



UNIVERSITY
SECRETARIAT
• Board of Governors
• Senate

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Board of Governors
9:00 AM, Thursday, April 21, 2022
Zoom

AGENDA

NOTE: Members who wish to have items moved from the Consent to the Regular Agenda should contact the University Secretariat before the Board meeting. Members may also request to have items moved when the Agenda is presented for approval at the Board meeting.

Page

A. OPEN SESSION

- 1. REMARKS FROM THE CHAIR**
- 2. NOTICE OF MEETING - APRIL 7, 2022**
- 3. APPROVAL OF THE AGENDA - OPEN SESSION**

CONSENT (9:05 a.m.)

- 4. MINUTES OF PREVIOUS MEETING – MARCH 3, 2022 (OPEN SESSION)**
7 - 12 [Board of Governors - Open Session Minutes - March 3, 2022](#)
- 5. REPORT FROM SENATE**
13 - 14 [Report from Senate](#)
15 - 20 **a. Response to an Enquiry at Senate**
[Response to an Enquiry at Senate - February 2022](#)
[Response to an Enquiry at Senate - Proposed Policy Changes - March 2022](#)
21 - 55 **i. Revisions to the Code of Student Rights and Responsibilities (Information)**
[Code of Student Rights and Responsibilities - Policy Revisions](#)
56 - 88 **ii. Revisions to the Discrimination and Harassment Policy (Approval)**
[Discrimination and Harassment Policy Revisions](#)
89 - 98 **b. Proposal for the Digital Society Lab Centre (Approval)**
[Digital Society Lab Centre - Proposal](#)

- 99 - 106 c. **Closures of McMaster Research Centres and Institutes (Approval)**
[Closures of McMaster Research Centres and Institutes](#)
- 107 - 137 d. **Faculty Grievance Policy Revisions (Approval)**
[Faculty Grievance Policy Revisions - 2022](#)
- 138 - 149 e. **Terms of Reference**
 - i. [Revised Terms of Reference, Vice Dean, Research](#)
 - ii. [Establishment of Associate Dean, Research and Associate Dean, Graduate Studies](#)

6. COMMITTEE REPORTS

- a. **PLANNING AND RESOURCES COMMITTEE**
 - 150 [Report from the Planning and Resources Committee](#)
 - 151 - 210 i. **Revisions to the Investment Pool SIP&P (Approval)**
[Memo & Revisions to SIP&P - Investment Pool Committee](#)

REGULAR

- 7. **BUSINESS ARISING**
- 8. **COMMUNICATIONS**
- 9. **PRESIDENT'S REPORT TO THE BOARD (9:05 a.m.)**
 - 211 - 217 a. [President's Report to the Board](#)
- 10. **REPORT FROM SENATE (9:35 a.m.)**
 - 218 [Report from Senate](#)
 - 219 - 242 a. **EIO Annual Report**
A. al Shaibah & P. Michaud
Information
[Equity & Inclusion Office - Annual Report](#)
- 11. **COMMITTEE REPORTS (9:50 a.m.)**
 - a. **EXECUTIVE AND GOVERNANCE COMMITTEE**
 - 243 [Report from the Executive and Governance Committee](#)
 - 244 - 320 i. **By-Law Changes**
Approve in Principle
[Memo from the University Secretariat](#)
[Execution of Instruments \(clean copy\)](#)
[Board By-laws \(track change version\)](#)
 - 321 - 341 ii. **Approval and Signing Authority Policy**
Information

Proposed Approval and Signing Authority Policy

b. PLANNING AND RESOURCES COMMITTEE

Information

342

[Report from the Planning and Resources Committee](#)

343 - 384

- i. Energy Management Plan**
D. Martin
[Energy Management Plan](#)

c. COMMITTEE ON UNIVERSITY ADVANCEMENT

Information

385

[Report from the Committee on University Advancement](#)

386 - 411

- i. S. Cruickshanks**
[2021 University Advancement Year in Review](#)

12. PRESENTATION TO THE BOARD OF GOVERNORS (10:05 a.m.)

Name: Dr. Maureen MacDonald, Dean, Faculty of Science

Presentation: Transforming the Faculty of Science

13. OTHER BUSINESS

BREAK (10:45 a.m.)

B. CLOSED SESSION (10:50 a.m.)



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Meeting Minutes of the Board of Governors

9:00 AM, Thursday, March 3, 2022 via Zoom

Attendance: Mr. B. Merkel (Chair), Ms J. Allen, Dr. E. Apatu, Dr. D. Brooks, Dr. L. Bronsard, Ms L. Brown, Mr. R. Clarke, Ms S. Cruickshanks, Dr. J. Daniel, Ms J. Dhaliwal, Dr. D. Farrar, Mr. D. Feather, Mr. M. Ferencich, Ms S. Galloway, Mr. D. Horwood, Mr. D. Huctwith, Ms. R. Jamieson, Ms Sarrah Lal, Dr. N. Lishchyna, Mr. J. Mancinelli, Ms S. McLarty, Mr. K. Nye, Ms M. Pool, Ms J. Rowe, Dr. D. Sloboda, Ms S. Stankovic, Ms C. Stefankiewicz, Dr. E. Szathmáry, Dr. S. Tighe, Dr. R. Walker, Ms A. Thyret-Kidd (*University Secretary*), Ms Christine Richard (*Associate University Secretary*) Ms K. Snow (*Governance Coordinator*)

Observers: Ms B. Couchman, Ms E. Davies, Mr. D. Della-Vedova, Ms A. Farquhar, Ms S. Fazilat, Ms D. Henne, Dr. N. Kevlahan, Ms B.A. Levy, Ms D. Martin, Dr. K. Mossman, Dr. P. O'Byrne, Ms A. Purina, Ms M. Williams

Invited: Ms Carol Podedworny, *Director and Chief Curator, McMaster Museum of Art*
Dr. Kate Whalen, *Associate Director, Academic Sustainability Programs*
Dr. S. Denburg, *Executive Vice-Dean and Associate Vice-President, Academic*
Dr. K. Hassanein, *Dean, Faculty of Business*
Dr. J. Hurley, *Dean, Faculty of Social Sciences*
Dr. M. MacDonald, *Dean, Faculty of Science*
Dr. H. Sheardown, *(Acting) Dean, Faculty of Engineering*
Dr. P. Swett, *Dean, Faculty of Humanities*
Dr. R. Selvaganapathy, *Distinguished Engineering Professor, Canada Research Chair in Biomicrofluids*
Dr. Fiona Smail, *Co-director, Special Immunology Services/HIV Clinic*
Mr. D. DeMan, *Senior Manager, Environmental and Occupational Health Support Services, Human Resources*
Mr. B. Davis, *University Counsel*
Mr. T. Shattuck, *CEO, McMaster Innovation Park*
Mr. R. Couldrey, *Strategic Advisor to the President and Vice-Presidents*
Mr. D. Dermott, *TD Securities*
Mr. D. Kunde, *IA Capital Markets*
Ms S. Tam, *IA Capital Markets*
Mr. T. Lieu, *IA Capital Markets*
Mr. T. Betts, *Gowling WLG*
Mr. S. Babic, *Gowling WLG*
Mr. G. Rawlinson, *Torys LLP*

Regrets: Ms M.L. Maher, Ms F. Samji

A. OPEN SESSION

1. REMARKS FROM THE CHAIR

Mr. Brad Merkel welcomed members to the March meeting of the Board of Governors. He provided a high-level overview of key items that would be received, discussed, and approved at the meeting. Mr. Merkel informed the Board that a Member's Only Discussion would begin at 11:00 a.m.

2. NOTICE OF MEETING - FEBRUARY 18, 2022

The Notice of Meeting was circulated on February 18, 2022.

3. APPROVAL OF THE AGENDA - OPEN SESSION

There were no requests to have items moved from the Consent to the Regular agenda of the Open Session.

It was duly moved and seconded,

that the Board of Governors approve the Open Session agenda for the meeting of March 3, 2022, and that items 4-6 be approved or received for information by Consent.

The motion was *Carried*.

CONSENT

4. MINUTES OF PREVIOUS MEETING – DECEMBER 9, 2021 (OPEN SESSION)

a. Minutes of the Board of Governors - Open - December 9, 2021

Motion:

that the Board of Governors approve the Open Session minutes of the meeting held on December 9, 2022, as circulated.

Approved by Consent.

5. REPORT FROM SENATE

a. Proposal for McMaster Institute for Research on Aging|Dixon Hall Centre (MIRA|DH)

Approval

b. Revised Terms of Reference – Hannah Chair

Approval

c. SPS B13 Revisions

Approval

SPS B13 Revisions - Track Changes

Motion:

that the Board of Governors approve the recommendations as contained in the report from Senate.

Approved by Consent.

6. COMMITTEE REPORTS

a. EXECUTIVE AND GOVERNANCE COMMITTEE

i. Amendments to the Sexual Violence Policy
Information

Sexual Violence Policy Revisions - Summary
Sexual Violence Policy Revisions - Track Changes- February 1, 2022

b. REMUNERATIONS COMMITTEE

i. Ratification of Tentative Agreement - Unifor Local 5555, Unit 5
Approval

Motion:

that the Board of Governors approve the tentative agreement between McMaster University and UNIFOR Local 5555, Unit 5 (Operations and Maintenance Employees) for a 4-year term effective October 1, 2021 and expiring November 30, 2025, with terms outlined in the circulated report.

Approved by Consent.

REGULAR

7. BUSINESS ARISING

There was no business arising.

8. COMMUNICATIONS

There were no communications for the meeting of March 3, 2022.

9. PRESIDENT'S REPORT TO THE BOARD

Dr. David Farrar, *President and Vice-Chancellor*, presented his Report to the Board. The report was focused on the University's return-to-campus and overall management of the pandemic. It was noted that the health and well-being of community members continued to

be prioritized, and the institution is mindful of accessibility issues and requested accommodations.

Members heard that the University has been working closely with peer institutions and COU regarding the continuation of mandatory vaccination policies. Although direct requirements have been revoked, the Ministry has been clear that postsecondary institutions have the discretion to maintain their own vaccination policies as part of overall health and safety requirements. Ontario's Chief Medical Officer of Health, Dr. Kieran Moore, supports this approach. McMaster, along with other Ontario institutions, will accordingly retain the mandatory vaccine requirement until at least the end of the current term, together with the MacCheck screening tool, and other measures to support the ongoing well-being of our community. Other safety measures include the continual provision of rapid tests to critical services on campus, free surgical masks to the entire community, as well as transparent masks to instructors and teaching assistants in need of an accessible option.

The President also highlighted the Brighter World fundraising campaign. Members heard that this comprised of four key elements: Canada's Global Nexus for Pandemics and Biological Threats, Climate Change and Sustainability; Democracy and the Civic University; and students and innovation in the learning environment. Dr. Farrar also informed the Board of the recent gift of more than \$32M from Marnix Heersink, an Alabama physician and entrepreneur. This gift will boost McMaster's role as a hub for biomedical innovation, entrepreneurship, and global health, and will enable the creation of the Marnix E. Heersink School of Biomedical Innovation and Entrepreneurship to educate the next generation of entrepreneurial health innovators.

In response to question regarding the situation unfolding in Ukraine, Dr. Farrar acknowledged the various impacts, both economic and societal, on community members with direct or indirect ties to Ukraine and surrounding countries.

10. REPORTS RECEIVED FOR INFORMATION

a. McMaster Museum of Art - Annual Report

Dr. Farrar introduced Ms Carol Podedworny, *Director and Chief Curator, McMaster Museum of Art*, who presented the McMaster Museum of Art Annual Report. Members heard that the Museum has two key priorities; to support the academic mission of the University, and to contribute to arts culture in Canada. Ms Podedworny expanded on these priorities during her presentation.

In response to a question, Ms Podedworny explained that there are virtual tours and exhibits available through the website.

11. COMMITTEE REPORTS

a. PLANNING AND RESOURCES COMMITTEE

i. Sustainability Strategy

Ms Jane Allen, *Chair of the Planning and Resources Committee*, advised the Board that on February 17, 2022, the Committee received a presentation on the new Sustainability Strategy, noting that this was the University's inaugural institution-wide Sustainability Strategy. Ms. Debbie Martin, *Assistant Vice-President and Chief Facilities Officer* provided a high-level overview of the strategy. Dr. Kate Whalen, *Associate Director, Academic Sustainability Programs*, was then invited to speak to the practical implementation of the strategy and how it impacts the student body.

In response to a question of how the results would be measured, Dr. Whalen explained to the Board that they are in the process of hiring an Executive Director for Sustainability, whose role would be to set measurable goals and report on the progress each year. Dr. Farrar and Ms Fazilat answered questions from members on how the sustainability goals might tie into the University's strategic plan and performance measures for senior leadership.

Following questions, Dr. Whalen withdrew from the meeting.

ii. Salaried Pension Plans Actuarial Evaluations

Ms Allen explained to members that the University is required to submit an actuarial valuation for the Salaried Pension Plans as at July 1, 2021 as per the Ontario Pension Benefits Act and the Income Tax Act. Ms Dee Henne, *Assistant Vice-President (Administration) and Chief Financial Officer* presented the circulated documents.

It was duly moved and seconded,

that the Board of Governors approve the results of the Actuarial Valuation for Funding Purposes as at July 1, 2021 for the Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College (Plan 2000) and the Actuarial Valuation for Funding Purposes as at July 1, 2021 for the Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College (Original Plan) and be filed with the Financial Services Regulatory Authority of Ontario and the Canada Revenue Agency.

The motion was *Carried*.

b. AUDIT AND RISK COMMITTEE

i. Health and Safety Annual Report 2021

Mr. Nye, *Chair of the Audit and Risk Committee*, informed the Board that the 2021 Health and Safety Annual report was received at the February 19, 2022 Audit and Risk Committee meeting. Board members would have seen Lisa

Morine, *Director of Health, Safety and Risk Management* at meetings for many years and this report was written before her retirement from McMaster after 36 years of service.

Mr. Dane DeMan, *Senior Manager, Environmental and Occupational Health Support Services Human Resources* presented the Report. Members heard that a significant focus of the report was on the University's continuing response to the COVID-19 pandemic with respect to the vaccination policy and return-to-campus efforts.

12. PRESENTATION TO THE BOARD OF GOVERNORS

Dr. Farrar introduced Dr. Karen Mossman, *Vice-President, Research, Office of the Vice-President, Research*, Dr. Fiona Smaill, *Co-director, Special Immunology Services/HIV Clinic* and Dr. P. Ravi Selvaganapathy, *Distinguished Engineering Professor, Canada Research Chair in Biomicrofluids* to present **McMaster Research through COVID** to the Board. Members received an overview of the essential and interdisciplinary work that was completed by researchers in response to the outbreak of the COVID-19 pandemic.

Dr. O'Byrne spoke to the ability of the University to collaborate across disciplines, noting the number of ways in which research may evolve beyond the original scope and intent of the research. In response to a question, Dr. Mossman noted that McMaster was particularly impactful due to its flexibility across Faculties and disciplines.

13. OTHER BUSINESS

As there was no other business, the open session of the meeting adjourned at 10:52 a.m.

REPORT TO THE BOARD OF GOVERNORS
from the
SENATE

At its meeting on March 9, 2022, Senate approved the following recommendations and now recommends them to the Board of Governors for approval/information:

For Information

a. Response to an Enquiry at Senate

Response to an Enquiry at Senate – February

i. Revisions to the Code of Student Rights and Responsibilities

2022 Code of Student Rights and Responsibilities Policy Revisions

For Approval

ii. Revisions to the Discrimination and Harassment Policy

Discrimination and Harassment Policy Revisions

At its meeting on April 13, 2022, Senate approved the following recommendations and now recommends them to the Board of Governors for approval:

For Approval

b. Proposal for the Digital Society Lab Centre

Digital Society Lab Centre - Proposal

c. Closures of McMaster Research Centres and Institutes

Closures of McMaster Research Centres and Institutes

d. Faculty Grievance Policy Revisions

Faculty Grievance Policy Revisions - 2022

e. Terms of Reference

- i. Revised Terms of Reference, Vice Dean, Research
- ii. Establishment of Associate Dean, Research and Associate Dean, Graduate Studies

It is now recommended,

that the Board of Governors approve the recommendations as contained in the report from the Senate.

**Board of Governors: FOR APPROVAL/INFORMATION
April 21, 2022**

February 2, 2022

TO: Dr. David Farrar
Senate Chair

FROM: Andrea Thyret-Kidd
University Secretary

SUBJECT: Response to an Enquiry at Senate

The following information is in response to an enquiry raised at the Senate meeting on January 12, 2022. The enquiry was regarding approval of item 10.b., the Discrimination and Harassment Policy, at the December 11, 2019 meeting of the Senate. I have reviewed the information available for how the item was approved and consulted with the 2019 review group and relevant offices to generate this response.

Governance

The Senate meeting materials were posted one week in advance of the meeting, including the materials for the Discrimination and Harassment Policy item (10.b.). Senate meeting materials were updated before the meeting but there were no changes to this item. Senators were provided with a cover memo, a clean copy revised Discrimination and Harassment policy for approval, and the current version (2017) of the Policy on Discrimination and Harassment. A track change version of the revisions was not provided as significant formatting changes were being suggested. The cover memo provided to Senate detailed the individuals involved in the revisions and outlined the consultation process. A draft 7 version of the revisions was sent to MUFA, employee groups and select university offices for review and feedback. The final version, sent to the Senate for approval, incorporated the responses and comments received from those consultations.

The cover memo was primarily focused on the proposed changes to the Sexual Violence policy which was also being brought forward for approval, and which included a number of substantive revisions, as detailed in the memo. Although a brief note was included at the end of the memo in relation to the Discrimination and Harassment Policy, a more detailed summary of proposed revisions to that policy should have been detailed in the memo as well. Going forward, the Secretariat will ensure meeting materials include a cover memo that outlines at a high level the revisions that are being proposed. The standard practice for policy changes is to provide a track change version of the policy, however when the changes are extensive this becomes ineffective

and instead a clean copy and the current policy are provided. In such situations, the memo explaining the revisions is very important.

A track change version showing the changes between draft 7 and the final version is being prepared and will be shared with MUFA shortly.

Freedom of Expression

The enquiry at Senate was principally concerned with the removal of the words 'exceeding the bounds of freedom of expression' from this section of the policy:

This Policy expressly prohibits any discriminatory or harassing action and/or conduct, verbal or non-verbal, directed at or about one or more individuals or groups, that creates a [poisoned environment](#) which interferes with academic or work performance, in a manner that exceeds academic freedom.*

The reference to "freedom of expression" was removed from this section of the policy as it could be interpreted as imposing a duty on the University which only applies to government under the Canadian Charter of Rights & Freedoms (the "Charter"). Courts in Ontario have been clear and consistent that the Charter does not apply to universities. In contrast, the preservation of academic freedom is clearly the responsibility of universities. Since 2019, the issue of freedom of expression on campus has evolved and further references to "freedom of expression" could be considered provided that due consideration is given to university autonomy, the potential limits of freedom of expression in the context of discrimination and/or harassment and reasonable qualifiers for the university context. Such questions could receive full consideration as part of the next regular review of the policy.

For the information of Senators, the policy includes a section called McMasters Commitment, a part of which reads:

10. The University upholds a fundamental commitment to freedom of expression and association for all its members and to academic freedom for faculty. In exercising those freedoms, all its members are required to respect the rights and freedoms of others, including the right to freedom from Discrimination and Harassment.

Operationalizing the Policy

While the policy has gone through several iterations (2015 *Policy on Discrimination, Harassment, Sexual Harassment: Prevention & Response*, 2017 *Policy on Discrimination & Harassment: Prevention & Response*, and 2019 *Discrimination & Harassment Policy*) the approach for assessing complaints has remained the same throughout. The Policy prohibits discrimination and harassment, as well as any discriminatory or harassing action and/or conduct, verbal or non-verbal, directed at or

*This is a track change version of the section.

about one or more individuals or groups, that creates a poisoned environment.

Upon receipt of a complaint, it is assessed (by the respective Intake Office Director or Response Team for complex cases) to determine whether a prima facie case exists. A prima facie case is one in which it reasonably appears on first impression that, the allegations, if investigated and found to be true, would amount to discrimination or harassment.

The framework for **discrimination** is the following: differential treatment of a person (or group) based on one or more protected human rights grounds resulting in an adverse impact on the person (or group).

The framework for **harassment** is the following: engagement in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. "Vexatious" comment or conduct is comment or conduct made without reasonable cause or excuse.

The framework for a **Poisoned Environment** is the following: an environment where harassing and/or discriminatory conduct is found to be sufficiently severe, intimidating, hostile, offensive, and/or pervasive to cause significant and unreasonable interference to a person's study or work environment.

The Intake Office Director or Response Team (comprising Directors of relevant Intake Offices as well as security services and legal counsel, where necessary) carefully assesses statements of complaint to determine whether a prima facie case exists and makes recommendations (to relevant Decision-Makers) regarding whether to investigate and apply any appropriate interim measures.

Academic freedom and freedom of expression are key principles in the context of our campus learning and working environment, as highlighted by the fundamental commitment contained in Clause 10 of the policy, which is noted above. While these principles do not influence the prima facie assessment of the allegations or determine whether legal thresholds of discrimination or harassment have been met (at the complaint intake stage), they are considered carefully once there is a better understanding of the context through information gathering and finding of fact (at the investigation stage), and they may influence the remedy or sanction recommended in the event a breach of policy is found to have occurred (at the sanction and remedy stage). The practice of considering the university's human rights commitments to freedom from discrimination and harassment and fundamental commitments to academic freedom and freedom of expression is informed by existing University statements or policies and applicable legislative guidance including precedent case law. This practice has not changed with the iterative updates in the Policy.

Senators may be interested in exploring McMaster's website dedicated to [freedom of expression](#). The website gathers in one place all of McMaster's relevant policies and

statements including the annual reports submitted to and reviewed by HEQCO (Higher Education Quality Council of Ontario) as required by the province.

Current Review of the Discrimination and Harassment Policy

The [Discrimination and Harassment Policy](#) is subject to 3-yearly reviews. Given that the last review was undertaken in 2019, a review will take place in 2022 and will be initiated shortly. Senators who are interested in participating or who have comments or suggestions are encouraged to email policy@mcmaster.ca.

Cc S. Tighe, Senate Vice-Chair

March 3, 2022

TO: Dr. David Farrar
President and Vice-Chancellor

FROM: Andrea Thyret-Kidd
University Secretary

SUBJECT: Response to an Enquiry at Senate – Proposed Policy Changes

Following the report provided to Senate at the February 2022 meeting regarding the approval of the Discrimination and Harassment Policy (DH) in 2019 (copy attached), I have engaged in further consultations with regard to the current language of the policy. As Senators will recall, a concern was raised regarding the removal of the words “exceeds the bounds of freedom of expression” from section 5. of the DH policy. The Student Code of Rights and Responsibilities (Student Code), which was also reviewed and approved in 2019, included the removal of the words “and in a manner that exceeds the bounds of freedom of expression” in section 33.c. McMaster remains committed to freedom of expression and, as clarified in the attached report, the 2019 revisions did not change the way in which either the DH or Student Code policies are implemented.

After consulting with the policy owners, I have secured agreement to re-instate the explicit references to freedom of expression, as noted above, in both policies. The DH policy is subject to a regular 3-yearly review this year, so any further changes or adjustments can be discussed as part of that process.

Attached please find a track change version of both policies, showing the wording proposed to be reinstated.

The motions for review and approval by the Senate are as follows:

That the Senate approve, for recommendation to the Board of Governors, the revisions to the Discrimination and Harassment Policy, as circulated and effective April 21, 2022.

That the Senate approve the revisions to the Code of Student Rights and Responsibilities, as circulated and effective March 9, 2022.

cc N. Kevlahan, MUFA President
A. Al Shaibah, Associate Vice-President, Equity and Inclusion
S. Van Koughnett, Associate Vice-President (Students & Learning) and Dean of Students

Complete Policy Title:
Code of Student Rights and Responsibilities

Policy Number (if applicable):

Approved by:
Senate

Date of Most Recent Approval:
~~December 11, 2019, effective January 1, 2020~~
March 9, 2022

Date of Original Approval(s):
May 18, 2016

Supersedes/Amends Policy dated:
December 11, 2019, effective January 1, 2020
December 14, 2016, effective January 1, 2017

Responsible Executive:
Associate Vice-President (Students and Learning) and Dean of Students

Policy Specific Enquiries:
[Student Support & Case Management](#)

General Policy Enquiries:
[Policy \(University Secretariat\)](#)

***DISCLAIMER:** If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails*

TABLE OF CONTENTS

SECTION I: INTRODUCTION..... 1

Preamble..... 1

Scope..... 1

Authority And Jurisdiction..... 2

Involvement Of Civil Authorities 2

SECTION II: CONFIDENTIALITY 3

SECTION III: RIGHTS, RESPONSIBILITIES, AND EXPECTATIONS 4

Rights..... 4

Responsibilities 4

Residence Students: Additional Expectations 5

Student Athletes: Additional Expectations..... 6

Student Leaders And Student Groups: Additional Expectations 6

SECTION IV: VIOLATIONS..... 7

SECTION V: ROLES AND RESPONSIBILITIES..... 8

Student Affairs Administrators..... 8

Case Managers..... 8

Investigators..... 8

SECTION VI: INTAKE AND INVESTIGATIONS..... 9

Intake Through Student Affairs..... 9

Burden And Standard Of Proof 9

Preliminary Assessment..... 9

Referral From An Intake Office..... 9

Response Team..... 9

Decision To Not Investigate 10

Voluntary Resolution 10

Investigations..... 10

Contacting The Respondent..... 11

Meeting With The Respondent..... 11

SECTION VII: ADJUDICATION..... 12

Student Affairs Administrator Decision..... 12

ADJUDICATION..... 12

Procedural Guidelines..... 12

Parties..... 13

Closed Hearings..... 13

Scheduling 13

Similar Questions of Fact/Policy..... 13

Advisor 13

Evidence	13
Witnesses.....	14
University Representative	14
Order of Adjudication Hearing	14
Adjournment.....	14
Appropriate Procedures	14
SECTION VIII: DECISIONS	15
Respondent.....	15
Professional Licensing Bodies	15
Affected parties	15
Complainants	15
Appeals.....	15
SECTION IX: SANCTIONS AND REMEDIES	16
Sanctions.....	16
Athletics Specific	17
Residence Specific.....	17
Roles, Sanctions, And Appeal Rights Specific To Residence Students	18
Remedies.....	18
Failure To Comply.....	18
SECTION X: BEHAVIOUR RELATED TO A HEALTH CONDITION	19
Information Gathering Meeting.....	19
Determination to Enact Procedures for a Student with a Health Condition	19
Response to a Student with a Health Condition as it Pertains to the Code	20
Review Meeting.....	20
Involuntary Or Voluntary Withdrawal.....	21
APPENDIX A: APPEALS	22
Decisions Not Related To Discrimination, Harassment, And Sexual Violence	22
Discrimination, Harassment, And Sexual Violence Related Decisions.....	23
APPENDIX B: INTERIM MEASURES AND ONGOING SUPPORT OF ALL PARTIES.....	24
Health Condition.....	25
For Complaints of Discrimination, Harassment and/or Sexual Violence.....	25
Exceptional Circumstances (Interim Suspension)	25
APPENDIX C: PEER CONDUCT BOARD	26
APPENDIX D: RECORDS, TRANSCRIPTS, REGISTRATION, AND NOTATIONS	27
APPENDIX E: GLOSSARY OF TERMS.....	29
APPENDIX F: RELATED POLICIES AND LEGISLATION	32

SECTION I: INTRODUCTION

PREAMBLE

1. The University values integrity, inclusiveness and teamwork, and strives to support the personal and collective growth of the McMaster student community. The University is committed to providing educational initiatives and learning opportunities to help students conduct themselves in accordance with the Code.
2. The University recognizes the complexity of student life at a post-secondary institution and understands that students may have differing levels of experience addressing conflict, however, students will be responsible for their interactions with others. Students are expected to conduct themselves responsibly, in accordance with this Code, and to be individually responsible for their actions whether acting on their own or in a group.
3. A full glossary of terms and definitions may be found in [Appendix A](#). For the purpose of interpreting this document:
 - a) words in the singular may include the plural and words in the plural may include the singular;
 - b) Decision-Makers in this Code may, where appropriate, delegate their authority (this includes the Dean of Students, Case Managers, Directors, and the Provost);
 - c) **Athletics and Recreation** means the Department of Athletics and Recreation;
 - d) **Case Manager** means the Dispute Resolution Case Managers in Student Support & Case Management;
 - e) **Dean of Students** means the Associate Vice-President (Students and Learning) and Dean of Students;
 - f) **Director (A&R)** means the Director, Athletics and Recreation;
 - g) **Director (HCS)** means the Director, Housing and Conference Services;
 - h) **Director (HRDR)** means the Director, Human Rights & Dispute Resolution Program;
 - i) **Director (SVPRO)** means the Director, Sexual Violence Prevention and Response Office;
 - j) **Director (SSCM)** means the Director, Student Support & Case Management Office;
 - k) **Student Groups** means University Recognized Student Groups;
 - l) **Security Services** means McMaster University Security and Parking Services; and
 - m) **Student Affairs** means the Student Affairs Office.

SCOPE

4. All McMaster students have an obligation to familiarize themselves with this Code as it applies to their particular role as a student, student-athlete, Residence Student, Student Leader and/or student group member, in order to ensure that they are aware of their Rights and Responsibilities to the University Community.
5. All students are responsible for respecting the rights of others, contributing to an environment that is free of Discrimination, Harassment, and Sexual Violence, and for conducting themselves in a manner that contributes positively to the University and the University Community.
6. By enrolling at the University students agree to abide by the [Rights, Responsibilities, and Expectations](#) in this Code.

7. Behaviour dealt with under this Code includes any action that violates the Responsibilities of Students or negatively effects any member of the University Community, and arises:
 - a) on University premises, or at a University authorized event occurring on or off University premises, or when representing the University;
 - b) at a non-authorized event off University premises and where there is a clear connection to the University community. Incidents without a clear connection (nexus), but where the student(s) in question potentially pose a significant risk to community or workplace safety or where the University has reasonable grounds to be concerned with a risk of future violence, also fall within the scope;
 - c) arises elsewhere in the course of activities sponsored by the University, or where the conduct is alleged to adversely affect, disrupt or interfere with another person's reasonable participation in University programs or activities;
 - d) through electronic media, where there is a clear connection to the University Community; and/or
 - e) occurs in the context of a relationship between the student and a third party and involves the student's standing, status or academic record at the University.
8. **Residence Students** are also required to abide by the additional expectations outlined in [clauses 26-28](#).
9. **Student-Athletes** are also required to abide by the additional expectations outlined in [clauses 29-30](#).
10. **Student Leaders**, and **Student Groups** (including their executives, and any member operating in their capacity as a Primary Event Organizer) are also required to abide by the expectations outlined in [clauses 31-32](#).
11. A student host is responsible for supervising their guests' and ensuring their guests actions are not violations of the behaviour standards outlined in this Code.

AUTHORITY AND JURISDICTION

12. The Senate of McMaster University has set out in this Code, the expectations for acceptable conduct of students and the procedures for dealing with conduct that does not meet these expectations. Senate has delegated to the [Dean of Students](#) the authority to administer this Code and impose sanctions, including suspension or expulsion. The Dean of Students may delegate certain responsibilities to the [Director \(HCS\)](#), the [Director \(A&R\)](#), or other Student Affairs Staff.

INVOLVEMENT OF CIVIL AUTHORITIES

13. The existence of this Code does not preclude any individual from proceeding under applicable laws against another individual, nor does it preclude Security Services from carrying out its responsibilities. Proceedings under this Code may be carried out prior to, simultaneously with, or following other off-campus proceedings, including civil or criminal proceedings, at the discretion of the Dean of Students.
14. In cases where the Dean of Students determines that processing an allegation under this Code might prejudice another internal or external process they may suspend these proceedings indefinitely or pause the investigation pending the outcome of these non-Code proceedings. Interim measures may be used at any point to ensure the safety of all students and the University Community. See [Appendix B: Interim Measures and Ongoing Support of All Parties](#).

