Manitoba, Université de Montréal, University of Ottawa, Queen's University, University of Saskatchewan, University of Toronto, University of Waterloo, and Western Ontario University

The purpose of those cards is **t**o present an external scan comparing the current organizational structures, the administrative processes, and the decision-making processes regarding postdoctoral administration. More precisely, the following information is presented:

1. Appointment Process

This first section presents a brief summary of the appointment process of the PDFs.

2. LMO?

The administrators were asked if they provide a labor market opinion for the international PDFs.

3. Support Structure

The staff supporting the postdoctoral administration is identified.

4. Database

The database used to support the postdoctoral administration is presented.

5. Policy Manual

All available policy manuals are compiled.

6. PDFs apply for grant?

The administrators were asked if the PDFs were allowed to apply for a research grant in their respective institutions.

7. PDFs manage grants?

The administrators were asked if the PDFs were allowed to manage a research grant as an independent researcher in their respective institutions.

8. PDFs participate in grad studies?

The administrators were asked if the PDFs were allowed to participate on graduate student committees.

9. Minimum financial level

The minimum financial level for each university is identified.

10. Central financial Support?

The administrators were asked if there were any central funding to support postdoctoral fellows.

11. Period a PhD can be a PDF

The maximum period a PhD graduate can be a PDF is identified.

12. Maximum duration for appointments

The maximum duration for individual PDF appointments is detailed for each institution.

13. Who can supervise PDFS (PhDs or MDs?)

The administrators were asked who is allowed to supervise PDFs.

14. What professional development activities are sought?

The administrators were asked which professional development activities the PDFs are the most interested in.

15. What are some priorities/challenges for institutions with PDFs?

The administrators were asked to describe what are, in their opinion, the main priorities and challenges for an institution with PDFs.

16. How do you stay connected with PDFs?

The administrators were asked to detail their communication channels with the PDFs.

17. Measure PDFs satisfaction?

The ways to measure PDFs satisfaction are described.

1) University of Alberta	
1. Appointment Process	Postdoctoral administration is the responsibility of the Postdoctoral Fellows Office headed by the Office of the Vice President (Research). Appointment letters are on the website (one for Canadian, international, Mexican, US, residing in Canada). Supervisors invite PDFs. The supervisor fills the form, and sends it to the PDF for signature. The PDF arrives at the department that creates a registration number. At that point, a package is sent to Grad Studies: the original appointment letter, the original registration form, proof of PhD requirements, a CV; a work permit if applicable. Then, Grad Studies register the PDF into an excel spreadsheet. Grad studies can verify information into the HR system, but the main database is in grad studies.
2. LMO?	No
3. Support Structure	Postdoctoral Coordinator a postdoctoral advisor.
4. Database	The postdoctoral coordinator and the administrative assistant manage the database that collects funding source, pay, citizenship, etc. If PDF leaves before the end of the appointment, the department sends a letter of resignation and form to grad studies that approves the form and sends it to HR to make the pay stop.
5. Policy Manual	https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Postdoctoral-Fellows-Policy.pdf (see Appendix 2)
6. PDFs apply for grant?	Co-applicants.
7. PDFs manage grants?	No.
8. Prof. dev. opportunities	In a process to formalize the activity calendar: An individual in Grad studies collects the information from all groups about prof. dev. activities that are happening. The postdoctoral coordinator receives the list of events and sends it to PDFs through listserv.
9. PDFs participate in grad studies?	They can be on a supervisory committee. As an official member. They are allowed to attend board of governors meetings; they have been invited to some meetings unofficially.
10. Min. financial level	As sept. 1st 2014: $36,181.80. Not unionized. The amount is based on the doctoral 12 hrs scale or T.a. and r.a. scale.
11. Central financial Support?	Killiam fellowship but no university funds.

12. Period a PhD can be a PDF	5 years.
13. Max. duration for appointments	5 years.
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Transitioning into industry.
16. What are some priorities/challenges for institutions with PDFs?	Dual status trainee VS employee thing needs to be set up. Because they are not employees, they do not have access to many things that are negotiated. Finding and making sessions to facilitate the transfer to the job market. Research day especially for post docs (posters, speed talks, prizes ($400; $300, $200), free lunch.
17. How do you stay connected with PDFs?	Send communications through the listserv. Work very closely with the PDF association.
18. Measure PDFs satisfaction?	No surveys. Have an exit survey in order to get their certificate. Creating a program that supervisors can contribute to give access to mat leave. The postdoctoral coordinator proposed to collect 0.3% from the supervisor to put in a central pot of money. Implementing the program right now.

		2) Concordia University
1.	**Appointment Process**	Postdoctoral administration is the responsibility of the School of Graduate Studies. Template on the website that legal reviewed. The supervisor fills the form; they send it to the PDF for signature, the PDF signs it; the faculty dean signs it. Once the pdf decided to go to Concordia, the PDF applies to Grad Studies: the PDF gives to the Director of the Postdoctoral Office a form, a cv and the invitation letter. The Director reviews the application and intervenes if necessary. She receives the documents after the fact.
2.	**LMO?**	No
3.	**Support Structure**	One director of Postdoctoral Administration.
4.	**Database**	The director manages the database and collect the information needed: ID number, funding, PI, immigration status, contacts, etc. It is currently an Access database. In January, the database will be in PeopleSoft. She asks PDFs to tell her when they leave.
5.	**Policy Manual**	http://www.concordia.ca/content/dam/concordia/offices/sgs/docs/postdoc/Guidelines_For_Postdoctoral_Fellows.pdf (see Appendix 3) Actually changing 3 points: 1. The director will review the applications; 2. will have 2 post docs status: (employees, trainee); 3. supervisors have now to pay 21.4% of benefits.
6.	**PDFs apply for grant?**	Co-applicants.
7.	**PDFs manage grants?**	No.
8.	**Prof. dev. opportunities**	GradPro Skills unit are responsible for organizing the activities.
9.	**PDFs participate in grad studies?**	They are on the graduate council. Don't judge thesis. They can teach one class per year.
10.	**Min. financial level**	$30,000
11.	**Central financial Support?**	The VP Research Office gives $5,000 to 4 faculties exclusively for post docs.

12.	**Period a PhD can be a PDF**	5 years.
13.	**Max. duration for appointments**	No maximum duration.
14.	**Who can supervise PDFS (PhDs or MDs?)**	No MDs at Concordia. So, only PhDs.
15.	**What prof. develop. activities are sought?**	Teaching; elevator talk (3-minutes to explain your research); grant writing and scholarships; communication (presentation, speak clearly).
16.	**What are some priorities/challenges for institutions with PDFs?**	To reach all PDFs. Some PDFs are not reached and mistakes can happen. PDFs don't have health benefits packages. PDFs feel isolated; try to organize events to socialize to get to know each other.
17.	**How do you stay connected with PDFs?**	Email. Created a listserv to allow post docs to communicate with each other.
18.	**Measure PDFs satisfaction?**	No, but planning on doing an exit survey.

		3) Dalhousie University
1.	**Appointment Process**	Post-doctoral administration is the responsibility of the Faculty of Graduate Studies. With HR, drafted employment letter. Keep lawyers taking a look at the letter (change of immigration law). The letter of offer needs to be signed by Faculty member, the dean of their faculty, and the post doc. Once the letter is signed, they send the letter, a payroll form, a current CV, any work document (visa). Documents in paper. Once the documents arrived in FGS, they send the payroll form to research services. Research services send the form to HR afterwards.
2.	**LMO?**	No
3.	**Support Structure**	An Associate Dean and an administrative support person.
4.	**Database**	HR has postdoc system that generates an employee number so they have access to the gym etc. Grad Studies has an in-house Excel database that is managed by an administrative support person.
5.	**Policy Manual**	http://www.dal.ca/faculty/gradstudies/postdoctoral/prospective/terms-and-guidelines.html (see Appendix 4)
6.	**PDFs apply for grant?**	Co-applicants.
7.	**PDFs manage grants?**	No.
8.	**Prof. dev. opportunities**	If PDFs want to attend a particular workshop, GS support them to register. This year, will do 3 workshops: having difficult conversation and negotiating, stress management, and hiring process. The PDF association helps to identify the needs. Also, the Associate Dean helps the post docs to have access to everything else that is given on campus.
9.	**PDFs participate in grad studies?**	They have to apply to GS for membership to be a member of a supervisory committee. They can be a member of the jury only once and only for master thesis.
10.	**Min. financial level**	$37,000, but the average is $44 000. But will change with unionization.
11.	**Central financial Support?**	5,000$ travel grant, but may change after the unionization.
12.	**Period a PhD can be a PDF**	6 years.
13.	**Max. duration for appointments**	2 years.
14.	**Who can supervise PDFS (PhDs or MDs?)**	All faculty members.

15. What prof. develop. activities are sought?	Some of them need a society, a group to identify themselves and get support.	
	Don't have sessions for international to avoid division amongst the PDF community.	
16. What are some priorities/challenges for institutions with PDFs?	Every PDF is very unique and has different needs.	
	Faculty members have to adopt Grad Studies tools.	
	It is important to reach the PDFs to make sure they know what their resources are.	
	Faculty members have to advocate for benefits. Statutory deductions at source are challenging.	
	Make PDFs think about their career goals sooner.	
	Individual development plan should be written early.	
	Would prefer to be able to pay PDFs what the PI can afford instead of a minimum stipend. When a post doc receives an award from Try-Council, the award should come with benefits.	
17. How do you stay connected with PDFs?	Meet once a month; annual bbq; annual PDF research day; session of 3-minute thesis talk. Organized that with the PDF association. Would like to have a section to highlight the postdocs on the website: a new video every month to present the post doc and their work and promote GS role.	
18. Measure PDFs satisfaction?	Don't have a formal exit survey. Would like that the association be the voice of post docs, instead of having individual feedback.	

	4) Guelph University	
1. **Appointment Process**	Postdoctoral administration is under the responsibility of the Office of Graduate Studies. No standardized appointment process. A post doc would contact a faculty member. They decide on the salary and write whatever form they are using. They give that form or letter to the administrative support; that person enters the post doc in HR system if employee. If the PDF is not an employee, the PDF is not entered in the system. Don't need the approval from Dean or other signature.	
2. **LMO?**	No	
3. **Support Structure**	One manager of Postdoctoral and Graduate Admission Operations	
4. **Database**	Use the HR database. Are also planning to have a database in the office. Two options on the table: using the student info system or an in-house system. Pushing for the student info system; would create a different category for post docs. The manager will be responsible for the database. Units will have to let him know that the PDFs are leaving. Will know that a pdf left with HR report.	
5. **Policy Manual**	Drafted right now.	
6. **PDFs apply for grant?**	They can although is limited. McMaster added an emergency fund for postdocs after bargaining. Guelph wants to do the same thing. Other than that, there is nothing for post doc centrally. PDFs are not unionized. No discussion right now.	
7. **PDFs manage grants?**	No.	
8. **Prof. dev. opportunities**	Planning on giving PDFs access to activities that are available to graduate students. Don't have any plans to offer workshops only for PDFs.	
9. **PDFs participate in grad studies?**	Want to create a committee only for post docs. They don`t participate to supervision committees.	
10. **Min. financial level**	Planning to establish a hard minimum of 30,000-40,000$	
11. **Central financial Support?**	No.	
12. **Period a PhD can be a PDF**	3 years.	
13. **Max. duration for appointments**	3 years.	
14. **Who can supervise PDFS (PhDs or MDs?)**	No faculty of medicine. So, only PhDs.	

15. What prof. develop. activities are sought?	Any kind professional activity that will prepare them for public and private sector careers.
16. What are some priorities/challenges for institutions with PDFs?	There is no infrastructure to support PDFs in the HR system. Hard to decide in which system they belong. A database is necessary to identify all PDFs. Make sure that they have basic services and protection.
17. How do you stay connected with PDFs?	-
18. Measure PDFs satisfaction?	Considering it.

	5) Université Laval	
1. **Appointment Process**	The post-doctoral administration is the responsibility of the Faculé des études supérieures et postdoctorales. PDFs are registered at the Registrar Office by the PIs. The Registrar Office may call Grad Studies if there is problem. Otherwise, Grad Studies is responsible for supporting the quality of the PDF's experience. HR is responsible for working relationships; the Registrar's Office is responsible to create a student number for the PDFs. PDFs are employee since March 2014.	
2. **LMO?**	No.	
3. **Support Structure**	Vice-dean, an administrative person, and a professional.	
4. **Database**	Banner database. Registrar Office sends a list of the PDFs to the vice dean one a month.	
5. **Policy Manual**	The politic will be reviewed after the unionization.	
6. **PDFs apply for grant?**	Co-applicants.	
7. **PDFs manage grants?**	No.	
8. **Prof. dev. opportunities**	There is a summer school for PhD and postdoctoral students. Different workshops are available: communication, entrepreneurship, intellectual property, etc.	
9. **PDFs participate in grad studies?**	Can be an invited member of supervisory committee. They attend the Graduate Studies Committee as observers.	
10. **Min. financial level**	There is not hard-minimum. The average is It may vary after unionization is completed.	$36,000.00
11. **Central financial Support?**	No.	

12. Period a PhD can be a PDF	5 years.
13. Max. duration for appointments	One year. The minimum is 6 months renewable.
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Grant writing, entrepreneurship, job fairs.
16. What are some priorities/challenges for institutions with PDFs?	Good training to support them to get in the labor market. Support them to do the transition from PhD to PDF. 6-credit class in pedagogy for PhD students, PDFs and new professor.
17. How do you stay connected with PDFs?	By email.
18. Measure PDFs satisfaction?	No, since the beginning of the unionization process, Grad Studies don`t have any contacts with PDFs.

	6) University of Manitoba	
1. **Appointment Process**	The Vice-Provost Research Office is responsible for post-doctoral administration. The unit fills out a template of letter of offer. The letter is sent to HR. The letter of offer has to be signed by the grantee, the department head and the dean. If the postdocs are paid by government or external agency, the appointment process is different. The Director supports the campus community. For the associate postdocs; the director receives the form and creates a letter of invite, a liability waiver, a work permit if applicable, a letter of payment, and the time period. Once the director has all the info, the information is entered in the HR system; they still got an employee number to have access to the library, even though they are not employee.	
2. **LMO?**	No	
3. **Support Structure**	Director, Office of the Vice-President (Research and International)	
4. **Database**	Use the HR system. HR manages the database.	
5. **Policy Manual**	Not available.	
6. **PDFs apply for grant?**	Co-applicants.	
7. **PDFs manage grants?**	No.	
8. **Prof. dev. opportunities**	Will organize in the future number of seminars especially for PDFs. For now, PDFs can take an online ethic course. They do not have access to graduate students' activities.	
9. **PDFs participate in grad studies?**	No. They are not allowed to attend supervisory committees.	
10. **Min. financial level**	$25,000, but may be raised to $35,000. Post docs are eligible for annual increases because they are employees.	
11. **Central financial Support?**	Researchers can apply for funding at the Vice President Research Office for the ones who cannot afford benefits. This year is the last year of that program.	
12. **Period a PhD can be a PDF**	5 years.	

13. Max. duration for appointments	3 years with possibility of extension. The director reviews the demands and decides.
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Career planning.
16. What are some priorities/challenges for institutions with PDFs?	The cost of benefits: when the post doc has external funding, some PIs don't understand that the PDFs need to be treated as employees. The number of postdocs dropped from 135 to 118 because the unionization; PIs have to cover the benefits. Appropriate salary has to be paid.
17. How do you stay connected with PDFs?	Building a network.
18. Measure PDFs satisfaction?	No.

	7) Université de Montréal	
1. Appointment Process	The post-doctoral fellows administration is the FESP`s responsibility. The FESP also offers appropriate professional training for those fellows Grad Studies is responsible for all PDFs. The vice dean reviews all applications. PDFs are responsible to find the fellowship. The PDF fills an online application on PeopleSoft. The PI, the department head or the associate dean of each faculty must approve the application. The application is sent to the administrative support staff by email. That person enters the application in the database (OnBase). The system sends an automatic email to the vice dean to invite to review the application. Once the vice dean reviewed the application, the application is sent to HR.
2. LMO?	No
3. Support Structure	The Vice Dean and an administrative support person to sign the contracts, provide PDFs with certificates when needed, and pay administrative fees.
4. Database	The administrative support person manages the database.
5. Policy Manual	http://www.fesp.umontreal.ca/fileadmin/Documents/Stages_postdoctoraux/Avant_demande/Politique.pdf
6. PDFs apply for grant?	Co-applicants.
7. PDFs manage grants?	No.
8. Prof. dev. opportunities	Offer language courses at the same rate than the Canadian students. Offer workshops through the "Seasons of the Faculty of Graduate and Postdoctoral Studies". Half-day workshops are organized on different themes, such as job hunting, career development, etc. Work in collaboration with Concordia, École de Technologie Supérieure, and McGill University.
9. PDFs participate in grad studies?	Two PDFs are members of the Conseil de la Faculté. Also, they can participate in the supervisory committees or master and PhD thesis. They cannot supervise students.
10. Min. financial level	$20,000, but the average is $35,000. 26% of benefits: 18% by the supervisor; 8% by the university.