SECTION II: CONFIDENTIALITY

15. The University and its employees and agents will protect personal information and handle records in accordance with the [Freedom of Information and Protection of Privacy Act](#) and the [Personal Health Information Protection Act](#), where applicable in the circumstances, and in the case of health care providers, in keeping with any professional obligations.
16. The University will share identifying information only in circumstances where it is necessary in order to administer the Code, to address safety concerns, or to satisfy a legal reporting requirement. In such circumstances, the minimum amount of information needed to allow such concerns to be addressed, or to meet such requirements, will be disclosed. Such circumstances include those where:
 - a) an individual is at risk of harm to self;
 - b) an individual is at risk of harming others;
 - c) there are reasonable grounds to be concerned with risk of future violence or the safety of the University and/or broader community;
 - d) disclosure is required by law; for instance, suspected abuse of someone under the age of 16; or, to comply with legislation;
 - e) it is necessary to comply with the reporting requirements of regulatory bodies;
 - f) it is necessary to share information between the [Director \(SSCM\)](#), the [Director \(HCS\)](#), the [Director \(A&R\)](#), and/or other appropriate staff within their offices for the purpose of supporting the student (e.g. when behaviour that occurred within Residence may affect the student in their role as a Student-Athlete); and/or
 - g) there are reasonable grounds to believe that it is necessary to contact a student's parents or other appropriate contacts.
17. Some offices and [Community Members](#) have additional limitations to confidentiality because of their particular reporting requirements or professional obligations. For example:
 - a) all regulated health professionals are obligated to report suspected sexual abuse of a patient by a regulated health professional to that professional's governing body if this information is acquired during the course of their practice; and
 - b) Special Constables in Security Services are required to investigate reports of abuse of someone under the age of 16, and reports of intimate partner/domestic violence and to lay charges in all cases when there are reasonable grounds to believe a criminal offence has been committed, regardless of whether the target of the violence wishes to have further involvement with the legal process.
18. For matters involving allegations under the [Discrimination & Harassment Policy](#), and/or the [Sexual Violence Policy](#), any additional confidentiality requirements under the relevant policy will apply.
19. Procedural limits to confidentiality may also occur if the University is subject to legal proceedings that, in the opinion of the Provost and Vice-President (Academic) or the Vice-President (Administration), (in consultation with the President), require the disclosure of information.
20. The importance of preserving the confidentiality of Complaints and any related proceedings will be explained to all parties as a necessary measure to protect the integrity of the proceedings.

SECTION III: RIGHTS, RESPONSIBILITIES, AND EXPECTATIONS

21. McMaster University is a student-centered community committed to excellence, integrity, inclusiveness and teamwork. Membership in this community implies acceptance of the principle of mutual respect for the rights, responsibilities, dignity, and well-being of others, and a readiness to support an environment conducive to the intellectual and personal growth of all who study, work and live within it. Student rights, and the responsibilities that accompany them, include, but are not limited to those listed below.

Rights

22. All students have the right to:
- protection under the law and this Code;
 - fair procedures and process under this Code;
 - participate unhindered in their academic pursuits which includes the opportunity to participate in respectful dialogue that examines diverse views and ideas;
 - live and work in an environment free from discrimination, harassment, intimidation, sexual violence, and violence; and
 - have their personal privacy appropriately respected by other students.

Responsibilities

23. All students are responsible for:
- acting in accordance with the law and this Code;
 - being acquainted with the relevant related policies as they apply to all students as well as to their specific role(s) within the University;
 - supporting an environment free from discrimination, harassment, intimidation, assault, sexual violence, and violence;
 - treating others in a way that does not harm them physically and/or threaten or intimidate them emotionally or mentally;
 - appropriately respecting the personal privacy of other students;
 - consuming legal substances in a safe and responsible manner; and
 - complying with any disciplinary measures assigned under this Code, and respecting the authority of University officials in the course of their duties.
24. For a list of behaviours that may be considered a violation of this Code, refer to [Section IV: Violations](#).
25. The University recognizes that unusual situations may arise that are not necessarily covered by the above Rights and Responsibilities, but still raise concern for the safety or well-being of students or the University community. In such cases, the [Dean of Students](#) reserves the right to use the procedures outlined in this Code to ensure the safety and security of students and the University Community as a whole.

RESIDENCE STUDENTS: ADDITIONAL EXPECTATIONS

26. Students living in Residence are part of a unique and interconnected community on campus. As such, there are additional, contextual expectations for Residence Students, and their guests.
27. These expectations are identified and agreed upon by every Residence Student in the [Residence Agreement Contract](#) and apply to any behaviour that occurs in Residence and/or at an approved Residence event held either on or off campus and/or which occurs on the internet or through social media.

28. By requesting to live in Residence, students agree to:

Community Standards

- a) avoid creating significant nuisances for, or infringe on, a resident's peaceful use of their room/space (e.g. excessive noise, indoor sporting activity, pranks, etc.);
- b) take reasonable steps to prevent a problem situation from occurring or, if it occurs, to prevent it from escalating to a more serious level;
- c) refrain from possessing prohibited items as defined by Housing and Conference Services in the Residence Agreement Contract Appendix: Prohibited Items and Alcohol Regulations;

Policy

- d) abide by University policies, procedures, or protocols (e.g. Residence Agreement/Contract, Guest/Escort Protocol, Decorating Protocol, etc.);

Personal and Community Safety

- e) refrain from actions that compromise fire safety standards (e.g. propping doors, lighting candles, smoking inside, failing to evacuate, tampering with fire safety equipment, causing a false alarm, etc.);
- f) refrain from actions that compromise the safety of an individual(s) (e.g. tampering with building systems, fabricating or building structures, accessing restricted areas, etc.) or are considered unsafe practices by Housing and Conference Services;
- g) refrain from actions that compromise the safety of the Residence community (e.g. loaning keys, fraudulently gaining entry to a building, misusing identification, etc.);

Substance Use Standards

- h) abide by the *Residence Agreement Contract Appendix: Prohibited Items and Alcohol Regulations* and the *Liquor License Act*, including refraining from underage consumption/service, excessive consumption/ public intoxication, open alcohol in a public space, drinking games, or alcohol practises considered unsafe by Housing and Conference Services; and
- i) refrain from the possession, use, sale or being under the influence of illegal drugs (including drug traces, paraphernalia, and smell) and/or use of medication for purposes other than those for which it was prescribed.

STUDENT ATHLETES: ADDITIONAL EXPECTATIONS

29. The University recognizes that Student-Athletes participate in distinctive settings on and off campus and are part of a unique community within the University. Playing and competing for the University is a privilege, not a right. Therefore, there are additional, contextual expectations for Student-Athletes that are identified and agreed upon during their registration process. These expectations apply to any member of an athletic inter-university team, and to their behaviour at any Athletics and Recreation sanctioned event, or a team related function held either on or off campus and/or which occurs on the internet or through social media.
30. Student-Athletes are expected to:
- a) represent the University and portray themselves, their team, and the University in a positive manner at all times;
 - b) be an ambassador for the University at all times and avoid engaging in activities likely to cause personal injury, intimidation or harassment;
 - c) treat everyone with courtesy and respect within the context of their sport;
 - d) refrain from any form of hazing, which includes, but is not limited to: any action or activity which does not contribute to the positive development of a person; which inflicts or intends to cause physical or mental harms; and which may demean, degrade or disgrace any person, regardless of location, intent or consent of participants;
 - e) abide by the rules and regulations of their sport, as set out by Ontario University Athletics, the Canadian Interuniversity Sport and the sport governing body;
 - f) refrain from the use of anabolic steroids or other illegal performance enhancing drugs and techniques (e.g. blood doping), as outlined by the Centre for Ethics in Sport;
 - g) avoid any negative interaction or conflict with members of opposing teams and/or officials except as they occur in the actual course of competition and which constitute the legitimate expression of the competitive spirit of their teams or team members;
 - h) refrain from willfully damaging the property of others which includes, but is not limited to, hotel rooms, facilities at other universities, and/or transportation vehicles; and
 - i) refrain from the consumption or transportation of any alcoholic beverages on team vehicles.

STUDENT LEADERS AND STUDENT GROUPS: ADDITIONAL EXPECTATIONS

31. Student Groups have a responsibility to respect the rights of others and to conduct themselves in a responsible manner that contributes positively to the University Community while on University premises and/or at events off-campus organized by the group.
32. Student Group executives and/or the primary event organizer may be held responsible for violations of this Code. All Student Leaders and Student Groups are expected to:
- a) follow the expectations and risk management procedures as contained in the [Policy on Student Groups \(Recognition, Risk Assessment and Event Planning\)](#); and
 - b) comply with a directive of the Dean of Students, or their delegate.

SECTION IV: VIOLATIONS

33. Violations of this Code include, but are not limited to:

Safety of Oneself and the Community

- a) engaging in [Sexual Violence](#) as defined in the [Sexual Violence Policy](#) and this Code;
- b) engaging in physical actions which are threatening, physically abusive and/or compromise the safety and security of any individual and/or group;
- c) engaging in verbal or non-verbal behaviour or communication toward any individual or group that may be perceived to be intimidating, degrading, harassing and/or discriminatory (that may violate the [Discrimination & Harassment Policy](#)), and in a manner that exceeds the bounds of freedom of expression;
- d) failing to comply with fire safety regulations, e.g. setting unauthorized fires, tampering with fire and emergency equipment, failing to exit a building during an alarm, etc.;
- e) possessing, storing, or using a hazardous material, explosive substance or weapon, including any item that can be reasonably perceived to be a weapon by others e.g. replica guns, air soft guns, etc.;

Personal or University Property

- f) vandalising, stealing, or being in possession of property that is not one's own e.g. intellectual property, digital files, property of the university and personal property, etc.;

Community Standards

- g) failing to cooperate with Security Services, or a University official who is performing their duties under this Code, e.g. including furnishing false information, etc.;
- h) assisting with or conspiring in any conduct that violates this Code;
- i) trespassing and/or fraudulently gaining, or attempting to gain entry to University property;
- j) engaging in disruptive behaviour in or out of class e.g. making excessive noise at any time of the day, causing a disturbance in class, or interrupting the daily functions of the University;
- k) sharing the private information of any individual without consent;
- l) fraud of any kind, including misusing University issued keys or identification, passwords, meal cards;
- m) publicly displaying and/or making pornography material anywhere on University campus;
- n) smoking, or the use of tobacco products, in any University owned or leased building and/or vehicle, on University property, or in any vehicle while on University property, in violation of the [Tobacco & Smoke Free University Policy](#);
- o) failing to adhere to their responsibilities and expectations as identified in this Code;
- p) breaching any contract under this Code that outlines specific parameters for a student's behaviour (e.g. behavioural contract, probation) and/or failing to complete an educational outcome or sanction on time;

Legal and Illegal Substances

- q) possessing, consuming, trafficking or being under the influence of any illegal substance;
- r) possessing or consuming alcohol when under 19 years of age, or distributing alcohol to those under 19 years of age;
- s) consuming or being impaired by any legal controlled substance, in a public space regardless of age.

SECTION V: ROLES AND RESPONSIBILITIES**STUDENT AFFAIRS ADMINISTRATORS**

34. Student Affairs Administrators are the:
- Dispute Resolution Case Managers "Case Managers" in the [Student Support & Case Management Office \(SSCM\)](#), for all students;
 - Support Case Manager (SSCM), Residence Life Area Coordinator, or the Manager (Residence Life), for Residence Students; and
 - Associate Director (A&R), or the Athletic Services Coordinator for Student-Athletes.
35. Student Affairs Administrators are responsible for the:
- intake and preliminary assessment of allegations of Code violations;
 - investigations and determinations of violation of the Code, when the potential sanctions are within their authority to assign;
 - referral of Disclosures to the [Sexual Violence Prevention and Response Office](#); and
 - notification/referral to the appropriate Intake Office for allegations of discrimination, harassment and/or sexual violence.

CASE MANAGERS

36. The Case Managers in the Student Support and Case Management Office have additional responsibilities which include:
- conducting investigations of allegations of Code violations, including discrimination, harassment and/or sexual violence allegations (when they have been appointed as Investigators under the *Discrimination & Harassment Policy* and/or *Sexual Violence Policy*);
 - making a finding of violation for minor violations (that do not include allegations of discrimination, harassment and/or Sexual Violence);
 - referring cases directly to Adjudication when it is warranted by the severity of the alleged conduct, the potential sanctions, and/or the number of violations in the student's record;
 - determine whether a violation of the Code has occurred and, when appropriate or where there are extenuating medical circumstances, determine whether corrective action might be taken without proceeding to Adjudication.

INVESTIGATORS

37. Investigators for the Code may include external investigators or an alternate internal investigator, as deemed appropriate by the Student Support and Case Management Office.
38. Investigators appointed under the [Discrimination & Harassment Policy](#), and/or the [Sexual Violence Policy](#), whether internal or external to the University, will have training and expertise in compliance with the relevant policy.
39. Investigators will follow the mandate and scope of the investigation as determined by the University.

SECTION VI: INTAKE AND INVESTIGATIONS**INTAKE THROUGH STUDENT AFFAIRS**

40. Allegations from members of the University Community that a student's behaviour may be a violation of this Code should be reported to the appropriate [Student Affairs Administrator](#) (see clause 34) who shall determine whether the alleged behaviour is within the scope of the Code.
41. Individuals may consult with Student Support and Case Management to seek guidance on the application of the Code and the appropriate Administrator and/or Office that inquiries and complaints should be directed to.
42. If the matter is determined to not be within the scope of the Code, the matter may be dismissed and/or referred to another applicable University policy, or appropriate authorities.
43. If at any stage of a process under this Code it is determined that the behaviour is related to a health condition, it may be referred to [Section X](#) for alternate procedures, when appropriate in the circumstances.

Burden and Standard of Proof

44. At each stage of decision-making the onus of establishing that there has been a violation of the Code shall be on the University authority. Decisions are made on the balance of probabilities (the evidence shows it is more likely than not that the violation of the Code occurred).

Preliminary Assessment

45. Student Affairs Administrators shall conduct a preliminary assessment to determine whether:
 - a) the potential sanctions for the alleged violation are within their authority to assign, and if so, if it is also within their authority to investigate the allegation;
 - b) the number of violations in the student's record warrants referral directly to Adjudication before relevant Director ([SSCM](#), [HCS](#), [A&R](#));
 - c) the matter involves serious allegations of violations of the Code, that require referral to a Case Manager; and/or
 - d) the matter involves allegations of Discrimination, Harassment, and/or Sexual Violence that require a referral to the Director ([SSCM](#)), the Director ([HRDR](#)) and/or the Director ([SVPRO](#)).

REFERRAL FROM AN INTAKE OFFICE

46. Allegations of **discrimination, harassment and/or sexual violence** involving a Student Respondent will be investigated and adjudicated under this Code and may be referred to the Code from one of the Intake Offices.
 - a) [Human Rights & Dispute Resolution Program, Equity and Inclusion Office](#) (All Community Members)
 - b) [Student Support & Case Management Office \(SSCM\)](#) (Students)
 - c) [Employee and Labour Relations \(ELR\)](#) (Faculty or Staff members)
 - d) [Faculty of Health Sciences \(FHS\) Professionalism Office](#) (FHS Community Members)

Response Team

47. For allegations under the *Discrimination & Harassment Policy* and/or *Sexual Violence Policy*, there is a Response Team, which is activated by the relevant Intake Office Director, where a case potentially presents

community risk and/or requires consultation with multiple partners for a coordinated response. The Response Team will act in compliance with the *Discrimination & Harassment Policy* and/or *Sexual Violence Policy*.

DECISION TO NOT INVESTIGATE

48. In some circumstances a decision may be made not to investigate allegations of **discrimination, harassment and/or sexual violence**. The decision will be communicated in writing, with reasons, to the Complainant by the Dean of Students. The Complainant will be informed of their right to make a written appeal of the decision to the Provost and Vice-President (Academic).

VOLUNTARY RESOLUTION

49. In certain circumstances, a Complainant and Respondent may be interested in attempting a resolution of a Complaint at any time before the completion of an Investigation. Voluntary Resolution is not mandatory and may not be appropriate in all Code related matters.
50. The following conditions must be present before considering if Voluntary Resolution is a viable option:
- a) the University is able to meet its legal responsibilities pursuant to relevant legislation; and
 - b) the Complainant and the Respondent both agree to:
 - (i) attempt to reach a resolution in good faith;
 - (ii) the methods to be used to seek resolution; and
 - (iii) the terms of what would constitute resolution.
51. A meeting between the Complainant and the Respondent will **not** be a requirement for Voluntary Resolution.
52. A Voluntary Resolution may be facilitated by the appropriate Student Affairs Office, and the methods may include fact-finding discussions, clarification of the issues, facilitated conversations, mediation, coaching, voluntary no contact agreements, reconciliation, and restoration processes.

INVESTIGATIONS

53. Investigations conducted under this Code will follow the principles of procedural fairness. Respondents have the right to know the case against them, and to produce any relevant documentation, evidence, or other information, and identify witnesses to the Investigator in response to any allegations.
54. Investigations of allegations of discrimination, harassment and/or sexual violence shall be conducted in compliance with the investigation procedures of the [Discrimination & Harassment Policy](#) and/or the [Sexual Violence Policy](#).
55. The [Student Affairs Administrator](#), [Case Manager](#), and/or Investigator, will impartially collect evidence and interview witnesses in relation to the allegation. In consultation with the appropriate Director, they may adjust the scope and the manner in which the investigation will be conducted in compliance with this Code.
56. All [Community Members](#) are expected to meet with the Student Affairs Administrator, Case Manager, and/or Investigator if requested to do so. All those who attend such a meeting are expected to keep confidential the meeting and any information shared to ensure the integrity of the proceedings.

Contacting the Respondent

57. The Student Affairs Administrator shall contact the Respondent by phone and/or McMaster email to schedule a meeting. The Respondent will be informed of the following:
- a) that an investigation has been initiated, the nature of the allegation, and the procedures to be followed;
 - b) the time and location of the meeting;
 - a) the parties attending the meeting (when possible);
 - c) that should they fail to attend without contacting the Student Affairs Administrator, the Administrator will proceed to gather information in their absence; and
 - d) if contacted via email, that they must reply **within three (3) business days**.
58. If there is no response from the Respondent **within three (3) business days** of the initial contact, a meeting will be assigned, and scheduled **at least three (3) business days** after delivery of the notification. The Respondent will be notified by phone, via McMaster email and/or by letter (e.g. delivered under their Residence door; registered mail). These timelines may be expedited, in some cases, when the situation is deemed significant and/or when the Respondent agrees to an expedited timeline.

Identification of Additional Respondents

59. A student who was not previously identified as a Respondent but who, during the course of an investigation, is identified as a potential Respondent must be notified and given an opportunity for a meeting to respond to any allegations.

Meeting with the Respondent

60. During the meeting, the allegation shall be reviewed with the Respondent. The Respondent will be made aware of all relevant information pertaining to the matter that is available at the time of the meeting and will be given the chance to respond to the information presented, provide evidence, and identify any relevant witnesses.
61. Should new information be received from other parties and/or witnesses, the Respondent will be provided another opportunity to meet and respond to the new information.
62. The Student Affairs Administrator may seek to resolve the matter through one-on-one meetings or through a facilitated group dialogue which may include but is not limited to: mediation, restorative processes, and/or intervention on behalf of another.
63. The Student Affairs Administrator may discuss possible sanctions with the Respondent to determine whether the Respondent is interested in accepting the possible sanctions. This may include specific educational sanctions that will help the Respondent, while protecting the safety and integrity of the University Community (e.g. behavioural contract, loss of privileges etc.).

SECTION VII: ADJUDICATION

64. Following the investigation, the [Student Affairs Administrator](#) shall determine whether there is sufficient evidence to support a finding that the student has been found in violation of the Code, and if so, will determine which option will be most appropriate in the circumstances:
- decision by the Student Affairs Administrator;
 - referral to Adjudication before the relevant Director; or
 - direct the case to [Section X](#) where a Respondent has established that they have medical circumstances that may have contributed to the behaviour.
65. If the Student Affairs Administrator refers the matter to Adjudication, the student will be so informed in writing.

Student Affairs Administrator Decision

66. The Student Affairs Administrator makes a finding and imposes sanctions, in accordance with the Code. The student shall be provided with written notice of the finding and sanctions, and any appeal options they may have ([Appendix A: Appeals](#))
67. If the Student Affairs Administrator concludes that there is insufficient evidence to proceed, or that there is no violation of the Code, the matter shall be closed. The student will be informed in writing.

ADJUDICATION

68. In some circumstances, for Residence Students or Student-Athletes, the matter may be referred for adjudication before the Director (A&R), or the Director (HCS), when the potential sanctions are within their authority to assign.
69. Adjudication is normally before the Director (Student Support and Case Management Office), or the Dean of Students, as appropriate in the circumstances.
70. Students may request Peer Conduct Board Adjudication. The [Peer Conduct Board](#) will not be used in cases of Discrimination, Harassment and/or Sexual Violence, or where it is determined that the behaviour in question has resulted in significant harms to an individual and it would be inappropriate or unfair to those affected by the behaviour for information to be shared beyond the normal participants of an Adjudication Process.

Procedural Guidelines

71. Every reasonable effort will be made to arrange an Adjudication date **within seven (7) business days** of the decision being made to proceed to Adjudication.
72. Prior to the adjudication, either verbally or in writing, the Student Affairs Administrator will inform the Respondent that should they be absent from a scheduled Adjudication without first contacting the Student Affairs Administrator to reschedule, and demonstrating reasonable grounds, the matter may proceed in their absence.
73. The Respondent shall have the opportunity to bring a support person and bring witnesses. Respondents shall provide, as soon as possible, the names of any relevant witnesses that have agreed to testify. If new information arises the Respondent will have a chance to speak to it prior to the Adjudication

Parties

74. Parties to an Adjudication shall include the [Student Affairs Administrator](#) presenting the allegation and the Respondent against whom the allegation has been made.

Closed Hearings

75. Hearings shall be held *in camera* (closed) unless one or both of the parties requests that the hearing, or some part of the hearing, should be held in public. In the event of such a request, representations shall be heard from all parties on whether matters of an intimate financial or personal nature are to be raised, whether there is an issue of public safety involved, the desirability of holding an open hearing and other relevant circumstances.

Scheduling

76. An attempt shall be made to schedule the Adjudication hearing at a time and place convenient for all parties. However, if a party, who has been notified of an Adjudication date, is absent without contacting Student Affairs or without providing a satisfactory explanation, the Adjudication hearing may proceed in their absence.

Similar Questions of Fact/Policy

77. If two or more proceedings before the Peer Conduct Board (PCB) or the Adjudicator involve the same or similar questions of fact or policy, the PCB or the Adjudicator may:
- combine the proceedings or any part of them;
 - hear the proceedings at the same time; or
 - hear the proceedings one immediately after the other.

Advisor

78. The Respondent shall have the right to have an [Advisor](#) or [Support Person](#) present at the adjudication hearing. Such individual may consult with the Respondent but shall not be allowed to speak at the Adjudication hearing.

Evidence

79. The Respondent is entitled to receive, prior to the adjudication meeting, detailed information regarding the allegation against them.
80. Parties have the right to present evidence, including written statements, in support of their case, prior to and at the hearing, and to see any written evidence presented at the hearing.
81. The Decision-Maker may admit as evidence any oral testimony and any document, written statement or other thing, relevant to the subject matter of the proceeding.
82. The Decision-Maker may require the production of written or documentary evidence by the parties or by other sources.
83. The Decision-Maker must not hear evidence or receive representations regarding the substance of the case outside of the hearing.

Witnesses

84. Parties have the right to call, question and cross-examine witnesses. Parties are responsible for producing their own witnesses and paying for any costs associated with their appearance.
85. Parties may submit witness statements as evidence. In the event that a party wishes to cross-examine a witness on their statement, the adjudication may be adjourned to permit the witness to appear. Alternatively, the Parties may consent to contacting the witness by telephone; provided that all Parties and Decision-Maker can hear one another throughout the cross-examination of the witness.
86. The Decision-Maker may limit testimony and the questioning of witnesses to those matters it considers relevant to the disposition of the case.
87. The witnesses will stay in the adjudication meeting only while they are testifying and responding to questions.

University Representative

88. For the purposes of the Adjudication Hearing, the person responsible for presenting the case shall be referred to as the University Representative. The University Representative may include the Student Affairs Administrators, the Case Managers, and Investigators.

Order of Adjudication Hearing

89. The order of the Adjudication hearing shall be as follows:
 - a) the University Representative shall present the findings of their investigation and shall call any witnesses. The Respondent and the Decision-Maker shall be permitted to question each witness at the end of their testimony. The University Representative shall be permitted to clarify any new points arising from such questioning;
 - b) the Respondent shall present their evidence and shall call any witnesses. The University Representative and the Decision-Maker shall be permitted to question each witness at the end of their testimony. The Respondent shall be permitted to clarify any new points arising from such questioning;
 - c) the University Representative may respond to any evidence presented by the Respondent in (b) above;
 - d) the parties will be permitted an opportunity to summarize their respective cases. The summary should address both the substance of the alleged violation and the appropriate sanction in the event that the allegation is determined to be valid; and
 - e) the Decision-Maker may alter the order described above in the interests of fairness to any or all parties.

Adjournment

90. The Decision-Maker may grant an adjournment at any time during the adjudication hearing to ensure a fair hearing.

Appropriate Procedures

91. Where any procedural matter is not dealt with specifically in this Code, the Decision-Maker may, after hearing submissions from the parties and considering the principles of fairness, establish an appropriate procedure.
92. Any procedural requirement contained in this Code may be waived with the consent of the Decision-Maker, and all the Parties to the Hearing so long as basic procedural fairness is maintained.

SECTION VIII: DECISIONS

93. A decision takes effect immediately and filing an appeal will not stay the implementation of any sanction imposed.
94. It is the responsibility of the Adjudicator to ensure the implementation of the sanction.

Respondent

95. Respondents will receive a written decision from the relevant Decision-Maker, that will include:
- a) the decision with respect to a **Finding** or **No Finding** of Violation of the Policy;
 - b) reasons for the decision; and
 - c) a summary outlining the findings.
96. If the outcome is *no finding of violation* of the Code the matter will be closed.
97. If the outcome is a *finding of violation* of the Code, the Respondent will be informed of the sanction(s) and/or remedies that have been ordered, and will be informed of their **appeal rights** ([Appendix A: Appeals](#)).
98. Notification shall normally occur **within ten (10) business days** of an adjudication/hearing.

Professional Licensing Bodies

99. Where required by a professional licensing body, the relevant findings will be communicated to that professional licensing body, after any sanctions/remedies have been implemented.

Affected parties

100. Affected parties will receive information about the findings and/or any sanctions/remedies that have a direct impact on them, within the constraints of relevant legislation.

Complainants

101. Within the constraints of relevant legislation, the Complainant will be informed of the findings, and will be provided a brief summary of the decision and reasons that are directly related to their complaint.
102. In all cases, information about any sanctions/remedies that have a direct impact on the Complainant will be provided to them.

APPEALS

103. If the Respondent wishes to appeal the decision they may follow the Appeal procedures outlined in [Appendix A: Appeals](#).

SECTION IX: SANCTIONS AND REMEDIES**SANCTIONS**

104. Sanctions may be used independently or in combination for any single offence and shall be proportional to the severity of the offence. In the event that previous findings exist, the severity of sanctions may be greater.
105. Whenever appropriate, sanctions will be assigned with an emphasis on education and restorative practices; however, in certain circumstances, punitive sanctions may be assigned.
106. Sanctions include, but are not limited to:
- a) **oral warning:** an oral warning is notification given to a student;
 - b) **written warning:** a notice given to a student indicating the date, time, and nature of the violation. Such behaviour must stop and repeat offences may result in more severe sanctions;
 - c) **educational sanctions:** completion of specific educational or developmental activities as deemed appropriate. These may include, but are not limited to, service to the University or greater community, participation in educational seminars, written assignments, and written or oral apologies;
 - d) **restitution:** requirement that restitution to be made to another individual or the University for any loss or damage to personal or University property;
 - e) **behavioural contract:** a set of behavioural expectations, terms, and conditions. Any breach of this contract constitutes a violation offence and may result in more serious sanctions, including suspension or expulsion from the University;
 - f) **no contact order:** the student is required to have no direct or indirect contact (including but not limited to in-person, phone, email, text, social media, through a third party, etc.) with a specific individual or group as outlined in a behavioural contract;
 - g) **behavioural bond:** the student is required to provide a sum of money up to a maximum of \$500.00 for a specific period of time [maximum one (1) academic year] and sign and abide by a contract. If, at the end of that time, the student has not breached the contract, the money will be returned. If they do breach the contract, any money collected will be used by Student Affairs for educational purposes and more severe sanctions may be imposed;
 - h) **fines up to \$500.00:** fines may be applied for the following purposes:
 - (i) violations related to fire and fire safety, including smoking or tobacco use in violation of the *Tobacco & Smoke Free University Policy*;
 - (ii) some examples of fines for first time violations include:
 - \$50.00 - Late Move out of Residence (per day)
 - \$60.00 - Setting off Fire Alarms/Failure to exit the building during a fire alarm
 - \$100.00 - Tampering with Fire Safety equipment
 - i) **loss of privileges:** loss of specified privileges for a designated time period. The lost privileges may include, but are not limited to, parking privileges, unrestricted access to the library, access to athletic facilities, and extra-curricular activities;
 - j) **persona non grata (PNG):** *persona non grata* is the designation given to an individual who is denied the privilege of entering specific parts of the University. If PNG individuals are found or seen in the area they are denied, then they will be subject to a charge by Security Services under the *Trespass to Property Act*,

- k) **suspension (academic):** loss of all academic privileges at the University for a specified period of time and/or until imposed conditions are met. The student is eligible to return after this time but may be required to fulfill specified non-academic conditions upon return. The suspension is noted on the student's transcript (see [Appendix D](#) for further details); and
- l) **expulsion:** loss of all academic privileges at the University for an indefinite period. The expulsion is noted on the student's transcript (see Appendix D for further details).

Athletics Specific

107. In addition to the above sanctions, the following sanctions are only applicable to Student Athletes:
- a) **athletic financial awards:** financial awards offered through Athletics and Recreation may be rescinded for a period of time or permanently;
 - b) **community service (competitive teams):** community service by the individual or team;
 - c) **removal of funding (competitive teams):** removal of funding for the team; and/or
 - d) **suspension (competitive teams):** suspension of the individual or team for one or more competitions or an entire season.

Residence Specific

108. In addition to the above sanctions, the following sanctions are only applicable to students living in Residence:
- a) **guest restrictions:** restriction of a student's right to host guests in Residence for a specified period of time;
 - b) **Residence notice:** notification that any kind of further offence will result in a formal process and may result in eviction. The notice may include a loss of privileges (e.g. access to space, attendance at Residence programs, etc.). This status is in place for the balance of the academic year in which it is assigned;
 - c) **Residence probation:** a formal notice informing the student that any kind of further offence will result in eviction. The Adjudicator normally writes the letter citing the reason(s), the terms, and the length of time it will be in place. The length and terms of the probation will be determined based on the circumstances;
 - d) **room transfer:** a student may be transferred to another hall when their behaviour is disruptive to their hall but does not warrant eviction from the Residence system. A room transfer under these circumstances is normally accompanied by a declaration that the Student is *persona non grata* in their original hall and an automatic probationary status for the remainder of the academic year;
 - e) **denial of readmission:** denial of readmission to Residence or participation in the lotteries to return to Residence are outcomes levied in serious cases at the discretion of the [Director \(HCS\)](#). This will be communicated in writing to the Student, indicating the reason(s) and the period of time for which it will be in effect; and
 - f) **eviction:** a student who is evicted from Residence must leave Residence within a time period determined by Housing and Conference Services. The time period will be commensurate with the seriousness of the offence, normally 24 hours, and reflect Housing and Conference Services' assessment of the risk to persons and property within the hall if the student were to remain. Students evicted from Residence will not be eligible for readmission to Residence. Eviction from Residence is always accompanied by a declaration that the student is *persona non grata* (PNG) in all University Residences. Eviction does not affect nor will it appear on the student's academic record. The student will receive a letter outlining the reason(s) for the eviction as well as any terms and conditions related to their removal from Residence. A copy of this letter will be forwarded to Security Services.

Roles, Sanctions, and Appeal Rights specific to Residence Students

109. The following chart illustrates the specific roles, sanctions, and appeal rights applicable to Residence Students.

SANCTIONS	APPEALS
Community Advisors (i.e. Student Affairs Staff)	
<ul style="list-style-type: none"> • Oral Warning • Written Warning 	<ul style="list-style-type: none"> • Educational Outcome <p>Sanctions appealable to the Residence Life Area Coordinator, who has final decision</p>
Residence Life Area Coordinators (i.e. Student Affairs Administrators)	
<p>All Sanctions listed above, and:</p> <ul style="list-style-type: none"> • Restitution • Fine up to \$500.00 • Behavioural Contract • No Contact* • Room Transfer* 	<ul style="list-style-type: none"> • Guest Restrictions* • Residence Notice* <p><i>*As approved by the Residence Life Coordinator</i></p> <p>Violation and Sanctions appealable to the Student Affairs Adjudicator, who has final decision</p>
Director (Student Support and Case Management Office), Case Managers	
<p>All Sanctions listed above, and:</p> <ul style="list-style-type: none"> • Probation • Persona Non Grata (PNG) • Eviction* 	<ul style="list-style-type: none"> • Denial of Readmission* <p><i>*As approved by the Director (HCS)</i></p> <p>Violation and Sanctions appealable to Director (HCS) who has final decision</p> <p>Eviction or Denial of Readmission appealable to the Dean of Students</p>
Director, Housing and Conference Services	
<p>All Sanctions listed above</p>	<p>Eviction or Denial of Readmission appealable to the Dean of Students</p> <p>Appeals of PNG status reconsideration from residence(s) can be submitted after one year from time of issue</p>

REMEDIES

110. Remedies may be applied in addition to sanctions or may be a process by which appropriate sanctions are applied. Remedies may include but are not limited to:
- a) mandated counselling;
 - b) training or coaching; and/or
 - c) Restoration processes.