11. Central financial Support?	No.
12. Period a PhD can be a PDF	5 years. The Vice Dean review each case. Possibility of extension.
13. Max. duration for appointments	3 years; no minimal anymore.
14. Who can supervise PDFS (PhDs or MDs?)	Have to detain a PhD or the equivalent.
15. 15. What prof. develop. activities are sought?	Transfer to private sector, networking, how to do business cards, how to present themselves in job interviews.
16. What are some priorities/challenges for institutions with PDFs?	Determine a status to PDFs who are affiliated in the hospitals. Give access to affordable language classes Unionization and integrate them to the existing system. Professional development activities.
17. How do you stay connected with PDFs?	Monthly meetings. Research day organized in collaboration with other universities in Montreal. Maintained web site.
18. Measure PDFs satisfaction?	Yes, having a survey every 2-3 years. Last one was run in 2012.

	8) Université d'Ottawa	
1. Appointment Process	Postdoctoral administration if the responsibility of the FGPS. Faculty of Graduate and Postdoctoral Studies. PDFs fill a form with support documents. The form must be signed by the PI, the department head, and the associate dean of each faculty. Once the form has been approved, the form is sent back to the PI and PDF. The rest of the information collected stay in Grad Studies. The PDFs are registered in the student system in a special category.	
2. LMO?	No	
3. Support Structure	An Associate Dean and a professional. A professional dedicates 50% of her time to PDF administration. Associate Dean reviews the applications.	
4. Database	Excel spreadsheet managed by the professional. The PDFs are supposed to advise Grad Studies that they are leaving.	
5. Policy Manual	http://www.grad.uottawa.ca/default.aspx?tabid=1412 (see Appendix 5)	
6. PDFs apply for grant?	Co-applicants.	
7. PDFs manage grants?	No.	
8. Prof. dev. opportunities	Coordinate workshops with graduate students related to career development, communication and writing skills, ethics and social responsibility, leadership, and well-being.	
9. PDFs participate in grad studies?	PDFs can review master thesis. There is actually no PDFs representative in place; PDFs are not represented on the different Grad Studies Committees.	
10. Min. financial level	$34,000	
11. Central financial Support?	Central travel grants of $550 to encourage the PDF to present their work oversee.	
12. Period a PhD can be a PDF	5 year.	
13. Max. duration for appointments	No maximum duration.	

14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Low participation rate.
16. What are some priorities/challenges for institutions with PDFs?	Being able to track all PDFs on campus. Raise awareness of PDFs to the importance of technical skills on the job market (communication, management, organization, etc.). Invite PDFs to take advantage of the services available. Recruit PDFs, considering that there is less financial advantage then before. Make PIs invite PDFs to register properly in Grad Studies office.
17. How do you stay connected with PDFs?	Send email with listserv.
18. Measure PDFs satisfaction?	No.

	9) Queen's University
1. **Appointment Process**	Responsibilities for post-doctoral administration have recently been transferred from Research Services to the School of Graduate Studies. A prof wants to hire; department level. Can get the data from the HR system. Classification in the system. The coordinator does not have access to the HR system; the coordinator receives a report when needed. If the PDFs are paid through university grant, they are unionized.
2. **LMO?**	NNo
3. **Support Structure**	A coordinator working under the supervision of the dean. That person is the Office of Post-Doctoral training in the School of Graduate Studies.
4. **Database**	Use a PeopleSoft database. HR is responsible for it.
5. **Policy Manual**	http://www.queensu.ca/humanresources/policies/postdoctoralfellows.html (see Appendix 6)
6. **PDFs apply for grant?**	Co-applicants only, although they can get an additional adjunct status that allows them to manage research allowances.
7. **PDFs manage grants?**	Only if they are adjuncts.
8. **Prof. dev. opportunities**	Different workshops are offered to PDFs: career development, well-being and mental health, knowledge, etc. A survey and focus groups are actually being developed to understand the needs of the post. There is also a graduate and post-doctoral career week where several workshops are organized: cv writing, LinkedIn, private sector, etc. Local organizations were invited for a panel about skills development, skill translation and entrepreneurship. The workshops are organized in collaboration with other units on campus. The faculty members are also involved as much as possible: they become mentors participating in the workshops. Teaching is also in demand.
9. **PDFs participate in grad studies?**	Yes, only if they have the adjunct status in terms of supervisor but workshops- always invited. The Dean of School of Graduate Studies will appoint the adjuncts
10. **Min. financial level**	$32,000
11. **Central financial Support?**	There is a travel grant of $1000 by PDF. There is a program for postdoctoral support for faculty. The School of Graduate Studies funds up to 3 PDFs a year.

12. Period a PhD can be a PDF	5 years.
13. Max. duration for appointments	The usual appointment is a year, but can be shorter or longer.
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Transfer of an academic cv to a private sector cv. Work with departments to organize events. Grant writing. Career as an academia.
16. What are some priorities/challenges for institutions with PDFs?	Professional development; pdfs needs resources and they feel they are middleman; not a real status at the University.
17. How do you stay connected with PDFs?	Weekly newsletter. Facebook and Twitter pages, LinkedIn. There is an orientation session at the beginning of the year. They often don't know what is available to them.
18. Measure PDFs satisfaction?	Working on a survey right now (general survey and exit).

	10) University of Saskatchewan	
1. **Appointment Process**	The postdoctoral administration is the responsibility of the College of Graduate Studies and Research. (See Appendix 7)	
2. **LMO?**	No.	
3. **Support Structure**	Associate Dean and the admin. assistant of the Dean	
4. **Database**	Excel spreadsheet maintained by the admin. assistant of the Dean	
5. **Policy Manual**	http://policies.usask.ca/policies/research-and-scholarly-activities/postdoctoral-fellows.php (see Appendix 8)	
6. **PDFs apply for grant?**	Co-applicants	
7. **PDFs manage grants?**	No	
8. **Prof. dev. opportunities**	Professional skills certificate.	
9. **PDFs participate in grad studies?**	A PDF may be an additional member on an advisory committee.	
10. **Min. financial level**	$35000. The average monthly salary is $3608.27 ($43299.26 annually)	
11. **Central financial Support?**	No.	
12. **Period a PhD can be a PDF**	5 years	
13. **Max. duration for appointments**	7 years	
14. **Who can supervise PDFS (PhDs or MDs?)**	All members of the College of Graduate Studies and Research	
15. **What prof. develop. activities are sought?**	Prof. dev. Activities	
16. **What are some priorities/challenges for institutions with PDFs?**	Clarity around the appointment type: lack of clarity, generates confusion. Recruitment of new PDFs, especially international PDFs. Better tracking of PDFs. Find ways to stay connected with the PDFs. Build an exit survey to measure their satisfaction.	

17. How do you stay connected with PDFs?	Maintain strong relationship with the Postdoctoral Association.
18. Measure PDFs satisfaction?	Have not done any survey yet.

	11) University of Toronto	
1. **Appointment Process**	The central post doc office is in the School of Graduate Studies. The appointment process is decentralized. The Postdoctoral Administrative Officer sends a package to administrators with an appointment form. The administrators send the form to the supervisors. The supervisors fill the form and get approval from their Dean. The business staff later enters the data in their Post-Doctoral database. Graduate studies is not involved in the process.	
2. **LMO?**	No	
3. **Support Structure**	Postdoctoral Administrative Officer.	
4. **Database**	The in-house database is managed by the Postdoctoral Administrative Officer. The unit calls the Officer if a pdf leaves before the end of the appointment. The database collects details of the engagement: name, date of birth, address, start date, end date, etc.	
5. **Policy Manual**	http://www.governingcouncil.utoronto.ca/Assets/Governing+Council+Digital+Assets/Policies/PDF/ppsep012002.pdf (see Appendix 9) Will review the manual after unionization.	
6. **PDFs apply for grant?**	Co-applicants.	
7. **PDFs manage grants?**	No.	
8. **Prof. dev. opportunities**	No current budget to plan activities. The Officer liaises with other units on campus to offer some activities, such as conversation programs for international students and cultural contact information sessions.	
9. **PDFs participate in grad studies?**	No. PDFs can teach some classes. Union regulated for undergraduate; union unregulated for graduate classes.	
10. **Min. financial level**	$27,500, but the average is $43,000. It may vary after unionization is completed.	
11. **Central financial Support?**	No.	
12. **Period a PhD can be a PDF**	5 years.	
13. **Max. duration for appointments**	3 years.	

14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	A conference grant. Would like a research day. Conferences, networking, and presentations.
16. What are some priorities/challenges for institutions with PDFs?	The PDFs are in a grey area; they do not know where they belong to, and a lot of people don't know who they are. They are invisible on campus. Universities have to present alternatives to the professor life, considering the uncertainty of appointment. PDFs request health care and career development opportunities.
17. How do you stay connected with PDFs?	Listserv that PDFs sign off for. For urgent matter, a mailing list from the database can be used.
18. Measure PDFs satisfaction?	Part of the negotiation would develop in a management board where will discuss things with post docs, with union, with post docs, with faculty members. For now, there is no measurement of satisfaction.

12) University of British Colombia	
1. Appointment Process	Postdoctoral Office reports to the VP Research Office. PDFs find a p.i. Unit prepares the paperwork; the p.i. brings the paperwork to their respective dean. From the Dean's office, the form goes to faculty relations. University HR system keeps all appointments. Faculty relations are responsible to update and manage the database. PDFs receive the appointment letter and a template letter to explain resources for pdfs. Some pdfs are appointed at the Hospital, faculty of graduate studies don't know of those PDFs. Want to change that to support all PDFs.
2. LMO?	No
3. Support Structure	A director is half time; an administrative assistant is half time. The associate Dean, Postdoctoral Fellows Office & Student Professional Development is 30% at the faculty of graduate studies – (15% in PDFs).
4. Database	The PeopleSoft database is managed by faculty relations.
5. Policy Manual	http://www.universitycounsel.ubc.ca/files/2012/04/policy61.pdf (see Appendix 10)
6. PDFs apply for grant?	Co-applicants. PDFs can apply alone to some small internal funding.
7. PDFs manage grants?	No.
8. Prof. dev. opportunities	Many workshops are offered to PDFs: Networking; CV writings; project management; Budgeting Basics for Project Management; Networking: Practical Tips for Expanding Your Personal Network, Professional and Business Effectiveness, Postdoctoral Research Day, Interview to Job Negotiation Strategies, Immigration Law for Postdocs, Managing and Making the Most of Your Online Presence, How to Keep Your Cash: The Canadian Tax System, Beyond Resumes: Compiling Academic CVs, Bios and Professional Profiles, Effective Supervision Skills, Professional and Business Effectiveness, etc.
9. PDFs participate in grad studies?	They can participate to supervisory committees as ad hoc members.
10. Min. financial level	No minimum support, but as to match the federal minimum wages. Don't monitor the salary.

11. Central financial Support?	Travel awards; Killiam Award; professional dev. Funds to run the sessions.
12. Period a PhD can be a PDF	10 years for an md; 5 years for a PhD.
13. Max. duration for appointments	Min. 1 year; max. 5 year, but all appointment at one year at the time. Can get a 2 years extension if dean approves; after 5 years, they move to research associate.
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.
15. What prof. develop. activities are sought?	Project management, career development, grants writing. Run 3 information sessions a year; a whole afternoon.
16. What are some priorities/challenges for institutions with PDFs?	Work very closely with post docs association; meet every 2 months. Should include PDFs in Grad Studies committees.
17. How do you stay connected with PDFs?	Well connected with PDF Association; made sure that all pdfs have benefits; really accessible to PDFs, make sure to attend PDF events; run pdfs appreciate week and events like annual bbq; treat pdfs different than graduate students. In self-studies (cyclical graduate programs review) can discuss PDFs initiative.
18. Measure PDFs satisfaction?	How the pdfs will be paid; benefits; mat leaves; when you receive a fellowship- pdfs pay taxes but have benefits from the university but no employment insurance and don't have the opportunity to contribute to rsp.

	13) Waterloo University	
1. **Appointment Process**	The postdoctoral administration is the responsibility of the Post-doctoral office which is headed by the Associate Provost Graduate Studies. The supervisor fills a non-faculty appointment form. That form must be signed by the faculty dean. The form is sent to HR.	
2. **LMO?**	Not sure	
3. **Support Structure**	Not a person committed full time. One person helps organize events. Work with different offices to organize workshops.	
4. **Database**	HR manages the database. HR provides her with a report once a month.	
5. **Policy Manual**	https://uwaterloo.ca/postdoctoral/postdoctoral-guidelines (see Appendix 11)	
6. **PDFs apply for grant?**	Co-applicants.	
7. **PDFs manage grants?**	Yes.	
8. **Prof. dev. opportunities**	-	
9. **PDFs participate in grad studies?**	No.	
10. **Min. financial level**	$30,000	
11. **Central financial Support?**	No.	
12. **Period a PhD can be a PDF**	5 years	
13. **Max. duration for appointments**	3 years.	
14. **Who can supervise PDFS (PhDs or MDs?)**	No faculty of medicine. So, only PhDs.	
15. **What prof. develop. activities are sought?**	Teaching workshops.	
16. **What are some priorities/challenges for institutions with PDFs?**	Transfer from academic world to private sector. Moving to full time positions within the 5 years may be challenging.	

17. How do you stay connected with PDFs?	Annual survey; Facebook page; send emails through the listserv.
18. Measure PDFs satisfaction?	Yes. It is through that survey that ideas of workshops are collected.

	14) University of Western Ontario	
1. Appointment Process	The postdoctoral administration is the responsibility of the School of Graduate and Postdoctoral Studies.	
	One person is responsible for the administration of the post-doctoral fellows.	
	An in-house system called ColdFusion is used.	
	A really small number of PDFs is unionized; most of the PDFs are fellows. The PIs determine the appointment type: if the postdocs are doing their own research, they are fellows; if they are told what to do, they are employees.	
	The appointment process is automatized: the PDFs fill the form online. Once the form is submitted by the PDFs, the system sends an automatic email to PIs. They follow the link included in the email, and fill their part of the form. Once the PI submitted the form online, the Dean's office of each faculty receives the form in an automatic email sent by the system. Administrators click on the button to approve the form. The letter of offer is generated once everybody approved the demand.	
	The PDFs sign an agreement once arrived on campus. The postdoctoral Services Coordinator meets with all post docs on the first day; goes over all check list and details and is the last one to approve the PDF. Once the form is approved, it is pushed to HR.	
2. LMO?	No	
3. Support Structure	Postdoctoral Services Coordinator is alone in the School of Graduate Studies plus a person in charge of post docs in each faculty.	
4. Database	Postdoctoral Services Coordinator is the owner of the database (GradNet; inhouse created). It includes the information that payroll needs to appoint post docs. Use the system to organize events as well. Keeps track of all events that way.	
5. Policy Manual	http://www.uwo.ca/univsec/pdf/policies_procedures/section7/mapp76.pdf (see Appendix 12)	
6. PDFs apply for grant?	No restriction. Grad Studies provide supports for internal deadlines, information sessions, etc.	
7. PDFs manage grants?	Yes.	
8. Prof. dev. opportunities	Yes, the list on the website: project management, mentoring program, social events, etc. Write newsletter every month.they are on all committees, everywhere on campus even the senate.	
9. PDFs participate in grad studies?	They can review thesis if they have the adjunct title. The nomination is decentralized to the faculties.	
10. Min. financial level	$35,000, but the average is $45,000.	
11. Central financial Support?	The coordinator position's, and there is some support for all faculties.	

12. Period a PhD can be a PDF	3 years.	
13. Max. duration for appointments	4 years.	
14. Who can supervise PDFS (PhDs or MDs?)	All faculty members.	
15. What prof. develop. activities are sought?	International students: second language and career development Domestic: project management	
16. What are some priorities/challenges for institutions with PDFs?	Keeping track of what they do once they leave. Exiting them properly.	
17. How do you stay connected with PDFs?		
18. Measure PDFs satisfaction?	Exit survey and survey after all events.	

D. Observations – Canadian Comparative Study

Appointment Process

The process may be completely standardized (University of Toronto, University of Western Ontario) or not standardized at all (Guelph). For two universities, the process is completely electronic (University of Toronto and University of Western Ontario).

The appointment process at the University of Saskatchewan includes four levels of approvals. The faculty member approves the PDF first. Then, the department head, CGSR Associate Dean, and HR approve the PDF appointment.

Our appointment process does not include any data collection at the end of the PDF appointment process. For now, only the University of Western Ontario is collecting exit data.

The PDFs are entered only within PeopleSoft. The current process depends exclusively on circulation of paper documents and securing wet signatures.

Labor Market Opinion

Regardless of the appointment type, no university indicated that a labor market opinion was required for international postdoctoral scholars, despite the fact that PDFs are appointed as employees at some institutions.

Support Structure

The teams supporting the postdoctoral administration at the various institutions are relatively small. These often include a single person, with no team exceeding three people.

At the U of S, small portions of two FTE's support PDF administration at the central level. These two people review all nominations submitted by the entire campus.

Database

Eight universities interviewed manage an in-house database that is often an Excel spreadsheet (University of Alberta, Concordia, Dalhousie University, Université de Montréal, Université d'Ottawa, University of Saskatchewan, University of Toronto, Western Ontario University). The remaining universities depend on the HR database as the primary source of information.

At the University of Saskatchewan, the in-house database is not merged into the HR system, increasing the risk of error, and increasing the workload of the structure supporting PDF

administration at the central level. Basic data are actually not available for decision making and governance.

Policy Manual

Only two universities do not have a policy or guidelines for postdoctoral fellows available at this time: University of Guelph and University of Manitoba.

The University of Saskatchewan uses a guideline, but no formal policy.

PDFs apply for grant

No institution allows PDFs to apply for a research grant as the main applicant (Principal Investigator), but all institutions allow PDFs to do so as co-applicants.

PDFs and grant management

The universities that allow PDFs to manage grants (University of Waterloo, Western Ontario University and Queen's) do so only if PDFs also hold an adjunct status.

Professional development opportunities

Only the University of Waterloo does not organize professional opportunities for PDFs. The range of workshops organized is large: having difficult conversation, stress management, hiring process, career development, communication and writing skills, ethics and social responsibility, leadership, well-being, networking, cv writing, project management, etc. At the University of Saskatchewan, the Professional Skills Certificate is the main activity organized to support PDFs' professional development.

PDFs participation in graduate studies

PDFs are not allowed to participate in graduate studies affairs in three universities interviewed: University of Guelph, University of Toronto, and Waterloo University. At the University of Saskatchewan, PDFs are allowed to be an additional member on an advisory committee which is the case for the majority of the Canadian universities interviewed.

Minimum financial level

The minimum financial support varies from $20,000 (Université de Montréal) to $37,000 (Dalhousie). Only the University of British Colombia does not have a minimum financial support. The average minimum financial level is $31.744.69.

Central financial Support available for PDFs

There is no central financial support for seven universities interviewed (University of Alberta, University of Guelph, Université Laval, Université de Montréal, University of Saskatchewan, University of Toronto, and Waterloo University). The central minimal support at the other universities is minimal.

Period a PhD can be a PDF

A PhD can be a PDF for 5 years except at Dalhousie University (6 years), University of Guelph (3 years), Western Ontario University (6 years), and the University of Saskatchewan (7 years).

Maximum duration for appointments

The maximum duration for appointments varies from 1 year to 7 years. Three universities do not have a maximum duration established: Concordia University, Université d'Ottawa, and Queen's University. The mode of the maximum duration for appointments is 3 years. The University of Saskatchewan has the higher maximum duration for appointments.

Who can supervise PDFS (PhDs or MDs?)

All universities said that all faculty members (members of the Colleges/School/Faculty of Graduate Studies) can supervise PDFs.

Professional development activities sought by PDFs

According to the universities interviewed, the four professional development activities the most sought by PDFs are (1) transitioning into industry, (2) grant writing, (3) career development and (4) teaching (career as an academia).

Other activities are sought by PDFs such as communication, entrepreneurship, job fairs, career planning, networking, conferences, networking, project management, career development, grants writing, teaching workshops, and second language.

Priorities/challenges for institutions with PDFs

The list of challenges identified by respondents included: PDF career development and transition to job market, benefits, salary, institutional support through their appointments, status according to the Canadian Revenue Agency, status within the institution, tracking of PDFs within the institution, unionization and, recruitment.

How do you stay connected with PDFs?

The main technique to stay connected with PDFs is through emails sent to a listserv. The Canadian universities also work very closely with the local PDF association by meeting every month; organizing annual social activities, through their respective websites, newsletter, Facebook, Twitter, LinkedIn pages, orientation sessions at their arrival, in cyclical graduate program reviews and during annual surveys.

Measure of PDFs satisfaction

Five universities interviewed said they had conducted surveys to assess PDF satisfaction at least once. The rest of the institutions do not assess PDFs success or satisfaction at this point, including the University of Saskatchewan.

E. Recommendations

After the review of the results of the Postdoctoral Fellows at the U of S: Results of the 2013 CAPS Survey, the review of the interviews with 14 Canadian universities, the review of the detailed workflow of activities, and a conversation with Michal Wesolowski, some recommendations for the University of Saskatchewan postdoctoral administrative support become clear.

Recommendation 1: Name

The College of Graduate Studies and Research should change its name to the College of Graduate and Postdoctoral Studies. The central authority for postdoc administration should be designated clearly to the campus community.

Recommendation 2: Status

The appointment type should be specific to the source of funding. The University of Saskatchewan should consider having two appointment categories:

1- Employees: when the funding comes from institutional source(s).
2- Scholars: when the funding comes from an external source.

Recommendation 3: Salary

Adequate salaries and employment benefits should be ensured for PDFs. The salary should reflect the Canadian average and should be consistent to the high cost of living in Saskatoon. This is the main way that we will attract highly qualified and productive PDFs.

Recommendation 4: Benefits

Benefits play an important role in the quality of the postdoctoral experience in the University of Saskatchewan. General benefits that support commitment of the institutions should be considered such as maternity leaves, dental insurance, employment insurance, health insurance for family, health insurance for the PDF.

Recommendation 5: Training

Training is an essential piece of the postdoctoral experience. More training opportunities should be offered to PDFs especially about transitioning to industry, non-academic career opportunities, grant writing, project management, career development, teaching skills, safety, and ethics.

Furthermore, PDFs would receive an orientation upon arrival at the University of Saskatchewan.

Also, counseling services for PDFs would play an important role in supporting the PDFs to transition to private sector.

Recommendation 6: Administrative Support[8]

The University of Saskatchewan should formalize the support in CGSR and invest time and resources in the development of a larger administrative structure to support postdoctoral studies. The current structure is insufficient to meet needs in communication, appointments, advocacy, training, and development of administrative resources. The University of Saskatchewan should consider having more staff designated to the postdoctoral experience, policies, and activities.

Recommendation 7: Policy Manual

A formal policy manual and a postdoctoral fellow booklet should be written for internal management purposes.

Recommendation 8: Transitioning to the Job Market

One of the main challenges for institutions with postdoctoral fellows is to prepare the PDFs to make the transition from their academic setting to the job market. In that perspective, doctoral graduates must seek information about the variety of career options before starting a postdoctoral appointment. Graduate students should have access to institutional and local resources providing information and professional development training on career options. Graduate students should be offered opportunities to reassess life and career goals. The College of Graduate and Postdoctoral Studies should make that information available and accessible to the doctoral students.

Information about job markets, career trajectories, and salaries for postdoctoral researchers and graduate students should be made available by the University of Saskatchewan to the recruitment officer when applicable.

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[8] National Academy of Sciences, Academy of Engineering, and Institute of Medicine of the National Academies. The Postdoctoral experience revisited. Committee to Review the State of Postdoctoral Experience in Scientists and Engineers. The National Academies Press. Washington, D.C.

Recommendation 9: Individual Development Plan

PDFs would develop an individual development plan that is created with a supervisor and reviewed yearly. Postdoctoral researchers would ideally make repeated, realistic, and critical self-evaluations before, during, and after their postdoctoral experience concerning their career choices.

PDFs should not limit their focus solely to academic careers. To that end, they would seek advice and information from a variety of different sources, including their mentors and institutions, professional societies, and peers.

Recommendation 10: Monitoring and Tracking of the PDFs

The administrative support structure in CGSR would be responsible for collecting and maintaining statistics on the postdoctoral community at the University of Saskatchewan and would make this information publicly available. The institution should track all PDFs.

CGSR should monitor the total length of time graduates spend in postdoc appointments. Any subsequent appointments after the allowed period should be staff appointments and should reflect career growth and advancement.

CGSR should monitor the results of alumni placement, as well as statistics on the average time it took their PDFs to complete their appointment, how much financial support a PDF can expect, and the completion rate.

Where possible, CGSR would collect, analyze, and publicize related information such as statistics about the numbers and kinds of job postings.

Recommendation 11: Database

The tracking and monitoring should be supported by an effective database managed in collaboration with the College of Gradate and Postdoctoral Studies and the Division of Human Resources.

Recommendation 12: Building a postdoctoral community and Recognition

Administrative assistance should be provided to create a campus-wide postdoc community to combat the frequent experience of isolation and to support career planning and job search activities.

Efforts would be made to provide PDFs with the same type of recognition given to undergraduate and graduate students, faculty, and staff.

Recommendation 13: Involving postdoctoral fellows in graduate studies

CGSR should continue to involve postdoctoral researchers in the activities of graduate studies activities by promoting postdoctoral researcher service on committees, inviting postdoctoral researchers as speakers, and having postdoctoral researchers help to organize meetings.

Recommendation 14: Recruitment of PDF

The recruitment of PDFs should be planned accordingly to the institutional planning and the reality of the job market in Saskatchewan and in Canada.

The participation of the postdoctoral community in the internalization of the campus needs to be recognized.

Recruitment in Canada needs to be intensified.

More spousal accommodation would enable our country to take greater advantage of the proven talent of its men and women scientists.

Recommendation 15: Appointment Process

The workflow of the appointment process should be considered for streamlining.

Recommendation 16: Communication

The University of Saskatchewan should consider building stronger channels to reinforce communication with PDFs.

Recommendation 17: Feedback

PDFs' satisfaction should be measured during and at the end of their appointment.

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Appendix 1

Questionnaire
Postdoctoral Administration Comparative Study

1. What is the appointment process at your university and who does it?

2. If PDFs are appointed as employees, is a LMO (Labor Market Opinion) required for the international PDFs at your university?

3. What administrative structure supports the PDFs management (office? How many people involved? What are their responsibilities?)

4. Do you have a database to track the fellows? If yes, what kind of database it is and who is responsible for its management and update? How it is updated? When PDFs leave the institution, how do you know (change PDFs status)?

5. Do you have a policy manual available for post-doctoral fellows and administrators?

6. Does your institution policy allow post-doctoral fellows to apply for grants (is there a restriction on the types of grants for which PDFs may apply)?

7. Does your institution allow PDFs to manage research grants/ funds?

8. Do you plan and realize professional development opportunities? If yes, who is responsible for those activities, and what are they?

9. Are postdoctoral fellows allowed to participate in graduate studies (participate on graduate committees (supervision, committee membership, etc.))? If yes, how?

10. What is the minimum financial support level for postdoctoral fellows at your university?

11. Is there centrally funded support for PDFs at your institution? If yes, what is the form (program of supporting PDFs centrally)?

12. Within what period would a PhD graduate be eligible for an appointment as a PDF (within five years of completing the PhD)?

13. Is there a maximum duration for individual appointments (does this involve renewals)?

14. Who can supervise post-doctoral fellows at your university (credentials: PhD only or also MD)?

15. In your opinion, what professional development is most highly sought by PDFs?

16. In your opinion, what are some of the highest priorities and some of the greatest challenges for institutions with PDFs?

17. How do you stay connected with PDFs on your campus (surveys, communications, newsletters, blogs, etc.)

18. How do you measure PDFs satisfaction?

Appendix 2: Policy, University of Alberta
Most Recent Approval Date: June 21, 2013

Postdoctoral Fellows Policy

Office of Accountability:	Office of the Vice-President (Research) and Office of the Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Postdoctoral Fellows Office
Approver:	Board of Governors
Scope:	Compliance with University policy extends to all members of the University community.

Overview

Postdoctoral Fellows (PDFs) are valued members of the University community and make an indispensable contribution to its research environment. PDFs are appointed as part of the academic activities of the University of Alberta.

Purpose
To state the University's position on PDFs.

POLICY

1. The University of Alberta considers PDFs trainees rather than employees. As such,
    a. initial appointments must occur within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent. These time limits may only be extended by the Vice-President (Research) or designate, due to circumstances requiring an interruption in the PDF's research career.

    b. appointments are for a limited period of time, from a minimum of three months to a maximum of five years. This time limit may only be extended by the Vice-President (Research) or designate due to circumstances requiring an interruption in the PDF's research career. For those not holding permanent resident status, extension of the appointment will be subject to immigration approval.

    c. PDFs train under the general supervision of a **faculty member**(s)**,** as a member of a research group or as an individual researcher, and may assist with the supervision of graduate students.

    d. PDFs may apply in open competition for a faculty position.

    e. with the prior agreement of the supervising faculty member(s), PDFs may undertake teaching responsibilities up to a maximum of one full course per term.

    f. PDFs may be issued time-limited work permits for positions offering a stipend or salary. They are exempt from advance approval from Service Canada under confirmation exemption code C44 of the Citizenship and Immigration Canada's *FW1 Foreign Worker Manual*.

2. Individual faculty members or a group of faculty in consultation with the **unit head** may invite a PDF to join them as a trainee in a collegial relationship. The faculty member(s)

a. is responsible for sending out the appointment letter to the PDF, which stipulates the terms and conditions of the appointment.

b. is responsible for the determination of the nature and scope of the scholastic and research activities and for supervision and feedback with respect to those activities.

c. and the department unit head are responsible for ensuring that there is sufficient office and/or laboratory space for PDFs.

d. will provide an environment wherein other applicable skills and/or knowledge may be acquired by the PDF (e.g. career planning, teaching experience, team/collaborative research, and specific career skills, which may include writing grant applications, critiquing papers and proposals, managing a laboratory, mentoring students, communication with non-specialists, and multi-disciplinary research).

e. is responsible, with the PDF, for developing at the start of the appointment period a clear understanding of rights and obligations under the policies and procedures on research, patents, conflict of interest, fraud and any other relevant issues.

f. will ensure that PDFs are appropriately recognized for their contributions in research outcomes, including publications, patents, teaching and service to the University.

g. will provide whatever resources are required to support the collaborative research activities.

h. shall ensure that all PDFs and their eligible dependents are enrolled in the University Postdoc Supplemental Health Insurance Plan, unless their spouse/partner has comparable coverage.

3. All PDFs, both on and off campus, must be registered and administered through the **PDF Office**, regardless of whether the funding comes directly from the **funding agency** or through the University.

4. PDFs must

a. comply with all University and applicable funding agency policies and procedures.
b. comply with the provincial and federal legislation and any **professional codes of ethics** governing the practice of their discipline.
c. be responsible as a precondition to contact a Canadian embassy, consulate or visa office abroad to arrange an appropriate work permit and, if required, a temporary resident visa and/or medical examination if they are neither Canadian citizens nor permanent residents.

5. **Disputes** involving PDFs and another member of the University community shall be resolved in accordance with the *Postdoctoral Fellows Dispute Resolutions Procedure*.

6. A formal complaint against a PDF shall be handled according to the *Postdoctoral Fellows **Discipline** Procedure*. Nothing shall prevent the University from referring an individual matter to the appropriate law enforcement agency or professional body should such action be considered necessary.

7. PDFs may receive a Certificate of Postdoctoral Study (Training) recognizing completion of their appointment. The certificate is not an academic credential.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use.	
Postdoctoral Fellows (PDFs)	Individuals who are appointed as research trainees normally within five years from the completion of a doctoral degree or 10 years from the completion of a MD, DDS or equivalent.
Faculty Member	University faculty member who has been designated to oversee the activities associated with the scholastic opportunity of the PDF.
Unit Head	Applies to Chair of a Department, Dean of a non-departmentalized faculty, Director of an Institute.
Postdoctoral Fellows (PDF) Office	The office that has been designated to register the PDFs at the University and to provide formal administrative services.
Funding Agency	Either the University or another institution or agency that provides the funding to the PDF.
Professional Codes of Ethics	All provincial and federal Codes of Ethics or Codes of Conduct governing the relevant profession and the practice of its discipline.
Dispute	A serious disagreement between a PDF and another member of the University community regarding matters other than the violation of University policy and procedures.
Discipline	Administrative consequences for dealing with a formal complaint brought against a PDF who has violated University policies or procedures.