FAILURE TO COMPLY

111. Failure or refusal to comply/participate in any of the following, may result in an initiation of the Code procedures to determine sanctions for non-compliance.:
- a) comply with the terms of a Voluntary Resolution (No Finding);
 - b) comply with the terms of a Resolution Agreement (with a Finding);
 - c) comply with the outcomes of Restorative Justice; and/or
 - d) participate in or complete outcomes and or sanctions.

SECTION X: BEHAVIOUR RELATED TO A HEALTH CONDITION

112. An alternative process is appropriate when there is reason to believe that behavior may be related to a health condition. These procedures do not preclude the University from responding to and addressing the student's behaviour; but rather, outline an alternate approach with distinct procedures to support the student as well as to further understand how the health condition may have contributed to the behaviour. The intention of this approach is to enhance the understanding of the contributing factors that may have caused the behavior and to ensure access to supports and treatment, with the hope of reducing the likelihood of further behavior. In cases where it is determined that the behaviour is in violation of the Code and is directly related to a health condition, alternate outcomes/sanctions may be utilized as part of the resolution in recognition of the mitigating factors.
113. Where a [Student Affairs Administrator](#) who has referred a situation to this section has identified that there may be reason to believe that a student's behaviour is related to a Health Condition (including a physical or mental disability, as defined by the *Ontario Human Rights Code*), the Student Affairs Administrator will review the option to proceed under this section with the student.
114. The student will be given an opportunity to review and respond to a document outlining the concerns raised, including the options available to proceed under this Code.
115. This section applies to the following:
- behaviour prohibited under this Code;
 - behaviour prohibited under any other University code of behaviour where the [Dean of Students](#) determines that the student's behaviour should be considered under this process;
 - behaviour giving rise to a reasonable apprehension of a risk of harm to the student or others; and/or
 - behaviour that suggests a student is unable to function in a University setting, even with accommodation(s), if required, and/or the University's reasonable assistance.

Information Gathering Meeting

116. In non-imminent matters, Student Affairs reserves the right to meet with the student (if a meeting has not taken place already) in order to provide an overview of the Inquiry process and to inform the student of the behaviour that has been reported to be a violation of the Code.
117. If a meeting is not feasible, other forms of communication with the student will be utilized to ensure that the student has an opportunity to respond to the allegations, and to understand the procedures and explore the options available to the student.

Determination to Enact Procedures for a Student with a Health Condition

118. Based on the information available the Dean of Students shall review the information that has been gathered and determine if there are reasonable grounds to believe that the behavior is likely related to a health condition.
119. If the Dean of Students determines that it is reasonable to believe that the behaviour is likely related to a health condition, the situation will be considered if the following conditions are met:
- it is determined there is no imminent risk posed by the student being on campus, or that the risk has been mitigated with interim measures;

- b) the student is deemed by the Dean of Students to be fit to adequately participate in these procedures; and
 - c) the student agrees to the matter proceeding under this section of the Code.
120. If the Dean of Students determines that there are no reasonable grounds to believe that the behaviour is related to a Health Condition, the case will be redirected back to the appropriate process. This determination does not preclude the student from raising their health condition as a consideration in the determination of any subsequent outcome/sanction.

Response to a Student with a Health Condition as it Pertains to the Code

121. When enacting these procedures, the following will be considered:
- a) where a student's behaviour is determined to be primarily related to a health condition, the University will make every reasonable effort to enable the student to continue their studies;
 - b) for students with a disability (as outlined by the Ontario Human Rights Code), the University shall ensure that the student is appropriately accommodated; and
 - c) in determining an appropriate response to a student's behavior, the Dean of Students may review any previous, relevant, decisions under this Code or any other behavioural Code.

Review Meeting

122. If it is determined that it is appropriate to proceed under this section, a review meeting will be scheduled. The Review Meeting will include the student and may include; healthcare professionals or other experts as deemed appropriate. The student may bring a support person. If the student does not bring a support person, the University may appoint a support person if it determines that the student is in need of assistance.
123. The purpose of the Review Meeting is to review all relevant information and consider whether there are reasonable grounds to believe that the behavior in question is primarily related to a disability under the Human Rights Code and/or whether a health condition may be a mitigating factor related to the situation/behaviour. Consultations with appropriate professionals, supporting documentation and/or additional information provided by the student may further assist in this determination.
124. In addition, the review meeting may be used to:
- a) more fully understand the contributing factors that caused the behaviour;
 - b) create a plan to support the student with the intent of making every reasonable effort to enable the student to continue their studies; and/or
 - c) ensure that necessary steps have been taken to appropriately accommodate the student through the process.
125. The student does not have to provide supporting medical documentation. However, the student may be requested to submit, in confidence, additional relevant documentation (e.g. a letter from the student's health provider establishing that the behavior is related to a health condition). The absence of sufficient supporting documentation may affect the Dean of Students' ability to conclude that the behaviour in question is primarily related to a health condition.
126. If there are sufficient grounds to believe that the behaviour may be related to a health condition, the Dean of Students may, at their discretion, consult with appropriate professionals and/or offices (e.g. Student Accessibility Services, Independent Medical Evaluation (IME)). The purpose of such consultations will be to

identify whether it is reasonable to conclude that the health condition is contributing to the behaviour, including a determination of the health condition as a mitigating factor or a primary cause of the behavior.

127. In responding to the student's behaviour the Dean of Students will consider the following:
- a) the effect of the behaviour on the campus community;
 - b) any previous and/or concurrent violations of the Code;
 - c) the possibility of allowing the student to continue their studies; and
 - d) any accommodations or supports that could be put in place to assist the student, e.g. a behavior contract, wellness agreement, a mental health assessment by a regulated health professional, restriction to parts of campus, no-contact agreements, reduced course load, modified privileges, or, a voluntary or involuntary leave on compassionate grounds.

INVOLUNTARY OR VOLUNTARY WITHDRAWAL

128. Voluntary or involuntary leave withdrawal occurs when a student agrees or is required to temporarily discontinue studies at the University for either a specified time and/or until imposed conditions are met.
129. Once the withdrawal period has expired and/or the conditions have been met, the student is not required to re-apply for admission unless the Faculty can establish, to the satisfaction of the Dean of Students, that it is reasonable to do so as a result of the lapse of time. The withdrawal will not be noted on their transcript.
130. Students who return after a withdrawal may be required to fulfill other specified academic and non-academic conditions. One such condition may require the student to provide corroborating evidence that the health condition has sufficiently improved or is being managed.
131. If the student wishes to appeal the decision they may follow the Appeal procedures outlined in [Appendix A: Appeals](#).

APPENDIX A: APPEALS

1. The decision from a lower level stays in effect unless and until it is overturned on an appeal by the Respondent. This means that submitting an appeal will not prevent the decision/sanctions being appealed from being carried out.
2. A Respondent who has been evicted must leave Residence before they are permitted to commence an appeal. If the appeal is successful, the Respondent will be considered for readmission to Residence in the first available space deemed appropriate for that Respondent by the Director (HCS).
3. Appeals for findings of violations of the Code that relate to the [Discrimination & Harassment Policy](#) and/or the [Sexual Violence Policy](#) shall be adjudicated as per clauses 13 and 14 below.

DECISIONS NOT RELATED TO DISCRIMINATION, HARASSMENT, AND SEXUAL VIOLENCE

4. Appeals by a Respondent are to be filed in letter format and are to be submitted to Student Affairs **within 15 business days of receipt** of the decision. The appeal must contain:
 - a) a copy of the decision;
 - b) a full statement of the grounds for the appeal;
 - c) the outcome sought; and
 - d) any relevant supporting documentation.
5. Grounds for an appeal may include but are not limited to:
 - a) the evidence did not warrant the finding;
 - b) the procedures in this Code were not properly followed;
 - c) new evidence was found which could not reasonably have been presented earlier; and/or
 - d) the sanction was not appropriate for the behaviour which occurred.
6. Parties to the appeal shall include the **Appellant** who shall be the student against whom a finding has been made (i.e. the Respondent during the Adjudication process), and the **Respondent** who shall be the University authority whose decision is being appealed.
7. Appeals shall be heard as follows:
 - a) decisions of the [Student Affairs Administrator](#) may be appealed to the appropriate Adjudicator:
 - (i) [Case Manager](#) decision appealed to the [Director \(SSCM\)](#);
 - (ii) Information on **Residence specific appeals** can be found in [Appendix G](#). (Roles, Sanctions, and Appeal Rights specific to Residence Students);
 - (iii) Associate Director (A&R) appealed to the [Director \(A&R\)](#);
 - b) decisions of the Adjudicator may be appealed to the [Dean of Students](#).

8. The Appeal Adjudicator/Dean of Students may, after reviewing the case:
 - a) uphold the findings and/or sanctions;
 - b) reverse the finding and/or sanctions; and/or
 - c) modify the sanctions.
9. The Appeal Adjudicator/Dean of Students will normally provide written confirmation to the Appellant of the receipt of the appeal **within 2 business days**.
10. The Adjudicator will normally have **15 business days** to conduct their investigation, which may include meeting with the parties, and shall then inform the Appellant in writing of their decision with reasons and any further right to appeal.
11. The decision of the [Dean of Students](#) is final unless the decision imposes a sanction of suspension, expulsion or involuntary withdrawal, or involuntary withdrawal.
12. Decisions of the Dean of Students that impose a sanction of suspension, expulsion or involuntary withdrawal (for violations that **do not** involve Sexual Violence) may be appealed to the Senate Board for Student Appeals **within three weeks of receipt of the decision**. Refer to the [Student Appeal Procedures](#).

DISCRIMINATION, HARASSMENT, AND SEXUAL VIOLENCE RELATED DECISIONS

13. For sanctions that **do not** include suspension, expulsion, or withdrawal, the decision made by a Student Affairs Administrator may be appealed to the Dean of Students. When the Decision-Maker is the Dean of Students, the appeal will be to the Provost.
14. For sanctions that **include** suspension, expulsion, or withdrawal, the Decision made by Dean of Students may be appealed to the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence **within three weeks of receipt of the decision**. (see [Hearing Procedures](#)).

APPENDIX B: INTERIM MEASURES AND ONGOING SUPPORT OF ALL PARTIES

132. At any stage in this Code it may be necessary to take interim measures in order to safeguard the environment of Complainants, Respondents, and/or Community Members who are involved or may be affected. Interim measures shall not be construed as evidence of either guilt or a finding of violation of this Code, or as an affirmation of innocence/finding of non-violation of this Code.
133. Interim measures will be reviewed on an ongoing basis throughout the process to ensure the measures remain necessary and appropriate in the circumstances. Interim measures are temporary and do not extend beyond the final resolution of a complaint.
134. Interim measures include, but are not limited to:
- a) the rearrangement of academic/employment responsibilities or oversight;
 - b) the rearrangement of residence location (where possible);
 - c) adjustments in University activities (e.g. attendance at guest lectures, social events);
 - d) implementation of a No Contact Order; and/or
 - e) implementation of a *Persona Non Grata* designation.
135. When interim measures are in place, the person may continue to access relevant University support services, in compliance with the conditions of the interim measures.
136. For **All Students** the [Director \(SSCM\)](#), or the [Dean of Students](#), may enact interim measures, in writing.
137. For **Student-Athletes**, the [Director \(A&R\)](#) may enact interim measures, in writing; this could include but is not limited to suspension from games, practices, athletics facilities or athletic related events and/or functions.
138. For a **Student Group** event or activity, the [Dean of Students](#) may implement interim measures, in writing, including suspending the operations, and/or any planned events or functions, of a group until the situation is resolved.
139. For **Residence Students** the [Director \(HCS\)](#) may enact any combination of the following measures, in writing:
- a) assign a *Persona Non Grata* (PNG) status, Guest Restrictions or a No Contact contract;
 - b) negotiate a Letter of Understanding with the Student, that outlines a plan for access to Residence while the process is ongoing;
 - c) transfer the Student to another Residence building. The Student will be deemed to be PNG from their original Residence building and any other Residence buildings as identified by the Director (HCS) until after the case has been heard. Every effort will be made to have the case adjudicated as expeditiously as possible;
 - d) provide alternate accommodation off campus; or
 - e) issue a suspension from Residence, citing a specific timeline and plan for the student to leave and return to Residence.

Health Condition

140. In circumstances where there is a risk of harm to the student and/or community and the behaviour is believed to be linked to a Health Condition, or the student is not able to participate fully in the process, the Dean of Students may implement an interim leave of absence on compassionate grounds, until the student is able to demonstrate that they are able to fully engage in the process. If there are safety concerns, the onus will be on the student to provide assurance (e.g. medical assessment and/or documentation provided by a regulated health professional) to confirm they are ready to participate in the academic and social life of the University.

For Complaints of Discrimination, Harassment and/or Sexual Violence

141. The Response Team will consider and coordinate appropriate interim measures under the *Discrimination & Harassment Policy* and/or the *Sexual Violence Policy*, as they relate to all parties involved in the matter.

Exceptional Circumstances (Interim Suspension)

142. In exceptional circumstances, e.g. where the health and safety of the student or members of the University Community are compromised or at risk, the Provost may implement Interim Suspension, in writing, including altering or suspending the right of a student to be present on campus or to attend classes for an interim period before the case is resolved.
143. **Within seventy-two (72) hours** following the imposition of an interim suspension, the student shall be informed in writing of the reasons for the suspension. The student shall also be afforded the opportunity to respond to the allegations being made against them. Following that opportunity to respond, the Provost will then reassess the decision to suspend, and either revoke or continue it.
144. The alleged violation that led to the interim suspension shall be investigated and heard in accordance with the procedures contained within this Code. An assessment to determine a student's readiness to return to studies may be required in some cases.

APPENDIX C: PEER CONDUCT BOARD

PEER CONDUCT BOARD MEMBERSHIP

1. The Peer Conduct Board is made up of undergraduate and graduate students in good academic standing. Members are normally selected annually by a selection process to be determined each year by the [Director \(SSCM\)](#). The process shall include advertising the positions in appropriate student publications.
2. Each Peer Conduct Board member shall be appointed for a renewable one-year term. Members shall receive appropriate training to discharge their responsibilities.

PEER CONDUCT BOARD PANEL SELECTION

3. The Hearing of a case referred to the Peer Conduct Board shall be before a panel of a minimum of three members (the Panel). The Panel shall choose one member as the Chair (the Chair), who shall be responsible for the conduct of the deliberation portion of the hearing and for ensuring that a decision is made in a timely fashion.
4. In cases where the Respondent is an undergraduate student, every reasonable effort will be made for the Peer Conduct Board hearing, to consist of at least two undergraduate students.
5. In cases where the Respondent is a graduate student, every reasonable effort will be made for the Peer Conduct Board hearing, to consist of at least two graduate students.
6. No one shall serve on a Panel who has any direct interest or prior involvement in the case under consideration. Both the Respondent and the Panel member who feels there is a conflict are expected to express this to the [Director \(SSCM\)](#), prior to the beginning of the hearing.

PEER CONDUCT BOARD VOTING PROCEDURES

7. The Panel shall attempt to work on a consensus basis, failing which a majority vote will govern.
8. If the Panel has determined that a violation of the Code has occurred, before making a final decision on sanctions, the Panel shall consult with the Adjudicator regarding whether the Panel's proposed sanctions are consistent with the sanctions imposed in similar cases.

APPENDIX D: RECORDS, TRANSCRIPTS, REGISTRATION, AND NOTATIONS

RECORDS

1. Student Affairs shall maintain a confidential record of any finding of violation and related sanctions. These records include the documents and notes of the Administrator, Adjudicator and Dean of Students. The record shall be retained for five years after last use. The records involving transcript notations for suspensions and expulsions shall be retained permanently, or until the student's petition to delete the transcript notation has been granted by Senate (the record shall be destroyed when the transcript notation is deleted). At the [Dean of Student's](#) discretion, and after written notice to the student, a record may be retained longer than five years. Such notice shall cite the reasons for this decision and the extended retention date.
2. The purpose of this record, which shall be kept separate from any other of the student's records, is to determine whether there has been a previous offence, before a sanction is levied. Records may be taken into consideration should a student seek a position of responsibility within Student Affairs only. Students will be asked to consent to a records check when applying for a position (e.g. when a student applies to be a Community Advisor, Welcome Week Representative etc.).
3. In the event that the case is dismissed or overturned on appeal, all records of the proceeding shall be removed from the student's file.
4. Decisions of the Adjudicator and the Dean of Students, including a commentary on the type of misconduct occurring in a particular year and the sanctions applied, shall be reported in anonymized form, annually to Senate. No individuals will be identified in such a report. The University does not release confidential records regarding violations of the Code.
5. All records of Voluntary Resolution agreements for matters involving Sexual Violence will be retained by the [Equity and Inclusion Office](#) in compliance with the Office's records retention schedule. The record is not a finding of Sexual Violence and shall not be reported as a violation of the [Sexual Violence Policy](#) or this Code.
6. Data gathering and record keeping for matters involving Sexual Violence will adhere to the requirements set out in the *Sexual Violence Policy*.

RESIDENCE SPECIFIC RECORDS

7. Housing and Conference Services shall maintain a record of each finding against a resident until the end of the current academic year. When probation, eviction, *persona non grata (PNG)*, or denial of readmission outcomes are issued, these records will be retained by Student Affairs for a period of five years from the end of the academic year in which the decision was made.
8. Residence specific findings against the Student does not result in a notation on the Student's academic transcript. All residence records may be taken into consideration in the event that a Student seeks a position of responsibility with Housing and Conference Services.

STUDENT'S STATUS - TRANSCRIPTS, REGISTRATION, AND NOTATIONS

9. While under investigation for an alleged violation of the Code a student may be permitted to withdraw formally from the University. However, this will not prevent the continuation of the process under this Code.
10. When an allegation of a Code violation is made against a student, and until the case has been resolved, the student will not be issued transcripts directly but, at the student's request, transcripts will be sent to institutions or potential employers. If the student is subsequently found in violation of the Code and the conviction results in a transcript notation, the recipients of any transcripts will be so informed by the Registrar.
11. In the case of suspension the notation will read: "Suspended for Student Code of Conduct Violation by the Senate for ___ months (Date)." A student may petition Senate to remove the transcript notation after the minimum time specified by the Dean of Students or Senate Board for Student Appeals, as the case may be, when the suspension was imposed has elapsed.
12. In the case of expulsion the notation will read: "Expelled by the Senate for Student Code of Conduct Violation." If the Senate at some later date reinstates the student, this will be followed by the notation: "Reinstated by the Senate (Date)." Such a notation may be removed from a student's transcript on petition to Senate, but not before five (5) years after the penalty commences.

APPENDIX E: GLOSSARY OF TERMS

Accommodations are adjustments to individuals' academic or residence arrangements made to support them and/ or enhance their safety (e.g. a change in assignment deadlines or tutorial group, a change in residence location).

Advisor: A person of the individual's choice who acts in an advisory role during the investigation and adjudication process (e.g. friend, family member, legal counsel). The Advisor may be present during investigation interviews and adjudication hearings. At the adjudication hearing the Advisor may consult with the student but shall not be allowed to speak.

Balance of Probabilities is the test to be met to show, by the weight of the evidence presented, that all of the facts necessary to make a finding of violation of the Code have a greater likelihood of being true than not.

Community Members include, but are not limited to: students (graduate, undergraduate, and continuing education), staff, faculty, medical residents, volunteers, visitors (including visiting professors), and institutional administrators and officials representing McMaster University.

Complainant is an individual identifying a violation of the Code for the University's response.

Consent¹, in the context of sexual activity, is defined as the voluntary agreement of an individual to engage in the sexual activity in question. **The law also says that there is NO CONSENT where:**

- the agreement is expressed by the words or conduct of a person *other* than the individual;
- the individual is incapable of consenting to the activity;
- the Respondent induces the individual to engage in the activity by abusing a position of trust, power or authority;
- the individual expresses, by words or conduct, a lack of agreement to engage in the activity;
- the individual, having consented to engage in sexual activity, expresses, by words or conduct, a lack of agreement to continue to engage in the activity;
- the individual may be bodily harmed or is threatened with bodily harm; or
- the individual is under the age of consent.

Event (Authorized): Authorized events are University scheduled or University approved activities, occurring on or off University premises, e.g. public lectures, performances, placements (co-op or clinical), athletic events, work or study-related conferences/training sessions, etc. These events can include work or study-related travel. Events that are approved under the [Policy on Students Groups \(Recognition, Risk Assessment and Event Planning\)](#) are also authorized events.

Event (Non-authorized): Non-authorized events are events that are not scheduled or approved by the University and may occur on or off University premises e.g. group trips that have not been approved under the *Policy on Student Groups (Recognition, Risk Assessment and Event Planning)*, drinking games in residence, house parties, etc.

Guest means a person who is visiting a student on campus.

¹ This language is from the *Sexual Violence Policy* and will be revised as required to remain consistent with that Policy

Harassment means engagement in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. "Vexatious" comment or conduct is comment or conduct made without reasonable cause or excuse. Harassment includes Sexual and/or Gender-Based Harassment and Workplace Sexual Harassment.

Interim Measures are steps that are taken where the health and safety of the student or members of the University Community are compromised or at risk, and/or in order to safeguard the environments of individuals alleging violations of the Code and of individuals whose conduct is being questioned. Interim measures shall not be construed as evidence of either guilt or a finding of violation of the Code, or as an affirmation of innocence or finding that no violation of the Code has occurred.

No Contact Order includes restrictions on: registration for specific classes, other academic or non-academic activities, or attendance at specific meetings or events; direct or indirect contact (including but not limited to in person, by phone, email, text, social media, through a third party etc.) with a specific individual or group of individuals.

Persona Non Grata (PNG) is a designation, which is given to an individual who is denied the privilege of entering designated portion(s) of the University's buildings or grounds. If PNG individuals are found or seen in the area they are denied, they will be subject to a charge by [Security Services](#) under the Trespass to Property Act.

Peer Conduct Board Hearing means the adjudication process carried out by the Peer Conduct Board.

Primary Event Organizer means the individual who is leading the planning and implementation of an Event under the *Policy on Student Groups (Recognition, Risk Assessment and Event Planning)*.

Respondent is the individual about whom allegations have been made. For the purpose of Appendix A: Appeals, the Respondent is the University authority whose decision is being appealed.

Restoration Processes: Processes focusing on restoring the losses suffered by Complainants, holding Respondents accountable for the harm they have caused, and building peace within communities. Restoration Processes are premised on the voluntary and cooperative participation of all parties in the resolution process. This process, which may not be appropriate or viable in all cases.

Sexual Assault² is an assault committed in circumstances of a sexual nature such that the sexual integrity of an individual is violated, and it includes, but is not limited to, any unwanted, non-consensual, sexual activity, such as unwanted kissing, fondling, sexual grabbing, and/or intercourse/rape.

Sexual Harassment³ means engaging in a course of vexatious comment or conduct against an individual because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or making a sexual solicitation or advance to an individual where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the individual and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

² This language is from the *Sexual Violence Policy* and will be revised as required to remain consistent with that Policy

³ This language is from the *Sexual Violence Policy* and will be revised as required to remain consistent with that Policy

Sexual Violence ⁴ means any sexual act or act targeting a person's sexuality, gender identity or gender expression, whether the act is physical or psychological in nature, that is committed, threatened or attempted against a person without a person's consent, and includes sexual assault, sexual harassment, stalking, indecent exposure, voyeurism and sexual exploitation.

Student means any individual recorded by the University Registrar as enrolled in an educational course of study recognised by the Senate and for whom the University maintains education records.

Student Affairs Administrator means an individual appointed by the Dean of Students with authority to hear allegations of misconduct under the Code. Student Affairs Administrators include, but are not limited to: Case Managers, Residence Life Area Coordinators, the Residence Life Coordinator, the Associate Director of Athletics and Recreation, and the Athletic Services Coordinator.

Student Affairs Adjudicators are those in the position to adjudicate Administrative Formal Resolution Meetings and facilitate Peer Conduct Board Formal Resolution Meetings. They may also hear appeals of decisions made by Student Affairs Administrators. In most cases, this will be the Manager of Student Conduct and Community Standards.

Student Affairs Staff are those responsible for reporting violations, and collecting information at the time the situation takes place. This includes, but is not limited to, Community Advisors, Inter-University Athletic Coaches, etc.

Student-Athlete is defined as a student who has been selected to be a member of a varsity team or extramural competitive program. Students who belong to extramural competitive programs which do not have a selection process will be considered to be Student-Athletes once they have registered for the program.

Student Host means a person who has a Guest on campus.

Student Leader is defined as an executive member of a University Recognized Student Group or any member of such a group operating in their capacity as a Primary Event Organizer.

Support Person is a person of the individual's choice who acts in a supportive role but is not an active participant in the process (e.g. friend, Elder, parent, religious advisor).

University Premises means buildings and lands owned, leased, operated, controlled or supervised by the University and includes places or facilities used for the provision of the University's courses, programs or services or for University approved or sponsored events or activities.

University Recognized Student Group includes organizations and student groups that have been recognized under the *McMaster University Policy on the Recognition of Student Groups*.

Voluntary Resolution are steps that are taken (e.g. arrangement of academic, work or living environment / conditions) to which both the Complainant and Respondent have agreed to.

⁴ This language is from the *Sexual Violence Policy* and will be revised as required to remain consistent with that Policy

APPENDIX F: RELATED POLICIES AND LEGISLATION

This Code is to be read in conjunction with the following policies, statements, and collective agreements. Normally the policies listed below act independently of one another. However, they may intersect with the application of other University policies or procedures regarding the same matter. Any question of the application of this Code or related policies shall be determined by the Associate Vice-President (Students and Learning) and Dean of Students, in consultation with the administrator of the other policy or policies. The University reserves the right to amend or add to the University's policies and statements from time to time (this is not a comprehensive list):

- [Academic Accommodation for Religious, Indigenous and Spiritual Observances, Policy on](#)
- [Academic Accommodation of Students with Disabilities](#)
- [Academic Integrity Policy](#)
- [Alcohol Policy](#)
- [Conflict of Interest Guidelines- Undergraduate Studies and Graduate Studies](#)
- [Discrimination and Harassment Policy](#)
- [Employee/Labour Relations – Collective Agreements \(students acting in their role as Teaching Assistants are acting as University employees and should refer to their collective agreement.\)](#)
- [First Year Experience \(Orientation and Transition\) for Undergraduate Students, Policy on the](#)
- [Fraternities, Sororities and Honor Societies, Policy on](#)
- [Freedom of Information and Protection of Privacy Act](#)
- [Group Conflict and Senate Mediation Procedures](#)
- [Ontario Human Rights Code](#)
- [Personal Health Information Protection Act](#)
- [Professional Behavior Code for Graduate Learners, Health Sciences](#)
- [Professional Behavior Code for Undergraduate Learners, Health Sciences](#)
- [Sexual Violence Policy](#)
- [Statement on Building an Inclusive Community with a Shared Purpose](#)
- [Statement and Guidelines on Inclusive Communications](#)
- [Students Groups \(Recognition, Risk Assessment and Event Planning\), Policy on](#)
- [University Technology Services \(UTS\) – Policies and Procedures](#)
- [Violence in the Workplace, Policy on](#)

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Discrimination & Harassment Policy

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Associate Vice-President, Equity and
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Policy Specific Enquiries:

[Equity and Inclusion Office](#)

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TABLE OF CONTENTS

SECTION I: INTRODUCTION.....	1
PREAMBLE.....	1
SCOPE.....	1
MCMASTER'S COMMITMENT.....	2
POLICY REVIEW.....	2
TERMS AND DEFINITIONS.....	2
 SECTION II: OPTIONS.....	 4
OPTIONS.....	4
DISPUTE RESOLUTION.....	4
REPORTING.....	4
COMPLAINT.....	5
VOLUNTARY RESOLUTION.....	5
CRIMINAL REPORT.....	5
OTHER EXTERNAL OPTIONS.....	5
OPTIONS CHART.....	6
 SECTION III: CONFIDENTIALITY.....	 7
CONFIDENTIALITY (LIMITATIONS).....	7
 SECTION IV: PROCEDURAL GUIDELINES.....	 9
ADVISOR / SUPPORT PERSON.....	9
TIME LIMITATIONS FOR BRINGING FORWARD A COMPLAINT.....	9
REPRISAL.....	9
INTERIM MEASURES AND ONGOING SUPPORT OF ALL PARTIES.....	9
DATA GATHERING & RECORD KEEPING.....	10
 SECTION V: ROLES AND RESPONSIBILITIES.....	 11
SENIOR ADMINISTRATION.....	11
ASSOCIATE VICE-PRESIDENT, EQUITY AND INCLUSION.....	11
DIRECTOR, HUMAN RIGHTS & DISPUTE RESOLUTION.....	11
INTAKE OFFICES.....	12
RESPONSE TEAM.....	12
INVESTIGATORS.....	12 1213
DECISION-MAKERS FOR INTAKE AND INVESTIGATIONS.....	13
SECURITY SERVICES SPECIAL CONSTABLES.....	13 1314
SUPERVISORS.....	14
EMPLOYEES.....	14
COMMUNITY MEMBERS.....	14
 SECTION VI: INVESTIGATIONS.....	 15
INTAKE OF COMPLAINTS.....	15
DECISION TO NOT INVESTIGATE.....	15
UNIVERSITY INITIATED INVESTIGATION.....	16
INVESTIGATION PROCEDURES.....	16

SECTION VII: ADJUDICATION AND DECISIONS	18
ADJUDICATION.....	18
STUDENT RESPONDENT	18
FACULTY RESPONDENT	19
REFERRAL TO HEARING	19
STAFF RESPONDENT	20
COMMUNITY MEMBER RESPONDENT	21
NOTIFICATION OF OUTCOME.....	21
RESPONDENT.....	21
COMPLAINANT.....	21
REGULATORY / PROFESSIONAL LICENSING BODIES.....	21
AFFECTED PARTIES	21
SYSTEMIC AND PREVENTIVE INTERVENTIONS.....	21
SECTION VIII: SANCTIONS AND REMEDIES.....	22
SANCTIONS.....	22
REMEDIES.....	22
APPENDIX A: DEFINITIONS.....	23
APPENDIX B: RESOURCES.....	28
SUPPORT FOR THE UNIVERSITY COMMUNITY	28
ADDITIONAL SUPPORT FOR STUDENTS	28
ADDITIONAL SUPPORT FOR STAFF AND FACULTY	28
SUPPORT IN THE BROADER COMMUNITY	28
GUIDANCE ABOUT A POLICY AND/OR PROCEDURES	28
INDEPENDENT RESOURCE.....	28
APPENDIX C: JURISDICTION	29
APPENDIX D: RELATED POLICIES AND LEGISLATION.....	30

SECTION I: INTRODUCTION

PREAMBLE

1. All members of the University Community ("Community Members" see clause 5 below) have a right to study, work, and live in an environment that is free of Discrimination and Harassment.
2. The purpose of this Policy is to:
 - a) articulate McMaster University's commitment to Discrimination and Harassment prevention and response;
 - b) identify services and resources related to **Discrimination and Harassment** that are available to all members of the McMaster University Community ("University Community"); and
 - c) explain the complaint and reporting options, supports, and accommodations that are available to all members of the University Community who experience Discrimination and/or Harassment.

SCOPE

3. This Policy prohibits Discrimination and/or Harassment on the grounds articulated in the [Ontario Human Rights Code](#): age; ancestry, colour, race; citizenship; [ethnic origin](#); place of origin; [creed](#); [disability](#); family status; marital status (including single status); gender identity, gender expression; receipt of public assistance (in housing only); record of offences (in employment only); sex (including pregnancy and breastfeeding); and sexual orientation.
4. This Policy prohibits Harassment which is a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. Harassment may include Sexual and/or Gender-Based Harassment, Workplace Sexual Harassment, as well as Harassment on any one or more of the grounds articulated in the Human Rights Code.
5. This Policy expressly prohibits any discriminatory or harassing action and/or conduct, verbal or non-verbal, directed at or about one or more individuals or groups, that creates a [poisoned environment](#) which interferes with academic or work performance, in a manner that exceeds [the bounds of freedom of expression and](#) academic freedom.
6. The Policy applies to:
 - a) **all Members of the University Community** ("Community Members") include: students (graduate, undergraduate, and continuing education), staff, faculty, medical residents, volunteers, visitors (including visiting professors), and institutional administrators and officials representing McMaster University; and
 - b) **all University-related activities**, which are activities ([authorized](#) and [non-authorized](#)) where there is a clear nexus to the working or learning environment at the University (on and off University premises).
7. When allegations of Sexual Harassment are to be processed under the [Sexual Violence Policy](#), there may be circumstances where the allegations in a Complaint necessitate following the procedures under both this Policy and the *Sexual Violence Policy*.
8. Where a Complaint is filed that involves behaviour prohibited by this Policy, as well as behaviour more appropriately dealt with under the *Sexual Violence Policy*, the Complaint may be processed under the

Sexual Violence Policy. However, any proceedings related to the Complaint will determine if there has been a violation of the *Sexual Violence Policy*, in addition to any findings related to this Policy. The decision regarding which policy or policies are most appropriate will be made by the University.