FORMS

Should a link fail, please contact uappol@ualberta.ca. **[▲Top]**
Postdoctoral Fellows' Letter of Offer (University of Alberta)
Request for Certificate of Completion Form (University of Alberta)

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca.
Conflict Policy - Conflict of Interest and Commitment, and Institutional Conflict (UAPPOL)
FW1 Foreign Worker Manual, Confirmation Exemption Code C44 (Government of Canada)
Fraud and Irregularity Policy (UAPPOL)
Immigration and Refugee Protection Act [regulations 124(1)(c), 124(2), 125, 126, 127(a) and (b), 128(a) and (b)] (Government of Canada)
Patent Policy (UAPPOL)
Postdoctoral Fellows Office (University of Alberta)
Research Policy (UAPPOL)

PUBLISHED PROCEDURES OF THIS POLICY

Postdoctoral Fellows Appointment Procedure
Postdoctoral Fellows Discipline Procedure
Postdoctoral Fellows Dispute Resolution Procedure

Appendix 3: Concordia University

GUIDELINES FOR POSTDOCTORAL FELLOWS

As per *Policy on Postdoctoral Fellows* (VPRGS-4)
Last Updated – March 2012
These Guidelines are related to the *Policy on Postdoctoral Fellows* (VPRGS-4) and reflect
current practices concerning *Postdoctoral Fellows.*

GUIDELINES FOR POSTDOCTORAL FELLOWS
As per *Policy on Postdoctoral Fellows* (VPRGS-4)
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GUIDELINES FOR POSTDOCTORAL FELLOWS
As per *Policy on Postdoctoral Fellows* (VPRGS-4)
Last Updated – April 2011
These Guidelines are related to the *Policy on Postdoctoral Fellows* (VPRGS-4) and reflect
current practices concerning *Postdoctoral Fellows.*

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. The standard PDF vacation allowance is in accordance with: 1. the norm for employees at Concordia University in their first year of employment as per the ACUMAE labor agreement at Concordia, "all employees are entitled to vacations, the duration of which is determined as follows: a) the employee with less than one (1) year of seniority of the current year is entitled to one and two-thirds (1 2/3) paid days of vacation for each month worked in the University from her/his date of hire to a maximum of twenty (20) working days"; and 2. the Commission des normes de travail du Quebec, whose policy states that "employees with less than one year of uninterrupted service are entitled to one vacation day per month without exceeding two weeks".

1.2. Stipend
1.3.
Stipends for PDFs are normally commensurate with the funding ranges specified by the federal and provincial granting agencies. The ability to exceed these government rates will be determined by the PDF's mentor(s)/supervisor(s) upon consideration of the available funding source(s).

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 educational program ("PDF Program") once registration with the Postdoctoral Office is complete. The PDF Program 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

PDFs will automatically be registered for PDF "courses" ("courses" listed in the "PDF Program" are for administrative purposes only). Registration will be dependent upon the duration of the PDF's appointment and will be identified by the number of weeks a PDF is registered in a given semester.

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 required to create a Netname 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 accepted Letter of Invitation 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. **GUIDELINES FOR POSTDOCTORAL FELLOWS** Page **6** of **18**

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 responsibility 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 training 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. 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
- 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 Ac*t, [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).

4.1.2. 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.

4.1.3. 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. **GUIDELINES FOR POSTDOCTORAL FELLOWS** Page **8** of **18**

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 the health benefits program below that is offered to our international PDFs. Information pamphlets on this benefits program are available at the Postdoctoral Office.

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.

Medi-Select Advantage® Insurance 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- <u>Health and Hospitalization Insurance for International PDFs</u>

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. For more information, PDFs should:

   o Read their brochure
   o Download the application/rates to apply by mail or fax, or apply online.

2- <u>Emergency Medical Insurance for International PDFs</u>

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. For more information, PDFs should:
   o Read their brochure
   o Download the application/rates to apply by mail or fax.

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 stipend paid to PDFs in conducting PDF activities is the sole responsibility of the PDFs.
For PDF stipends, the University will deduct applicable federal income taxes at source from each payment to the postdoctoral fellow. The University, however, will not withhold Canada Pension Plan, Employment Insurance or other deductions on stipends. For provincial income tax, PDF stipends will be reported as scholarship income to Revenu Québec. 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/

4.3.1 Canada Revenue Agency and the T2202A Form
(Education and Textbook Amounts Certificate)

As a result in recent amendment to federal taxation legislation, the University will not issue T2202A forms to PDFs.

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 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 train in research 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:

- send the Letter of Invitation

- 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

- oversee and sign-off on the Letter of Invitation from proposed supervisor(s)/mentor(s)

- provide orientation of the lab and/or office space

- oversee extension/renewal of PDF appointments

- refer PDFs to the Conflict Resolution Procedures, if needed

- refer mentor(s)/supervisor(s) to the Disciplinary Procedures, if needed.

5.4. Postdoctoral Office

The Postdoctoral Office shall:

- 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

- provide a forum for PDFs to network

- provide timely information and guidance to Departments, Faculties, and PDF supervisor(s)/mentor(s)

- 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 **GUIDELINES FOR POSTDOCTORAL FELLOWS** Page **15** of **18**

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 mentor(s)/supervisor(s) and the Faculty Dean outlining the terms of this extension/renewal. The PDF shall sign this extension/renewal letter to indicate acceptance and shall return it to the Faculty Dean, who shall forward a copy to the mentor(s)/supervisor(s) and the Postdoctoral Office.

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.

Appendix 4: Dalhousie University

TERMS AND GUIDELINES

Who can be a Postdoctoral Fellow?

If a person has completed all of the requirements for his or her PhD within the last six years (all courses, thesis, defence, and final submission of thesis copies to the university) and is just waiting to graduate, he/she can begin a Postdoctoral Fellowship. If a person has not yet defended his or her thesis, he/she is not eligible to be a Postdoctoral Fellow.
A Postdoctoral Fellow cannot hold an academic appointment at Dalhousie University.

For how long can I be a Postdoctoral Fellow?

The Postdoctoral Fellowship is intended as a continuation of the apprenticeship process, culminating in a fully-qualified scientist or scholar. The Postdoctoral Fellowship also gives such scientist scholars an opportunity to create an independent research program. On these principles, a Postdoctoral Fellowship can be held at Dalhousie University in the six years following completion of his or her PhD. For example, a person who finished his or her PhD in 2011 is eligible to be a Postdoctoral Fellow until December 2017.

Can MDs be Postdoctoral Fellows?

Yes. MDs are eligible to be PDFs as long as they have obtained their MDs within ten years of the date of the application.

Who administers Postdoctoral Fellows at Dalhousie University?

The Faculty of Graduate Studies has responsibility for the oversight of the PDF programs and policies, and for approving the classification and terms of the PDF fellowships.

The faculty supervisor is responsible for ensuring the PDF is adequately supervised and administered in compliance with university policies.

Appendix 5: University of Ottawa

Policy on postdoctoral appointments

The University of Ottawa considers that postdoctoral fellows (PDF) are an integral part of the University community and contribute to its mission. It therefore wishes to offer postdoctoral fellows official status, enhance the value of their experiences, and offer services meeting their needs. The University expects in return that postdoctoral fellows will comply with university policies, and will recognize their affiliation with the University in their publications and in their participation in scholarly meetings and endeavours. University of Ottawa postdoctoral appointments are based on the following:

- Appointments are viewed as preparatory training to gain experience for a full-time academic or research career and not as a source of continuing employment.
- Appointees work under the supervision of a faculty member at the University or one of its affiliated institutes.
- Appointees are funded either through a stipend received from their supervisor or a fellowship.
- Appointees have the freedom to, and are expected to, publish the results of their research or scholarship during the period of their appointment.
- The minimum length of an appointment is ususally six months.
- Registration in a postdoctoral fellowship at the University of Ottawa should not exceed the fifth year of post-PhD training (including previous postdoctoral appointments at the University of Ottawa or elsewhere).
- Initial registration for a postdoctoral fellowship at the University of Ottawa should take place within four years of completing a PhD (this period may be extended for recipients of postdoctoral fellowships from recognized external agencies if the agency's eligibility period differs from that of the University of Ottawa).
- Appointments involve substantial full-time research or scholarship; valid reasons for part-time work or reduced financial support include only maternity, parental and sick leaves.

For postdoctoral appointments, a minimum level of funding (stipend or fellowship) is required. This funding level is approved by the UO Research Commission and is currently set at $34,000 per year. The funding received from part-time teaching appointments at the University can also be considered in order to reach the minimal level of funding.

We recommend postdoctoral appointees and their supervisors complete a non-binding Individual Development Plan (IDP) in order to define their respective expectations for the postdoctoral appointment. Each academic unit is free to develop its own version of such a plan. An IDP template is available online. Registering a postdoctoral appointment at the Faculty of Graduate and Post-Doctoral Studies (FGPS) provides an appointee with official status and access to a testimonial of completion, a conference travel grant and some of the activities offered through the Altitude professional skills-development program.

Note:

Some external granting agencies approve only two- or three-year postdoctoral appointments. It is the responsibility of both the supervisor and the postdoctoral fellow to check the regulations of the granting agency.

Appendix 6: Queen's University

Postdoctoral Fellows

Postdoctoral Fellows (PDFs) are valued members of the Queen's community and make an indispensable contribution to the research environment of the University. As trained researchers, normally with limited or no teaching responsibilities, they have the opportunity to make a significant contribution to their chosen field. As members of a research group, they can form partnerships with faculty researchers and can guide graduate students.

Persons usually accept a Postdoctoral Fellowship for a limited period of time, normally for two or three years. In the sciences, the customary pattern is to seek to broaden one's research expertise under the guidance of an established researcher. In all disciplines an important objective is to strengthen one's publication record and CV, thereby building a reputation and enhancing one's chances of securing a more permanent faculty or research position.

In some cases, the Postdoctoral Fellowship is accompanied by a letter of academic appointment from the Principal. In other cases, however, the status of the PDF has not been adequately covered by any existing policy statement. The "Terms and Conditions of Employment of Persons Employed on Grants and Contracts" at Queen's University, as issued in January 1991 and amended in September 1992, specifically excludes PDFs. The rationale for this exclusion is the consideration that a person completing a doctoral degree does not normally seek a Postdoctoral Fellowship as a career position. Such positions usually Provide a transition between the doctoral degree and a more permanent position in academia or in research. The following statement defines policy, benefits and access to facilities and resources of the University for PDFs.

Policy
Definition

Postdoctoral Fellows (PDFs) are considered to be those individuals who are designated as such by external funding agencies or those who are within five years of completion of their doctoral degree. This five year period may be delayed by circumstances requiring a break in research career, e.g. by parental responsibilities.

Persons within five years of completion of their doctoral degree need not necessarily be designated a PDF, but could accept a contract research position at the University. Researchers who have held a doctoral degree for more than five years are normally considered contract employees and their employment at Queen's University is governed by the "Terms and Conditions of Employment of Persons Employed on Grants and Contracts".

PDFs can receive funding from grants or contracts held by faculty at Queen's or from departmental resources. PDFs can also secure personal funding from external sources, including competitive fellowship programs. Because this policy statement includes reference to benefits, this aspect of the policy applies only to those PDFs whose salaries are paid by Queen's through the Human Resources, Compensation Unit or for whom arrangements are made for the employer's and employee's benefit contributions to be paid from a Queen's account.

Recruitment

Faculty may recruit PDFs by whatever method they deem appropriate, e.g. by personal contacts, or by advertisement in the local, national or international press. However, when recruiting PDF's, faculty members must adhere to relevant legislation, such as the Human Rights Code and Employment Standards Act. Information on human rights and employment standards legislation is available from Human Resources. Faculty members should consider Queen's employment equity goals when recruiting PDFs.

Faculty should be aware of restrictions placed upon the recruitment of PDFs by Employment and Immigration Canada.

Appointment

An individual faculty member or group of faculty may invite a PDF to join them as a research colleague. The letter of invitation to come to Queen's must specify:

1. the term of appointment as PDF
2. salary or stipend arrangements (whether funding is from external or internal sources or a combination of both)
3. the nature of the research to be undertaken
4. any special conditions

The PDF must accept this letter of invitation in writing.

A PDF will be associated with one or more faculty colleagues for the purpose of research collaboration. It is the responsibility of the faculty colleagues to provide whatever resources are needed to support the collaborative research activities.

For a PDF to be recognized at Queen's University under the terms of this policy statement, the Authorization to Pay a Regular Monthly Salary form and the Postdoctoral Fellow Appointment Form must be completed and submitted to Human Resources. By signing these forms, the Head of Department accepts the PDF as a member of the department.

Some PDFs may also have a special academic appointment at Queen's University in recognition of assigned teaching responsibilities.

Salary or Stipend

PDFs may be funded by external awards, by payments from grants or contracts held by faculty, or from a combination of sources.

Queen's University does not specify a salary range for PDFs. Those receiving support from sources at Queen's do so by mutual agreement with their faculty colleague(s) who have signing authority over the funding.

It is noted that some external agencies do specify salaries for PDFs. For example, NSERC awards Postdoctoral Fellowships at $35,000 per year and specifies that postdoctoral fellows may be paid stipends at a minimum rate of $25,000 per annum as of April 2000. SSHRCC Postdoctoral Fellowships are presently of value $28,428 annually and are usually supplemented by the University in recognition of the teaching duties normally associated with such positions.

Employment Status

PDFs are considered to be employees of Queen's University. As such, PDFs are governed generally by the policies of the University. However, they are not governed by Queen's personnel policies for support staff, contract staff, or faculty except where noted in this document. PDFs are entitled to hold appropriate staff cards, thereby gaining access to library and athletic facilities.

By application to the Department of Information Technology Services, PDFs may have a computer account established in their own name and will be given the same computing resources to which faculty are entitled. The names of newly appointed PDFs will be included in the following issue of Queen's University's Telephone Directory.

Benefits

PDFs who are paid through Queen's are entitled to the following plans:
- Canada Pension Plan
- Employer's Health Tax (O.H.I.P., subject to Ministry of Health, O.H.I.P. eligibility)

- Employment Insurance Compensation

- Workers Compensation

In addition, PDFs may elect to participate in the following optional plans:
- basic life insurance

- optional life insurance

- long term disability insurance (for PDFs with appointments of at least 12 months)

- supplementary medical plan

- semi-private hospitalization

The faculty colleague(s) are responsible for paying the employer's contribution to these benefits, and this amount will be debited monthly from the account identified by the faculty member(s) on the Authorization form. The employee's contributions to these benefits are debited from the PDFs salary payment by Human Resources, Compensation Unit.

PDFs who receive funding from an external source are eligible only for the optional benefits plans as described above. The faculty colleague(s) are responsible for paying both the employer's and the employee's contribution to these benefits and this amount will be debited monthly from the identified account. The faculty colleague(s) may wish to recover the employee's contribution from the PDF by reimbursement to the account from which benefit payments are debited.

In accordance with Ontario Pension Benefits legislation, PDFs may choose to participate in the Queen's Pension Plan after a period of two continuous years of employment if they have earned 35% of the YMPE (Canada Pension Plan annual maximum pensionable earnings; the 2001 maximum being $38,300) or worked at least 700 hours in each of two consecutive years. PDFs can elect to join the plan before the

completion of this two year period, provided that the faculty colleague(s) are prepared to pay the employer's contribution to the Plan.

Information on the cost sharing of premiums can be obtained from the Human Resources, Compensation Unit. The faculty colleague(s) are responsible for paying the Queen's contribution. Note that contributions for long term disability insurance, optional life insurance, and semi-private hospitalization are paid entirely by the PDF.

PDFs must sign on for any optional benefits at Human Resources, Compensation Unit, and coverage is not effective until the necessary enrollment documentation is completed.

Other employer provided benefits for which PDFs are eligible include sick leave, general or compassionate leave, voting day, bereavement leave, jury or witness duty, maternity and parental leave, leave without pay, and the Employee Assistance Program, as described in the Queen's University Staff Policy Manual.

PDFs who accept stipends from an external agency without arrangements being made for employer and employee contributions to be paid through a Queen's account are not eligible for any of the above benefit plans. Such persons are advised to make separate arrangements for required benefit plans and insurance coverage outside the University.

Central Fund

In order to provide for payments to PDFs and contract employees necessitated by sick leave, maternity or parental leave, and benefit continuation for persons receiving long term disability benefits, a Central Fund has been established. Thus, in addition to being responsible for paying the employer's contribution for benefits mandated by law or elected by the PDF, the faculty colleague(s) will contribute a further amount equal to 1% of the salary or stipend paid to a PDF. This Central Fund effectively provides internal insurance for principal investigators and spreads unanticipated personnel employment expenses over all PIs at Queen's University. Reimbursement from the Central Fund can be arranged by contacting Human Resources.

The faculty colleague (or external agency) is responsible for paying the first month's salary/stipend of a PDF on sick leave. Thereafter, on presentation of a statement from the PDF's physician, continued sick leave up to a maximum of five months will be paid from the Central Fund. Absence beyond a six-month continuous period can be insured (with premiums paid entirely by the PDF) and covered under the Long Term Disability Income Plan (if the PDF has chosen this benefit).

The Central Fund will pay for salary and benefits during maternity and parental leave, unless such payments are covered by an external agency, in accordance with Queen's policy.

The Central Fund will pay employer benefit costs associated with long term disability.

It is recognized that many PDFs wish to obtain a faculty position at a university, and it is therefore desirable for them to obtain some teaching experience. It is also recognized that PDFs are an intellectual resource in the University and that both undergraduate and graduate programs would benefit from their participation. PDFs could usefully be involved in undergraduate and graduate lecturing, tutorials, supervision of undergraduate projects, and assistance with the supervision of graduate students.

PDFs should discuss their desire to participate in the teaching activities of the department with their faculty colleague(s) and with the Head of Department. The assignment of teaching duties and any payment therefore is entirely the responsibility of the Head of Department and the appropriate dean.

Courses

PDFs may audit any undergraduate or graduate courses with the permission of the instructor. PDFs may take courses for credit under the status of Special Student, as described in the Calendar of the School of Graduate Studies and Research. PDFs are not eligible for tuition reimbursement under Queen's Tuition Assistance Program.

Vacation

PDFs are entitled to three weeks vacation per year, in addition to public holidays and other observed holidays available to faculty and staff by agreement with the University.
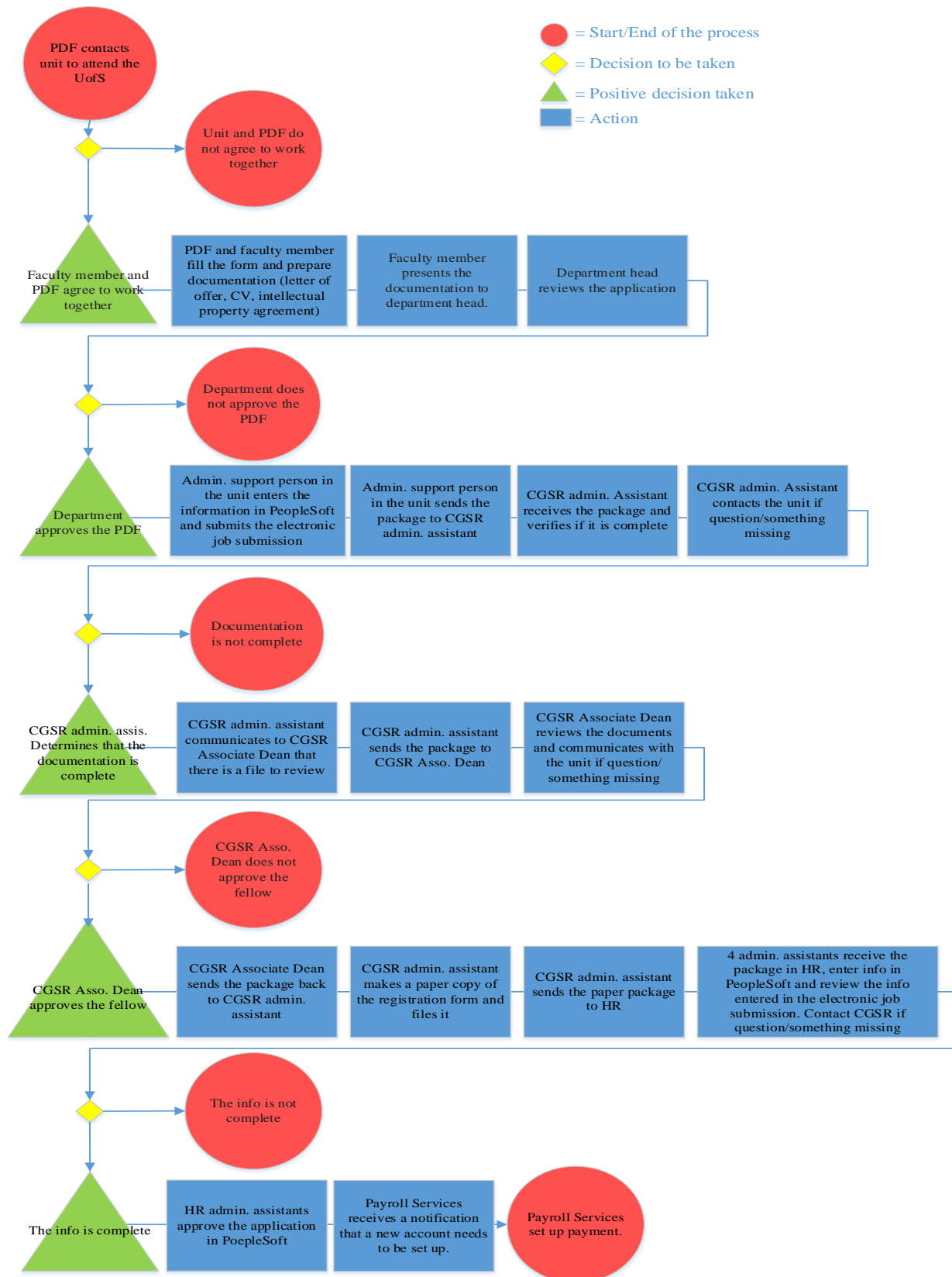
Grievance Procedures and Sexual Harassment

Policy with regard to Grievance Procedures and to Sexual Harassment is consistent with the corresponding sections of the Queen's University Staff Policy Manual and senate policies governing the same.

Termination

In accordance with Queen's policy, the appointment of a PDF may be terminated with appropriate written notice.

Appendix 7: University of Saskatchewan, Detailed Workflow – Postdoctoral Administration

Legend:
- ● = Start/End of the process
- ◆ = Decision to be taken
- ▲ = Positive decision taken
- ■ = Action

PDF contacts unit to attend the UofS

→ ◆ → **Unit and PDF do not agree to work together**

▲ **Faculty member and PDF agree to work together** → ■ **PDF and faculty member fill the form and prepare documentation (letter of offer, CV, intellectual property agreement)** → ■ **Faculty member presents the documentation to department head.** → ■ **Department head reviews the application**

→ ◆ → **Department does not approve the PDF**

▲ **Department approves the PDF** → ■ **Admin. support person in the unit enters the information in PeopleSoft and submits the electronic job submission** → ■ **Admin. support person in the unit sends the package to CGSR admin. assistant** → ■ **CGSR admin. Assistant receives the package and verifies if it is complete** → ■ **CGSR admin. Assistant contacts the unit if question/something missing**

→ ◆ → **Documentation is not complete**

▲ **CGSR admin. assis. Determines that the documentation is complete** → ■ **CGSR admin. assistant communicates to CGSR Associate Dean that there is a file to review** → ■ **CGSR admin. assistant sends the package to CGSR Asso. Dean** → ■ **CGSR Associate Dean reviews the documents and communicates with the unit if question/ something missing**

→ ◆ → **CGSR Asso. Dean does not approve the fellow**

▲ **CGSR Asso. Dean approves the fellow** → ■ **CGSR Associate Dean sends the package back to CGSR admin. assistant** → ■ **CGSR admin. assistant makes a paper copy of the registration form and files it** → ■ **CGSR admin. assistant sends the paper package to HR** → ■ **4 admin. assistants receive the package in HR, enter info in PeopleSoft and review the info entered in the electronic job submission. Contact CGSR if question/something missing**

→ ◆ → **The info is not complete**

▲ **The info is complete** → ■ **HR admin. assistants approve the application in PoepleSoft** → ■ **Payroll Services receives a notification that a new account needs to be set up.** → ● **Payroll Services set up payment.**

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Appendix 8: University of Saskatchewan

Research and Scholarly Activities

Authorization: Board of Governors University Council
Approval Date: Dec 16, 2004

Definitions

Faculty: means any professional position at or through the University of Saskatchewan that confers the right to hold a research grant and/or supervise research trainees.

Supervisor: means a faculty member with whom the PDF carries out research projects and who is responsible for the guidance of the PDF.

Post-doctoral fellows (PDFs): A PDF is a trainee who holds a Postdoctoral Fellowship.

Guiding Principles

PDFs are valuable members of the university; they contribute immensely to the vitality of the research environment. In general, PDFs come to a university in order to gain additional research experience and expertise. They are here to develop the skills and knowledge necessary to become independent investigators themselves. PDFs are capable of making intellectual contributions to both the conception and the completion of research. It is expected that PDFs are engaged in research projects that provide the challenge necessary for intellectual growth rather than provision of technical support. Conversely, Supervisors can expect that a PDF will contribute significantly to the intellectual development of the research project.

While a PDF should be capable of independent work, the PDF must work on projects that are of interest to the Supervisor, who provides the environment and often the funding that allows the research to be carried out. There is a requirement that the PDF will comply with the University of Saskatchewan policy on the storage of data and share all research results and conclusions with the Supervisor.

A PDF will be supervised by a faculty member who is a member of the College of Graduate Studies and Research.

Normally, PDFs are appointed within three to five years of completion of their Ph.D. or equivalent degree. Appointments as PDFs are for a limited period of time; normally there is an initial one to two year appointment renewable to a maximum of five years. In extenuating circumstances, a Dean may recommend

that the Dean of the CGSR extend the appointment period. This extension will be subject to approval by Immigration authorities for non-Canadians and non-Permanent Residents.

Registration

The College of Graduate Studies and Research shall serve as the oversight organization responsible for the academic and administrative needs of PDFs. All PDFs shall be registered with the College of Graduate Studies & Research. Supervisors shall ensure that registration is updated annually. The information gathered from this process will be used to provide information for both strategic and research planning. (See Registration Form)

Research Responsibilities

The Supervisor is required to provide a research environment suitable for the completion of the research work that the PDF will undertake. The nature of this research should be appropriate to the PDF's desire to gain additional experience.

The PDF must acknowledge the role of the Supervisor in the general direction of the research, and provide all research findings to the Supervisor in a timely and cooperative manner. The Supervisor has responsibility for the management of the research space and activity to ensure compliance with University policies including certificates for Animal Care and Human Ethics. The Supervisor will ensure that the original copy of research data is stored in their office or other working space for a period of five years.

Intellectual Property

Intellectual property is the term used to describe the creative results of research and scholarly activity which may have immediate realizable value or value upon further development and commercial use or production. It may take various forms, such as patentable discoveries and inventions, copyrightable works (books, paintings, photographs, computing software, graphics, etc.) non-patentable technical knowhow and trade secrets. Ownership of intellectual property rests in the creator but is assignable. University faculty and administrative personnel assign certain intellectual property ownership rights to the University on appointment.

The Supervisor will inform a PDF of any prior intellectual property agreements covering any research work that they are to undertake. The commitments made in the agreements, and any benefits or the lack thereof must be communicated in writing to the PDF. A copy of this intellectual property agreement must accompany the registration, along with an acknowledgement by the PDF that the conditions are understood.

Similarly, the Supervisor will involve PDFs in any intellectual property agreements for any research work that the PDF will be involved in that may yield patentable or commercial benefits.

PDFs may contact the Dean of Graduate Studies & Research for guidance with respect to their role in intellectual property agreements.

Recruitment

Recruitment practices vary between departments and colleges. Common practices are through recommendations by a faculty member from another institution, networking at conferences, by advertising in various electronic or paper media, and by successful applications for fellowships from various granting agencies.

Selection

Faculty members who have funding to support a PDF usually conduct the selection process personally. They retain copies of the documentation in their appointments files. In some departments, the CVs of potential candidates may be circulated to other members for their assessment. Telephone interviews may be conducted.

Required documentation consists of a CV, letters of reference, and official transcripts forwarded directly from the granting institutions. The supervisor may also request copies of research papers in press or submitted, and perhaps a brief research proposal.

Before a Letter of Offer is sent to the prospective PDF, the required documentation and a recommendation to appoint the PDF must be provided to the Dean, CGSR, who will authorize the appointment. The required documentation (original materials will then be forwarded to the Human Resources Division which is the repository of all personnel files except those for faculty). Copies may be kept in the departmental appointments files.

Appointment Procedures-See Procedures for Applying to Register PDFs with CGSR

Notice
A notice of thirty days for resignation or termination of the PDF is expected.
Remuneration
Awards to PDFs vary considerably depending on the source of funds. Granting agencies often specify the level of award. In those cases where there are no specific guidelines, the University of Saskatchewan

requires that PDFs receive a minimum salary of at least 1.75 times the Ph.D.-level University Graduate Scholarship award (currently $35,000).

The University of Saskatchewan normally expects PDFs to be fulltime researchers. Under exceptional circumstances and with the recommendation of the administrator responsible for the unit in which the PDF is employed, part-time or partial appointments, prorated as per minimum salary requirement, may be approved by the Dean of Graduate Studies & Research.

Benefits

Since PDFs are appointed to trainee positions they are not considered to be in an employment relationship and as such are not subject to legislated labour benefits.

Although as a trainee, paid vacation for PDFs is not mandatory, it is a principle the University supports. Therefore, the PDF should be provided with a minimum of three weeks' vacation time per year (earned at a minimum rate of 1 1/4 days/month). Vacation time should be taken prior to end of their term at a mutually agreed-upon time. Consistent with the academic tradition, vacation pay for time not taken is not normally paid upon termination.

PDF Research Allowances

Many agencies, which provide direct funding to PDFs from national competitions, also provide small research allowances. These research allowances when administered by the University of Saskatchewan must be held by a faculty member or equivalent, who must ensure the application of University policies to the management of these accounts.

Different agencies have specific rules concerning these allowances, about which the Research Services office, Research Administration, will provide advice. However, most of the granting agencies that provide these funds do so for the benefit of the PDF, not the benefit of the Supervisor. These funds are often intended to provide a benefit (e.g. travel for meetings and conferences, journal subscription, computer & software, and possibly moving expenses, etc.) that might not be normally available to other PDFs from the Supervisor's funding. These funds are not to be used to provide for the normal costs of research, which are the Supervisor's responsibility.

In the absence of regulations from the Granting Agency, all items purchased with these funds remain the property of the University of Saskatchewan. Transfer of ownership may be arranged subject to application.

Teaching

The University and most granting agencies encourage PDFs to participate in a limited amount of teaching activity as part of their funded activity. Normally, teaching will be limited to a maximum of three credit units per annum. Appropriate compensation for teaching will be made. As the primary purpose of a PDF is to conduct research rather than to gain teaching experience, a PDF who intends to teach should discuss this with the Supervisor before applying in order to establish whether or not the terms of the grant or fellowship allow teaching. The Supervisor must also be satisfied that the research obligations and responsibilities of the PDF will not be negatively affected by any teaching duties and responsibilities.

Transferability

Many of the granting agencies which provide funding directly to the PDFs from national competitions and from some provincial competitions will consider applications for transfer to another Supervisor for both sound career development reasons and/or as a result of conflicts (see below). The University of Saskatchewan will attempt to facilitate, but cannot guarantee, such transfers.

Conflict Resolution

The academic home for PDFs is the College of Graduate Studies & Research.

A PDF experiencing some difficulty with his/her Supervisor should attempt to resolve the issues directly with the Supervisor in the first instance. Only if such an attempt has been made and rejected or failed, should the PDF then seek the intervention of an authority.

PDFs should then bring any problems related to supervision to the attention of a Dean, Department Head or a Director. PDFs supervised by adjunct professors should approach the head of an academic department in which the adjunct professor holds appointment (see registration form).

At any time, PDFs may bring their concerns to the attention of the Dean of Graduate Studies and Research. The Dean, in cooperation with the Office of Research Services, will facilitate any subsequent actions that involve the granting agencies.

Likewise, Supervisors should attempt to solve any problems within their academic unit, but may bring matters concerning PDFs to the attention of the Dean of Graduate Studies and Research.

Contact: Associate   Dean,   College   of   Graduate   Studies   and   Research   (966-5759)
Web Site & Forms: http://www.usask.ca/cgsr/for_fac_staff/postdoctoral.php

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NOTE: Although not part of the PDF Policy approved by the Board of Governors, the following health and dental coverage and life insurance availability is available through the Graduate Students' Association by separate arrangement:

Health and Dental coverage is available on an opt-in basis effective September 1, 2006 through the Graduate Student Association (GSA). For more information concerning the Plan, fees, and benefits visit http://www.studentcare.net/ and select "University of Saskatchewan graduate students (GSA)" from the drop-down menu. Telephone (306) 933-0093 or Toll-free at 1 877 795-4428.

Life insurance is also available through StudentCare.

Policies for Post-doctoral Fellows

Description

A post-doctoral fellowship (PDF) provides an important stage in the transition from graduate student to independent scholar. Post-doctoral fellows are, in essence, trainees, who contract with the University to provide their services in exchange for developmental opportunities provided by the University. They are not employees. In light of the transitional nature of their status, post-doctoral fellowships are time-limited and are not ongoing.

Criteria

A post-doctoral fellow must meet the following criteria:

- The post-doctoral fellow was recently (normally within 5 years) awarded a Ph.D. or equivalent degree.
- The engagement is temporary.
- The engagement involves providing research or scholarship services on a full-time basis.
- The engagement is preparatory for a full-time academic and/or research career.
- The services of the PDF must meet the standards set by a faculty member ("the faculty supervisor").
- The post-doctoral fellow is not registered in another training program (e.g. clinical post-graduate training).

Term

The maximum initial term of engagement is three years. In special circumstances, a further extension of up to three years is permitted with Decanal approval in multi-department faculties, and Provostial approval in single-department faculties. The engagement shall expire, without any further payment obligations by the University, on the date specified in the letter of engagement. However, it may be terminated at any time by the University for cause (a material failure to meet the specified service standards), in which case the postdoctoral fellow is not entitled to any further payments beyond those earned for services provided up to the date of the termination of the engagement. Early termination of the engagement may also occur if either party provides two months' notice in writing to the other party, or, in the case of the University, if it provides a payment in lieu of notice equivalent to the stipend that would have been earned over the course of the notice period.