9. Unless otherwise specified in this Policy, the Policy and its provisions apply where the University has the [jurisdiction](#) to pursue, adjudicate, or take steps to safeguard the University community.

MCMASTER'S COMMITMENT

10. The University upholds a fundamental commitment to freedom of expression and association for all its members and to academic freedom for faculty. In exercising those freedoms, all its members are required to respect the rights and freedoms of others, including the right to freedom from Discrimination and Harassment.
11. The University recognizes that supporting an environment free of Discrimination and Harassment is important for the well-being and dignity of individuals as well as for the overall climate and welfare of the University community. Accordingly, the University is committed to providing the policies, resources, and organizational structures required to support an environment free from Discrimination and Harassment.
12. As part of this commitment the University provides a range of educational and community-building activities that foster understanding of human rights issues and of the harm incurred by their violation and communicate the expectation of and support for a work, study and living environment free from Discrimination and Harassment.
13. When a University complaint process is initiated, the University is committed to providing an intake, investigation, and adjudication process that is timely and follows the principles of procedural fairness.
14. The University has a legal and ethical responsibility to address [Complaints](#) of Discrimination and Harassment, to enable accessible processes for resolution, and to provide support to all Community Members involved in such processes. The Administration may also respond when it is identified that there is [Systemic Discrimination](#) and/or Harassment that needs to be addressed.

POLICY REVIEW

15. The Policy will be reviewed annually for compliance with the *Occupational Health and Safety Act*.
16. For all other purposes, the Policy be reviewed every three years at the same time as the [Sexual Violence Policy](#).

TERMS AND DEFINITIONS

17. A full glossary of terms and definitions may be found in [Appendix A](#).
18. For the purpose of interpreting this document:
 - a) words in the singular may include the plural and words in the plural may include the singular;
 - b) Directors, members of the Administration, and Decision-Makers in this Policy may, where appropriate, delegate their authority;

- c) **AVP Equity and Inclusion** means the Associate Vice-President, Equity and Inclusion;
- d) **Chief Human Resources Officer** means the Assistant Vice-President & Chief Human Resources Officer;
- e) **Dean of Students** means the Associate Vice-President (Students and Learning) and Dean of Students;
- f) **Director (ELR)** means the Executive Director, Employee & Labour Relations;
- g) **Director (HRDR)** means the Director, Human Rights & Dispute Resolution Program;
- h) **Director (SVPRO)** means the Director, Sexual Violence Prevention and Response Office;
- i) **Director (SSCM)** means the Director, Student Support & Case Management Office;
- j) **Hearing Procedures** means the Hearing Procedures for the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence;
- k) **Provost** means the Provost and Vice-President (Academic);
- l) **Tenure and Promotion Policy** means the McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion; and
- m) **Security Services** means Security and Parking Services.

SECTION II: OPTIONS

OPTIONS

19. Community Members who believe there has been a violation of the Policy have a number of options available to them: **Dispute Resolution, Reporting** (under the Policy and includes filing a Complaint, and/or Voluntary Resolution), making a **Criminal Report**, or **Other External Options**.
20. Prior to pursuing one of the options below, [Community Members](#) should read [Section III: Confidentiality](#). It is important to be aware that, **depending on the circumstances and nature of the incident disclosed**, the University may be obliged to:
 - a) conduct a triage of violence risk;
 - b) initiate a University-led investigation of the incident regardless of whether or not the individual making the disclosure chooses to participate in the process; and/or
 - c) notify Hamilton Police Services of the allegation and name of the individual who is the subject of the allegation and/or contact other relevant agencies to fulfill legal obligations.
21. Community Members who have experienced unwelcome comment or conduct by another person are encouraged, although not obliged, to make it known to the other person that their behaviour is unwelcome. In situations where it is believed that addressing the other person could lead to an escalation of the comment or conduct, or to safety risks, this approach is not recommended. If the problem is not resolved, or if the Community Member feels they cannot speak directly to the other person, they should notify an appropriate [Supervisor](#) within the University of the matter.

DISPUTE RESOLUTION

22. Individuals may inform/seek assistance from their [Supervisor](#) (or person who has formal oversight of their area), or from an [Intake Office](#), to help address the situation.
23. Options for dispute resolution may include some fact-finding discussion, clarification of the issues, facilitated conversations, coaching, reconciliation, workplace restoration, settlement conferences, restoration processes, and mediation.

REPORTING

24. A Report occurs when an individual determines that they wish to pursue an official Complaint through one or more of the following avenues: a Complaint to the University under this Policy, Voluntary Resolution under this Policy, a Criminal Report through the justice system, or other reporting options external to this Policy. Reporting options are not mutually exclusive.
25. Individuals who file a Report may ultimately be required to attend/participate in a hearing, either internal to the University, or external through arbitration, or criminal court, etc.
26. Community Members may choose to contact any one of the **Intake Offices** to make a [Complaint](#) pursuant to the Policy.

Complaint

27. A Complaint is made when an individual submits an Incident Report to their Supervisor, or a written statement of [Complaint to an Intake Office](#), making an allegation of Discrimination and/or Harassment because they wish to initiate a formal University process, which may require an investigation into the allegations and finding of facts.

Voluntary Resolution

28. In certain circumstances, a Complainant and Respondent may be interested in attempting a resolution of a Complaint at any time before the completion of an Investigation.
29. The following conditions must be present before considering if Voluntary Resolution is a viable option:
- a) the University is able to meet its responsibilities pursuant to the *Occupational Health & Safety Act*; and
 - b) the Complainant and the Respondent both agree to:
 - (i) attempt to reach a resolution in good faith;
 - (ii) the methods to be used to seek resolution; and
 - (iii) the terms of what would constitute resolution.
30. A meeting between the Complainant and the Respondent will **not** be a requirement for Voluntary Resolution.
31. A Voluntary Resolution may be facilitated by an [Intake Office](#), and the methods may include fact-finding discussions, clarification of the issues, facilitated conversations, mediation, coaching, voluntary no contact agreements, reconciliation, restoration processes, workplace restoration processes.

CRIMINAL REPORT

32. A Criminal Report is made when an individual files a report of an incident with a police service or with [Security Services](#). Filing a Criminal Report with Security Services will result in a report to [Hamilton Police Service](#).

OTHER EXTERNAL OPTIONS

33. Individuals may exercise other University options external to this Policy (e.g. the grievance provisions of applicable collective agreements, or other options external to the University (e.g. through civil litigation or *Ontario Human Rights Code* provisions).

OPTIONS CHART

Complaint Intake Offices

[Human Rights & Dispute Resolution Program](#), Equity and Inclusion Office (All Community Members)

[Student Support & Case Management Office \(SSCM\)](#), Student Affairs (Students)

[Employee and Labour Relations \(ELR\)](#), Human Resources Services (Faculty and Staff members)

[Faculty of Health Sciences \(FHS\) Professionalism Office](#) (FHS Community Members)

DISPUTE RESOLUTION

Individuals may seek assistance from their Supervisor (or person who has formal oversight of their area) or from an Intake Office to help address the situation.

COMPLAINT

A Complaint can be initiated through completion of an Incident Report submitted to a Supervisor, or through submitting a written Complaint through one of the Intake Offices (listed above) making an allegation of Discrimination and/or Harassment because they wish to initiate a University process, which may require an investigation and finding of facts.

CRIMINAL REPORT

When an individual files a criminal report with a police service or with [Security Services](#). Filing a criminal report with Security Services will result in a report to Hamilton Police Services.

VOLUNTARY RESOLUTION

Attempting a resolution of a Complaint at any time *before* the completion of an Investigation.

OTHER EXTERNAL OPTIONS

Options external to the University (e.g. civil litigation or Ontario Human Rights Code provisions) or other options external to this Policy (e.g. grievance provisions of applicable collective agreements)

SECTION III: CONFIDENTIALITY

CONFIDENTIALITY (LIMITATIONS)

34. The University recognizes the importance of confidentiality both for individuals coming forward to seek Dispute Resolution, or Report an experience of Discrimination and/or Harassment, and for individuals who are the subject of a Complaint, and will take steps to protect the confidentiality of both parties to the extent permitted by its legal obligations outlined below.
35. The University and its employees and agents will protect personal information and handle records in accordance with the *Freedom of Information and Protection of Privacy Act* and the *Personal Health Information Protection Act*, where applicable in the circumstances, with the provisions of applicable collective agreements and, in the case of health care providers, in keeping with any professional obligations.
36. When making a Report to any University office individuals shall receive clear and transparent information about the level of, and limits to, confidentiality that apply.
37. Individuals may speak in confidence to an Intake Coordinator, subject to the provisions of this section and the limitations below. The University will share identifying information only in circumstances where it is necessary in order to administer this Policy, to address safety concerns, or to satisfy a legal reporting requirement. In such circumstances, the minimum amount of information needed to allow such concerns to be addressed, or to meet such requirements, will be disclosed. Such circumstances include those where:
 - a) an individual is at risk of harm to self;
 - b) an individual is at risk of harming others;
 - c) there are reasonable grounds to be concerned about risk of future violence or the safety of the University and/or broader community;
 - d) disclosure is required by law, for instance, suspected abuse of someone under the age of 16, reports of intimate partner/domestic violence or to comply with the *Occupational Health and Safety Act*, the *Workplace Safety and Insurance Act*, or with human rights legislation; and/or
 - e) to comply with the reporting requirements of regulatory bodies and/or professional licensing bodies.
38. Where there are reasonable grounds to be concerned about risk of future violence or the safety of the broader community or the public, or where the University is otherwise obligated to do so, the University may report the incident to Hamilton Police Services. In these situations:
 - a) the relevant Decision-Maker will be responsible for making the decision to disclose information to Hamilton Police Services;
 - b) the name of the Respondent, if known, will be shared; and
 - c) the name of the Complainant will not be shared without their consent, unless doing so would address a reporting obligation or mitigate a safety risk.
39. Some offices and Community Members have additional limitations to confidentiality because of their particular reporting requirements or professional obligations. For example:
 - a) those faculty and staff etc. who are regulated health care providers (such as those in the Student Wellness Centre) are required to maintain the confidentiality of patient information disclosed during a

medical interaction. These health care providers are not permitted to share information except in very limited circumstances, such as with the express permission of the patient, or if the health care provider believes that disclosure is necessary to eliminate or reduce a significant risk of serious harm to a person or group of persons, in accordance with their professional obligations; and

- b) Special Constables in Security Services are required to investigate reports of abuse of someone under the age of 16 and reports of intimate partner/domestic violence and to lay charges in all cases when there are reasonable grounds to believe a criminal offence has been committed, regardless of whether the target of the violence wishes to have further involvement with the legal process.
40. As part of the University's internal responsibility to maintain an environment free from Discrimination and Harassment, information shall be shared on a need-to-know basis.
 41. Procedural limits to confidentiality may also occur if the University is subject to legal proceedings that, in the opinion of the Provost or the Vice-President (Operations and Finance), require the disclosure of information.
 42. The importance of preserving the confidentiality of Complaints and any related proceedings will be explained to all parties as a necessary measure to protect the integrity of the proceedings.

SECTION IV: PROCEDURAL GUIDELINES

ADVISOR / SUPPORT PERSON

43. An Individual who is a party to a Complaint may be accompanied by an Advisor or Support Person, or legal counsel at any stage of any of the procedures outlined in this Policy. Any costs of any accompaniment are to be borne by the party.

TIME LIMITATIONS FOR BRINGING FORWARD A COMPLAINT

44. Individuals are encouraged to report a Complaint at the earliest opportunity but *must do so within one year* of the date on which the incident of Discrimination and/or Harassment is alleged to have occurred. If there was a series of incidents it *must* be reported within one year of the date of the last event. However, if the Response Team is satisfied there are compelling reasons and/or extenuating circumstances, or where a Complainant engages this Policy and the [Sexual Violence Policy](#) and the allegations cannot be separated from one another, Complaints may be pursued outside of this timeframe. When the Complainant is no longer a [Community Member](#), the Response Team will review the Complaint and determine whether it is within the scope of the Policy and may decide to initiate a University Investigation.

REPRISAL

45. The University prohibits reprisal or threats of reprisal against any person who, sincerely and in good faith, makes use of this Policy or participates in any process held under its jurisdiction. Any individual who is concerned that they are the subject of reprisals or threats should report their concerns to an Intake Office. Where appropriate, sanctions under the relevant policy (including this Policy, [Sexual Violence Policy](#), and/or the [Code of Student Rights and Responsibilities](#)) legislation or contract, may be applied against the individual(s) responsible for the reprisal.

INTERIM MEASURES AND ONGOING SUPPORT OF ALL PARTIES

46. At any stage in the proceedings under this Policy it may be necessary to take Interim Measures in order to safeguard the environment of Community Members who are involved or may be affected. Interim Measures shall not be construed as evidence of either guilt or a finding of violation of this Policy, or as an affirmation of innocence/finding of non-violation of this Policy.
47. The authority to approve Interim Measures will rest with the relevant [Decision-Maker](#) in line with the Respondent's reporting structure.
48. Interim Measures will be reviewed on an ongoing basis by the Director of the appropriate Intake Office throughout the process to ensure the measures remain necessary and appropriate in the circumstances. Interim Measures are temporary and do not extend beyond the final resolution of a Complaint.
49. Interim Measures may include, but are not limited to, the rearrangement of academic/employment responsibilities or oversight, an administrative leave of absence, the rearrangement of residence location (where possible), adjustments in University activities (e.g. attendance at guest lectures, social events), implementation of a no contact order, or implementation of a [persona non grata](#) declaration.
50. In the event an [Employee](#) is directed to take an administrative leave as an Interim Measure, the conditions of the administrative leave shall accord with the terms of any applicable collective agreement. In the absence of

an applicable collective agreement, (e.g. where the employee is faculty or The Management Group (TMG)) the leave shall be without loss of pay or benefits. It is understood that an administrative leave as an Interim measure is non-disciplinary and is designed to separate a person from a situation or another person until the matter has been resolved. During such period, the person can continue to access relevant University [Support Services](#).

51. Should an Investigation extend beyond six months, there will be a full review by the Response Team in consultation with the Decision-Maker to assess progress, considering fairness to all parties, thoroughness, timeliness, and confidentiality, and to consider any necessary next steps.

DATA GATHERING & RECORD KEEPING

52. The Equity and Inclusion Office is responsible for collecting and reporting annual anonymized, aggregate data on Consultations, Complaints, Dispute Resolution, Investigations, and all Outcomes and Sanctions, to the Senate and the Board of Governors.
53. Data for the annual report is collected and maintained by the Equity and Inclusion Office and includes data provided to that office by Employee & Labour Relations, the Student Support & Case Management Office, the Faculty of Health Sciences Professionalism Office, and Security Services. The purpose of the annual report is to inform education and training initiatives.
54. In developing the annual report, the utmost care will be taken to ensure that individuals' identities remain confidential and that data gathering does not discourage individuals who wish to disclose from coming forward.
55. All notes, materials, investigation reports, and decisions, pertaining to Complaints will be kept by the relevant Intake Office for seven years. These records may be retained longer, subject to the discretion of the appropriate Director.

SECTION V: ROLES AND RESPONSIBILITIES

SENIOR ADMINISTRATION

56. The Senior Administration has overarching responsibility for maintaining a University environment in which Discrimination and Harassment are unacceptable, for providing the resources required to support such an environment, and for ensuring the timely development and review of relevant policies through Senate and Board of Governors procedures.
57. In addition, the Senior Administration is responsible for enabling Community Members to function with the highest standards of integrity, accountability, and responsibility. Activities may include disseminating information about the University's expectations and providing education to all Community Members on issues related to Discrimination and Harassment.

ASSOCIATE VICE-PRESIDENT, EQUITY AND INCLUSION

58. The AVP Equity and Inclusion oversees the Equity and Inclusion Office, which houses the Human Rights and Dispute Resolution Program.

DIRECTOR, HUMAN RIGHTS & DISPUTE RESOLUTION

59. The Director (HRDR) is responsible for working in close partnership with individuals and offices involved in administering this Policy, as may be appropriate, including but not limited to: the Response Team, Investigators, Intake Offices, Decision-Makers, Senior Administrators, the University Secretariat, and University Counsel, to ensure the effective administration of this Policy and the *Sexual Violence Policy*.
60. The Director (HRDR) is responsible for providing guidance to Community Members who consult on requests for dispute resolution that they have received, providing information on how to support the individual and facilitate a referral, and assessing whether the limits of confidentiality apply.

EQUITY AND INCLUSION OFFICE

61. Prevention through education is a fundamental aspect of the University's commitment to addressing Discrimination and Harassment. The Equity and Inclusion Office, with the support of the Senior Administration, is responsible for coordinating the University's proactive educational and training initiatives and programs, which include:
 - a) educational initiatives for the campus community on issues related to discrimination and/or harassment; and
 - b) training initiatives for frontline campus community and student-facing service providers, and for those with particular responsibilities related to this Policy.
62. The Equity and Inclusion Office is also responsible for promoting the Health & Safety Training Program's *Violence & Harassment Prevention* training, that is coordinated by Environmental & Occupational Health Support Services, as well as other relevant training programs designed and delivered by campus partners.
63. The University Secretary, in consultation with the Equity and Inclusion Office will ensure that the members of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence receive appropriate education and training on Discrimination and Harassment.

INTAKE OFFICES

64. The Intake Offices share responsibility for assisting with Dispute Resolution, and the intake of Complaints relating to Discrimination and/or Harassment. There are four Intake Offices:
 - a) [Human Rights & Dispute Resolution Program \(HRDR\)](#), Equity and Inclusion Office (All Community Members)
 - b) [Student Support & Case Management Office \(SSCM\)](#), Student Affairs (Students)
 - c) [Employee and Labour Relations \(ELR\)](#), Human Resources Services (Faculty or Staff members)
 - d) [Faculty of Health Sciences \(FHS\) Professionalism Office](#) (FHS Community Members)
65. Intake Coordinators are responsible for ensuring the Complainant fully understands the procedures of the Policy and what may result from the decision to file a Complaint.
66. The statement of Complaint will be reviewed by the respective Intake Office Director, who may consult with the [Director \(HRDR\)](#), to determine the applicability of this Policy, the *Sexual Violence Policy*, and/or other University policies.
67. The Director of the relevant Intake Office will review any Interim Measures on an ongoing basis throughout the process to ensure they remain necessary and appropriate in the circumstances.

RESPONSE TEAM

68. The Response Team is activated by the relevant Intake Office Director, where a case potentially presents community risk and/or requires consultation with multiple partners for a coordinated response.
69. The Response Team will be chaired by the relevant Intake Office Director, and may include the Director (SVPRO), as a consultant, and as appropriate in the circumstances, the Directors of other relevant campus partners.
70. As necessary the relevant Intake Office Director may draw upon representatives of other key services and/or departments (e.g. Director of Housing and Conference Services, Director of the Student Wellness Centre, etc.), disclosing identities only on a need-to-know basis in order to appropriately respond to the matter.
71. When the allegations include the potential for an ongoing/further risk of violence, the relevant Intake Office Director may, on behalf of the Response Team, consult with the Director of Security Services, disclosing identities on a need-to know basis.

INVESTIGATORS

72. All Investigators, whether internal or external to the University, will have training and expertise in the area of Discrimination and Harassment, and in using an intersectional, anti-oppressive, and a trauma-informed approach to Investigation processes. Investigators will follow the mandate and scope of the investigation as determined by the University.

DECISION-MAKERS FOR INTAKE AND INVESTIGATIONS

73. The Decision-Makers are, as applicable, the:
 - a) Assistant Vice President & Chief Human Resources Officer for staff Respondents;
 - b) Associate Vice-President (Students and Learning) & Dean of Students for student Respondents;
 - c) Provost and Vice-President (Academic) for faculty Respondents; and
 - d) Executive Vice-Dean & Associate Vice-President (Academic) for faculty Respondents in the Faculty of Health Sciences.
74. More than one Decision-Maker may be involved in cases where a Respondent has more than one type of relationship with the University (such as a student who also holds a staff appointment).
75. When the Respondent is a Community Member but is not currently a student, staff, or faculty member, the investigation report will be reviewed by the Decision-Maker related to the Respondent's area of activity at the University.
76. Decision-Makers are responsible for reviewing and responding to Investigation Reports (see [Investigation Procedures](#)) and authorizing appropriate Interim Measures.
77. When the line of authority is unclear, the Provost and Vice-President (Academic) or the Vice-President (Operations and Finance), as appropriate, will determine the appropriate individual in the line of authority.
78. Should there be a conflict of interest with a Decision-Maker, the appropriate Vice-President shall assume the responsibilities of the Decision-Maker under this Policy. Similarly, if that Vice-President is in a conflict then another Vice-President or the President shall act.
79. Decision-Makers are responsible for determining whether Hamilton Police Services need to be notified and for authorizing that notification, as specified in clauses 37 - 38.

SECURITY SERVICES SPECIAL CONSTABLES

80. All Special Constables will receive training on intersectional, anti-oppressive, and trauma-informed response to Reports of Discrimination and/or Harassment.
81. When a Community Member elects to make a Criminal Report, Security Services will report the incident to Hamilton Police Services, liaise with the person and police, and refer the individual to the relevant Intake Office Director.

SUPERVISORS

82. Within the University Community it is recognized that there are various types of supervisors: [Academic Supervisors](#), [Academic Administrators](#), and [Workplace Supervisors](#). All such supervisors are responsible for:
- modeling acceptable standards of behavior;
 - supporting any employee or student who, in good faith, reports a potential violation of the Policy;
 - contacting one of the Intake Offices for guidance and advice to address the matter as appropriate in the circumstances, and cooperating with Intake Offices during Investigations, and/or in the implementation of Interim Measures, and/or sanctions;
 - completing all required training and ensuring that the people they are supervising are trained appropriately on the Policy and [RMM 300 Health and Safety Training Program](#); and
 - being aware of their roles and responsibilities as set out in the *Occupational Health and Safety Act* with respect to Workplace Violence and Workplace Harassment.

EMPLOYEES

83. [Employees](#) are required to complete initial and periodic refresher training in Violence and Harassment Prevention, in accordance with the [Health & Safety Training Program](#).
84. Employees have additional legal obligations when they become aware of incidents of [Workplace Harassment](#) and [Workplace Violence](#) as follows:
- in accordance with the *Occupational Health and Safety Act*, all employees of the University must report any incident of Workplace Harassment and/or Workplace Violence to their Supervisor or to an Intake Office. Any immediate or urgent incidents should also be reported to Security Services.
 - Workplace Supervisors must take every reasonable precaution to protect the safety of an employee. Supervisors are expected to consult with either the [Director \(HRDR\)](#) or [Employee and Labour Relations \(ELR\)](#) office when they become aware of an incident of Workplace Harassment and/or Workplace Violence. Any immediate or urgent incidents should be reported to Security Services.

COMMUNITY MEMBERS

85. All [Community Members](#) are responsible for contributing to and maintaining an environment that is free of Discrimination and Harassment, and for participating in education and training programs.

SECTION VI: INVESTIGATIONS

INTAKE OF COMPLAINTS

86. If an individual wishes to file a [Complaint](#) of Discrimination and/or Harassment for the University to address, they must contact an **Intake Coordinator** in one of the [Intake Offices](#) (refer to page 6).
87. Any Community Member who is the subject of an allegation under the Policy will be assisted by an Intake Office Director who will ensure that they receive support and guidance, and are in receipt of relevant information, services and supports relating to the Policy and Procedures.
88. The **Intake Coordinators** are responsible for:
 - a) ensuring that Complainants are aware of the options available to them in seeking a response;
 - b) assisting Complainants in understanding what may be involved in, and what may result from, each of the options; and
 - c) assisting a Complainant who wishes to move forward with completing a **Complaint Intake Form**, which includes a description of: what happened; who was involved in the incident; when and where the incident occurred; who (if anyone) saw or heard the incident, or saw or heard something of relevance prior to or after the alleged incident(s) of Discrimination and/or Harassment.
89. Complaint Intake Forms will be reviewed by the relevant Intake Office Director, who will review and assess the Complaint on an immediate and priority basis in order to, as appropriate:
 - a) confirm that it fits within the scope of the Policy;
 - b) consider requirements pursuant to the *Occupational Health and Safety Act*
 - c) conduct a triage of violence risk, and may consult with the Director of Security Services;
 - d) consider whether the matter may be resolved through Dispute Resolution and whether the parties are interested in voluntary resolution, and whether it is feasible/appropriate in the circumstances;
 - e) determine if an investigation is required, and, if so, set parameters accordingly, in consultation with the appropriate Decision-Maker (including, for example, which University office will be involved; internal or external investigator; timelines, mandate and scope for the investigation);
 - f) convene the [Response Team](#), as needed, to provide consultation;
 - g) consider and coordinate appropriate Accommodations and/or Interim Measures as they relate to all parties involved in the matter; and
 - h) as necessary, draw upon representatives of relevant services or departments in order to appropriately respond to the matter.
90. At any time during proceedings under this Policy, the Response Team, when convened, may determine it is necessary to disclose identities on a need-to know basis in order to administer the Policy.

Decision to Not Investigate

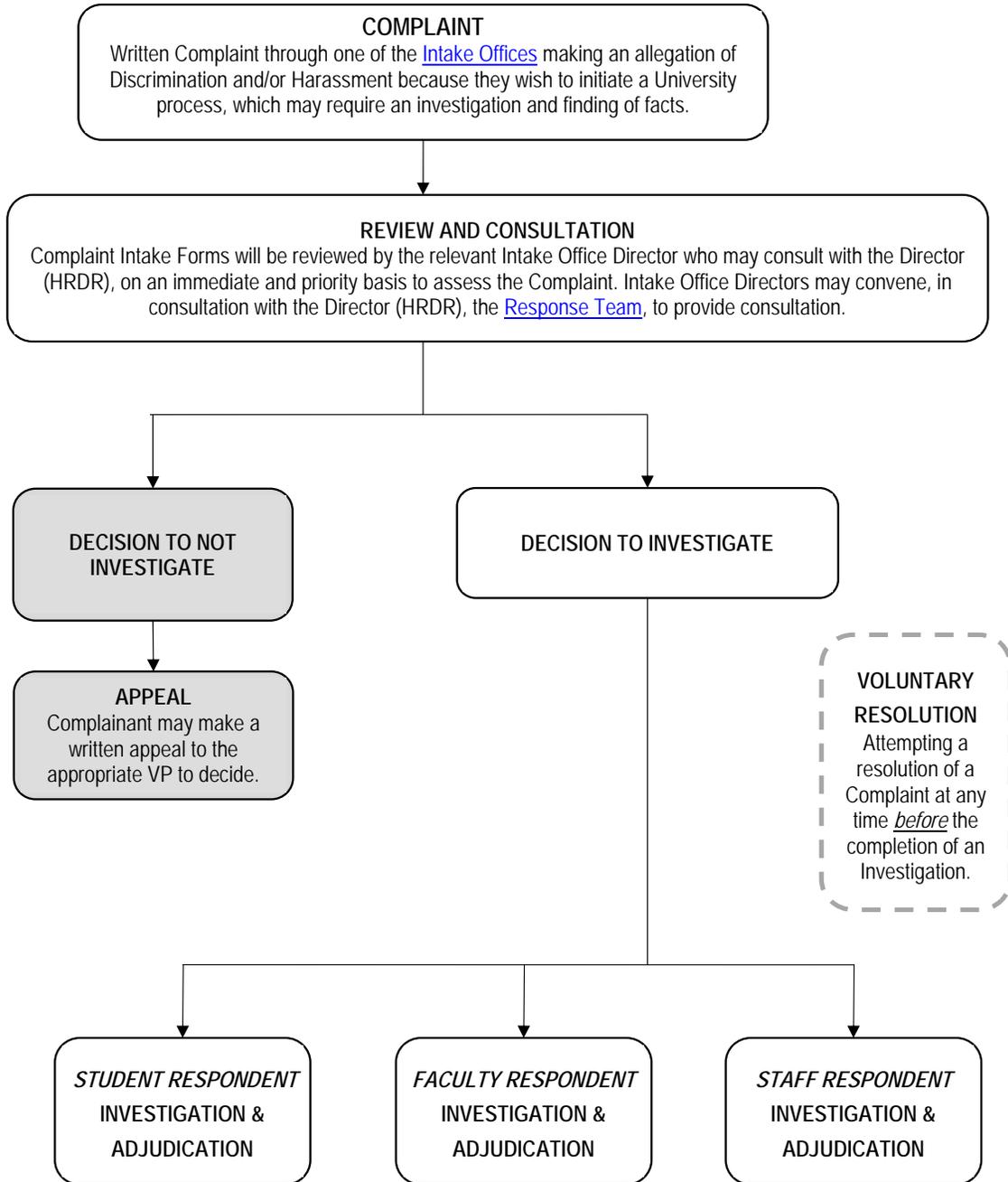
91. In some circumstances a decision may be made to not investigate. The decision will be communicated in writing, with reasons, to the Complainant by the relevant Decision-Maker. The Complainant will be informed of their right to make a written request for review of the decision to the Vice-President to whom the Decision-Maker reports.

UNIVERSITY INITIATED INVESTIGATION

92. The University may become aware of situations where a University-initiated Investigation may be warranted, including, but not limited to circumstances where:
 - a) allegations are made about the conduct of a Community Member by an individual who is not, or is no longer, a Community Member;
 - b) one or more individuals disclose experiences of Discrimination and/or Harassment involving one individual or multiple individuals within a group/organizational environment;
 - c) the University has a duty to investigate pursuant to the *Occupational Health and Safety Act*;
 - d) the power differential in the alleged incident indicates the potential for a pattern of repeated Discrimination and/or Harassment; and/or
 - e) situations reveal broader issues to be addressed, including concerns for a Poisoned Environment.
93. The Intake Office Director, in collaboration with the Director (HRDR) and other appropriate members of the Response Team, will consult with the appropriate Decision-Maker(s) to determine whether an investigation is warranted, on the basis of both the circumstances and nature of the allegations.
94. Individuals have the right not to participate as a Complainant in any University-Initiated Investigation that may occur.

INVESTIGATION PROCEDURES

95. Respondents have the right to know the case against them, and to produce any relevant documentation, evidence, or other information, and identify witnesses to the Investigator in response to any allegations.
96. The Investigator will impartially collect evidence and interview those witnesses they deem relevant in relation to the Complaint. The Investigator may request that the appropriate authority at the University adjust the scope and the manner in which the investigation will be conducted in order to ensure a thorough and fair investigation process.
97. All Community Members are expected to meet with the Investigator if requested to do so and to participate in good faith.
98. Complainants and Respondents have the option of being accompanied by a Support Person or Advisor.
99. All those who meet with an Investigator are required to keep confidential the Investigation and any information shared, to ensure the integrity of the proceedings. Failure to do so could be considered a breach of privacy and could be subject to a sanction under the relevant University policy.
100. An individual who was not previously identified as a Respondent but who, during the course of an Investigation, is identified as a potential Respondent (by the Investigator and with the approval of the University) will be notified and given an opportunity to meet with the Investigator and to respond to any allegations.
101. If during the course of the Investigation the Investigator believes the Complaint is frivolous (it does not have any serious purpose or value; is of little or no weight, worth, or importance), or is vexatious (instituted without sufficient grounds and only to cause annoyance) the Investigator shall refer the matter back to the Response Team to determine the next steps.