Terms and Conditions

Administrative procedures for engagement of post-doctoral fellows will be set by the Office of the Provost and reported to the Academic Board. The procedures will include the mechanisms for engagement, terms of engagement letters, and describe stipend levels and other support. As a trainee providing services as an independent contractor, rather than as an employee, the post-

doctoral fellow is responsible for his/her own tax obligations, and the stipend paid by the University is not subject to withholding by the University for income tax, Canada Pension Plan, Employment Insurance or similar payments.

The conduct of post-doctoral fellows is to be governed by the appropriate policies and procedures as applied to graduate students (with changes as necessary to reflect their status as trainees), including, but not limited to, the Code of Behaviour on Academic Matters, the Code of Student Conduct and the Policy on Ethical Conduct in Research.

In the event of a dispute with the University's employees, whether the supervising faculty member or others, post-doctoral fellows have access to a dispute resolution procedure as follows:

- In the first instance, the Chair/Director (or Dean's designate in single-departmental faculties) should meet with the post-doctoral fellow and the faculty supervisor on an informal basis to endeavor to resolve the dispute.

- The Chair/Director should submit a written report within 20 calendar days (excluding statutory and university holidays) of the meeting.

- If unresolved, the dispute can be submitted by either party in writing to the Dean within 20 calendar days (excluding statutory and university holidays) of receipt of the Chair/Director's written report.

- The Dean will meet with the parties and issue a decision in writing within 20 calendar days (excluding statutory and university holidays) of the meeting.

- If either party is not satisfied with the response, the parties shall arrange mediation by a senior faculty member from another Division, who is drawn from a list of individuals nominated by the Dean of the School of Graduate Studies.

- If mediation is not successful, there is no appeal or other further step in the dispute resolution process, and the University's decision at that point stands.

May 27, 2002

Appendix 10: University of British Colombia

Postdoctoral Fellows

Background & Purposes:

The purpose of this Policy is to define the role of postdoctoral fellows at the University and establish the eligibility criteria and terms and conditions for postdoctoral fellow appointments.

Postdoctoral fellows are valued members of the University community and make an indispensable contribution to the research environment of the University. The primary goals of postdoctoral fellows are to strengthen their publication record and broaden their research expertise, thus enhancing their employment and research opportunities. Postdoctoral fellows may also contribute to the teaching mission of the University, and hold teaching appointments.

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1. Scope

1.1. This Policy applies to postdoctoral fellows ("PDFs") who hold appointments at the University. A PDF may be either:

1.1.1.   a PDF who is employed by the University and whose salary is paid in full or in part from grants or contracts held by a University faculty member or from departmental resources ("PDF Employee"); or

1.1.2.   a PDF who has secured funding solely from an external funding organization outside the University and/or fellowship programs ("PDF Award Recipient"). A PDF Award Recipient's earnings may be paid directly by the external funding organization or indirectly through UBC.

2.   **Governing Principles**

2.1. A PDF is an individual in training who has recently completed a doctoral degree and is engaged in research at the University.

2.2. A PDF must be associated with one or more faculty members (the "Supervisor"), who will supervise the PDF and will provide resources to support the PDF's research activities.

2.3. PDF appointments are for a limited period of time. Subject to the requirements of an external funding organization, a PDF typically holds successive one-year PDF appointments at the University, for up to three years. With the approval of the Dean, a person may hold PDF appointments at the University for up to five years. Beyond this appointment period, research work is normally conducted by permanent employees of the University who are appointed as research associates, tenure-stream faculty members, or tenured faculty. Shorter term appointments are permitted in exceptional circumstances but may impact a PDF's eligibility for benefits.

2.4. A PDF may be involved in undergraduate and graduate lecturing, laboratory instruction, tutorials, supervision of undergraduate projects, and assisting with the supervision of graduate students.

2.5. A PDF may hold an additional appointment as a Postdoctoral Teaching Fellow at the University in recognition of assigned teaching responsibilities.

3. Eligibility Criteria

3.1 A PDF must commence the appointment within five years of being awarded a Ph.D. degree or within ten years of being awarded a M.D. or D.D.S. degree; however, this time period may be extended by circumstances requiring an interruption in a research career (e.g. maternity/parental/adoptive leave).

PROCEDURES

Approved: October 1995
Revised: April 2012

Pursuant to Policy #1: Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors." Note: the most recent procedures may be reviewed at http://universitycounsel.ubc.ca/policies/index/.

1. Recruitment

1.1. Faculty members are responsible for recruitment of PDFs.

1.2. Advertisements are not required for PDF recruitment. However, if a PDF Employee position is advertised, the advertisement must include the University's current employment equity statement.

1.3. When recruiting (and supervising) a PDF, faculty members must adhere to relevant legislation, which may include the B.C. *Employment Standards Act* and *Human Rights Code*.

2. Selection

2.1 Faculty members who have funding to support a PDF Employee are responsible for the selection process. The decision to provide financial support to a PDF Award Recipient is made by the external funding organizations granting the award. The decision to invite a PDF to the University will be made by the faculty member(s) who will supervise the PDF, with the approval of the Department Head or Director of an academic unit (the "Head"). For all PDF appointments, the selection process should consider letters of reference, reference checks, recommendations, and academic achievements (e.g. publications, research work, awards).

3. Appointment Process

3.1. All PDF appointments at the University must be processed through Human Resources. A PDF Employee will receive a paid appointment from the University; a PDF Award Recipient will receive an honorary appointment from the University.

3.2. Faculty members, individually or jointly, wishing to invite an individual to the University as a PDF should prepare an offer letter, signed by the Head, in accordance with the applicable offer letter template provided by Human Resources, which specifies the following:

3.2.1. the duration of the PDF appointment and the anticipated duration of the PDFs total appointments at the University;

3.2.2. the financial arrangements (whether funding is from external or University sources or a combination of both);

3.2.3. if applicable, instructions on how to enroll in payroll and benefits;

3.2.4. the nature of the research and the duties and responsibilities of the PDF;

3.2.5. any special conditions applicable to the appointment; and

3.2.6. if applicable, the terms and conditions relating to an appointment as a Postdoctoral Teaching Fellow for any assigned teaching responsibilities.

3.3. Information regarding the terms and conditions of PDF appointments is available through Human Resources and the Postdoctoral Fellow Office as well as the Department and Dean's Office.

3.4. Acceptance of an offer must be confirmed in writing by the PDF.

3.5. For a PDF to be appointed by the University, all appropriate appointment documentation must be completed and submitted to Human Resources, including the individual's appointment form, *curriculum vitae*, social insurance number (for PDFs who receive funding through the University), and immigration authorization (if not a Canadian citizen or permanent resident). By signing the appointment form, the Head accepts the PDF into the academic unit.

3.6. Prior to making a Postdoctoral Teaching Fellow appointment, the Head should inquire about any restrictions by the external funding organization on the amount of teaching that may be assigned to the PDF.

3.7. An appointment as a Postdoctoral Teaching Fellow made after the commencement of a PDF appointment must be in writing and in accordance with the applicable template provided by Human Resources.

4. Immigration

4.1 Upon receipt of appointment documentation from the University, a PDF who is not a Canadian citizen or permanent resident is responsible for obtaining all necessary immigration authorization.

4.2 Upon arrival in Canada, a PDF who receives funding through the University must apply for a social insurance number.

5. Terms of Appointment

5.1. Compensation

5.1.1   A PDF appointment may be funded by grants or contracts held by faculty members, from external funding organizations, by University endowment or operating funds, or from a combination of these sources.

5.1.2   The Supervisor should establish a PDF Employee's compensation following consultation with the PDF Employee and approval by the Head. Compensation must, at a minimum, be in accordance with the B.C. *Employment Standards Act*.

5.1.3   Compensation ranges for a PDF Award Recipient must comply with the policies and regulations of the applicable external funding organization. Where such policies and regulations permit, the Head, with the approval of the Dean, may approve additional compensation for a PDF Award Recipient greater than amount funded by the external funding organization. In such case, the PDF Award Recipient will become a PDF Employee. A PDF's compensation should be based on his or her relevant experience and responsibilities. Current information regarding external funding organization policies and regulations is available through the University's Office of Research Services.

5.1.4 Compensation for Postdoctoral Teaching Fellows is determined by the Head and should be in addition to compensation for research as a PDF.

5.1.5 Information regarding benefits available for all PDFs who meet the eligibility requirements is available through Human Resources. Eligibility is determined based on the total of all consecutive PDF appointments at the University, not the duration of individual PDF appointments.

5.1.6 The University will provide maternity/parental/adoptive leave and sick leave to eligible PDFs in accordance with Policy #86 Extraordinary Expenses – Grant and Contract-Funded Employees.

5.1.7 Vacation time should be taken at a time agreed upon between a PDF and his or her Supervisor and for PDF Employees, must, at a minimum, be in accordance with the B.C. *Employment Standards Act*.

5.1.8 Given the short-term nature of a PDF appointment, compensation is not normally reviewed for the duration of the appointment (including successive appointments).

5.2. Probationary Period

5.1.1 The probationary period for PDF appointments is normally three months.

5.3. Orientation and Assistance

5.3.1. Orientation to the University

5.3.1.1. Human Resources will include PDFs in its regular university-wide orientations. The Postdoctoral Fellows Office will offer a semi-annual orientation designed specifically for PDFs.

5.3.2. Orientation to the Academic Unit

5.3.2.1 The Supervisor, Head and Dean's office are responsible for orienting PDFs to the Department and Faculty. Departmental or Faculty administrators should provide written materials about services, procedures and standards in the Department and Faculty, and useful contacts at the University. The Supervisor is responsible for orientation to the worksite, and for providing information about performance expectations, standards for hours of work, safety procedures and ethical/scholarly integrity issues.

5.3.2.2 The Dean's office of a Faculty, through its Postdoctoral Coordinator, Associate Dean Research or equivalent, is responsible for providing assistance and information to PDFs.

5.3.3 Other sources of assistance include the Postdoctoral Fellows Office, Human Resources, the Work-Life & Relocation Services Centre, and the UBC Postdoctoral Association.

5.4. Role and Responsibilities of the PDF

5.4.1 PDFs are generally regarded as advanced research trainees and should be treated by faculty members as academic colleagues in such matters as departmental communications and social interaction and should be consulted about matters affecting them. 6

5.4.2   PDFs must comply with all regulations and policies of all external funding organizations that provide the PDF with financial support, either directly or through their Supervisor's research funding agreement.

5.4.3   PDFs are subject to and must comply with University policies and procedures, including but not limited to the following:

5.4.3.1. Policy #85 (Scholarly Integrity)
5.4.3.2. Policy #86 (Extraordinary Expenses – Grant and Contract-Funded Employees)
5.4.3.3. Policy #87 (Research)
5.4.3.4. Policy #88 (Patents and Licensing)
5.4.3.5. Policy #89 (Research and Other Studies Involving Human Subjects)
5.4.3.6. Policy #97 (Conflict of Interest and Conflict of Commitment)

5.5. Scholarly Contributions

5.5.1   PDFs should be appropriately recognized for their contributions in publications of research or development of patentable or licensable products. At the start of a PDF's appointment, the Supervisor should establish a clear understanding of the PDF's rights and obligations under all applicable University policies.

5.5.2   PDFs should be encouraged to present their work and publish the results of their research completed before and during their PDF appointment. Timely dissemination of research at scholarly meetings and in publications is considered good professional development. Prior to the commencement of a PDF appointment, a PDF should disclose to his or her supervisor the anticipated time for dissemination of work conducted prior to the PDF appointment.

5.6. Resolution of Disagreements

5.6.1   A Supervisor and a PDF should first attempt to resolve issues themselves through discussion. The Supervisor or PDF may bring unresolved issues to the attention of the Head.

5.6.2   If the Head is not able to resolve an issue, the Head or the PDF may bring the issue to the attention of the Faculty's PDF Coordinator, Associate Dean Research, or equivalent, who will act as an impartial facilitator (the "Facilitator").

5.6.3   A Facilitator or the PDF may refer an issue to either the PDF Associate Dean of the Faculty of Graduate Studies at UBC Vancouver or the Dean, College of Graduate Studies at UBC Okanagan, whose decision on an issue will be final.

5.7. Reappointment

5.7.1   PDF appointments may be renewed annually based on satisfactory performance and availability of funding. A Supervisor should give reasonable notice (normally 3 months) to a PDF of whether he or she intends to request that Human Resources process the reappointment of the PDF.7

5.8. Termination

5.8.1   On the recommendation of the Supervisor, the Head may terminate a PDF's appointment at any time, irrespective of the source of funding.

5.8.2. For a PDF Employee, termination may be:

5.8.2.1. for just cause without notice or pay in lieu of notice; or

5.8.2.2 for any other reason with the greater of one month's notice for each completed year of service or the amount of notice the PDF Employee is entitled to pursuant to the B.C. *Employment Standards Act*. Pay may be provided in lieu of notice.

5.8.3. For a PDF Award Recipient, the Head will determine the manner and timing of the termination subject to any applicable legal obligations.

Appendix 11: Waterloo University

Postdoctoral guidelines

Postdoctoral Fellows (PDFs) at the University of Waterloo are engaged in a variety of research settings and exemplify the substantial variation in postdoctoral training. The university has developed a set of guidelines for PDFs. PDFs are at a unique stage in their careers. The purpose of a PDF position is to aid in the transition from student to independent scholar. In collaboration with a University of Waterloo faculty member, a PDF engages in activities that will further his or her professional development. The PDF position is intended to be transitional. PDFs are appointed for definite terms.

- The postdoctoral fellow was recently (normally within five years) awarded a PhD or equivalent degree from a recognized university.

- The appointment is temporary (time limited).

- The appointment is preparatory for a full-time academic and/or research career.

- The appointment engages a postdoctoral fellow in research and scholarship on a full-time basis as outlined in the appointment letter.

- The postdoctoral fellow is not registered in another training program.

- If permitted by the funding agency or (where he or she is providing the funding) the supervisor, postdoctoral fellows may apply to teach, normally no more than one course per year.

Applying for, and appointing postdoctoral fellows

Each Postdoctoral Fellow (PDF) must be affiliated with a University of Waterloo faculty member whose responsibility it is to recruit, select and supervise postdoctoral fellows. Recruitment techniques include, but are not limited to posting of PDF positions within the faculty member/supervisor's research area in national or local papers, or through web sites. Faculty members may also have PDFs recommended to them by colleagues.

Prospective PDFs are encouraged to visit University of Waterloo department/school or faculty websites to identify individual faculty members who match their research interests. The prospective PDF will make contact to inquire about the possibility of becoming a PDF with the faculty member or her/his research team. An interview is usually necessary.

Appointment

The maximum initial term of appointment is three years. The appointment shall expire, without any further payment obligations by the University, on the date specified in the letter of appointment. Appointment of a PDF requires the approval of the Chair or Director of the department/school and the Faculty Dean. Either the Chair/Director or Dean, on the recommendation of the faculty member/ supervisor, signs an appointment letter which is countersigned by the postdoctoral fellow. The letter is accompanied by a Non-faculty employment form (doc).

Elements of an appointment letter include:

- the duration of the appointment (not more than three years and limited opportunity for renewal for up to a further three years);

- identification of the stipend (minimum $30,000 per annum, regardless of funding source); funding sources (e.g., faculty supervisor's grant or research resources;

- PDF-secured funding from an external granting agency or fellowship program or from a source outside Canada, such as a fellowship from the PDF's home country, university or a corporation);

- any additional funding or additional support (e.g., conference support);

- a description of postdoctoral duties; confirmation of benefits, including health care if applicable, and vacation;

- a statement concerning termination at any time for cause (e.g., failure to meet required standards);

- a statement concerning early termination (for reasons such as cessation of funding) by giving two months' notice or, in the case of the University, payment in lieu of notice of the amount of the stipend that would have been earned over the two-month period;

- a link to the main Postdoctoral Office website, which has information about services available to postdocs;

- a recommendation to contact Frances Hannigan in the New Faculty Recruitment and Support office; Frances also assists PDFs.

Reappointment

In special circumstances, an extension of up to three years is permitted, subject to the approval of the Faculty Dean and the Provost. The supervisor's written assessment should accompany any reappointment letter submitted for approval.

Responsibility: PDF and supervisor

Postdoctoral fellows and their faculty supervisors must identify appropriate professional growth and career advancement goals and meet regularly (at least once per year) to assess progress and to ensure that goals are being achieved during the appointment at the University of Waterloo. For this reason, faculty members are encouraged to select PDFs who will contribute to their research/research teams and, in turn, provide the resources needed for PDFs to contribute to their field of interest through publications, professional presentations, and teaching/mentoring the activities of junior researchers and graduate students.