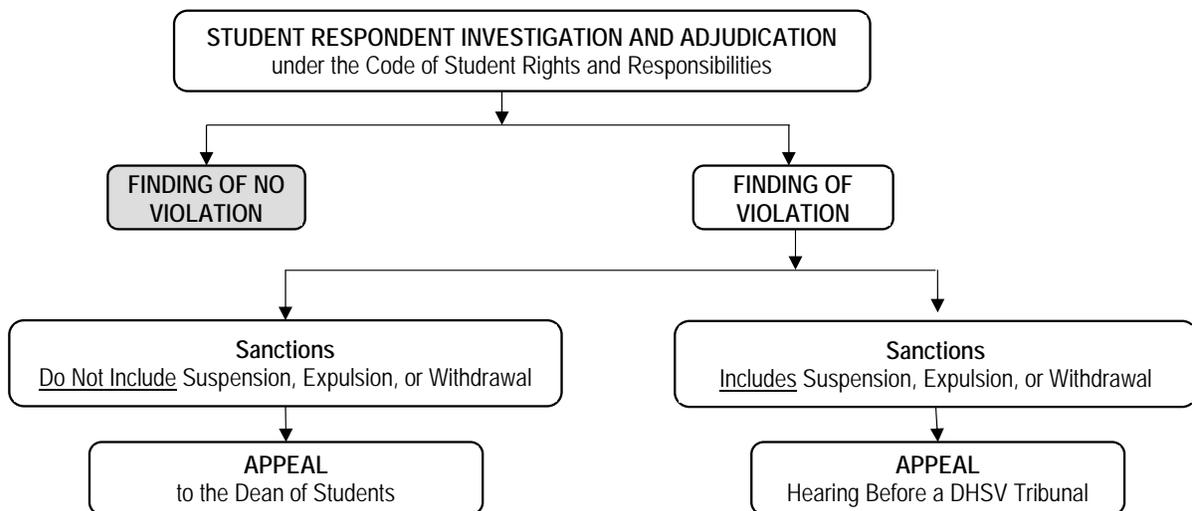
SECTION VII: ADJUDICATION AND DECISIONS

ADJUDICATION

- 102. Decision-Makers shall decide, on a balance of probabilities, whether the alleged Violation of the Policy has occurred.
- 103. Where a Respondent has more than one type of relationship with the University (such as a student who also holds a staff appointment) the relevant Decision-Makers may decide to adjudicate the matter jointly and any sanctions and remedies may be administered under one or both of the processes relevant to the Respondent's status.

STUDENT RESPONDENT

- 104. The Investigation Report will be provided to the Director (SCCM) or Dean of Students as appropriate, to consider and decide upon the findings and recommendations contained in the report and adjudicate the outcome.
- 105. Sanctions and remedies will be processed in accordance with the procedures in the [Code of Student Rights and Responsibilities](#) ("the Code").
- 106. In matters where the sanctions **do not include** suspension, expulsion, or withdrawal (voluntary or involuntary), the Respondent may appeal the outcome to the Dean of Students. When the Decision-Maker is the Dean of Students, the appeal will be to the Provost.
- 107. In matters where the sanctions **include** a suspension, expulsion, or withdrawal (voluntary or involuntary), the Respondent may appeal the decision made by the Dean of Students to the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence. (see [Hearing Procedures](#)).

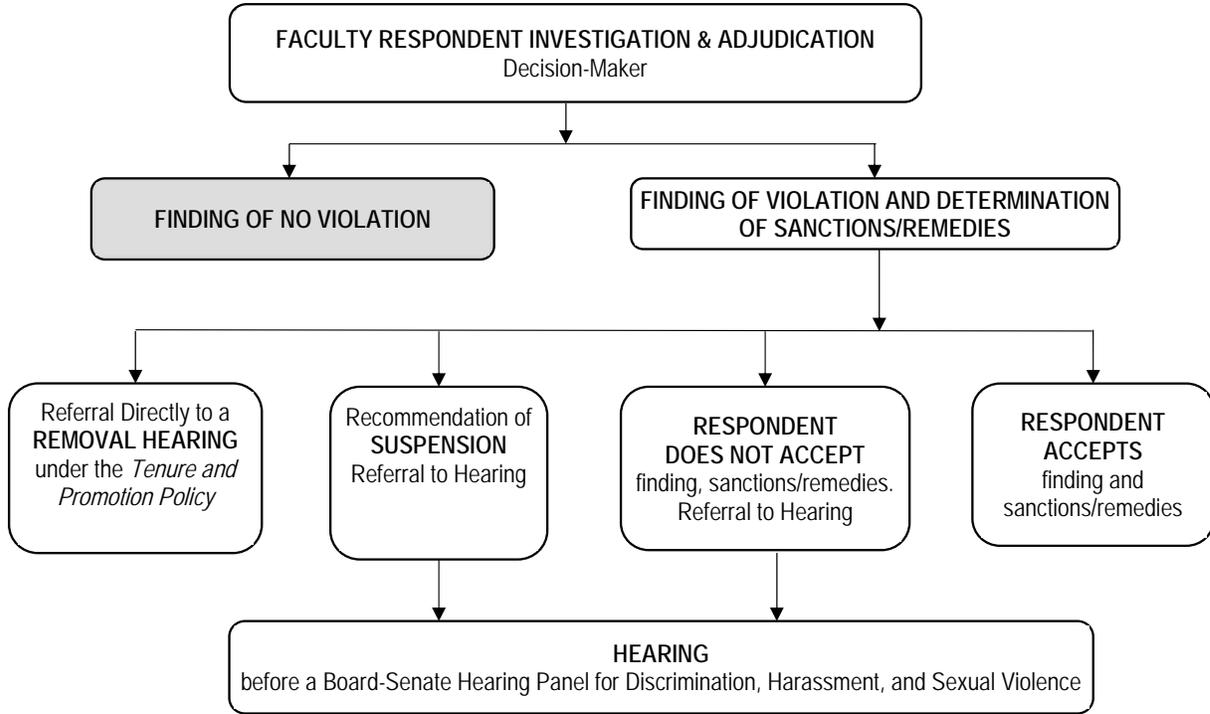


FACULTY RESPONDENT

- 108. The Investigation Report will be provided to the Decision-Maker (the Provost or the Executive Vice-Dean & Associate Vice-President (Academic) as appropriate) to consider the findings and recommendations contained in the report.
- 109. When considering the findings and recommendations, the Decision-Maker may consult with relevant offices (e.g. the Equity and Inclusion Office, Employee & Labour Relations, etc.) to ensure that outcomes are consistently applied, and are appropriate to relevant legislation, professional standards and regulations, and/or licensing bodies.
- 110. If the Decision-Maker makes a finding of violation of the Policy, the Decision-Maker will recommend the appropriate sanctions and/or remedies.
- 111. If the Respondent accepts the findings and the sanctions and/or remedies recommended by the Decision-Maker, the sanctions and/or remedies will be implemented, and the matter will be closed.

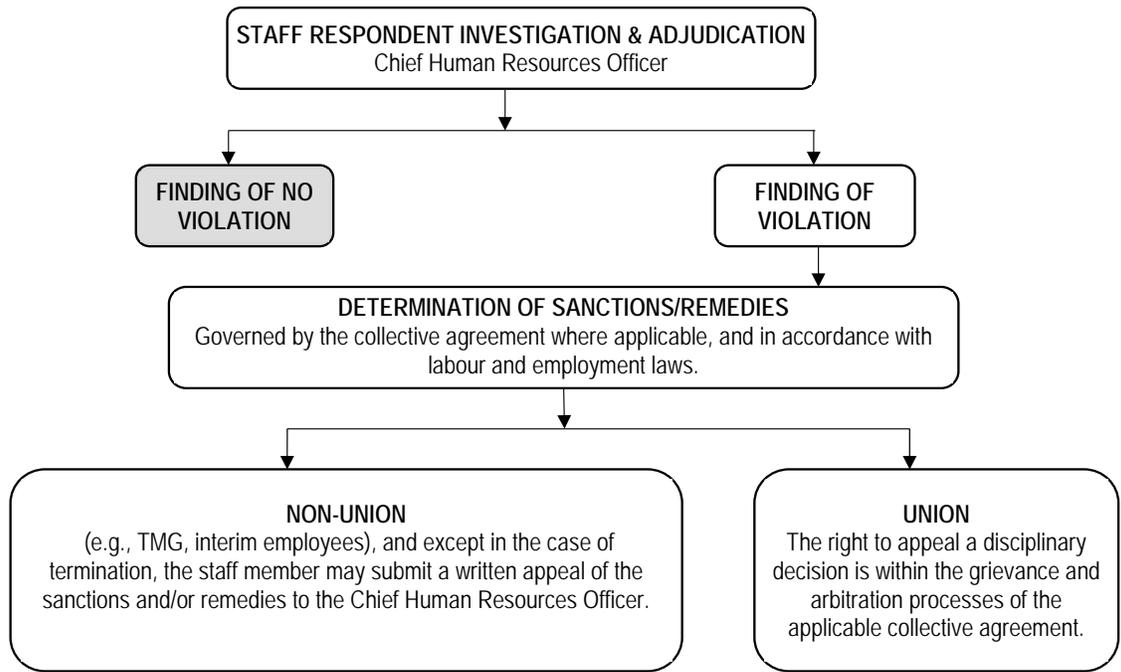
Referral to Hearing

- 112. If the Respondent does not accept the recommendations, or the Decision-Maker believes that suspension from the University is the appropriate sanction, the matter will be referred to a [DHSV Tribunal](#) for a hearing.
- 113. If it is determined by the Decision-Maker that Removal Proceedings should be initiated, the matter will be referred directly to the Procedures for Removal under the [Tenure and Promotion Policy](#).



STAFF RESPONDENT

- 114. The Investigation Report will be provided to the Chief Human Resources Officer to consider the findings and recommendations contained in the report.
- 115. If the Chief Human Resources Officer makes a finding of violation of the Policy, the matter will be referred to the [Director \(ELR\)](#) to support the [Workplace Supervisor](#) in the processes to determine appropriate remedies and/or sanctions to ensure that outcomes are consistently applied, and are appropriate to relevant legislation, professional standards and regulations, collective agreements and/or licensing bodies.
- 116. In the case of a staff member who is a member of a union, the right to appeal the remedies and/or sanctions is within the grievance and arbitration processes of the collective agreement, as may be applicable.
- 117. In the case of a staff member who is not a member of a union (e.g., members of The Management Group, interim employees), and except in the case of termination, the staff member may submit a written appeal of the remedies and/or sanctions imposed by the Workplace Supervisor to the Chief Human Resources Officer.
- 118. In the case where the Respondent's reporting line is through to the Chief Human Resources Officer, the appeal will be made to the Vice-President (Operations and Finance).



COMMUNITY MEMBER RESPONDENT

119. When the Respondent is a [Community Member](#) but is not currently a student, staff, or faculty member, the relevant [Decision-Maker](#) (related to the Respondent's area of activity at the University) will consider the recommendations contained in the report.
120. If the Decision-Maker makes a finding of violation of the Policy, the Decision-Maker will decide on the appropriate sanctions/remedies.

NOTIFICATION OF OUTCOME**Respondent**

121. Respondents will receive a written decision from the relevant Decision-Maker, that will include:
 - a) the decision with respect to a **Finding or No Finding** of Violation of the Policy;
 - b) reasons for the decision;
 - c) a summary outlining the findings;
 - d) if the outcome is *no finding of violation* of the Policy the matter will be closed;
 - e) if the outcome is a *finding of violation* of the Policy, the Respondent will be informed of the process by which sanction(s) and/or remedies will be recommended or ordered (as per the relevant adjudication process related to the Respondent); and
 - f) where relevant, confirmation of any Interim Measures that will remain in place until sanctions are imposed.

Complainant

122. If the matter has been referred to a Hearing the Complainant will be informed of the referral.
123. Within the constraints of relevant legislation, the Complainant will be informed of the findings and reasons that are directly related to their complaint.
124. In all cases, information about any sanctions/remedies that have direct relevance to the Complainant will be provided to them.

Regulatory / Professional Licensing Bodies

125. Where required by a regulatory / professional licensing body, the relevant findings will be communicated to that professional licensing body.

Affected parties

126. Other affected parties will be informed about the findings and/or any sanctions/remedies that have a direct impact on them, within the constraints of relevant legislation.

SYSTEMIC AND PREVENTIVE INTERVENTIONS

127. Investigations may reveal broader systemic issues to be addressed as a future preventative measure, regardless of whether or not there has been a finding of Discrimination and/or Harassment. In such instances, appropriate intervention measures may be recommended by Decision-Makers and /or the AVP Equity and Inclusion.

SECTION VIII: SANCTIONS AND REMEDIES

SANCTIONS

128. Sanctions shall be proportional to the severity of the offence, considering any aggravating, mitigating and/or contextual factors. Previous findings of a violation of this Policy or a related violation of the [Sexual Violence Policy](#) will be taken into account when sanctions are determined, and the severity of sanctions may be greater as a result. Sanctions may be used independently or in combination for any single violation and may be varied and depending on the nature of the Respondent's relationship with the University may be administered under more than one process.
129. **Sanctions** may include, but are not limited to:
- a) written reprimand;
 - b) inclusion of the decision, or summary of the decision as appropriate to comply with confidentiality requirements, in a specified file (e.g. Tenure & Promotion Dossier) of the Respondent, for a specified period of time;
 - c) the exclusion of the Respondent from, or oversight during, one or more designated University activities or duties;
 - d) a **No Contact Order**, which may include restrictions on: registration for specific classes, other academic /non-academic activities, or attendance at specific meetings or events; direct or indirect contact (including but not limited to in person, by phone, email, text, social media, through a third party etc.) with a specific individual or group of individuals;
 - e) a **Persona Non Grata (PNG)** declaration, which is undertaken when an individual is denied the privilege of entering designated portion(s) of the University's buildings or grounds. If individuals issued a PNG are found or seen in the area they are denied, they will be subject to a charge by Security Services under the *Trespass to Property Act*;
 - f) for Student Respondents, all sanctions in the [Code of Student Rights and Responsibilities](#) for findings of Discrimination and/or Harassment, including but are not limited to: behavioural contract/bond, suspension, expulsion; and for Residence students, residence probation, room transfer, denial of readmission, eviction;
 - g) for staff or faculty, **Suspension or Recommendation for Suspension**, as applicable, suspension involves relieving the Respondent of their University duties and denying them access to University facilities and services for a stated period of time and may be with or without pay and/or benefits. A recommendation for suspension of a **faculty** Respondent shall be dealt with in accordance with Section V of the [Tenure and Promotion Policy](#) and the common law where applicable; and
 - h) for staff or faculty, **Dismissal or Recommendation for Removal**, as applicable. A recommendation for removal of a **faculty** Respondent shall be dealt with in accordance with Section VI of the [Tenure and Promotion Policy](#) and the common law where applicable.

REMEDIES

130. **Remedies** may include but are not limited to:
- a) mandated counselling;
 - b) training or coaching;
 - c) [Restoration Processes](#) / [Workplace Restoration Processes](#).

APPENDIX A: DEFINITIONS

All definitions in this Policy include, but are not limited to, the definitions articulated in the [Ontario Human Rights Code](#) and described in the [Occupational Health and Safety Act](#).

Accommodations under this Policy are adjustments to individuals' academic, workplace, or residence arrangements made to support them and/ or enhance their safety (e.g. a change in assignment deadlines or tutorial group, a change in supervisory arrangements, a change in residence location).

Advisor: A person of the individual's choice who acts in an advisory role during the complaint and investigation process (e.g. friend, family member, union representative, legal counsel), but is not a witness or potential witness in the matter. The Advisor may be present during Investigation interviews but may not participate as a representative. The Advisor may assist the individual at a Hearing before a Tribunal of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence.

Agent: Anyone hired by the University or working on behalf of the University such as an external investigator or a physician or other health care professional.

Balance of Probabilities is the test to be met to show, by the weight of the evidence presented, that all of the facts necessary to make a determination that a violation of the Policy has occurred, have a greater likelihood of being true than not.

Community Members include, but are not limited to: students (graduate, undergraduate, and continuing education), staff, faculty, medical residents, volunteers, visitors (including visiting professors), and institutional administrators and officials representing McMaster University.

Complainant: The individual who files a Complaint alleging a violation of the Policy for the University's response.

Complaint: A Complaint is made when an individual notifies an Intake Coordinator of an allegation under the Policy or files an incident report with their Supervisor and seeks the University's response.

Confidentiality: Refers to the obligation of an individual or organization to safeguard entrusted information. The practice of confidentiality includes obligations to protect information from unauthorized access, use, disclosure, modification, loss or theft.

Creed: includes but is not necessarily limited to religious beliefs and practices. Creed may also include non-religious belief systems that, like religion, substantially influence a person's identity, worldview and way of life. The following characteristics are relevant when considering if a belief system is a creed under the *Human Rights Code*. A creed: is sincerely, freely and deeply held; is integrally linked to a person's identity, self-definition and fulfilment; is a particular and comprehensive, overarching system of belief that governs one's conduct and practices; addresses ultimate questions of human existence, including ideas about life, purpose, death, and the existence or non-existence of a Creator and/or a higher or different order of existence; has some "nexus" or connection to an organization or community that professes a shared system of belief.

Disability: Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device; a condition of mental impairment or a developmental disability; a learning disability, or a dysfunction in one or more of the processes involved in

understanding or using symbols or spoken language; and a mental health disorder/illness; or an injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act.

Discrimination means an unjust or prejudicial form of unequal treatment, whether imposing extra burdens or denying benefits, based on any of the grounds articulated in the *Human Rights Code*. It may be intentional or unintentional. It may involve direct actions that are discriminatory on their face, or it may involve rules, practices or procedures that appear neutral, but disadvantage certain groups of people ([systemic discrimination](#)). Discrimination may take obvious forms, or it may happen in very subtle ways. Even if there are many factors affecting a decision or action, if Discrimination is one factor, then that is a violation of this Policy.¹

Dismissal: Dismissal/termination proceedings for staff Respondents shall be dealt with in accordance with the established policies and procedures and by the terms of existing contracts of employment or collective agreements and the common law where applicable.

Dispute Resolution: Engaging in discussions, as appropriate, to assist a Community Member in resolving a dispute or concern, or addressing a situation, in situations where a Report has not been made.

DHSV Tribunal: A Tribunal of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence.

Employee: Where applicable, employee is used to refer to staff (see below) and faculty (see below).

Ethnic Origin: Statistics Canada states that “ethnic origin” refers to the cultural origins of a person’s ancestors. In the *Human Rights Code*, the ground of ethnic origin overlaps with a more commonly used term, “ethnicity,” which refers to a shared cultural heritage or nationality. Ethnic groups might be distinguished on the basis of cultural traits such as language or shared customs around family, food, dance and music. People who share an ethnic origin, ethnicity or ancestry may or may not share the same racial identity.

Event (Authorized): Authorized events are University scheduled or University approved activities, occurring on or off University premises, e.g. public lectures, performances, placements (co-op or clinical), athletic events, work or study-related conferences/training sessions, etc. These events can include work or study-related travel. Events that are approved under the [Policy on Students Groups \(Recognition, Risk Assessment and Event Planning\)](#) are also authorized events.

Event (Non-authorized): Non-authorized events are events that are not scheduled or approved by the University and may occur on or off University premises e.g. group trips that have not been approved under the [Policy on Students Groups \(Recognition, Risk Assessment and Event Planning\)](#), drinking games in residence, house parties, etc.

Expulsion applies to student Respondents and is the loss of all academic privileges at the University for an indefinite period.

Faculty are defined as academic teaching staff, clinical faculty, and senior academic librarians who are members of the “teaching staff”. Teaching staff as defined in the McMaster University Act means the employees of the University or of a college affiliated with the University who hold the academic rank of professor, associate professor, assistant professor or lecturer.

¹ Modified Language from “*A policy primer: Guide to developing human rights policies and procedures (1996; revised December 2013)*” © Queen’s Printer for Ontario, 2013. Reproduced with permission.

Frivolous, Vexatious Complaints: A Complaint may be considered frivolous if it does not have any serious purpose or value; is of little or no weight, worth, or importance. A Complaint may be considered vexatious if instituted without sufficient grounds and only to cause annoyance.

Harassment means engagement in a course of vexatious comment or conduct that is known or ought reasonably to be known to be unwelcome. "Vexatious" comment or conduct is comment or conduct made without reasonable cause or excuse. Harassment includes Sexual and/or Gender-Based Harassment and Workplace Sexual Harassment.

Incident Report: An [incident report](#) is a report completed by a Community Member and signed by their Supervisor when an incident/injury occurs in their working environment while they are engaged in University-related activities.

Interim Measures: Steps that are taken in order to safeguard the environments of all individuals. Interim Measures shall not be construed as evidence of either guilt or a finding of violation of the Policy, or as an affirmation of innocence or finding that no violation of the Policy has occurred.

No Contact Order: Includes restrictions on: registration for specific classes, other academic or non-academic activities, or attendance at specific meetings or events; direct or indirect contact (including but not limited to in person, by phone, email, text, social media, through a third party etc.) with a specific individual or group of individuals.

Persona Non Grata (PNG): An official declaration that an individual is denied the privilege of entering designated portion(s) of the University's buildings or grounds. If individuals issued a PNG are found or seen in the area they are denied, they will be subject to a charge by Security Services under the *Trespass to Property Act*.

Poisoned Environment means an environment where harassing and/or discriminatory conduct, on the basis of a person's sexuality, gender identity or gender expression, is found to be sufficiently severe, intimidating, hostile, offensive, and/or pervasive to cause significant and unreasonable interference to a person's study or work environment. A Poisoned Environment can interfere with and/or undermine work or academic performance and can cause emotional and psychological stress for some employees or students not experienced by other employees or students. As such, it results in unequal terms and conditions of employment or study and prevents or impairs full and equal enjoyment of employment or educational services, benefits, or opportunities. Although a person may not be the target of the conduct, a person may feel the effects of certain harassing or discriminatory conduct at their place of work or study.

Recommendation for Removal: A recommendation for removal of a faculty Respondent will be dealt with in accordance with Section VI of the Tenure and Promotion Policy and the common law where applicable.

Respondent: Those about whom allegations have been made in a Complaint process.

Restoration Processes: Processes focusing on restoring the losses suffered by Complainants, holding Respondents accountable for the harm they have caused, and building peace within communities. Restoration Processes are premised on the voluntary and cooperative participation of all parties in the resolution process. This process, which may not be appropriate or viable in all cases, can be facilitated by an Intake Office.

Senior Administration: For the purposes of this Policy, Senior Administration refers to the President, Provost and Vice-President (Academic), and Vice-President (Operations and Finance).

Sexual Harassment² means engaging in a course of vexatious comment or conduct against an individual because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome, or making a sexual solicitation or advance to an individual where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the individual and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

Staff: Employees of the University including, but not limited to: The Management Group (TMG), unionized employees, temporary employees, casual employees, non-teaching staff³, Sessional Faculty, Post-doctoral Fellows, and Teaching Assistants.

Student: A student is any individual recorded by the University Registrar as enrolled in an educational course of study recognised by the Senate and for whom the University maintains education records.

Supervisor: there are various types of supervisors within the University Community, which include the following:

- **Academic Supervisor** who oversees the academic work of a student, the most common example being a faculty member overseeing a graduate student's academic work;
- **Academic Administrator** is any faculty or staff member acting in their capacity as supervisor/administrator within a Faculty, Academic Department, etc., which includes, but is not limited to, Department Chairs, Deans, or other supervisors who oversee the work of a [Community Member](#) (e.g. a faculty member overseeing a Post-Doctoral fellow / technician / undergraduate or graduate student performing research in the faculty member's laboratory).
- **Workplace Supervisor** is "a person who has charge of a workplace or authority over a [Worker](#)" (*Occupational Health and Safety Act*). Supervisors are responsible for knowing the *Duties of Supervisors* under the Act.

Support: The provision of resources appropriate to the individual and the circumstances. This may include access to the Student Wellness Centre, Employee Family Assistance Program, and/or McMaster Students Union (MSU). Support resources do not include the provision of legal counsel.

Support Person: A person of the individual's choice who acts in a supportive role but is not an active participant in the process (e.g. friend, Elder, parent, religious advisor). The Support Person may be present during Investigation interviews but may not participate as a representative.

Suspension involves relieving a faculty or staff Respondent of their University duties and denying them access to University facilities and services for a stated period of time, which may be with or without pay and/or benefits. A recommendation for suspension of a faculty member will be dealt with in accordance with Section V of the Tenure and Promotion Policy and the common law where applicable. Suspensions of staff members will be dealt with in accordance with established policies and procedures and by the terms of existing contracts of employment or collective agreements and the common law where applicable. For a student Respondent, suspension is the loss of all academic privileges at the University for a specified period of time and/or until imposed conditions are met. The student is eligible to return after this time but may be required to fulfill specified non-academic conditions upon return.

² Source: Government of Ontario, [Ontario Human Rights Code](#) 2019

³ "non-teaching staff" means the employees of the University and of a college affiliated with the University who are not members of the teaching staff –The McMaster University Act, 1976

Systemic Discrimination: Policies, practices and institutional procedures which, deliberately or not, have the effect of creating or perpetuating disadvantage and discrimination against identifiable groups on grounds prohibited by the *Human Rights Code*.

Tenure and Promotion Policy: The McMaster University Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion.

Voluntary Resolution: Steps taken (e.g. arrangement of academic, work or living environment / conditions) to resolve or remedy a Complaint, with which both the Complainant and Respondent have agreed.

Workplace Harassment⁴ means engaging in a course of vexatious comment or conduct against a worker in a workplace that is known or ought reasonably to be known to be unwelcome; or workplace sexual harassment.

Workplace Restoration is the establishment or re-establishment of harmonious working relationships between individuals and within a team, group or unit.

Workplace Sexual Harassment⁵ means engaging in a course of vexatious comment or conduct against a worker in a workplace because of sex, sexual orientation, gender identity or gender expression, where the course of comment or conduct is known or ought reasonably to be known to be unwelcome; or making a sexual solicitation or advance where the person making the solicitation or advance is in a position to confer, grant or deny a benefit or advancement to the worker and the person knows or ought reasonably to know that the solicitation or advance is unwelcome.

Workplace Violence⁶ means: the exercise of physical force by a person against a worker, in a workplace, that causes or could cause physical injury to the worker; an attempt to exercise physical force against a worker, in a workplace, that could cause physical injury to the worker; a statement or behaviour that it is reasonable for a worker to interpret as a threat to exercise physical force against the worker, in a workplace, that could cause physical injury to the worker.

Worker: The definition of a Worker includes: a person who performs work or supplies services for monetary compensation; and a person who performs work or supplies services for no monetary compensation under a program approved by a college of applied arts and technology, university or other post-secondary institution. Unpaid students, learners and trainees who are workers under the Occupational Health and Safety Act have the same duties and rights as paid workers. Placement employers have the same duties to protect the health and safety of unpaid students, learners or trainees who are workers under the Occupational Health and Safety Act as they do to protect their paid workers. The definition of "worker" does not include a volunteer who works for no monetary payment of any kind.

⁴ Occupational Health and Safety Act

⁵ Government of Canada [Restoring The Workplace Following A Harassment Complaint: A Manager's Guide](#)

⁶ Occupational Health and Safety Act

APPENDIX B: RESOURCES

Community Members who make a Complaint, or who are the subject of an allegation, are encouraged to contact any of the Intake Offices to ensure that they are in receipt of relevant information and services.

Support for the University Community

- [Human Rights & Dispute Resolution Program](#), Equity and Inclusion Office
- [Faculty of Health Sciences Professionalism Office](#)
- [Security Services](#)
- [Chaplaincy Centre](#)

Additional Support for Students

- [Student Wellness Centre](#) (personal counselling and medical services)
- [Student Support & Case Management](#) (support and guidance about the Code of Student Rights and Responsibilities)
- [Indigenous Student Services](#) (community support and resources for Indigenous students)
- [Women and Gender Equity Network, McMaster Student Union](#) (peer support and resources)
- [Graduate Students Association Health & Dental Plans](#) (health benefits include access to psychological counselling in the community)

Additional Support for Staff and Faculty

- [Union or Association](#)
- [Employee & Labour Relations](#)
- [Employee and Family Assistance Program](#) (access to professional counsellors, legal guidance and other supportive services available to staff and faculty)

Support in the Broader Community

- [Good2Talk \(24/7 phone support for students offered by professional counsellors\)](#)
- [Sexual Assault/Domestic Violence Care Centre](#)
- [Hamilton Police Services – Victim Services Branch](#)
- [John Howard Society](#) or [Elizabeth Fry Society](#) (for individuals in conflict with the law)

Guidance about a Policy and/or Procedures

- [Equity and Inclusion Office](#)
- [Employee & Labour Relations](#)
- [Student Support & Case Management](#)
- [University Secretariat](#)

Independent Resource

- [Ombuds Office](#) provides an independent, impartial, and confidential process through which students may pursue a just, fair and equitable resolution of a University related concern.

APPENDIX C: JURISDICTION

1. Complaints may be made, or Investigations initiated about any alleged violation of this Policy involving any Community Member, including members of recognized groups, teams and clubs. The Policy may extend to incidents that occur off campus where there is a clear nexus to the working and/or learning environment at the University and recognizes that social media conduct may give rise to a violation of the Policy.
2. Nothing in this Policy is meant to supersede the terms and conditions of any collective agreement, or any other contractual agreement, entered into by the University and its employee groups. In the event that the provisions of this Policy contradict any such collective or contractual agreement, the collective or contractual agreement governs, to the extent of the contradiction.
3. To the extent that this Policy affects the terms and conditions of employment of faculty of the University, it may be subject to discussion and/or approval in accordance with the University policy entitled, *The Joint Administration/Faculty Association Committee to Consider University Financial Matters and to Discuss and Negotiate Matters Related to Terms and Conditions of Employment of Faculty*, revised by the Board of Governors on October 20, 1988 (the 'Joint Administration/Faculty Association' policy).
4. Should a Complainant, with respect to the subject matter of a Complaint dealt with under this Policy and/or the [Sexual Violence Policy](#), seek redress under the [Ontario Human Rights Code](#), the [Criminal Code](#), the [Occupational Health and Safety Act](#), the provisions of an applicable collective agreement, or through civil litigation, or any other forum external to the University, the appropriate Decision-Maker, in consultation with the [Director \(HRDR\)](#), and/or relevant Intake Office Director, will determine whether proceedings under this Policy will be initiated.
5. If proceedings under this Policy and/or the *Sexual Violence Policy* have already been initiated, the appropriate Decision-Maker, in consultation with the Director (HRDR) and/or relevant Intake Office Director, will determine in the circumstances whether or not the proceedings under this Policy will:
 - a) be permanently discontinued;
 - b) be disallowed; or
 - c) be suspended until proceedings in the external or other forum are concluded, although Interim Measures may be put in place to safeguard the environments of the parties involved.
6. If a jurisdictional issue arises between the University and an affiliate, off-site entity or other third party, a senior officer of the affiliate/third party, and the University Provost or Dean and Vice-President (Health Sciences) or relevant Decision-Maker in conjunction with the University Vice-President (Operations and Finance), will attempt a resolution, which may include a joint investigation or an agreement to share the findings and/or other relevant outcomes with the other party. In the absence of any agreement to the contrary, the University will proceed with the investigation according to University policy and procedures.
7. This Policy is not intended to supersede or interfere with the criminal justice system; all persons have the right to pursue legal avenues.
8. Respondents in a Complaint procedure must be Community Members. If a person alleged to have engaged in Discrimination and/or Harassment is not currently a Community Member, the University has no jurisdiction to pursue or adjudicate the incident. However, the University reserves the right to take whatever steps it considers appropriate to safeguard the University Community.
9. As part of the University's commitment to a Discrimination and Harassment free working, studying and living environment, all external agencies, third-party service providers, and independent contractors who do business on the University and are considered agents of the University will be informed of the existence of this Policy and of the University's expectation that these external entities shall govern themselves accordingly while doing business with the University. Information to this effect will be included in all contracts.

APPENDIX D: RELATED POLICIES AND LEGISLATION

This Policy is to be read in conjunction with the following policies, statements, and collective agreements. Any question of the application of this Policy or related policies shall be determined by the Provost and Vice President (Academic) or the Vice President (Administration) as appropriate, and in conjunction with the administrator of the other policy or policies. The University reserves the right to amend or add to the University's policies and statements from time to time (this is not a comprehensive list):

- [Academic Accommodation of Students with Disabilities](#)
- [Academic Freedom, Statement \(SPS E1\)](#)
- [Accessibility – University Policy on](#)
- [Code of Conduct for Faculty and Procedures for Taking Disciplinary Action](#)
- [Code of Student Rights and Responsibilities](#)
- [Complaint Resolution Procedure for TMG](#)
- [Conflict of Interest Guidelines- Undergraduate Studies and Graduate Studies](#)
- [Employee & Labour Relations – Collective Agreements](#)
- [Faculty General Grievance Procedure](#)
- [Freedom of Information and Protection of Privacy Act](#)
- [Hearing Procedures for the Board-Senate Hearing Panel for Discrimination, Harassment and Sexual Violence](#)
- [Ministry of Training, Colleges and Universities Act](#)
- [Ontario Human Rights Code](#)
- [Occupational Health and Safety Act](#)
- [Personal Health Information Protection Act](#)
- [Professional Behavior Code for Graduate Learners, Health Sciences](#)
- [Professional Behavior Code for Undergraduate Learners, Health Sciences](#)
- [Senate Resolutions re Group Conflict](#)
- [Senate Mediation Procedures](#)
- [Sexual Violence Response Protocol](#)
- [Sexual Violence Policy](#)
- [Statement on Building an Inclusive Community with a Shared Purpose](#)
- [Inclusive Communications, Policy Statement and Guidelines on](#)
- [Students Groups \(Recognition, Risk Assessment and Event Planning\), Policy on](#)
- [Tenure and Promotion Policy \(McMaster University Revised Policy and Regulations with Respect to Academic appointment, Tenure and Promotion\)](#)
- [Trespass to Property Act](#)
- [Violence in the Workplace, Policy on](#)
- [Workplace Accommodation, Policy on](#)
- [Workplace & Environmental Health and Safety Policy](#)

Date: March 14, 2022
TO: University Planning Committee
FROM: Karen Mossman, Vice-President, Research
RE: Proposal for Digital Society Lab



The Committee on Research Centres and Institutes has reviewed the attached proposal for the Digital Society Lab as per the policies and guidelines and has unanimously approved.

Please include this as an agenda item for the next University Planning Committee Meeting on March 23, 2022.

KM:jt

Attach.

cc: Provost
Dean of Graduate Studies
Dean of Social Sciences
University Secretariat

Overview

Proposal for the Establishment of
 Official Name of Research Institute or
 Centre
 Submitted by

an Institute a Centre

Digital Society Lab

Clifton van der Linden

Core Members		
<i>Please define what constitutes a "core member" for this Institute or Centre:</i>		
Definition: Core members will provide strategic guidance on the direction of the centre and collaborate on research projects.		
Name	Faculty	Expertise
Clifton van der Linden	Social Science	Digital politics; Computational social science; Big Data; Artificial intelligence
Tony Porter	Social Science	Global (digital) governance; Private and hybrid public/private rulemaking; Organizational effects in governance of technologies, numbers, and time
Netina Tan	Social Science	Digital Authoritarianism; Democratization; Elections and Party Politics; Representation of Women and Ethnic Minorities; Digital Democracy; Governance

Associate Members		
<i>Please define what constitutes an "associate member" for this Institute or Centre:</i>		
Definition: Associate members collaborate on research projects with the centre.		
Name	Faculty/Institution	Expertise
Sara Bannerman	Humanities	Copyright; Crowdfunding; Intellectual Property; Communication Policy; Privacy
Yannick Dufresne	Université Laval	Big Data; Public Opinion Research; Political Behaviour; Canadian Politics
Alexander Stestopaloff	Queen Mary University London	Statistical computing; Markov Chain Monte Carlo methods for performing Bayesian inference for complex stochastic models
Corentin Vander Kerckhove	Université catholique de Louvain	Applied mathematics; human behaviour; machine learning; social media
Lior Sheffer	Tel Aviv University	Elite political behaviour; quantitative methods; survey methodology
Gregory Eady	University of Copenhagen	Political behavior; public opinion; social media; statistical methodology
Scott Hale	Oxford Internet Institute	Human-Computer Interaction (HCI); bilingualism; applications of machine learning; natural language processing (NLP); social network analysis (SNA); experiments; visualization; complex systems; mobilization and collective action; human mobility
Alexander Haslam	University of Queensland	Social psychology; organisational psychology and health psychology; exploring issues of stereotyping and prejudice; tyranny and resistance; leadership and power; stress and well-being

Mickael Temporão	Sciences Po Bordeaux	Machine learning; computational social science
Tina Fetner	Social Science	Gender and sexuality; political sociology and social movements; social inequality
Michelle Dion	Social Science	Comparative politics; gender and politics; globalization; public policy; social and health policy
Karen Bird	Social Science	Comparative politics; gender and politics; gender and ethnic relations; politics of representation; public policy
Paul McNicholas	Science	Classification; Clustering; Computational statistics; Data science; Machine learning; Mixture models

Space Needs	Sq. Ft	New space required? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Location? <u>LRW 5021</u> Confirmed <input checked="" type="checkbox"/> Proposed <input type="checkbox"/>	Space cost allocation covered by lead Faculty? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	If no, specify: _____
	1,720				

Plans for Organizational Review	Frequency of Internal:	<u>5 years (via CRB as per RCI guidelines)</u>
	Frequency of External:	<u>Not required</u>

Please provide names below and check box to verify that approval has been obtained from each:

Department Chair/ Area Director	<u>Karen Bird</u>	Check box	<input checked="" type="checkbox"/>
Faculty Dean or Director of Administration	<u>Jeremiah Hurley</u>		<input checked="" type="checkbox"/>
Other (specify)	_____		<input type="checkbox"/>

A. Background:

In his Law of Accelerating Returns, Raymond Kurzweil (1999) posited that the pace at which digital technologies are transforming society is exponential. Whether or not one accepts Kurzweil’s calculus, it is difficult to refute the notion that digital innovations since the turn of the twenty-first century have rapidly and radically reshaped our relations both with technology and with one another.

The social sciences must be equipped to engage with the myriad ways in which digital technologies increasingly pervade and fundamentally reconstitute contemporary society. This requires an interdisciplinary approach which contemplates the intricate technical dynamics at play in the reshaping of political, economic, and social relations from the local to the global level. It also requires experimentation with the application of digital innovations in the pursuit of a better understanding of said relations.

While there is widespread recognition within the social scientific community as to the potential application of emergent computational methods to social scientific inquiry, the pursuit of advanced research using such methods is constrained both by skills gaps and a lack of infrastructure. This limits the potential of social scientists to contribute to societal and economic promise of innovative applications of emergent digital technologies and methodologies. Moreover, it reduces the opportunities social science graduates will have access to in a future of work that privileges expertise in digital technology.

The Digital Society Lab aspires to serve as a world-class research facility for the development and application of pioneering methods in computational social science, bringing new forms of empirical evidence to bear on longstanding and emergent areas of social inquiry.

B. Objectives and Proposed Activities:

i. Objectives

Phillip Converse (1964) once wrote that “No intellectual position is likely to become obsolete quite so rapidly as one that takes current empirical capability as the limit of the possible in a more absolute sense.” The motivation behind the Digital Society Lab is to advance the empirical capability of the social sciences through experimentation and applied research.

The Digital Society Lab will have impact on four groups of key stakeholders. *Academics* will benefit from the data, methods, and infrastructure that the lab will make available to researchers working on complex questions that demand innovative empirical capabilities. *Students* who are associated with the Digital Society Lab, either through its doctoral fellowships or other such opportunities, will receive advanced training in computational social science in an experiential education setting. *Governments* will have access to insights that rely on the innovative research developed within the Digital Society Lab so as to make more informed public policy decisions that better respond to the needs of their constituents. *Citizens* will benefit from new opportunities for democratic participation and political representation made possible through the work of the Digital Society Lab.

Already the proposed inaugural director of the Digital Society Lab, Clifton van der Linden, has developed collaborations with academics all over the world on major projects such as the Vote Compass initiative. The unique data that he has collected through said initiative has spurred publications and grants with respected collaborators at leading academic institutions in more than a dozen countries. These relationships would be invested in the Digital Society Lab as the hub of future collaborations. Dr. van der Linden’s established relationships with government and industry partners worldwide would be linked to the Digital Society Lab in an effort to pursue new partnerships.

The Digital Society Lab will develop and sustain partnerships with both academic institutions and external communities (e.g. governments and municipalities, non-profit organizations, NGOs, and industry). With sufficient focus and investment, the centre would seek to achieve clear national leadership and international profile. Recognition of the benefits of this centre has already been voiced by organizations such as the Vector Institute for Artificial Intelligence, the Canadian Institute for Advanced Research (CIFAR), and Women in Data Science Toronto (WiDS TO). That recognition has been echoed within the venture capital community and by representatives across various levels of government, each acknowledging the promise and potential of both the research and training aspects of the centre. All of these actors are both beneficiaries of and potential contributors to the Digital Society Lab.

ii. Proposed Activities

The centre's activities can broadly be categorized into two groupings: knowledge generation and knowledge mobilization. Of note, projects undertaken by the Digital Society Lab may span both of these categorizations.

In terms of *knowledge generation*, the Digital Society Lab will pursue research that applies emergent and oftentimes experimental computational methods to key areas of social scientific inquiry, such as the relationship between digital technologies and patterns of democratic participation. Sample research questions include: Can social media data be modelled in such a way as to continuously and reliably measure public opinion? Can machine learning models be used to identify the propagation of false news online? Can Artificial Intelligence assist international observers in validating online reports of human rights violations?

In terms of *knowledge mobilization*, the Digital Society Lab will take advantage of its digital competencies to create platforms that transmit knowledge to the public *en masse*. The inaugural director of the centre has more than a decade's worth of experience developing digital products that demonstrably increase political knowledge and democratic engagement and which reach millions of people worldwide.

While the Digital Society Lab is intended primarily as a research centre, it will also provide training opportunities for students who collaborate on the lab's research activities. In this sense, it will offer experiential education opportunities primarily for graduate students in a problem-based learning environment. It will also house the newly-launched Master of Public Policy in Digital Society degree program (see publicpolicy.mcmaster.ca for details).

C. Rationale for Establishment of the Research Centre:

The development of the Digital Society Lab responds to the needs of the Faculty of Social Sciences, its researchers, current and prospective graduate students, prospective employers, as well as policymakers.

Many of the opportunities associated with the digital economy are passing Canada's social science researchers and graduates by. The social sciences lack prominence in Canada's digital workforce strategy, which focuses largely on fundamental research being undertaken in science, technology, engineering and mathematics ("STEM").

The Digital Society Lab will offer a world class research facility and advanced training opportunities around advanced digital skillsets for social scientific inquiry. Graduates are expected to fill critical gaps in both academia and industry, seeding both with the innovative potential and prospective economic returns that result from capacity building in computational social science. The centre stands apart from other types of research centres and institutes at McMaster both in terms of its objective and approach, and as such positions itself for innovative breakthroughs in computational social science.

The proposed objectives and activities of the Digital Society Lab align with the “Core Values” outlined in McMaster’s Strategic Plan for Research 2018-2023, specifically those captured under the section entitled “Data, Artificial Intelligence and the Digital Society”.

The Digital Society Lab will be expected to have impact at the local, provincial, national, and global levels. The local impact will be largely centred on the promotion of a Hamilton ecosystem in computational social science, which the centre will foster in the hopes of incubating Hamilton as a hub for data scientists with a strong foundation in social theory. At the provincial, national, and global levels, the impact of the Digital Society Lab will be twofold: the research it produces will be relevant across all three levels and the digital products it develops will expect to reach audiences across all three levels.

The daily operations of the centre will be run using an agile management framework. Staff, postdoctoral fellows, and students working for the centre will undertake a weekly sprint planning exercise to map out deliverables for the week and connect them to overarching strategic objectives. A daily stand-up will be held every morning during the work week to briefly review progress and identify bottlenecks. These meetings will normally be facilitated by the director. Core and associate members will interact with the centre by way of quarterly formal meetings as well as optional participation in seminars, workshops, research collaborations, task forces, and grant applications.

The centre will make possible research initiatives that cannot be reasonably accomplished by member working as individuals or in a small research group. It will make available to members specialized technical staff and resources for computational social scientific inquiry, facilitate scholarly, industry, and government partnerships in Canada and internationally, make available to researchers unique datasets which they would otherwise not be able to recreate or gain access to, as well as offer training opportunities in advanced computational modelling for faculty and students—all of which would be too resource-intensive for a single researcher or small team.

D. Criteria for expanding the membership:

There are three categories for expanded membership in the Digital Society Lab.

i. Student Memberships

The lab will host graduate and undergraduate fellows, who will be provided with access to lab resources in order to pursue their research. Criteria for membership of student fellows is two-fold: supervision by a core or associate member of the centre and approval by the centre director.

ii. Faculty Memberships

Additional faculty members from McMaster or other accredited institutions may be made members of the Digital Society Lab upon approval of the centre director. Members would have access to lab resources in order to pursue their research agendas and would be expected to contribute to student mentorship or specific collaborative projects with the lab.

iii. Industry Partners

Researchers from government, non-profit, and private sector organizations can be recognized as industry partners—a specific membership class which does not avail the full resources of the lab, but facilitates collaboration on specific projects.

E. Detailed business plan:

i. Financial needs

The operating budget for the Digital Society is an estimated \$1.6 million over a five-year period. See Appendix A for budgeting details. The budget accounts for the high-performance computing infrastructure necessary to support the lab's activities, administrative and research personnel, and funding for doctoral fellows.

ii. Anticipated and secured sources of support

Renovations and equipment for the Digital Society Lab are covered under secured funds from CFI and matching ORF funding.

Start-up costs such as website design and development are covered by accumulated funding from a previous commitment from the Socrates Project.

PhD and postdoctoral fellowships are funded by Mitacs. Mitacs funding to support doctoral candidates has already been secured for the 2020-21 academic year and another round of funding is expected to follow for 2021-24. This funding will support three PhD students and three postdoctoral fellows.

Additional sources of funding include a SSHRC Insight Grant that has already been awarded to Clifton van der Linden, and a funding commitment from Facebook as part of the Digital Society Lab's Future of the Internet taskforce.

iii. Space needs

The Digital Society Lab will be housed in L.R. Wilson Hall, Suite 5021. This space has already been approved by the Faculty Dean for use by the Digital Society Lab.

iv. Human resource needs

The Digital Society Lab is expected to be staffed by an Associate Director, a Research Associate, a part-time lab administrator, as well as the aforementioned PhD students and postdoctoral fellows.

The **Associate Director** will report to the **Director** and will be responsible for managing the day-to-day operations of the lab. The **Research Associate** will serve in a professional research function and will be responsible for organizing, supporting, and generally advancing the lab's research outputs. The part-time **administrator** will oversee administrative functions associated with the lab, including finance, human resources, etc.

F. Organizational Structure

i. Director

The Director will be appointed by the Governing Board following a formal search process.

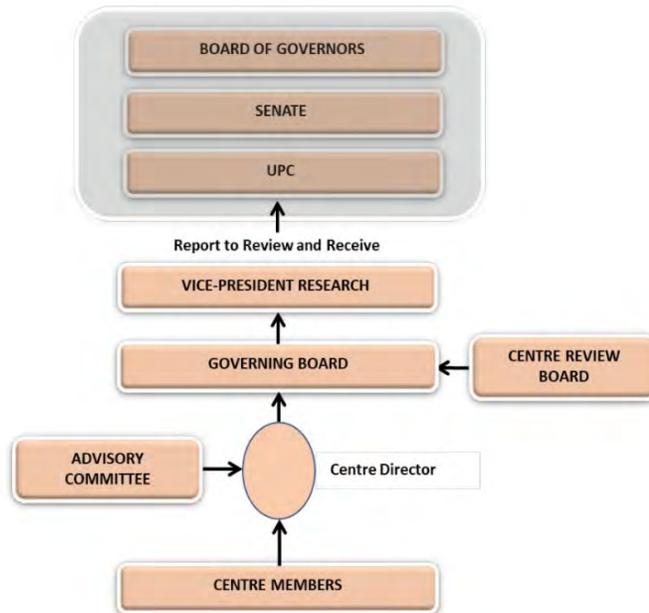
ii. Advisory Committee

The core members of the lab are expected to serve as the advisory committee.

iii. Governing Board

The Governing Board will be chaired by the Dean of Social Sciences (or their designate) and is comprised of the Dean of Social Sciences (or their designate), the VPR (or their designate), and the Chair of the Department of Political Science. Authority for all matters regarding the direction and operation of the centre rest with the Governing Board.

G. Organizational Chart



H. Plan for Five Year Centre Review

A review of the Digital Society Lab will be conducted every five years. A Centre Review Board will be determined by the Governing Board, which will include two academics, one government, and one private sector individual.

The Director will complete a detailed report which is provided to the Centre Review Board. The CRB will assess the centre performance, including operations/financials, research projects, engagement with industry/government, etc.

I. Consideration as a Core Research Platform

The Digital Society Lab seeks consideration as a core research platform that will make available a rich repository of “Big” public opinion data and the computational infrastructure and expertise necessary to effectively analyze it. The initial repositories will come in the form of a license from industry partner Vox Pop Labs to store and sublicense access to its full datasets, which go back a decade and include more than 50 Vote Compass initiatives comprised more than 25 million respondents. In addition Vox Pop Labs will make its post-election studies and COVID-19 Monitor data available for sublicense through the core research platform. Moreover, the centre will make its social media data repositories, which will collect using the infrastructure procured through a CFI grant, available to researchers. The platform will provide researchers with the unique computing environment and training necessary to work with these unconventionally large and complex datasets.

APPENDIX A

Budget Template for Research Institutes, Centre or Core Platforms

Please include additional detail in Proposal if necessary

	2021-22	2022-23	2023-24	2024-25	2025-26	Total	\$ Secured	\$ Anticipated
OPENING BALANCE/CARRY FORWARD		\$ 479,488	\$ 385,067	\$ 263,896	\$ 109,816			

REVENUE - indicate whether secured or anticipated	2021-22	2022-23	2023-24	2024-25	2025-26	Total	\$ Secured	\$ Anticipated
<i>Please ensure that any anticipated revenue from grant funding will only support costs eligible for that grant and note funding available for indirect or general operations.</i>								
CFI JELF and IOF	\$ 247,974					\$ 247,974	\$ 247,974	
Mitacs	\$ 270,000	\$ 270,000	\$ 225,000			\$ 765,000		\$ 765,000
SSHRC Insight Grant	\$ 25,560	\$ 24,489	\$ 27,748			\$ 77,797	\$ 77,797	
SSHRG Partnership Engage Grant		\$ 25,000						
Socrates	\$ 40,000					\$ 40,000	\$ 40,000	
Meta	\$ 250,000					\$ 250,000	\$ 250,000	
Faculty of Social Sciences	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 75,000	\$ 375,000		\$ 375,000
McMaster Research Platforms Pool	\$ 75,000					\$ 75,000	\$ 75,000	
TOTAL REVENUE	\$ 983,534	\$ 394,489	\$ 327,748	\$ 75,000	\$ 75,000	\$ 1,855,771	\$ 690,771	\$ 1,140,000

EXPENSES	2021-22	2022-23	2023-24	2024-25	2025-26	Total		
Administrative Expenses: (add rows as required)								
Administrative Personnel						\$ -		
0.5 FTE Lab Administrator	\$ 36,725	\$ 37,827	\$ 38,962	\$ 40,131	\$ 41,351	\$ 194,995		
Office Equipment:						\$ -		
Furniture and Fixtures						\$ -		
Communications:						\$ -		
Website Design and Development	\$ 20,000					\$ 20,000		
Renovations:						\$ -		
Construction Costs						\$ -		
Ongoing costs for space:						\$ -		
Rent						\$ -		
Total Administrative Expenses	\$ 56,725	\$ 37,827	\$ 38,962	\$ 40,131	\$ 41,351	\$ 214,995	\$ -	\$ -

Research Expenses: (add rows as required)								
Research Personnel:						\$ -		

Associate Director	\$ 125,400	\$ 129,162	\$ 133,037	\$ 137,028	\$ 141,139	\$ 665,766
Mitacs Postdoctoral Fellows	\$ 180,000	\$ 180,000	\$ 180,000			\$ 540,000
Mitacs PhD Students	\$ 90,000	\$ 90,000	\$ 45,000			\$ 225,000
Research Supplies:						
Computer Software and Licenses	\$ 2,326	\$ 2,326	\$ 2,326	\$ 2,326	\$ 2,326	\$ 11,630
Research Equipment:						
Computer Hardware	\$ 49,595	\$ 49,595	\$ 49,595	\$ 49,595	\$ 49,595	\$ 198,380
Total Research Expenses	\$ 447,321	\$ 451,083	\$ 409,958	\$ 188,949	\$ 193,060	\$ 1,640,776
TOTAL EXPENSES	\$ 504,046	\$ 488,910	\$ 448,920	\$ 229,080	\$ 234,410	\$ 1,855,771
IN-YEAR (Surplus/ Deficit)	\$ 479,488	\$ 385,067	\$ 263,896	\$ 109,816	-\$ 49,594	

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closures of McMaster Research Centres and Institutes

In accordance with the policy “Guidelines for the Governance and Review of Research Institutes, Centres and Groups” we seek to formally close the below listed Research Centres and Institutes. These RCIs have been deemed either inactive or no longer meet the objectives for which they were originally intended. This recommendation is made with the agreement of the Faculties with which the RCIs are associated.

Also, appended are individual memos relating to the closure of each Research Centre and Institute.

Business

CPA/DeGroote Centre for the Promotion of Accounting Education and Research

Engineering

Centre for Advanced Polymer Process & Design
Computing and Infrastructure Research Centre
McMaster Institute of Automotive Research and Technology
McMaster Centre for Pulp & Paper Research

Health Sciences

McMaster Institute for Surgical Invention, Innovation and Education

Social Sciences

Research Institute for Quantitative Studies in Economics & Population

KM:jt

Enclosures: 7

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean, Faculty of DeGroote School of Business
Dean, Faculty of Engineering
Dean, Faculty of Health Sciences
Dean, Faculty of Social Sciences
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closure of CPA/DeGroot Centre for the Promotion of Accounting Education
and Research

Please be advised that the DeGroot School of Business would like to formally close the CPA/DeGroot Centre for the Promotion of Accounting Education and Research. The centre was established in 2011. This centre no longer conducts research. The decision to close the centre was reached after discussions between the DeGroot School of Business and Office of the Vice President Research. Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean, DeGroot School of Business
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closure of Centre for Advanced Polymer Process and Design

Please be advised that the Faculty of Engineering would like to formally close the Centre for Advanced Polymer Process and Design. The centre was established in 1994, but currently operates within the governance of the McMaster Manufacturing Research Institute (MMRI). Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

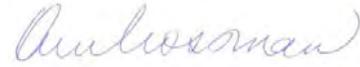
cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean of Engineering
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closure of Computing and Infrastructure Research Centre (CIRC)

Please be advised that the Faculty of Engineering would like to formally close the Computing and Infrastructure Research Centre (CIRC). The centre was established in 2016, but no longer has enough active participating faculty to justify its continuance. Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean of Engineering
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research 

RE: Closure of McMaster Institute of Automotive Research and Technology (MacAUTO)

Please be advised that the Faculty of Engineering would like to formally close the McMaster Institute of Automotive Research and Technology (MacAUTO). The centre was established in 2007 but has not been active for some time. Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean of Engineering
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closure of McMaster Centre for Pulp and Paper Research

Please be advised that the Faculty of Engineering would like to formally close the McMaster Centre for Pulp and Paper Research. The centre was established in 1990 and has played an important role in the decades since; however, at this point it no longer meets the criteria for a research centre given the number of researchers active within the centre. Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean of Engineering
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022

TO: University Planning Committee

FROM: Dr. Karen Mossman, Vice-President, Research



RE: Closure of McMaster Institute for Surgical Invention, Innovation & Education

Following consultation with the Faculty of Health Sciences, it was identified that the McMaster Institute for Surgical Invention, Innovation & Education (MISIIE) should be closed. The institute was established in 2005, but after its latest review it was decided by the Institute's Governing Board that it was no longer achieving its mission as a research institute. Accordingly, I would like to recommend the formal closure of this institute.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean and Vice-President, Faculty of Health Sciences
Vice-Dean Research, Faculty of Health Sciences
University Secretary and Freedom of Information and Protection of Privacy Officer

MEMO

DATE: March 14, 2022
TO: University Planning Committee
FROM: Dr. Karen Mossman, Vice-President, Research *Karen Mossman*
RE: Closure of Research Institute for Quantitative Studies in Economics & Population

=====

Please be advised that the Faculty of Social Sciences would like to formally close the Research Institute for Quantitative Studies in Economics & Population. The centre was established in 1997. The Director has recently retired and there is not enough active participating faculty to justify its continuance. Accordingly, I would like to recommend the formal closure of this centre.

KM:jt

cc: Provost and Vice-President (Academic)
Vice-Provost and Dean of Graduate Studies
Dean of Social Sciences
University Secretary and Freedom of Information and Protection of Privacy Officer



The Joint Administration/Faculty Association
Committee to consider University Financial Matters
and to discuss and negotiate matters related to Terms
and Conditions of Employment of Faculty

1280 Main Street West
Hamilton Ontario
L8S 4K1

To: Senate Committee on Appointments
From: The Joint Administration/Faculty Association Committee
Date: March 7, 2022
Re: Proposed Changes Appendix A of the Faculty Grievance Policy

The Joint Administration/Faculty Association Committee is proposing the following changes to the Faculty Grievance Policy, *Section 1 of Appendix A - Grievance Review Panel Membership*.

To address the growing need for Tribunal members for hearings held under the Faculty Grievance policy we are proposing to make the following three changes:

1. Increase the number of Grievance Review Panel members from eight to twelve.
2. That at most three members may come from a single Faculty (increased from one).
3. If the number of hearings requires recruitment of additional members, the two Presidents shall agree on a temporary increase in membership. Any additional members shall serve only as long as required.

These changes will increase flexibility and make it easier to name tribunal members for hearings. It will also formalize the process for temporarily increasing the number of grievance panel members to deal with an unusually large number of hearings. In addition, we are proposing new text to clarify that the two Presidents are not normally in a conflict of interest when naming members to the Grievance Review Panel.



Policies, Procedures and Guidelines

Complete Policy Title

Faculty Grievance Policy

Policy Number (if applicable):

Approved by

Senate /
Board of Governors

Date of Most Recent Approval

December 8, 2021 /
December 9, 2021

Date of Original Approval(s)

December 8, 2021 /
December 9, 2021

Supersedes/Amends Policy dated

Faculty General Grievance Procedure
May 26, 1999 / June 10, 1999

Faculty Grievance Review Panel Guidelines for
Hearing Committees, September 28, 1993

Responsible Executive

Provost and Vice-President (Academic)

Policy Specific Enquiries

[Provost and Vice-President \(Academic\)](#)

General Policy Enquiries

[Policy \(University Secretariat\)](#)

DISCLAIMER:

*If there is a Discrepancy between this electronic policy and the written copy held
by the policy owner, the written copy prevails.*

TABLE OF CONTENTS

SECTION I: INTRODUCTION.....	1
PREAMBLE	1
TERMS AND DEFINITIONS	1
SCOPE	2
ADVICE AND GUIDANCE	3
SECTION II: PROCEDURAL GUIDELINES.....	4
TIME LIMITS.....	4
CONFLICTS OF INTEREST	4
CONFIDENTIALITY	4
PROTECTION FROM REPRISAL	4
ADVISOR / REPRESENTATION	5
UNIVERSITY SECRETARIAT	5
DATA GATHERING & RECORD KEEPING	5
POLICY REVISIONS	5
SECTION III: GRIEVANCE PROCEDURES.....	6
Mediation	6
Respondent	6
Deadline to Initiate a Grievance.....	6
TYPE A GRIEVANCE	7
TYPE B GRIEVANCE	9
TYPE C GRIEVANCE	11
TYPE D GRIEVANCE	13
SECTION IV: WRITTEN REQUEST FOR A HEARING.....	14
SECTION V: PROCEDURAL RULES FOR HEARINGS.....	16
Settlement	16
Submissions and Disclosure.....	16
Evidence.....	17
Witnesses	17

Closed Hearings	17
Parties	18
Onus, Burden of Proof and Basis of Decision.....	18
Advisor / Representation	18
Administrative and Legal Support.....	18
Other Parties	18
Recess or Adjournment	19
Recording	19
Similar Questions of Fact or Policy.....	19
WRITTEN HEARINGS.....	19
Notice of Written Hearing.....	19
HEARINGS	19
Notice of Hearing.....	19
ORDER OF THE HEARING.....	20
DELIBERATIONS	22
DECISION	22
OTHER RECOMMENDATIONS	23
APPENDIX A: GRIEVANCE REVIEW PANEL.....	24
TRIBUNAL SELECTION.....	24
APPENDIX B: FACULTY ASSOCIATION OBSERVERS AT HEARINGS.....	<u>26</u>²⁵
APPENDIX C: RELATED POLICIES	<u>27</u>²⁶

SECTION I: INTRODUCTION

PREAMBLE

1. This Policy is designed to provide McMaster University faculty members with prompt and impartial adjudication of grievances arising from their employment relationship with the University.
2. This Policy is intended to facilitate and promote informal resolution of grievances and to furnish a formal mechanism of grievance resolution when informal means are unsuccessful. Mediation as a means of resolution of grievances is the preferred method for formal resolution of grievances. Only the most serious grievances which have not been resolved by mediation are appropriate for a Hearing.

TERMS AND DEFINITIONS

3. For the purpose of interpreting this document:
 - a) words in the singular may include the plural and words in the plural may include the singular;
 - b) members of the Administration, and Decision-Makers in this Policy may, where necessary and appropriate, delegate their authority;
 - c) **established practice** means a practice which is identifiable, certain, known and in force as of the date of the decision or action that is the subject of the grievance. The onus to show that such a practice exists rests upon the party who seeks to rely upon it;
 - d) **Faculty Association** means either the [McMaster University Faculty Association](#) or the [Clinical Faculty Association](#);
 - e) **faculty member** means those employees of the University or of a college affiliated with the University who hold the academic rank of professor, associate professor, assistant professor or lecturer, and includes clinical faculty;
 - f) **grievance** means a complaint against an administrative decision made by a Person with Administrative Authority;
 - g) **Grievor** may be an individual faculty member or a group of such members;
 - h) **Initial Decision-Maker** means the person with administrative authority that made the initial decision that is the subject of the grievance;
 - i) **MUFA** means the McMaster University Faculty Association;
 - j) **Person with Administrative Authority** means members of the Administration: the President, Vice-President, Vice-Provost, Dean, Associate Dean, Vice-Dean, Department Chair, Director of a Program, School, Institute or Centre);

- k) **Provost** means the Provost and Vice-President (Academic);
- l) **President** means the President and Vice-Chancellor; and
- m) **Respondent** means an individual University administrator that is a Person with Administrative Authority to remedy the grievance.

SCOPE

- 4. A grievance is a complaint that the interpretation or application of a duly enacted policy or established practice of the University by any *Person with Administrative Authority* (clause 3.j.), has not been fair, just or reasonable to the Grievor.
- 5. This Policy is open to all faculty members as defined under clause 3.e. above. However, any such faculty member who is covered by a collective agreement of a certified union or appointed through SPS A3 (*Procedures for Other Appointments except in Health Sciences*) or SPS A4 (*Procedures for Other Appointments within the Faculty of Health Sciences*) shall not be eligible to use this Policy.
- 6. The same complaint may not be filed under another University policy and this Policy contemporaneously.
- 7. Grievances about the following matters **are not** within the jurisdiction of this Policy:
 - a) decisions made and procedures under the jurisdiction of a University policy for which specific review or appeal procedures exist, such as in the:
 - (i) [*Discrimination and Harassment Policy*](#);
 - (ii) [*Sexual Violence Policy*](#);
 - (iii) [*Research Integrity Policy*](#);
 - (iv) Section III and IV of the [*Tenure & Promotion Policy*](#), regarding Tenure & Promotion and Appeal Procedures;
 - (v) Faculty Career Progress/Merit (CP/M) Plan;
 - b) disciplinary measures imposed by a Tribunal under the [*Code of Conduct for Faculty and Procedures for Taking Disciplinary Action*](#), at Stage 4;
 - c) decisions to suspend a faculty member under Section V of the *Tenure and Promotion Policy*;
 - d) decisions made by a Tribunal convened under Section VI of the *Tenure and Promotion Policy*;
 - e) decisions or recommendations made by a Faculty Grievance Tribunal under this Policy;
 - f) remuneration (salary and/or benefits). Nothing in this clause is intended to affect adversely the rights of persons to take complaints about their remuneration to the Provincial Pay Equity Commission if

they have been unable to resolve them to their satisfaction within the University; and

- g) policies enacted and decisions made by University (the Senate and the Board of Governors) and Faculty governance bodies.
- 8. Grievances about disciplinary measures imposed under the Code of Conduct for Faculty and Procedures for Taking Disciplinary Action at Stages 1, 2 and 3 are within the jurisdiction of this policy.
- 9. Disciplinary measures shall be imposed only in accordance with University policy.
- 10. For example, and for greater clarity, while it may be perceived as such, an administrative decision affecting a faculty member is not in itself harassment. Under the *Discrimination and Harassment Policy* harassment means engagement in a course of *vexatious* comment or conduct that is known or ought reasonably to be known to be unwelcome. "Vexatious" comment or conduct is comment or conduct made without reasonable cause or excuse.

ADVICE AND GUIDANCE

- 11. Faculty members should consult with the relevant faculty association (either the [McMaster University Faculty Association](#) or the [Clinical Faculty Association](#)), to determine the most suitable policy or procedures to exercise.
- 12. Other resources for faculty are the University Secretariat, the Equity and Inclusion Office, the Faculty of Health Sciences Professionalism Office (only for members of that Faculty), or Employee/Labour Relations, as appropriate.