International postdoctoral fellows

Many Postdoctoral fellows (PDF) are non-Canadian residents and are visiting Canada solely to complete a postdoctoral position. PDFs and faculty supervisors are responsible for reviewing the application guide closely prior to submitting the final application. Approval will be delayed if information is missing.

- Non-Canadian residents must have a work permit to work in Canada legally.

- International postdoctoral fellows must have a Citizenship & Immigration Canada (CIC) work permit prior to coming to Waterloo to assume a postdoctoral fellowship.

- If the PDF was at University of Waterloo as a student and intends to remain in Canada to complete a postdoctoral position, he or she must apply for a Canadian work permit, even if the student authorization is still valid. PDFs who already hold a CIC work permit and wish to extend their stay in Canada, should complete a CIC work permit application.

- Additional information on how to change one's current status and amend application and contact information can be found on the CIC website.

- Residents of the United States and St. Pierre & Miquelon may apply for a work permit directly at a Port of Entry to Canada.

Visa/immigration procedures

1. Obtain a valid passport.

2. Secure an appointment letter from the University of Waterloo faculty member / supervisor.

3. CIC must be assured that financial support will be sufficient for any individual entering Canada. The University of Waterloo minimum annual stipend of $30,000 allows a PDF to prove adequate minimum support after arriving in Canada; the appointment letter will indicate whether there is any additional funding.

4. Complete the CIC work permit application and submit it to the visa office at a Canadian embassy or consulate abroad.

5. Provide a non-refundable application fee.

6. Postdoctoral Fellows do not require a labour market opinion from HRSDC (Human Resources and Social Development Canada).

Work permits for spouses/partners

Spouses or partners accompanying PDFs to Canada are eligible to search for employment once they arrive in Canada. Information on the Spousal Employment Authorization initiative can be found on the Citizenship and Immigration Canada (CIC) website.

To apply for an open work permit, spouses or partners must provide CIC with an application fee and the following documents:

- Valid passport

- Work permit of the PDF spouse or partner

Citizens and permanent residents of the United States or St. Pierre & Miquelon may apply for a work permit directly at a Port of Entry to Canada. Such residents do not need to apply for a work permit at the embassy, high commission, or consulate in their home country. Apply at the Port of Entry to Canada and provide the Immigration Officer at the border with all documentation and payment as follows: application fee, citizenship card, passport, degree certification, and PDF's appointment letter.

Refer to the CIC website for further information.

Benefits and resources

Benefits

Postdocs employed by the University of Waterloo are eligible for extended health care benefits provided that their initial contracts are of at least one year. Postdoctoral fellows (PDFs) holding Canadian external awards of at least one year's duration (e.g. NSERC, SSHRC) are also eligible for extended health care benefits. PDFs with these external awards should bring a copy of their award letter along with their appointment letter to University of Waterloo Human Resources, in order to be signed up for these benefits.

Taxes

All individuals working in Canada, including non-Canadian citizens (and international PDFs from date of arrival), are required to pay provincial and federal taxes on all income earned in Canada. Postdoctoral Fellows appointed at the University of Waterloo who receive income from the University will have Income Tax, Canada Pension and Employment Insurance deducted monthly. Other applicable deductions are based on the information submitted to the Human Resources Department from a TD1 Tax Credit Form. Annually, every person earning an income in Canada submits a Canada Customs & Revenue tax return.

Tax workshops are offered annually by Waterloo International and the New Faculty Recruitment and Support Office.

Resources

Centre for Career Action provide workshops open to PDFs, and will also arrange for one-on-one consultations. The point person within Centre for Career Action to work with postdoctoral fellows is Jen Woodside. To schedule an individual consultation, please email Jen her directly.

English classes

Opportunities to improve and perfect your English include:

- Renison College non-credit programs (cost recovery)
- Waterloo International conversation classes (also open to spouse/partners)
- KW Multicultural Centre (also open to family members)
  Health **c**are

PDFs and their families can access health services on campus.

Housing

PDFs are encouraged to visit University of Waterloo's Off-campus Housing Office for assistance with housing needs.

Teaching workshops

PDFs can access workshops for graduate students (but are not eligible to participate in the Certificate for University Teaching (CUT) program).

The International Student & Scholars Office, offers resources for international postdoctoral fellows including a mentoring program, global representative and shadow program, social trips for international postdocs, programs for international spouses, etc. Please visit their website to obtain further information or contact Darlene Ryan, Managing Director.

Writing support

The Writing Centre supports PDFs.

Information for families

School-aged children

When entering Canada with an adult holding a valid work permit, school-aged children do not need a permit to study in Canada. Indicate on the work permit application that dependent children will be entering Canada with the applicant. When entering the country, parents/ guardians must provide each child's birth certificate, citizenship card, health records, and passport.

Enrolling children in a Waterloo-area public school

International postdoctoral fellows will hold a valid work permit once in Canada. This permit allows parents/guardians of international Postdoctoral fellows (PDFs) to enroll their children in a public school free of charge. However, parents/guardians will be required to provide the school with a number of documents prior to entering their child in a Waterloo-area school.

Registration procedures for school-aged children

If the PDF is a Canadian Resident, or has been awarded permanent residency, he or she is eligible to register the child in a Waterloo area school. Parents/guardians must provide the necessary documents:

- Proof of age, such as a birth certificate or passport
- Proof of citizenship, such as a birth certificate, valid passport, Record of Landing, or Permanent Resident Card
- Proof of immunization
- Proof of custody
- Proof of address, such as lease agreement or utility bill with the parent's/guardian's legal name and child's current address

If the PDF is not a Canadian Resident, the child will be considered an International Student. Applications for school registration must be accompanied by a letter of admission from the

Waterloo County School Board, obtained by presenting the following documentation to the School Board Admissions Office:

- The PDF's valid passport,

- The PDF's valid work permit

- Documentation from the University of Waterloo declaring the PDF's affiliation with the Waterloo (i.e., appointment letter)

- Two documents providing evidence that the parent/guardian resides in Waterloo Region (i.e. two documents with your name and local address, such as a current driver's license, utility bill, or OHIP card)

- The child's immigration papers, passport, and birth certificate

- The child's up-to-date immunization records

- The child's previous school records

Once confirmation is received that the PDF's child may be admitted to a local area school, the school board will refer you to the nearest school. Finalization of the child's school registration will occur at the school your child will be attending. For further information on registering your child in school, visit the School Board site that applies to your area of residence: Waterloo Region.

Child care centres

There are a number of Child Care Centres at the University of Waterloo and in the Waterloo area; see the Child Care Connection website.

Waiting lists for child care in the Waterloo area can be long. Children's names should be added to waiting lists and registered for child care and day care as soon a PDF arrives in Waterloo.

Appendix 12: University of Western Ontario

The UNIVERSITY *of* WESTERN ONTARIO
POLICIES *and* PROCEDURES

7.6 GUIDELINE FOR POSTDOCTORAL FELLOWS AND POSTDOCTORAL ASSOCIATES

Classification: Research Effective Date: 30SEP08 Supersedes: 26JAN95

A: **PREAMBLE**

Postdoctoral Fellows (PDFs) and Postdoctoral Associates (PDAs) are valued members of the University community. As trained researchers making the transition from graduate student to independent scholar, they have the opportunity to make significant contributions to the research environment of the University as well as their chosen fields.

B: **DEFINITION**

The University defines a PDF or PDA as an individual who meets the following criteria:

1. the individual has completed his or her doctoral degree within three years of first appointment;

2. the appointment is time limited, for a period of up to four years, with the possibility of a one year renewal (for a maximum length of 5 years);

3. the appointment is viewed as preparatory for a full-time academic career, and(or) a research career in other sectors;

4. the appointment involves full-time scholarship and research;

5. the individual will work independently in association with a faculty mentor; and,

6. the individual is encouraged and expected to publish the results of his or her research during the period of the appointment.

There may be exceptional circumstances requiring a break in the PDF's or PDA's research career that will impact the above-noted time periods (e.g. parental responsibilities or military service). It is otherwise the expectation of the University that all individuals who do not meet the definition of PDF or PDA will be appointed as Research Associates.

C: **TERMS AND CONDITIONS**

The appointment of a PDF or PDA is time-limited and not ongoing. Generally, PDFs and PDAs are appointed for term of one to four years, with the possibility of a one-year renewal. In consultation with their faculty mentors, individuals receiving Postdoctoral appointments may determine that they will be either entering into an employment relationship with the University as Postdoctoral Associates, or be undertaking their training as independent Postdoctoral Fellows. The documentation setting out the specific terms and conditions of engagement for PDFs and PDAs will be reviewed with the individual prior to the commencement of his or her appointment.

PDFs are not employees of the University, but rather individuals who contract with the University to obtain specialized training and contribute to the University's scholarship and research mission through the use of University facilities and other developmental opportunities. As a PDF is providing his or her services as an independent contractor and not as an employee, he or she is responsible for all personal tax obligations. Any stipend provided to the PDF and administered through the

University's payroll system will be without statutory deduction for income tax, Canada Pension Plan, Employment Insurance or similar deductions or remittances. PDFs are not entitled to any benefits which the University may extend to its employees.

PDAs are employees of the University, and will be required to enter into an Employment Contract prior to the commencement of their appointment. Any stipend provided to the PDA will be administered through the University's payroll system and will be subject to statutory deductions for income tax, Canada Pension Plan, Employment Insurance or similar deductions or remittances.

However, PDAs are not entitled to benefits which the University may extend to its other employees. Administrative procedures for the appointment of PDFs and PDAs are set by the Vice-Provost (Graduate and Postdoctoral Studies) in conjunction with Human Resource Services.

As members of the University community, PDFs and PDAs are expected to adhere to the appropriate administrative policies maintained by the University Secretariat.

In the event of a problem related to his or her appointment that requires resolution, it is expected that the PDF or PDA will arrange an informal discussion of the matter with the faculty mentor as soon as possible following the identification of the problem. In most instances, the concerns will be resolved at this juncture. If the problem remains unresolved, PDFs or PDAs are encouraged to request a meeting with the Department Chair, School Director or Faculty Dean. If resolution is not possible through these interventions, any of the affected parties may request assistance from the Vice-Provost (Graduate and Postdoctoral Studies) or designate in reaching a resolution. Any decisions of the supervisor, Chair, School Director, Faculty Dean and/or Vice-Provost (Graduate and Postdoctoral Studies), shall be timely and in writing. At the request of any participants, assistance from Human Resource Services may be obtained at any point in the process.

Appendix V

University of Saskatchewan
Strategic Enrolment Management Report

Executive Highlights

Introduction

In November 2011, the U of S initiated an enrolment planning process under the strategic leadership of the Associate Vice-President of Students Affairs with a view to developing a comprehensive, integrated and actionable approach to strategic enrolment management (SEM) that is aligned with the University's strategic plans and directions. In doing so, the expertise and assistance of SEM Works, a higher education enrolment management consulting firm, was secured to support this process. The resultant SEM Report is the product of a SEM initiative that spanned more than 16 months and involved over 150 faculty, staff, students and administrators in the process.

SEM is largely about changing the campus culture to adopt a heightened marketing, recruitment, retention, service orientation, and academic program relevance—at both the tactical and strategic levels. Four strategic points of leverage and ten primary strategies have been identified to advance our strategic enrolment goals and competitive positioning, with an initial focus on six priority target student segments. Presented herein are highlights from the SEM Report, which will shape our enrolment management efforts at the undergraduate and graduate levels over the period from 2013-14 through to 2016-17.

This executive highlights begins with an overview of the SEM context, process and enrolment goals that were foundational to the development of the SEM Report; followed by a synthesis of the recommended ten priority strategies for implementation over the next three-year period, including action steps and an indication of the relative resource intensity of these efforts. Finally, next steps are presented for the review and approval of the recommendations presented herein. A copy of the full version of the SEM Report, which includes details on the SEM foundational elements, as well as best practice considerations, effectiveness measures and antecedents for

success in the implementation process is available at <mark>(insert web address for wherever this is posted on IPA website).</mark>

SEM Context

In recent years, the U of S has embarked on numerous strategic initiatives in order to address the foundational elements to position the University for success in realization of its vision. Strategic Enrolment Management (SEM) is among the foundational elements identified for continued institutional success.

The University's leadership has determined the need to develop a comprehensive, integrated and strategic approach to enrolment management with a focus on meeting the needs of students and the Province into the future. Indeed, enrolment management becomes 'strategic' when it is an integral component of institution-wide planning and resource planning processes, fused with the academic enterprise, and when it advances transformative change.

SEM Works was contracted to undertake a comprehensive review of the University of Saskatchewan's enrolment management function, as well as to work in partnership with the University in facilitating an inclusive and data-driven planning process leading to the development of an actionable approach to strategic enrolment management (SEM)—the result of which is presented herein.

The scope of the consultancy was threefold:
1. A *SEM Audit* of undergraduate and graduate enrolment operations (i.e., structures, strategies, systems, information, policies, and processes);
2. An *Enrolment Goals Analysis* involving a review of enrolment goals, aspirations, processes and capabilities at the college and institutional levels; and
3. A review of *Enrolment Intelligence* capabilities and capacity conditions (i.e., data collection, data management, analytics, reporting systems, organizational structures) to support SEM planning, strategy development, performance management and decision-making.

SEM Process

Mobilizing a campus community around a **common purpose** is the secret to producing dramatic, sustainable enrolment results. Therefore, the U of S adopted a SEM process that was designed to be highly consultative and participatory. Through this process, the campus community was engaged in identifying, defining, and organizing around a common purpose—what are referred to as **strategic opportunities** throughout the SEM Report.

To achieve a **seamless service experience** for students, planning and decision-making structures must be in places that promote collaboration and coordination across functions and divisional boundaries in the delivery of programs and services relative to the needs of target student segments. Through such planning and decision-making processes, a campus-wide commitment to a student-centred purpose shapes institutional strategic directions, priorities, and decision processes; redefines operational processes, systems, policies, and practices; and ultimately, permeates the organization's culture.

High performing enrolment organizations continuously evaluate the frequency and nature of touch points at each stage of the student lifecycle to determine the adequacy of each related to a goal of maximizing enrolment yield and student retention. The student lifecycle model shown below served as a cornerstone for conducting the *SEM Audit* undertaken by the consultants.

STUDENT LIFECYCLE MODEL
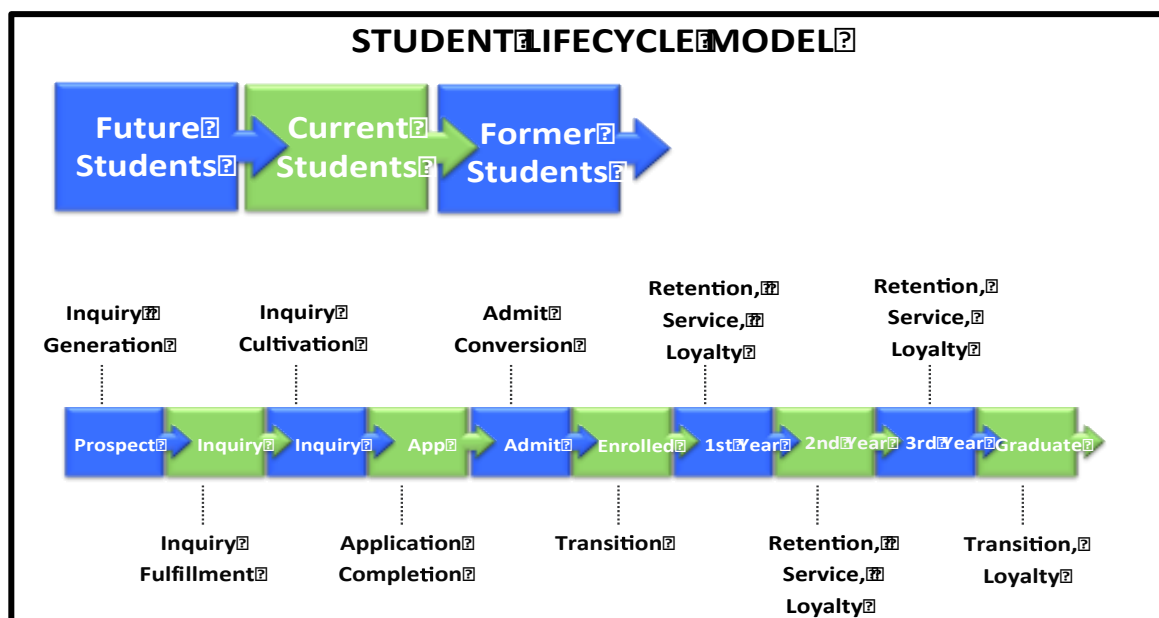
In application, the student lifecycle model served as the framework for identifying strategic opportunities, and for informing the subsequent stages of SEM planning. Following from the audit process, four primary strategic points of leverage have been identified to advance the U of S' strategic enrolment goals and competitive positioning, with an initial focus on six primary target student segments including: students direct from high school, Aboriginal students, mature learners, transfer students, international students, and graduate students. The strategic points of leverage are encapsulated within the following four broad thematic areas:

1. Undergraduate student recruitment
2. Undergraduate student retention
3. Optimizing the graduate student lifecycle
4. Strategic enrolment intelligence (use of research and data)

Enrolment Goals

SEM is about bringing alignment between the University's enrolment (i.e., size, quality, diversity, mix) and the changing external environment within the context of the institution's strategic development directions, capacity conditions and financial imperatives. The U of S is currently among the **smallest of the research/medical** universities in the country. Therefore, the realization of the University's aspiration to gain positioning as a research-intensive university is contingent in large measure on our ability to strategically manage undergraduate enrolment at a sufficient level to fuel planned graduate enrolment growth**.**

In consideration of this imperative, the following enrolment goals to 2015 were approved by PCIP:

❖ Increase undergraduate enrolment by **3.4%**
❖ Increase graduate enrolment by **28.6%**
❖ Continue to **diversify the student profile** (undergraduate and graduate) with particular attention to *Aboriginal* and *international* student segments have also been defined.