SECTION II: PROCEDURAL GUIDELINES

TIME LIMITS

13. Prompt adjudication of grievances is predicated upon adherence to the time limits set out in this Policy. Where time limits are not specified all parties are expected to make reasonable efforts to respond in a timely manner. Time limits, including those which apply to mediation, may be extended by mutual agreement of the parties.
14. A Grievor who fails to meet a time limit loses the right to proceed to the next stage. If a Respondent fails to meet a time limit, the Grievor shall have the right to proceed to the next stage.
15. Disputes about time limits (e.g., when the Grievor ought reasonably to have known the decision or action that is the subject of the Grievance) shall be adjudicated by the Chair of the Grievance Review Panel.

CONFLICTS OF INTEREST

16. Faculty members and persons with administrative authority will disclose conflicts of interest or other circumstances which may reasonably introduce or appear to introduce bias into any academic or administrative decision to which they may be a party.
17. Parties to the procedures shall exercise their good judgement regarding conflict of interest and recuse themselves accordingly.

CONFIDENTIALITY

18. Confidentiality shall be enjoined on all parties involved in any stage of this Policy. This does not preclude the discreet disclosure of information in order to elicit the facts of the case or as required by law which includes compliance with a summons or order from another administrative tribunal or court.
19. The University, and its employees and agents, will protect personal information and handle records in accordance with the [Freedom of Information and Protection of Privacy Act](#) .

PROTECTION FROM REPRISAL

20. The University prohibits reprisal or threats of reprisal against any faculty member who makes use of this Policy or participates in proceedings held under its jurisdiction. An individual who believes they are the subject of a reprisal or threat of reprisal shall report this to the Provost's Office, or to the President's Office. Any individual found to be making such reprisals or threats will be subject to appropriate disciplinary action.

ADVISOR / REPRESENTATION

21. Grievors may be accompanied by an advisor or counsel at any stage of the procedures outlined in this Policy. The advisor or counsel may represent the Grievor at the Hearing. The costs of any accompaniment or representation are the responsibility of the Grievor.

UNIVERSITY SECRETARIAT

22. The University Secretariat is the administrative office responsible for the scheduling and holding of Hearings before the Tribunal and for the training of Tribunal members.

DATA GATHERING & RECORD KEEPING

23. Records related to a grievance shall be retained by the Provost's Office for seven years after last use.
24. Hearing files shall be retained by the University Secretary for seven years after last use and may be retained longer at the discretion of the University Secretary. The Tribunal's Report shall be retained permanently.
25. The Chair of the Grievance Review Panel is responsible for providing a written, anonymized, statistical report to the Chairs of the Senate and the Board of Governors, and the President of MUFA. In order to protect confidentiality, the statistical report will be held over until a sample size of five has been reached. The report will then provide statistics on a **rolling three-year basis**. This report may include recommendations for clarification of or changes to University policies, practices or procedures. The report could also contain a summary of the MUFA Special Enquiries and Grievances Chair's activities if submitted.

POLICY REVISIONS

26. Proposals for amending this Policy may be made by the Chair of the Grievance Review Panel, the University administration, the Senate, MUFA, or the Clinical Faculty Association. When such proposals are made, there shall be consultation among these parties.
27. If the Senate Committee on Appointments and the MUFA Executive agree that the revisions are minor and reach agreement on the revisions, the amendments will be presented to Senate by the Senate Committee on Appointments.
28. Otherwise, an *ad hoc* drafting committee will be established, and shall consist of 3 members named by the Senate Committee on Appointments and 3 members named by the MUFA Executive.
29. The *ad hoc* drafting committee shall review the proposed amendments and formulate revisions for submission to the Senate and the Board of Governors for approval.

SECTION III: GRIEVANCE PROCEDURES

30. Faculty members may contact MUFA for advice regarding this Policy and for assistance in formulating and pursuing a grievance.
31. Clinical faculty members who are not members of the McMaster University Faculty Association should consult with the Clinical Faculty Association for advice.
32. Every effort shall be made to resolve the complaint in a timely and collegial manner.

Mediation

33. Each year the Provost and the President of MUFA shall jointly establish a list of six (6) mediators. In addition, on an *ad hoc* basis, additional mediators may be agreed upon.
34. Internal mediators or external third-party mediators may be used for mediation. The Provost will propose a mediator. Both parties shall be given the opportunity to object in writing to the proposed mediator.
35. The mediator, who must have had no previous involvement in the case, shall hear both sides of the dispute and shall remain impartial. They shall hold all information in strict confidence and shall issue no public report or statements on the mediation. The mediator may not subsequently be a member of the Tribunal which hears the case if it proceeds to a Hearing, nor may they be called as a witness before a Tribunal.
36. With the mutual consent of the parties, mediation may be requested at any stage in the Policy not already stipulated and timelines for further steps revised accordingly.
37. The costs of mediation will be borne by the University.

Respondent

38. The Respondent is an individual University administrator that is a Person with Administrative Authority to remedy the grievance. Normally, the Initial Decision-Maker reports directly to the initial Respondent with respect to their administrative duties. The Initial Decision-Maker is normally not a Respondent under these procedures.
39. In the case of a Committee decision, the Initial Decision-Maker will be the administrative officer at the level to which the Committee reports, i.e., in the case of a Departmental Committee it will be the Chair of the Department, of a Faculty Committee it will be the Dean, of a University Committee the appropriate Vice-Provost, Vice-President or the President.

Deadline to Initiate a Grievance

40. The grievance must be brought **within 21 business days** after the Grievor knows, or ought reasonably to have known, the grounds for the grievance.

TYPE A GRIEVANCE

41. A Type A Grievance is when the **Initial Decision-Maker** is a:
- a) Department Chair;
 - b) Centre Director; or
 - c) Program/School Director.
42. The **Respondent** is normally the Faculty Dean. In the Faculty of Health Sciences, the Executive Vice-Dean & Associate Vice-President (Academic) is normally delegated as the Respondent.
43. An unexplainable lack of action/response by either party will allow either party to proceed to the next step in the procedure.

Informal Resolution with Initial Decision-Maker

44. The Grievor shall request to meet with the Initial Decision-Maker to informally discuss a resolution to the grievance.
45. The Initial Decision-Maker shall arrange a meeting **within 14 business days of receipt** of the request.

Informal Resolution with Respondent

46. If a resolution cannot be reached, the Grievor may choose to proceed to the next step, and shall **within 7 business days** after the meeting with the Initial Decision-Maker, request to meet with the Respondent to informally discuss with the Respondent a resolution to the grievance.
47. The Respondent shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation with Initial Decision-Maker

48. If a resolution cannot be reached, the Respondent shall:
- a) notify the Provost's Office of the grievance **within 7 business days** after the first meeting between the Grievor and the Respondent; and
 - b) arrange for mediation between the Grievor and the Initial Decision-Maker to commence **within 14 business days** of the Respondent's informal resolution meeting with the Grievor.

Written Decision from Respondent

49. If mediation is not successful in bringing about a resolution to the grievance, **within 14 business days from the first day of mediation**, the grievance shall be:
- a) presented in writing to the Respondent:

- (i) the written grievance shall specify the nature of the grievance; and
 - (ii) the remedy sought;
 - b) a copy shall be provided to the Provost’s Office; and
 - c) at the Grievor’s discretion, a copy may be provided to MUFA.
50. The **Respondent** shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance, with a copy provided to the Provost’s Office.

Request for Hearing

51. If the grievance is not resolved to the Grievor’s satisfaction, the Grievor may, **within 21 business days of receipt** of the decision, make a written request for a Hearing (see Section IV: Written Request for a Hearing).



TYPE B GRIEVANCE

52. A Type B Grievance is when the Initial Decision-Maker is a:
- a) Dean (in the Faculty of Health Sciences, "Dean" and/or "Executive Vice-Dean & Associate Vice-President (Academic)");
 - b) Institute Director; or
 - c) University Committee or Equivalent.

53. The **Respondent** is normally the Provost. However, where appropriate the Provost may refer the grievance to the relevant Vice-Provost or Vice-President, or to the President, and that person will become the Respondent.

54. An unexplainable lack of action/response by either party will allow either party to proceed to the next step in the procedure.

Informal Resolution with Initial Decision-Maker

55. The Grievor shall request to meet with the Initial Decision-Maker to informally discuss a resolution to the grievance.

56. The Initial Decision-Maker shall arrange a meeting **within 14 business days of receipt** of the request.

Informal Resolution with Respondent

57. If a resolution cannot be reached, the Grievor may choose to proceed to the next step, and shall **within 7 business days** after the meeting with the Initial Decision-Maker, request to meet with the Respondent to informally discuss with the Respondent a resolution to the grievance.

58. The Respondent shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation with Initial Decision-Maker

59. If a resolution cannot be reached the Respondent shall:
- a) notify the President's Office of the grievance **within 7 business days** after the first meeting between the Grievor and the Respondent; and
 - b) arrange for **mediation** between the Grievor and the Initial Decision-Maker to commence **within 14 business days** of the Respondent's informal resolution meeting with the Grievor.

Written Decision from Respondent

60. If mediation is not successful in bringing about a resolution to the grievance, **within 14 business days from the first day of mediation**, the grievance shall be:

- a) presented in writing to the Respondent:
 - (i) the written grievance shall specify the nature of the grievance; and
 - (ii) the remedy sought;
- b) a copy shall be provided to the President's Office; and
- c) at the Grievor's discretion, a copy may be provided to MUFA.

61. The Respondent shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance, with a copy provided to the President's Office.

Request for Hearing

62. If the grievance is not resolved to the Grievor's satisfaction, the Grievor may, **within 21 business days of receipt** of the decision, make a written request for a Hearing (see Section IV: Written Request for a Hearing).



TYPE C GRIEVANCE

63. A Type C Grievance is when the Initial Decision-Maker is a Vice-Provost or Vice-President.
64. The Respondent is the President.
65. An unexplainable lack of action/response by either party will allow either party to proceed to the next step in the procedure.

Informal Resolution with Initial Decision-Maker

66. The Grievor shall request to meet with the Initial Decision-Maker to informally discuss a resolution to the grievance.
67. The Initial Decision-Maker shall arrange a meeting **within 14 business days of receipt** of the request.

Informal Resolution with Respondent

68. If a resolution cannot be reached, the Grievor may choose to proceed to the next step, and shall **within 7 business days** after the meeting with the Initial Decision-Maker, request to meet with the Respondent to informally discuss with the President a resolution to the grievance.
69. The President shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation with Initial Decision-Maker

70. If a resolution cannot be reached the President shall arrange for **mediation** between the Grievor and the Initial Decision-Maker to commence **within 14 business days** of the President's informal resolution meeting with the Grievor.

Written Decision from Respondent

71. If mediation is not successful in bringing about a resolution to the grievance, **within 14 business days from the first day of mediation**, the grievance shall be:
 - a) presented in writing to the President:
 - (i) the written grievance shall specify the nature of the grievance; and
 - (ii) the remedy sought; and
 - b) at the Grievor's discretion, a copy may be provided to MUFA.
72. The President shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance.

Request for Hearing

73. If the grievance is not resolved to the Grievor's satisfaction, the Grievor may, **within 21 business days of receipt** of the decision, make a written request for a Hearing (see Section IV: Written Request for a Hearing).



TYPE D GRIEVANCE

74. A Type D Grievance is when the Initial Decision-Maker is the President, they shall be referred to as the Respondent.
75. An unexplainable lack of action/response by either party will allow either party to proceed to the next step in the procedure.

Informal Resolution with Respondent

76. The Grievor shall request to meet with the Respondent to informally discuss a resolution to the grievance.
77. The President shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation

78. If a resolution cannot be reached the Respondent shall arrange for **mediation** between the Grievor and the Respondent to commence **within 14 business days** of the Respondent's informal resolution meeting with the Grievor.

Written Decision from Respondent

79. If mediation is not successful in bringing about a resolution to the grievance, **within 14 business days from the first day of mediation**, the grievance shall be:
- a) presented in writing to the Respondent:
 - (i) the written grievance shall specify the nature of the grievance; and
 - (ii) the remedy sought; and
 - b) at the Grievor's discretion, a copy may be provided to MUFA.
80. The Respondent shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance.

Request for Hearing

81. If the grievance is not resolved to the Grievor's satisfaction, the Grievor may, **within 21 business days of receipt** of the decision, make a written request for a Hearing (see Section IV: Written Request for a Hearing).



SECTION IV: WRITTEN REQUEST FOR A HEARING

82. If, after receipt of the written decision from the Respondent, the grievance is not resolved to the Grievor's satisfaction, the Grievor may **within 21 business days** of the date of the decision letter, file a *Request for a Hearing Form*, with the University Secretariat.
83. The **Request for a Hearing** shall contain:
- a) the details of the grievance;
 - b) a statement describing the grounds for the grievance;
 - c) a statement of the relief sought;
 - d) names of witnesses to be called;
 - e) the name of the Grievor's legal counsel or advisor, if applicable;
 - f) any documents the Grievor wishes to submit to the Tribunal as evidence in support of their position;
 - g) their decision on whether they agree to the Observer *attending* the Hearing;
 - h) their decision on whether they agree to the Observer *receiving* the Hearing Record; and
 - i) a copy of the Respondent's written decision.
84. The University Secretariat shall acknowledge receipt of the grievance and inform the Chair of the Grievance Review Panel (or Vice-Chair) of the request for hearing.
85. The University Secretariat shall forward a copy of the request for a hearing and supporting documentation to the Respondent and ask them for a written response to the *Request for a Hearing Form*.
86. The University Secretariat also shall inform the relevant faculty association that there is to be a Hearing under this procedure and, if the Grievor so consents, shall invite the faculty association to send an Observer.
87. Within **21 business days of the receipt** of the request for a written response to the *Request for a Hearing Form*, the Respondent shall deliver to the University Secretariat a written reply to the Grievor's Request for a Hearing and shall submit the following information:
- a) preference for open or closed Hearing;
 - b) opinion on whether the grievance falls within the scope of this Policy;
 - c) names of witnesses to be called; and

- d) name of Respondent's counsel, if any.
88. The University Secretariat shall forward a copy of this reply to the Grievor.
89. The purpose of a Hearing is to provide the aggrieved faculty member or group of faculty members, within the institutional framework of the University, an impartial adjudication of their grievance.
90. The Tribunal, composed of three members of faculty who have not been previously involved in the decision being grieved against, is empowered to review the evidence, both written and oral, upon which the decision was based.
91. The members of the Tribunal shall be the sole judges of the facts and shall render a decision which, in their judgement, is fair and just in the circumstances.
92. The matter will be considered by a Tribunal under the *Procedural Rules for Hearings*, Section V.

SECTION V: PROCEDURAL RULES FOR HEARINGS

93. Hearings shall be conducted in accordance with the principles of procedural fairness, namely the rights to receive notice, to be heard, and to know the case against one. Adjudications and Hearings shall follow the applicable procedural rules specified in the [Statutory Powers Procedure Act \(SPPA\)](#) and set out in this Policy. The Tribunal shall have the right to control its own process, and, in this regard, if the Tribunal determines that variations to the procedures would lead to a fair, just, and efficient resolution of the Hearing, it has the power to make any Order in furtherance of this objective.
94. Where any procedural matter is not dealt with specifically in this Policy or the *SPPA*, the Tribunal may, after hearing submissions from the parties, establish an appropriate procedure.
95. Any procedural requirement contained in this Policy may be waived with the consent of the Tribunal and of all the parties.

Settlement

96. Parties are encouraged to settle any and all disputes prior to a hearing before the Tribunal. In the event that the issue is settled between the parties *prior* to any hearing before the Tribunal, the grievance may be withdrawn by mutual agreement of the parties. Once a Hearing has commenced, however, any settlement proposed by the parties must be approved by the Tribunal before the matter can be dismissed or resolved.

Submissions and Disclosure

97. Parties to the Hearing are required to make written submissions prior to the Hearing, as both Parties have a right to know the case to be met and must be given a fair opportunity to respond. Disclosure also helps the Parties prepare for the hearing.
98. Written submissions must include:
- a) a list of all witnesses the Party intends to call to testify; and
 - b) a copy of all arguably relevant documents or other evidence in their possession;
 - c) and any such evidence shall be made available to the members of the Tribunal and to all parties prior to the Hearing.
99. Prior to a Hearing, members of the Tribunal shall be provided with:
- a) the Grievor's complaint in the *Request for a Hearing Form*, which includes the details of the grievance, a statement of the issue or issues in dispute, a statement of the remedy sought, and documentation, including the written decision from the Respondent and any responses from all previous stages of the grievance; and
 - b) all written or other documentary evidence submitted by the parties.

100. Members of the Tribunal must not hear evidence or receive representations regarding the substance of the case other than through the procedures described in this Policy.

Evidence

101. Parties to the Hearing have the right to present evidence in support of their case to the Tribunal and to see any written or documentary evidence presented to the Tribunal.
102. The Parties are expected to produce all arguably relevant documents (with normal limitations of privilege, etc.), a *minimum of 10 business days prior* to the Hearing.
103. The Tribunal has the power to require production of written or documentary evidence by the parties or by other sources.
104. The Tribunal has the power to rule on the admissibility of evidence.

Witnesses

105. Parties to the Hearing, and the Tribunal, have the right to call, question, and cross-examine witnesses. Other than the parties, witnesses are present in the Hearing room only during the time they are testifying.
106. Any person appearing before the Tribunal as a witness shall be required to give evidence under affirmation or oath.
107. The Tribunal has discretion to limit the testimony and questioning of witnesses to those matters it considers relevant to the disposition of the case.
108. **Parties are responsible for contacting their own witnesses; for making all arrangements for witnesses to attend the Hearing; for paying any costs associated with their appearance before the Tribunal; and for absorbing the costs of any legal counsel attending on their behalf.**
109. The Tribunal Chair has the power to compel an unwilling witness to attend, and parties may contact the University Secretariat to request the Chair's assistance in this regard. The power to compel a witness is derived from the *Statutory Powers Procedure Act*. An unwilling witness may be compelled by the Chair under summons to testify where the written request by the party for the summons demonstrates the witness' testimony is relevant and related to the alleged facts of the case.

Closed Hearings

110. Hearings shall be held *in camera* unless either the Grievor or the Respondent requests that the Hearing, or some part of the Hearing, should be held in public. In the event of such a request, the Tribunal shall hear representations from all parties. In making its ruling, the Tribunal shall consider whether matters of

an intimate financial or personal nature are to be raised, whether there is an issue of public safety involved, the desirability of holding an open Hearing and other relevant circumstances.

Parties

111. Parties to a Hearing shall include:

- a) the Grievor; and
- b) the Respondent.

Onus, Burden of Proof and Basis of Decision

112. The **balance of probabilities** is the test to be met to show, by the weight of the evidence presented, that all of the facts necessary to make a determination that an injustice or error have occurred, have a greater likelihood of being true than not.
113. The Grievor normally has the onus to present evidence to satisfy the Tribunal that, on a balance of probabilities, the interpretation or application of a duly enacted policy or established practice of the University by the initial Decision-Maker has not been fair, just or reasonable to the Grievor; however, for grievances related to disciplinary measures (section 8), the onus is on the Respondent to show that discipline is just, fair and reasonable to the Grievor.
114. The principles and procedures described in this section shall apply to all proceedings before the Tribunal. Tribunals shall not be charged with investigative duties.

Advisor / Representation

115. Parties have the right to be advised or represented by an Advisor or legal counsel. The costs of any representation are to be borne by the party retaining such representation.
116. An Advisor is a person of the individual's choice who acts in an advisory role (e.g., friend, family member, legal counsel), but is not a witness or potential witness in the matter.

Administrative and Legal Support

117. Administrative support for the Tribunal will be provided through the University Secretariat. Legal counsel for the Tribunal shall be provided as needed through the University Secretariat.

Other Parties

118. If other persons, in addition to the Grievor and the Respondent, have been specified as parties to the proceedings, the Hearing procedure shall be altered by the Tribunal to provide an opportunity for such additional parties to be heard.

Recess or Adjournment

119. The Tribunal may consider and grant a recess or an adjournment at the request of either party to allow them to review written or documentary evidence submitted at the Hearing.
120. The Tribunal may grant an adjournment at any time during the Hearing to ensure a fair Hearing.

Recording

121. Although the Hearing shall be recorded in order to obtain an accurate record of the proceedings, such recording is done for convenience purposes only and the malfunction of the recording device or subsequent loss of the recording shall not invalidate, in any way, the related Hearing.
122. The recording shall be held in confidence by the University Secretariat for a period of three years from the last date of the Hearing. Any party to the Hearing may request access to the recording and the reproduction thereof, upon reasonable notice and payment of the reasonable costs associated therewith.

Similar Questions of Fact or Policy

123. If two or more proceedings before the Grievance Review Panel involve the same or similar questions of fact or policy, the Chair of the Panel, after seeking written input from the parties, may decide:
 - a) to consolidate the proceedings or any part of them; or
 - b) to hear the proceedings at the same time; or
 - c) to hear the proceedings one immediately after the other.

WRITTEN HEARINGS**Notice of Written Hearing**

124. The parties shall be given reasonable, written notice of the Written Hearing submission deadlines.
125. The notice shall include the process and timelines for submissions for the Written Hearing. Any party whose reasons for failing to participate in the process that are not considered valid by the Tribunal's Chair, or whose failure to participate may cause unreasonable delay, shall be notified that the Tribunal will proceed in that party's absence.

HEARINGS**Notice of Hearing**

126. A Hearing shall be commenced as soon as possible following the appointment of the Tribunal.
127. An attempt shall be made to schedule the Hearing at a time and place convenient for the Tribunal and for the parties to the Hearing. However, any party whose reasons for absence are not considered valid

by the Tribunal's Chair, or whose absence may cause unreasonable delay, shall be notified that the Tribunal will proceed in that party's absence.

128. The parties shall be given reasonable, written notice of the Hearing.

ORDER OF THE HEARING

129. The first item of business for the Tribunal shall be to confirm the Hearing shall be closed, in accordance with the procedure set out above, or to hear and rule upon representations in favour of an open Hearing.

130. At the outset of the Hearing, the Chair shall:

- a) identify the nature of the case;
- b) review the order of the Hearing;
- c) note for the record the documentary information submitted by the parties to the Hearing, including any preliminary or procedural orders;
- d) note the names of the witnesses for each party;
- e) confirm the likely dates for sitting and the projected length of the Hearing;
- f) raise, or request the parties to raise, any and all preliminary issues concerning composition of the Tribunal and other unaddressed procedural matters; and
- g) proceed to deal with any matters raised in (f) above before the commencement of the substantive portion of the Hearing, by either proceeding directly to the Hearing or considering and rendering a decision on matters raised in (f) above.

131. The Grievor is the first party heard.

- a) Grievor's opening statement shall contain:
 - (i) a brief description of the grievance including what interpretation or application of a duly enacted policy or established practice of the University by the Respondent they believe was not fair, just or reasonable to the Grievor; and
 - (ii) what remedy they are seeking.
- b) Grievor's case provides factual support to show why their grievance should be remedied and may include any or all of the following:
 - (i) Grievor's oral testimony;
 - (ii) oral testimony of Grievor's witnesses; and
 - (iii) documents or other written evidence in support of this testimony.

- c) Questioning of the Grievor and their witnesses by the Respondent and/or by the Tribunal occurs at the close of each person's testimony.
132. Following the completion of the Grievor's case, the Respondent presents their case.
- a) Respondent's opening statement shall contain:
- (i) a brief reply to the Grievor's claims; and
 - (ii) the main arguments of their defence.
- b) Respondent's case presents the evidence to support their defense, which may include any or all of the following:
- (i) Respondent's oral testimony;
 - (ii) oral testimony of Respondent's witnesses; and
 - (iii) documents or other written evidence in support of this testimony.
- c) Questioning of the Respondent and their witnesses by the Grievor and/or by the Tribunal occurs at the close of each person's testimony.
133. Grievor's Reply: The Grievor and their witnesses have the right to offer testimony or other evidence in reply to the issues raised in the Respondent's case.
134. After the testimony of each witness, the Tribunal may, in addition to asking questions of the witness, request copies of such documents mentioned in testimony as the Tribunal in its discretion sees fit.
135. **After this point in the Hearing, no new evidence or witnesses may be introduced.**
136. The parties are entitled to make closing arguments, and to summarize briefly the main points of their cases, in the following order:
- a) Grievor;
 - b) Respondent; and
 - c) Grievor's reply, if necessary.
137. The Tribunal may alter the order described above in the interest of fairness to any or all of the parties.
138. While procedural fairness is essential, the Tribunal reserves its right to direct, curtail or encourage the organisation of witnesses, testimony and evidence in the interests of enhancing the clarity, relevance, and efficiency of the proceedings.
139. The Tribunal shall first warn, then caution, and may prohibit from continuing in such a manner, any party presenting testimony, evidence, argument or materials which are, in the reasonable opinion of the

Tribunal, irrelevant, unprovable, defamatory, vexatious or specious, or which impede or prevent the Tribunal from conducting the Hearing or reaching a decision.

DELIBERATIONS

140. The Tribunal shall deliberate in closed session and shall reach a decision. After deliberation and decision in closed session solely with members of the Tribunal is complete, the Tribunal may solicit the assistance of the University Secretariat and legal counsel regarding the precise form or wording of any order and reasons for judgement to support its decision and may request information on the range of decisions for previous cases heard under the Policy.

DECISION

141. The Tribunal Report shall normally be issued **within 90 business days** from the last day of the Hearing.
142. The Tribunal Report shall be sent to the:
- a) Grievor;
 - b) Respondent;
 - c) President; and
 - d) Faculty Association Observer (if one attended the hearing).
143. Where the Tribunal deems appropriate, affected parties may receive information about the decision and/or remedies that have a direct impact on them, within the constraints of relevant legislation.
144. The Tribunal will report its majority decision regarding the findings and remedies.
145. The report shall include:
- a) the membership of the Tribunal;
 - b) the background of the case, including the nature of the grievance;
 - c) a summary of the cases of the parties;
 - d) the Tribunal's majority findings;
 - e) the Tribunal's majority decision and the reasons for the decision; and
 - f) any ordered remedies and/or recommendations.
146. The President shall implement the decision promptly and shall notify all those eligible to receive the Tribunal's report, of the implementation of the decision.

147. The Tribunal shall not have jurisdiction to change any of the provisions of a duly enacted policy or established practice of the University.

OTHER RECOMMENDATIONS

148. Apart from its duty under these procedures to hear and decide the matters properly brought before it, any Tribunal may make recommendations or suggestions to University bodies or members. Such recommendations are offered for informational purposes and shall be distinct and separate from the decision.

APPENDIX A: GRIEVANCE REVIEW PANEL

GRIEVANCE REVIEW PANEL MEMBERSHIP

1. The President of the University and the President of the Faculty Association shall jointly appoint a full-time tenured/CAWAR faculty member as Chair of a Grievance Review Panel for a two-year term. Each President may propose members. The two Presidents, in consultation with the Chair, shall appoint twelve & full-time, tenured, CAWAR or permanent faculty members, with at least one and no more than three chosen from each Faculty, to a Grievance Review Panel for staggered three-year terms and shall appoint one or more of the members as Vice-Chair(s). The Chair shall have the authority to delegate to the Vice-Chair(s). If the number of hearings requires recruitment of additional members, the two Presidents shall agree on a temporary increase in membership. Any additional members shall serve only as long as required. MUFA has a responsibility to advise its members, including on grievances. Such advice shall not normally constitute a conflict of interest according to McMaster's conflict of interest policy.

TRIBUNAL SELECTION

2. When the University Secretariat receives the written grievance, the University Secretariat shall inform the Chair of the Grievance Review Panel that a Tribunal needs to be established.
3. Within fourteen **(14) business days of receipt** of the written grievance by the University Secretariat, the Chair of the Grievance Review Panel (or a Vice-Chair in case of conflict of interest or absence), shall establish a Tribunal.
4. The Committee shall consist of the Chair or a Vice-Chair of the Grievance Review Panel, who shall act as Chair of the Tribunal, and two other members of the Grievance Review Panel.
5. The Chair shall select members of the Tribunal who have no conflict of interest; for example, they shall not be members of the same Department as the Grievor or Respondent, nor shall they have made a substantive contribution to the decision being grieved. These are examples only and are not intended to limit the range of conflicts of interest. The Chair must have scrupulous regard to real and perceived conflicts of interest.
6. The Chair or Vice-Chair of the Grievance Review Panel shall propose the membership of the Tribunal.
7. The University Secretariat shall forward to the Grievor and the Respondent the proposed membership of the Tribunal. Both parties shall be given the opportunity to express, in writing, **within 14 business days**, any objections they may have concerning the proposed membership of the Tribunal.
8. After careful consideration of any such objections, the Chair or Vice-Chair of the Grievance Review Panel shall either confirm the members of the Tribunal or propose a revised membership. The Panel Chair shall approve the Tribunal Chair and Tribunal members and, through the University Secretariat, shall so inform the Tribunal members, and the parties to the Hearing.

9. The University Secretariat shall ensure that all members of the Tribunal receive appropriate training to discharge their responsibilities.

APPENDIX B: FACULTY ASSOCIATION OBSERVERS AT HEARINGS

1. As described in *Procedural Rules for Hearings*, the Faculty Association is permitted, subject to the consent of the Grievor, to send an Observer to any Hearing.
2. The function of the Observer is to allow the Faculty Association to monitor the workings of the Policy of which it is a joint author. It is important that the University have full confidence in the Policy. The presence of a Faculty Association Observer is an additional guarantee of fairness and may provide information leading to an improved policy.
3. The University Secretariat shall send a copy of these guidelines to the Grievor when a Hearing is initiated and request the Grievor's consent (a) to the presence of a Faculty Association Observer, and (b) if so, to all the documentation being provided to the Observer. The University Secretariat shall notify the Faculty Association of the faculty member's response. If the Grievor consents, the University Secretariat shall request the Faculty Association to provide the name of the Observer.
4. The Observer should be an active or retired member of the Faculty Association and should be at "arm's length" from the case. The Observer does not attend on behalf of the Grievor and should avoid interacting with any of the parties. At no time should the Observer engage the parties or the Tribunal in any discussions regarding the matter being heard.
5. The Observer must be familiar with the most recent version of this Policy including the *Procedural Rules for Hearings*, Appendix E.
6. Seating arrangements at the Hearing are at the discretion of the Chair. The Observer may not speak without invitation from the Chair. The Observer is not entitled to be present when the Tribunal members recess for discussion among themselves.
7. The Observer shall be provided with all the documentation available to the Grievor, subject to the Grievor's consent. This documentation shall be considered confidential and must be surrendered to the Chair at the close of the Hearing.
8. The Observer shall receive a confidential copy of the Tribunal Report.
9. After the Hearing is over the Observer should ask the parties separately, and outside of the presence of the Tribunal, if they were satisfied with the process followed and whether they wish to make any comment on the process.
10. The Observer shall write a report of the proceedings for the President of the Faculty Association using the *Observer Report on a Hearing* as provided by MUFA. They shall limit comment to procedural matters and take care not to quote either from confidential documents or utterances, unless it is absolutely necessary to do so to make a point concerning procedural issues.
11. The Observer report should include a statement of what proportion of the Hearing the Observer attended and a description of any comments on, or expressions of dissatisfaction with, the Policy by either party. The report should not be confidential, except that any quotations from confidential documents/utterances be confined to a confidential appendix to which only the Presidents of the University and of the Faculty Association should have access. If major procedural irregularities are noted by the Observer, the President of the Faculty Association should inform the President of the University.

APPENDIX C: RELATED POLICIES

This Policy is to be read in conjunction with the following policies, procedures, etc. Any question of the application of this Policy or related policies shall be determined by the Provost and Vice President (Academic), and in conjunction with the administrator of the other policy or policies. The University reserves the right to amend or add to the University's policies and statements from time to time (this is not a comprehensive list):

- [Career Progress/Merit Plan](#)
- [Code of Conduct for Faculty and Procedures for Taking Disciplinary Action](#)
- [Discrimination and Harassment Policy](#)
- [Freedom of Information and Protection of Privacy Act](#)
- [Group Conflict and Senate Mediation Procedures](#)
- [Ontario Human Rights Code](#)
- *Removal policy (Section VI of the [Tenure and Promotion Policy](#))*
- [Research Integrity Policy](#)
- [Sexual Violence Policy](#)
- [Statement on Building an Inclusive Community with a Shared Purpose](#)
- [Statement and Guidelines on Inclusive Communications](#)
- *Suspension policy (Section V of the [Tenure and Promotion Policy](#))*
- *T&P Appeal (Section IV of the [Tenure and Promotion Policy](#))*
- [Violence in the Workplace, Policy on](#)
- [McMaster University Policy on Accessibility](#)

February 7, 2022

Senate Committee on Appointments
c/o University Secretariat
Gilmour Hall, Room 210

Re: Approval of Updated Terms of Reference – Vice Dean, Research.

On behalf of the Faculty of Health Sciences Executive Committee, I am requesting approval of the updated terms of reference for the position of Vice Dean, Research.

These terms of reference were last updated in 2006 (attached) and an update was needed to accurately reflect the responsibilities of this position. The Faculty received input from the Vice President, Research, the Faculty Executive Committee, and other interested parties on these changes.