Within the context of a declining traditional population of university-going students, changing population demographics, and intensifying competition, the U of S will need intentional, targeted, and aggressive interventions directed to:

- ❖ At least maintain (and ideally increase) the University's provincial **market share** of traditional university-going students;
- ❖ Arresting undergraduate **student attrition** particularly within the College of Arts and Science and with attention to Aboriginal and international student populations; and
- ❖ **Diversifying** the student mix through innovations in program and services that address the needs of targeted student segments at both the undergraduate and graduate levels.

Priority Strategies and Action Plans

In considering the many strategies identified to advance the University's enrolment goals and competitive positioning, the following ten (10) were identified as critical in addressing **foundational problems** of our "current state" before proceeding with innovation and enhancement strategies. These ten foundational elements are building blocks to our success, and include.

1. **Create administrative processes for graduate students that are better than our U15 peers** in order to respond to the University's ambitious graduate student enrolment goals and thus, to attract, admit and graduate high quality graduate students. Students, staff and faculty have indicated current processes are inefficient, fragmented, disjointed and frustrating. Key processes include:
   a. Streamline admissions procedures including processes for application, assessment, and decision-making
   b. Coordinate scholarship administration including application, deadlines, promotion and decision-making
   c. Coordinate graduate student lifecycle communications beginning with the creation of a single acceptance package that includes institution, department and supervisor information
   d. Create student-supervisor partnership agreements that are mutually beneficial, enhancing academic student success and faculty research goals
   e. Standardize, proceduralize and communicate grade conversion practices to ensure consistency in the selection of the best students for admission and scholarship purposes
   f. Revise time to completion and delayed completion policies and procedures

2. Establish a **coordinating infrastructure for undergraduate student retention**. This includes the selection of an Undergraduate Student

Retention Champion and the establishment of a representative Undergraduate Student Retention Committee; the work of the Committee will be guided by terms of reference that clarifies responsibilities and authorities.

3. Determine principles, priorities and authority for making decisions around the strategic allocation of **graduate level scholarship funding.** This would include examining the allocation of existing scholarship funding for graduate students to ensure it is being used to maximize graduate student enrolment priorities (including Masters versus PhD enrolment goals and Thesis versus non-Thesis enrolment goals).   Priorities for seeking <u>new</u> graduate level funding should also be identified and communicated.

4. **Student recruitment role clarification** between SESD, USLC, CGSR and colleges, schools, departments is required to better coordinate recruitment activities and maximize recruitment resources across the campus.   A comprehensive and coordinated recruitment strategy that includes undergraduate, graduate and English language training is recommended.

5. Select and implement a **customer relationship management (CRM) system** to coordinate strategic, effective, targeted, and timely communications with students through the student lifecycle, to track student interactions with the University, and to track the effectiveness of recruitment activities.   A CRM would serve both graduate and undergraduate needs.

6. Prioritize and ensure implementation of a **university-wide transfer credit policy and accompanying procedures** to address student mobility issues.   These procedures should also include standardized administrative processes for establishing and tracking transfer articulation agreements (course by course, 2+2, and block transfer arrangements).

7. Establish an **expanded centralized student experience function**, ideally building upon the capacity of the existing Student Central office. This function would hold responsibility for coordinating with other campus partners the student experience function (for both undergraduate and graduate students) including enhanced student awareness of available services and supports, common student orientation components across colleges, provision of programs such as financial literacy and resolution of student complaints/concerns.

8. Create **competitive graduate and undergraduate admission packages and offers** for targeted student persona groups – Aboriginal students, international students, IB/AP students, and high quality graduate students. These offers would contain not only an acceptance letter and relevant transition information, but would also leverage student residences, financial aid, and daycare spaces to enhance the admission offer.

9. Select and implement an **early alert system**; the system will enable early identification of undergraduate and graduate students who are just beginning to experience difficulties and would promote timely and more effective intervention.

10. Establish a **centralized strategic enrolment intelligence team** to identify and prioritize key quantitative and qualitative data requirements to support strategic enrolment management. Establish a mechanism for regular reporting on SEM data, SEM implementation progress, and subsequent communication to key stakeholders.

The specific action steps associated with each of the aforementioned priority strategies that are recommended for implementation over the next three-year period are summarized in the **chart appended** to this document.

There are many recommendations identified in the SEM process as **"quick wins"** that can be implemented to demonstrate immediate progress. Strategy owners are encouraged to take the initiative to act on identified opportunities as appropriate, assess and account for the impact of actions taken. Through a process of continuous improvement, we will heighten our acumen as a *learning organization* of international preeminence.

Finally, it should be noted that the strategies and related actions for implementation presented in the SEM Report do not reflect the good work that is already underway in the strategic opportunity areas. Rather, the strategies in the report are new initiatives that build on existing efforts and related institutional and operational strengths.

Conclusion

While the University engages in SEM partially as a defensive measure to mitigate threats in the environment, it does so primarily to seize

opportunities—to pursue a bold vision, to fulfill the University's mission to serve the needs of its constituents and the Province, and to be a leader among universities throughout Canada and beyond. By being increasingly strategic in thinking and action, the U of S will control its own destiny. The University will fulfill the promise it makes every day to those it serves.

The SEM process requires leadership, strategic thinking, a focus on students, data-driven decisions, campus-wide involvement, and a willingness to let go of the old ways of doing things. Equally important is university-wide buy-in and engagement in SEM efforts. Without this buy-in, then cultural change, innovations in academic programs and program delivery, improved student retention, and meeting the demographic challenges we face, will not be possible to the extent necessary. Put simply, adopting a SEM philosophy requires **commitment to organizational change** in culture, systems and practices. The impact and success of this SEM Report over time will be determined in large measure by the collective will to explore new possibilities and let go of the old models and practices. The process of organizational change requires persistence and sustained attention over time.

While this report will be modified based on changing conditions and new opportunities, in general, the focus must be on staying the course. This is a journey, not a quick fix or a solution for some immediate crisis facing the University. The report is intended to be strategic in nature—meaning long-term, systemic, comprehensive, and based on data regarding environmental factors that may affect enrolment as well as our own enrolment ambitions and constraints. To successfully execute the SEM recommendations, the antecedents for success to support implementation must be in place, as well as broad buy-in from the University community.

As we move forward, it will be imperative that a coordinated, collaborative and integrated approach to SEM is adopted that brings into alignment our academic and enrolment planning processes, maintains a focus on the needs of the students we serve, and fosters a student experience that engenders student loyalty and affinity.

Next Steps

Over the course of the Fall, 2013 term the U of S will identify next steps in the roll-out of the report and implementation of its recommendations.

U of S SEM Report
Summary of Recommended Strategies and Actions

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
1. **Create administrative processes for graduate students that are better than our U15 peers**	❖ To ensure administrative processes for graduate students are better than U15 peers	Graduate students	1. Streamline the admissions procedures:	1a-f, 2a-c	2d, 3, 5a	4, 5b, 6	
			a. Conduct focus groups with current U of S students to assess their admissions experience with the University relative to competitors	✓			L
			b. Review the existing application to identify areas of improvement	✓			L
			c. Utilize the automated workflow feature of a document imaging system to forward applications for review by the appropriate evaluator	✓			L
			d. Integrate automated prompts to alert evaluators that a decision is due	✓			L
			e. Request that program directors or associate deans hold evaluators accountable	✓			L

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
			for timely decisions				
			f. Track evaluator performance and address delays with outliers	✓			L
			2. Coordinate scholarship administration:				
			a. Aggressively promote scholarship opportunities to targeted students and undergraduate programs	✓			L
			b. Create a firm scholarship deadline				L
			c. Through the proper analysis, determine the best time to notify students of scholarship offers and develop the necessary procedures to generate decisions within the established timeframe	✓ ✓			L
			d. Determine the gaps in managing graduate student awards and the best technology to address identified gaps (e.g., Banner Canadian Financial Aid module, SESD's award system)		✓		TBD

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
			3. Develop a high quality, customizable acceptance package that integrates relevant institutional, departmental, and supervisor information (student lifecycle communications).		✓		L
			4. Create and promote student-supervisor partnership agreements.			✓	L
			5. Standardize, proceduralize and communicate grade conversion practices:				
			a. Adopt a standard methodology for converting grades		✓		L
			b. Provide graduate chairs and others with data to actively monitor student progression, leaves from coursework, and the length of leaves			✓	
			6. Engage in a systematic review of time to completion and delayed completion policies and procedures.			✓	L
2. **Establish a coordinating infrastructure for**	❖ To develop capacity, empowerment,	UGs with an emphasis on direct from high	1. Establish a position for a *Student Retention Champion* and recruit/appoint a qualified and	1,2a ✓	2b-c	2c-d	M

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*

undergraduate student retention.	self-efficacy, and resilience among our students
	❖ To ensure that our policies and procedures reflect our culture
	❖ To foster an evidence-based approach to retention planning and decision-making
		school students	experienced retention leader (as appropriate).
			2. Establish a Retention Committee that is charged with responsibility and accountability for developing and implementing an integrated Student Retention and Success Model. Responsibilities include:
			  a. Establish and seek approval for an integrated and coordinated Student Retention and Success Model.
			  b. Oversee and coordinate implementation of the model.
			  c. Assess the impact of strategies implemented.
			  d. Determine pathways for continuous improvement and resource allocation.
				✓	✓
					
					✓
						✓
						
						✓
							L
							
							M
							
							L
							
							L
							
							L

3. **Determine principles, priorities and authority for**	❖ To ensure U of S scholarship offers are competitive by program	Graduate students	1. Conduct a competitor analysis benchmarking against each graduate program's top five competitors. 2. Identify programs with enrolment	1,2,3 ✓ ✓	4,5	4 cont'd	M L

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
making decisions around the strategic allocation of graduate level scholarship funding.			capacity or the desire to grow the applicant pool in order to improve selectivity. 3. Identify programs most closely aligned with the University's research agenda. 4. Address identified competitive gaps over time with priority given to programs with enrolment capacity or an interest in improving selectivity and alignment with the University's research agenda. 5. Evaluate the feasibility and desirability of each of the *Graduate Student Lifecycle Team's* recommendations.	✓	✓ ✓	⬚	L L TBD
4. **Student recruitment role clarification.**	❖ To more effectively use existing resources	All students with a segmented approach by student population	1. Identify critical strategy areas where efficiency and effectiveness improvements are needed. 2. Engage in a strategy mapping process associated with identified strategy areas. 3. Based on findings from the strategy mapping analysis, define roles, responsibilities, process improvements,	1, 2, 3, 4 ✓ ✓ ✓	5		L L L

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
			and strategy coordination plans. 4. Present the recommendations flowing from the strategy mapping analysis to appropriate leadership within the University for approval. 5. Implement approved recommendations.	✓	✓		L TBD
5. **Select and implement a customer relationship management (CRM) system.**	❖ To increase the number of new students enrolling at the University ❖ To continue to diversify the student profile (UG & G)	All students with a segmented approach by student population	1. Create an audience-segmented, multichannel communications plan. 2. Develop the organizational competencies and enabling technologies to effectively execute a prospective student communications: a. A content creator and editor, graphic design professional, web coder, social and multimedia media coordinator, data manager with reporting and analysis skills, and project manager will be required to sustain implementation over time. b. Select and implement a CRM	1, 2a, 2b, 3 ✓ ✓	3	3	H H H

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
			system 3. Ensure adequate IT support for the selected system is in place.	☐	☐	☐	L
6. **Prioritize and ensure implementation of a university-wide transfer credit policy and accompanying procedures.**	❖ To increase the number of new transfer students enrolling at the University	Transfer students	1. Develop and approve policies and procedures for transfer credit evaluations and transfer articulation agreements. 2. Create a list of feeder schools. 3. Assess the curriculum alignment in consultation with U of S faculty and academic leaders. 4. Contact the sender institution to determine pathways and protocols for the agreement review and approval. 5. Promote the articulation agreement to potential transfers.	1, 2, 3 ✓ ✓ ✓	4 ✓	5 ✓	L L L L L
7. **Establish an expanded centralized student experience function.**	❖ To develop capacity, empowerment, self-efficacy, and resilience among our students ❖ To ensure that our	All students	1. Establish a *Student Experience Team* with responsibility for conducting a comprehensive review of current services for students (undergraduate and graduate). a. Identify information and service delivery gaps	1a-d, 2a ✓	1e-f, 2b	1e-f, 2c	L

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
	policies and procedures reflect our culture ❖ To foster an evidence-based approach to retention planning and decision-making		b. Identify opportunities in key service areas	✓			L
			c. Consider gaps and opportunities relative to Persona Team reports	✓			L
			d. Review and recommend best practice strategies	✓			L
			e. Develop and execute critical path implementation plans		✓	✓	L
			f. Account for the impact and ROI		✓	✓	L
			2. Formulate a sub-team to undertake a 'current' student communications audit (undergraduate and graduate) that supports student success.				
			a. Determine target audiences, key messages, timeframe to provide consistency of practice	✓			L
			b. Recommend a coordinated student communications strategy as a component of the CRM strategy		✓		M
			c. Monitor and account for				L

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
			impact and ROI			☐	
8. **Create competitive graduate and undergraduate admission packages and offers for targeted student persona groups.**	❖ To increase the number of new students enrolling at the University ❖ To continue to diversify the student profile	All students with a segmented approach by student population	1. Determine the package ingredients that will resonate best with each target population. 2. Form a cross-functional team to oversee coordination and integration of the admissions package. 3. Reengineer processes and reallocate staff time to ensure on-time delivery of package items. 4. Design a package that will convey the quality of the U of S and compel the recipient to respond positively to the offer.	1,2,3,4 ✓ ✓ ✓ ✓	Refine as change warrants		**TBD** **L** **L** **TBD**

9. **Select and implement an early alert system.**	❖ To develop capacity, empowerment, self-efficacy, and resilience among our students
	❖ To ensure that our policies and procedures reflect
		Initially UGs with an emphasis on direct from high school students	1. Establish an *Early Alert Team* with a mandate to:
			  a. Clarify the desired functions and features of an early alert system
			  b. Research best practices
			  c. Assess internal capacity
			  d. Recommend a solution
			  e. Identify and acquire an early
				1a-d
				
				✓
				
				✓
				✓
				✓
					1e-i	1i	**L**
							
							L
							L
							L
							
							H

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
	our culture ❖ To foster an evidence-based approach to retention planning and decision-making		alert system f. Pilot the system g. Develop an intervention strategy h. Create an information and intervention process flowchart i. Develop and implement a plan for campus-wide application		✓ ✓ ✓ ✓ ✓	✓	**TBD** **M** **L** **TBD**
10. **Establish a centralized strategic enrolment intelligence team to identify and prioritize key quantitative and qualitative data requirements to support strategic enrolment management.**	❖ Develop enrolment intelligence to understand the student lifecycle ❖ Increase ease of access to enrolment intelligence based on needs of staff and faculty ❖ Build capacity to apply enrolment intelligence to	All student segments	1. Establish a standing cross-divisional ***Strategic Enrolment Intelligence Team*** that is responsible for: a. Creating an enrolment intelligence vision, strategy and plan b. Facilitating an inclusive and consultative process in confirming the research questions and elements underlying the draft *Strategic Intelligence Blueprint* c. Establishing standard institution-wide data	1a-e ✓ ✓	1f-g	1f-g cont'd	**L** **L** **L**

Priority Strategy	Related Objective(s)	Target Student Groups	Action Items	Timelines			Resource Implications
				Yr1	Yr 2	Yr3	(L. M, H)*
	inform performance management and decision-making		definitions for enrolment analysis and reporting	✓			
			d. Identifying options for addressing data/research analysis and reporting gaps that leverage staff and system capabilities across functional boundaries	✓			L
			e. Recommending a multi-year critical path plan for implementation, including requisite antecedents for success	✓			M
			f. Overseeing implementation of approved elements		✓	✓	TBD
			g. Facilitating campus-wide training, interpretation and use of generated analyses and reports		✓	✓	L

L=Low, M= Moderate, H=High, TBD= To Be determined