Thank you for considering this request. If you need further information, please do not hesitate to contact me.

Yours sincerely,



Paul M. O'Byrne, MB, FRCPC, FRSC
Dean and Vice President

Encl.

POB/rc

Vice Dean, Research, Faculty of Health Sciences

The Vice Dean, Research is responsible for guiding the research mission of the Faculty and for other responsibilities delegated by the Dean and Vice-President to facilitate the conduct of research and operational functions of the Faculty. As a senior leader within the Faculty of Health Sciences, the Vice Dean, Research assists the Dean and Vice-President and other Faculty leaders in the creation and implementation of initiatives that further the EDIIR goals of the Faculty.

Reporting Relationships:

The Vice Dean, Research reports directly to the Dean and Vice-President of the Faculty of Health Sciences, and indirectly to the Vice-President, Research, McMaster University.

Duties and Responsibilities:

Research

1. Work with the Associate Dean, Indigenous Health and the Associate Dean, Equity & Inclusion to advance indigenous health research and champion principles of equity, diversity, and inclusion in research across the Faculty.
2. Work with the departments and schools within FHS with our hospital partners to encourage and stimulate research activity including basic, clinical and education research, as well as knowledge translation, social innovation, and commercialization.
3. In conjunction with the Vice-Dean, Faculty Health Sciences/Associate Dean of Graduate Studies (Health Sciences), build and maintain linkages between graduate and research programs and promote the development of research opportunities for students and other trainees in a variety of subject areas.
4. Work with the Vice President Research and the ADRs of the other Faculties to stimulate interdisciplinary scientific collaboration; inform university-wide research policies and to advise the VPR regarding dissemination of research funds.
5. Provide leadership in the initiation of new research ventures and in the development of new ways of funding research activities, equipment, and personnel.
6. Advise Department Chairs on potential faculty recruits with respect to their research capabilities.
7. Participate in decisions regarding funding and long-term salary support for investigators, allocation of research overhead, CRC Chairs, and federal and provincial research infrastructure competitions.
8. Interface with Directors of Joint Hospital/University Research Institutes to promote research and set research priorities.
9. Through effective collaborations, ensure congruence among the educational, research and health service programs of the Faculty.
10. Foster relationships with federal, provincial, and charitable funding agencies and influence the science and administrative policies of provincial, national, and international government granting agencies.
11. Generate new revenue through research collaborations and commercialization activities.
12. In collaboration with the Vice Presidents of Research in our partner hospitals, create and maintain a city-wide strategic plan for biomedical, clinical, health services and policy, educational, and population health research to inform future investments.

Operational Management

1. Consult with partners within the University, the community and partner hospitals and advise the Dean on issues that will guide those responsible for operationalizing the Faculty mission related to research.
2. Oversee the activities of the Assistant Dean, Research FHS; Health Research Services (HRS) through the Director, Research Services; Central Animal Facilities through its Director; and others responsible for FHS research facilities.
3. Manage the Vice Dean, Research's fund, and other discretionary funds in support of research.
4. Establish and maintain linkages across the University, with industry and act as a key interface between the University and research networks.

Specific Areas of Responsibility

1. Ensure that all research facilities affiliated with FHS are managed appropriately, including developing and allocating wet and dry lab research space.
2. Oversee Human Research Ethics Review.
3. Provide recommendations to the Dean and Vice President regarding candidates for internally allocated awards and convene sub-committees of HRS to make recommendations for recipients of special awards.
4. Develop research policies and priorities and recommend these to the Dean and Faculty Executive Council.
5. Allocate funds for new scientific equipment to existing faculty researchers.
6. Ensure that established research programs and non-program research activities undergo periodic review.
7. Serve as a member of FHS, University, and external committees as requested and/or required. These include:
 - University Research Infrastructure Oversight Board
 - FHS Faculty Executive Council
 - FHS Nominations and Awards Committee
 - Selection Committees for FHS Leadership positions
 - MDSM Council

Conditions of Employment:

The position of Vice Dean, Research, shall be held by a qualified faculty member, appointed for a five-year term (renewable). The individual will be selected by a Senate Ad Hoc Selection Committee for nomination through the Senate Committee on Appointments to the Senate and the Board of Governors, as required by The McMaster University Act, 1976 and the Senate By-laws.

TERMS OF REFERENCE

VICE DEAN, RESEARCH

FACULTY OF HEALTH SCIENCES

The Vice Dean, Research reports directly to the Dean and Vice-President of the Faculty of Health Sciences, and indirectly to the Vice-President, Research, McMaster University. The incumbent is responsible for guiding the research mission of the Faculty and for other responsibilities delegated by the Dean and Vice-President to facilitate the conduct of research and operational functions of the Faculty.

Research

1. Encourage and stimulate research activity among all sectors of the Faculty of Health Sciences including departments, schools and affiliated clinical institutions; promote development of research opportunities for students and other trainees in a variety of subject areas.
2. To encourage and stimulate scientific collaboration between FHS Researchers and their peers in other Faculties at McMaster University.
3. Provide leadership in the initiation of new research ventures and in the development of new ways of funding research activities, equipment and personnel.
4. Advise on potential faculty recruits particularly with respect to their research capabilities.
5. Participate in decisions regarding bridge-financing and long-term salary support (career investigator awards, tenure-track positions) for investigators, allocation of research overhead, CRC Chairs, and federal and provincial research infrastructure competitions.
6. Along with the Vice Dean of the Faculty Graduate Programs, maintain liaison between graduate and research programs.
7. Interface with Directors of Joint Hospital/University Research Institutes within the Faculty of Health Sciences and its affiliated clinical institutions to promote research and set research priorities.
8. Through effective collaborations, ensure congruence among the educational, research and health service programs of the Faculty.
9. Influence the science and administrative policies of provincial, national and international voluntary government granting agencies.
10. Foster relationships with federal, provincial and charitable funding agencies
11. Generate new revenue through collaborations in research.
12. In collaboration with hospital VP's Research, to formulate a city-wide strategic plan for biomedical research to inform future investments.

Operational Management

1. Consult with partners within the University, the community and the hospitals and advise the Dean on issues that will guide those responsible for operationalizing the Faculty mission in the above areas.
2. Oversee the activities of Health Research Services through the Administrator, Research Services, the activities of the Central Animal Facilities through its Director and others responsible for central facilities.
3. Manage the Vice Dean, Research's fund and other discretionary funds in support of research.
4. Establish and maintain linkages with other faculties within McMaster University and with industry and act as a key interface between the University and research networks.

Specific Areas of Responsibility

1. Develop and allocate wet and dry lab research space within the Faculty of Health Sciences.
2. Manage central research facilities including animal quarters, level 3 laboratories, genobiotic facility, and electron microscopy.
3. Oversee Human and Animal Research Ethics Review.
4. Recommend winners of internally allocated awards and convene sub-committees of CSD to make recommendations for recipients of special awards.
5. Develop research policies and priorities and recommend these to the Dean and Faculty Executive.
6. Allocate funds for new scientific equipment to existing faculty researchers.
7. Ensure that established research programs and non-program research activities undergo periodic review.
8. Membership on committees as required.

Approved Executive Committee of the Faculty of Health Sciences February 22, 2006
Title update July 1, 2018



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To: Senate Committee on Appointments 

From: Jeremiah Hurley, Dean, Faculty of Social Sciences

Date: January 31, 2022

Re: Proposal to position of Associate Dean, Graduate Studies and Research into two positions, Associate Dean, Research and Associate Dean, Graduate Studies

In recent years, the Faculties of Business, Humanities and Social Sciences have each had a single position, entitled Associate Dean, Graduate Studies and Research to oversee the graduate studies portfolios in their respective faculties. In contrast, the Faculties of Engineering and Science have each had two separate positions, Associate Dean Research and an Associate Dean Graduate Studies, and the Faculty of Health Sciences has had a Vice-Dean, Research and a Vice Dean, Graduate Studies. The rationale for these different structures across Faculties was differences in the scale of research activities and graduate programs across the Faculties and the associated differences in the sizes and complexity of the portfolios, with consequent workload implications for their respective associate deans.

Over time, the scope of responsibilities and workload for Associate Deans with respect to both research and graduate education have expanded. In the case of research, for instance, the VPR Karen Mossman has activated a previously underutilized University Research Council comprising the ADRs, which now meets regularly, is taking on increasing responsibilities, and supports the design and implementation multiple research initiatives at McMaster, such as the initiative on research platforms, renewed approaches and policies for research centres and institutes. These and other initiatives all require involvement of the ADRs. The research councils have created new or reactivated existing research programs (e.g., CFREF, CERCS, NFREF). With respect to graduate responsibilities, the School of Graduate Studies has (appropriately) devolved certain activities to the faculties, the Province's implementation of the graduate enrolment and funding corridor has created new demands for the role, and more generally the evolving context of graduate education requires greater cross-program coordination by the Associate Dean. During this same period the Faculty of Social Sciences has expanded its research activities with enhanced research support to investigators applying of external funding, new research centres and institutes, new research platforms, and more cross-faculty collaboration, all of which increase demands on the Associate Dean. Similarly, the Faculty of Social Sciences has created new graduate programs and new types of graduate programs (e.g., professional master's degrees) that increase demands on the Associate Dean. The full set of

responsibilities across the two portfolios now exceeds what is reasonable to expect a single person to manage. This stretches our current ADGS/R such that the Faculty of Social Sciences is less able to engage effectively on initiatives related to research and graduate studies than are the Associate Deans in Faculties with separate AD positions who are able to focus on their single areas of responsibility.

In light of this, I propose to split the current combined position and create two Associate Dean positions in the Faculty of Social Sciences— Associate Dean, Research and Associate Dean, Graduate Studies—to match the structure in Engineering, Health Sciences, and Science. The change would take effect July 1, 2022 to coincide with the end of the current term for the Associate Dean Graduate Studies and Research. Attached please find proposed terms of reference for the two positions.

In proposing this change, I have consulted with the Vice President Research and the Vice-Provost Graduate Studies, both of whom support this change, as does the Provost and Vice-President Academic. The change is also supported by the Dean's Advisory Council of the Faculty of Social Sciences and was approved at the January 27, 2022 meeting of the Faculty Council of the Faculty of Social Sciences.

Terms of Reference, Associate Dean of Graduate Studies (Social Sciences)

January 2022

The Associate Dean of Graduate Studies (Social Sciences) has the primary responsibility within the Faculty of Social Sciences for furthering McMaster's goals regarding graduate education and research training, and provides leadership and coordination of all activities related to those goals. The Associate Dean is normally appointed to a five-year term with the possibility of reappointment for a second term.

The Associate Dean reports to both the Vice-Provost and Dean of Graduate Studies and the Dean of the Faculty of Social Sciences. The Associate Dean works in a coordinated way with the Associate Deans of the Faculty of Social Sciences and the other Associate Deans of Graduate Studies to ensure that both Faculty-specific and University-wide goals are addressed.

Responsibilities include, but are not limited to:

- a. Working closely with the Vice-Provost and Dean of Graduate Studies and with the Dean of the Faculty of Social Sciences to assist with development, maintenance, and improvement of graduate programs in the Faculty of Social Sciences.
- b. Maintaining ongoing liaisons with the Associate Dean (Research), Faculty of Social Sciences and the Associate Dean (Academic), Faculty of Social Sciences and the Associate Deans of Graduate Studies (Health Social Sciences, Engineering, Business, Humanities and Social Sciences) for matters relating to these areas as they affect graduate programs and research training.
- c. Providing input into and strategic planning for matters of graduate recruitment, admissions, and enrolment, development of new disciplinary and interdisciplinary programs, and student recruitment and retention.
- d. Overseeing quality assurance for new and on-going graduate programs within the Faculty of Social Sciences and facilitating internal and external reviews of graduate programs.
- e. Serving as a member on or Chair of University-wide and Faculty-specific committees (including Chairing the Committee on Graduate Curriculum, Policy, Admissions and Study in the Faculty of Social Sciences, Co-Chairing the Scholarships Committee of the Graduate Council, Chairing, when so delegated by the Dean of the Faculty of Social Sciences, membership in the Graduate Council and Graduate Council Executive, and membership in the Faculty of Social Sciences Faculty Council).
- f. Interviewing candidates for tenured and tenure-track positions when requested,

assessing the candidates' suitability for a faculty position at McMaster University, particularly regarding graduate supervision.

- g. Overseeing the review and ranking of scholarship applications and chairing scholarship committees.
- h. Performing functions specified in such documents as the Research Integrity Policy, including investigating allegations of research misconduct and, if found, represent the University's position at a Hearing.
- i. Serving from time-to-time on bargaining teams in the University's negotiations (e.g., regarding the Teaching Assistant (TA) or Postdoctoral Fellow (PDF) collective agreements).
- j. Examining and proposing revisions to policies, procedures, and regulations to improve the operation of graduate programs and graduate student success.
- k. Encouraging and facilitating innovation in graduate education and research training within the Faculty of Social Sciences, and in conjunction with other Faculties in interdisciplinary programs.
- l. Working to enhance the quality of life and sense of community amongst the diverse group of graduate students and research trainees within the Faculty of Social Sciences and encourage their involvement in interdisciplinary activities.
- m. The evaluation of contracts involving graduate students (through the McMaster Industry Liaison Office (MILO)) and ensuring that such contracts do not breach the academic requirements of the University and the ability of the student to benefit from their own work.
- n. Discharging such duties as may be assigned by the Vice-Provost and Dean of Graduate Studies from time to time, including serving as Acting Dean in the Vice-Provost and Dean's absence.
- o. Meet with graduate program chairs and administrators on a regular basis to provide updates on decisions at Graduate Council, changes to operating procedures, and to solicit feedback on matters related to graduate studies and graduate students.
- p. Communicate best practices in graduate supervision and provide oversight and resolutions for graduate supervision issues, when necessary.

- q. Work with appropriate University, Faculty, and departmental personnel to advance EDI goals with respect to graduate education.

- r. The ideal candidate for this position will be an accomplished researcher, an excellent graduate mentor, and faculty member within the Faculty of Social Sciences. The candidate should have extensive experience in graduate education and research training, a strong understanding of and commitment to the role of graduate education in Social Sciences, demonstrated success in networking and collaboration, and excellent interpersonal and communication skills.

Associate Dean, Research (Social Sciences)
January 2021

Terms of Reference

- a. Lead in defining, promoting, implementing, sustaining, and evaluating research activity in the Faculty of Science that is consistent with strategic priorities of the Faculty and University.
- b. Lead in the identification, promotion, and coordination of major research opportunities and initiatives with sponsored research programs from government, public, and private sectors.
- c. Work in conjunction with Faculty and University advancement offices and public relations to raise profile of research in the Faculty of Science within the University and externally and work to bring the results of research to the attention of media and other important audiences.
- d. Develop research policies and priorities and recommend these to the Dean.
- e. Manage the Faculty Research Support Program and develop strategies to enhance research funding and success from major provincial, national and international granting agencies, non-profit organizations, and private sectors, and supervise staff of the research support program.
- f. Lead in identification, coordination, and promotion of research partnerships internally, within the University, and externally.
- g. Lead the design and implementation of research support infrastructure in the Faculty.
- h. Liaison with the Office of the Vice President, Research, the Office of Research Services, and the McMaster Industry Liaison Office (MILO) on research-related activities.
- i. Maintain liaison between graduate and research programs to ensure coherence.
- j. Inform strategic recruitment of Faculty and graduate students
- k. Coordinate the activities of Research Chairs and Research Centres, Institutes, Groups, and Platforms in the Faculty to promote research strengths and priorities and to support interdisciplinary research, in consultation with the Office of the Vice-President Research as appropriate.
- l. Assist in coordinating periodic reviews of research Centres, Institutes, and Platforms in the Faculty.

- m. Manage Associate Dean's discretionary funds in support of research.
- n. Work with appropriate University, Faculty, and departmental personnel to advance EDI goals with respect to research.
- o. Chair, as requested by the Dean, review committees and other Faculty committees from time to time, as needed.
- p. Discharge other such duties as may from time to time be assigned by the Dean.

Membership on Faculty Standing Committees and Ad Hoc Committees:

Faculty Council

Deans' Advisory Committee

Ad Hoc committees on strategic planning/advisory groups in research, education, and other areas important for the Faculty

Accountability:

Reports to Dean, Faculty of Science



UNIVERSITY SECRETARIAT

- Board of Governors
- Senate

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REPORT TO THE BOARD OF GOVERNORS
from the
PLANNING AND RESOURCES COMMITTEE

At its meeting on March 31, 2022, the Planning and Resources Committee approved for recommendation to the Board of the Governors:

- i. Revisions to the Investment Pool SIP&P (Approval)

It is now recommended,

That the Board of Governors approve changes to the Statement of Investment Policies and Procedures for the Investment Pool as shown in Appendix A.

Board of Governors: FOR APPROVAL
April 21, 2022

Date: March 24, 2022
 To: Planning and Resources Committee
 From: Investment Pool Committee
 Subject: **Statement of Investment Policies and Procedures - Revisions**

Recommendation:

That the Planning and Resources Committee approve, for recommendation to the Board of Governors, the changes to the Statement of Investment Policies and Procedures for the Investment Pool as shown in Appendix A.

The Investment Pool Statement of Investment Policy and Procedures (SIP&P) has been reviewed by Aon, Treasury, and the CFO in consultation with stakeholders. The proposed policy revisions reflect a redesign of the SIP&P document and updated objectives which include carbon reduction targets that align and supports the direction of McMaster’s decarbonization and responsible investment strategy. In addition, there are proposed changes which reflect a reorganization of the structure of the document to eliminate redundant tables, information, and several items of a housekeeping nature. Appendix A is the revised SIP&P with blacklined changes and clean versions of the SIP&P. The material changes are summarized in the table below:

Table 1. Summary of Proposed Policy Changes (page references are for the blacklined version of SIP&P)

Reference	Page	Comments
Section 1. Preamble	5	Background has been updated to remove dated information that is not required in SIP&P documents
Section 2. Definitions & Section 3 Fund Governance	5-8	Definitions and descriptions have been updated
Section 4. Investment Objectives	8-9	Section has been updated to include the combination of financial objectives and secondary objective of sustainability, including carbon reduction targets to reduce the weighted average carbon intensity 65% lower by 2025, 75% lower by 2030 and an aspirational objective of net zero thereafter (2018 baseline)
Section 5. Responsible Investing	9-12	This section has been consolidated and updated to reflect current practice
Section 6. Investment Beliefs	12	Updated to reflect the current beliefs
Section 7. Risk	12-14	Risk section has been updated and aligned with the enterprise risk management framework. A table summarizing the key risk has been included. Concentration risk section has been updated with a 10% maximum limit for equities investments
Section 8. Strategic Asset Allocation	15-24	A summary consolidates target asset allocation and benchmarks in one table and reflects target updates aligned with real assets strategy implementation
Section 9. Permitted Investments	24-28	Information has been consolidated/simplified into a table
Section 10. Proxy Voting Rights	28-29	Refinements and updates to language
Section 12. Reporting Requirements	31-36	Refinements and updates to language
Section 13. Other Policy Items	37-43	Refinements and updates to language

Planning and Resources Committee – **FOR APPROVAL**
 March 31, 2022

Appendix A.

**Investment Pool Statement of Investment Policies and
Procedures**

DRAFT

Complete Policy Title

**Statement of Investment Policies and
Procedures – Investment Pool**

Policy Number (if applicable):

Approved by

Board of Governors

Date of Most Recent Approval

~~July 22, 2021 / February 4~~ March 7 31, 2022 /

~~August 5, 2021~~ March-April 321, 2022

Date of Original Approval(s)

October 19, 1995

Supersedes/Amends Policy dated

~~October 24, 2019~~ August 5, 2021

Responsible Executive

**Assistant Vice-President (Administration) & Chief
Financial Officer**

Policy Specific Enquiries

[Assistant Vice-President \(Administration\) & Chief
Financial Officer](#)

General Policy Enquiries

[Policy \(University Secretariat\)](#)

DISCLAIMER:

*If there is a Discrepancy between this electronic policy and the written copy held by the
policy owner, the written copy prevails.*

Table of Contents

Section 1 – Preamble	43
Section 2 – Definitions	34
Section 3 – Trust Funds	4
Section 4 – Endowment Funds	5
Section 5 – Financial Objectives	5
Section 36 – Fund Governance	35
Section 47 – Investment Objectives, Beliefs, Risk Appetite, and Mandates	36
Section 5 – Investment Objectives/Responsible Investing:	46
Section 6 – Investment Beliefs	4
Section 7 – Risk	4
<i>Section 18 – Responsible Investing:</i>	<i>18</i>
<i>Investment Beliefs:</i>	<i>7</i>
<i>Risk Appetite:</i>	<i>6</i>
<i>Investment Beliefs:</i>	<i>7</i>
<i>Liquidity Risk</i>	<i>7</i>
<i>Benchmark Portfolio:</i>	<i>8</i>
<i>Transition Asset Mix</i>	<i>8</i>
<i>Performance Objectives</i>	<i>9</i>
Section 88 – Strategic Asset Allocation Mix, Investment Risk Tolerance and Rebalancing Policies	610
<i>Asset Mix Policy:</i>	<i>10</i>
<i>Investment Risk Tolerance – Expected Volatility:</i>	<i>10</i>
<i>Rebalancing Policy:</i>	<i>10</i>
Section 99 – Permitted Investments	711
<i>Investments:</i>	<i>11</i>
<i>Derivatives:</i>	<i>11</i>
<i>Quality Requirements:</i>	<i>12</i>
<i>Quantity Requirements:</i>	<i>12</i>
Section 14 – Conflict between Policy and Pooled Fund Investment Policies	15
Section 10 – Securities Lending	12

Section 1110 – Delegation of Proxy Voting Rights	812
Section 1211 – Fund Manager and Investment Consultant Selection Requirements	813
Section 1312 – Fund Manager Reporting Requirements	104
Section 14 – Conflict between Policy and Pooled Fund Investment Policies	15
Section 15 – Conflict of Interest	15
Section 16 – Related Party Transactions	16
Section 1713 – Other Policy Items	117
<i>Valuation of Securities:</i>	<i>117</i>
Section 10 – Securities Lending	112
Section 16 – Related Party Transactions	116
Conflict of Interest	11
Conflict between Policy and Pooled Fund Investment Policies	12
Policy Review	12

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

Policy Review.....17

Investment Pool Carbon Reporting.....17

Section 18 – Responsible Investing.....18

Section 1 – Preamble

~~As of May 1, 1998, the University funds, including specific purpose General Trust and Endowed fundsment Funds (as defined below) and the Capital Fund were and reserves, and a portion of working capital, are pooled and unitized for investment purposes to create a larger investment pool. The larger size of the pool creates greater investment opportunities and benefits from economies of scale, offers more options to optimize future returns and provides more administrative efficiencies. Although other funds have been added to the Investment Pool, the investment policies and objectives of the Investment Pool mainly reflect the needs of the General Trust and Endowment Funds.~~

~~Donations to the University from private sources for specific or designated purposes are placed in “trust funds”, and those for unrestricted use in “endowment funds”. Donations may take the form of cash, securities in-kind, gifts in-kind, bequests or planned gifts, among others.~~

~~While some gifts and legacies are free from restrictions as to the preservation of the capital, it is the policy of the University to maintain the original capital of the funds in “real dollar” terms, and to provide a relatively stable annual expenditure rate through investment in long-term securities.~~

Section 2 – Definitions

~~**Fund** refers to the combined assets of the Investment Pool. The “Total Rate of Return” is the time-weighted rate of return based on the change in market value of the Fund over a measured period, calculated in conformity with the standards established by the CFA Institute.~~

~~A “Fund Manager” is an external investment manager who invests a segment of the Fund according to guidelines specified in this policy and the mandate given by the University.~~

~~**Investment Consultant** is the external advisor, AON Consulting, selected by the Fund oversight committee.~~

~~**Long Term** is defined as a period of 10 years or longer. The “Trust Fund Administrator” is a University officer who is responsible for administering the fund in accordance with specifications made by the donor and in accordance with the University’s Trust and Endowment policies and procedures overseen by the Trust Funds Management Committee.~~

~~The “Fund” is the assets of the Investment Pool.~~

~~**Oversight Committee** is defined as the Investment Pool Committee, which is a sub-committee of the Planning and Resources under the Board of Governors. Where plural, refers to reporting beyond the Investment Pool Committee to the Planning and Resources Committee unless otherwise noted.~~

~~“Real Assets” refer to includes both real estate and infrastructure investments.~~

~~**Related Party** is defined to be administrator of the Fund, including any officer, director or employee, or any person who is a member of the oversight committees, up to the Board of Governors. Including Fund~~

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

Manager's and their employees, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. The concept of "related party" does not include government or a government agency, or a bank, -trust company or other financial institution that holds the assets of the Fund, where that person is not the administrator of the Fund.

~~"Long Term" is defined as a period of 10 years or longer.~~

Total Rate of Return is the time-weighted rate of return based on the change in market value of the Fund over a measured period, calculated in conformity with the standards established by the CFAInstitute.

Section 3 – Trust Funds

~~Specific purpose, or designated, donations are placed in trust funds and, in doing so, the University agrees to the terms and conditions for the use of the funds as established by the donor and the University and/or legal requirements. Trust funds are classified as externally restricted endowments in the University's audited financial statements.~~

~~General Trust Funds are either:~~

- ~~▪ Perpetual Trusts — funds whereby only the income earned on the capital may be expended; or,~~
- ~~▪ Long Term Trusts — funds whereby both the income and capital may be expended. Any capital to be spent from long term trusts must be defined as expendable.~~

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

~~Specific Trust Funds are short term, and are funds received for current year spending for an expressed purpose. These funds are invested in the Cash and Short Term Investment Portfolio.~~

~~Trust funds are combined for investment purposes in the Investment Pool, which is invested by external Fund Managers under this policy. Some trust funds may consist of securities received with the stipulation that they be retained, and that the income be used for specific purposes.~~

Section 4—Endowment Funds

~~Internally Restricted Endowment funds are established by the Board of Governors. The Board can approve borrowings and/or permanent reductions from the funds through its annual budget process and in accordance with the ‘Expenditure Policy for Internally Restricted Endowments’.~~

General Endowment Fund

- ~~▪ Proceeds from bequests and insurance policies and other donations received by the University, the use of which has not been designated by the donor, are pooled in a fund designated the “General Endowment Fund”.~~
- ~~▪ The income of this fund is used to support scholarship and bursary programs of the University and such other purposes as approved by the Board of Governors during the University’s budgeting process.~~

H. L. Hooker Endowment Fund

- ~~▪ A legacy from Dr. H. L. Hooker, the use of which is not designated by the donor, is held in the “H. L. Hooker Endowment Fund”.~~
- ~~▪ The use of the income from this fund is approved by the Board of Governors during the University’s budgeting process, the programs supported by this fund must enrich the academic achievements of the University and must provide a suitable memorial to Dr. Hooker.~~

Pension Surplus Fund

- ~~▪ In 2003, the University’s portion of the Salaried Pension Plan’s excess surplus was transferred to an internally restricted endowment. The income from the Pension Surplus Fund is used to support general operating purposes as approved by the Board of Governors during the annual budget approval process.~~

~~Endowment funds are combined for investment purposes in the Investment Pool which is invested by external Fund Managers.~~

~~Section 5 – Financial Objectives~~

~~The following are the financial objectives of the University for the Investment Pool:~~

- ~~▪ To achieve a Total Rate of Return sufficient to support stable and growing expenditures for University purposes.~~
- ~~▪ To preserve the original capital in “real” terms.~~
- ~~▪ To provide capital growth.~~

~~Section 36 – Fund Governance~~

~~The University is the administrator of the Investment Pool and the Board of Governors is responsible for the overall management. The Board of Governors has delegated certain duties and responsibilities (including the power to sub-delegate) to the Planning and Resources Committee which, in turn, has delegated certain duties and responsibilities to the Investment Pool Committee, and the Financial Affairs Treasury Department and to various third-party agents it has retained to assist in carrying out the Investment Pool its duties and adhere to this policy. in respect to the Investment Pool.~~

~~Section 74 – Investment Objectives, Beliefs, Risk Appetite, and Mandates~~

~~The primary objective is to generate Long Term average returns sufficient to meet the needs of the University, defined as a Total Rate of Return of 5.0%, after inflation and fees. Subject to an overriding commitment to financial prudence, To achieve the financial objectives, investment decisions must align the Fund Managers are expected to with the University’s sustainability directions commitments as a signatory to the United Nations Principles for Responsible Investment (UNPRI) supporting and support a transition to a sustainable, just, and net zero carbon economy and society.~~

~~The Principles for Responsible Investment (PRI) is a United Nations-supported international network of investors working six principles:~~

- ~~• Principle 1: Signatories will incorporate ESG issues into investment analysis and decision-making p~~
- ~~• Principle 2: Signatories will be active owners and incorporate ESG issues into our ownership policies and practices.~~
- ~~• Principle 3: Signatories will seek appropriate disclosure on ESG issues by the entities in which we invest.~~
- ~~• Principle 4: Signatories will promote acceptance and implementation of the Principles within the investment industry.~~
- ~~• Principle 5: Signatories will work together to enhance our effectiveness in implementing the Principles.~~
- ~~• Principle 6: Signatories will each report on our activities and progress towards implementing the Principles.~~

~~As such, the University’s responsible investing approach integrates use an approach that integrates environmental, social, and governance factors faeters into across fund portfolio strategy, risk management, delegated election fund selection, and management appropriate for the asset class as defined by the CFA Institute, monitoring metrics and targets, and reporting, and to maximize the Total Rate of Return within~~

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

~~their defined mandates and policy constraints with respect to diversification, quality of securities and liquidity.~~

~~The secondary objective of the Fund is: establishing phased action plans toward a net zero (scope 1 and 2) carbon profile across invested assets as soon as practical¹ with periodic target reduction milestones. The Fund will ambitiously target to reduce the carbon intensity of publicly traded assets with milestone objectives of 65% lower weighted average carbon intensity by 2025, 75% by 2030, and an aspirational objective of the remainder thereafter, compared to a 2018 baseline.~~

Section 518 - Responsible Investing:

~~The University's McMaster's responsible investing approach is to integrate environmental, social and governance (ESG) (ESG) factors considerations that could pose into investment processes and decision-making in order to better manage risk and generate sustainable long-term returns. The University believes that ESG factors can have a material risks to or otherwise and impact (for better or worse) on Long Term and financial implication on the risk and return profile of its investments. Further, the University is committed to aligning this policy with the UNPRI principles (above) and reporting its net zero strategy, targets and progress using widely recognized recommendations from the Task Force on Climate-related Financial Disclosures (TCFD). Finally, the University seeks to support positive societal impact that align with the United Nations Sustainable Development Goals (SDGs) and as such will work to measure, track, and reduce carbon intensity across investments while increasing green revenues and holdings in sustainable, renewable, green, and other clean technologies.~~

~~The University recognizes that, environmental, social, and corporate governance (ESG) issues, including government/public policy and disclosure concerns can affect the performance of companies in which the Investment Pool invests, and consideration should be given to how managers analyze and integrate ESG factors into their investment process when selecting fund managers.~~

~~The University responsible investment approach aligns with the United Nations supported Principles for Responsible Investment (“PRI”). The University is committed to taking the appropriate steps to making investment decisions that incorporates ESG issues, data and factors while meeting its fiduciary responsibilities and duties to optimize long-term investment returns. Where consistent with fiduciary responsibilities, the University is committed to the six PRI principles listed below¹.~~

~~Principle 1: We will incorporate ESG issues into investment analysis and decision-making processes.~~

~~Principle 2: We will be active owners and incorporate ESG issues into our ownership policies and practices.~~

~~Principle 3: We will seek appropriate disclosure on ESG issues by the entities in which we invest.~~

~~Principle 4: We will promote acceptance and implementation of the Principles within the investment industry.~~

~~Principle 5: We will work together to enhance our effectiveness in implementing the Principles.~~

~~Principle 6: We will report on our activities and progress towards implementing the Principles.~~

Scope

~~The responsible investment approach is applicable to Investment Pool assets invested in listed equities and listed infrastructure. Other asset classes will be considered, including fixed income and real asset classes, to the extent that the investment manager has discretion for the portfolio and sufficient data is available to evaluate ESG criteria.~~

¹ Difficult to insert 2035 at this juncture due to data availability, however will revisit annually.

ESG considerations are identified as, not limited to, the following:

Environmental: How a company evaluates its operational impact and stewardship on physical natural resources and wild animal life, as well as the exposure of that company to the risks created by climate change. These factors include a company's impact on climate change, including greenhouse gas emissions, biodiversity loss, deforestation, changing land use, air, water, natural resource depletion, waste management, along with impacts on animal habitat, and ocean acidification, as well as physical and transition risks to commercial operations.;

Social: How a company evaluates risks associated with ~~human capital~~ human capital through ~~business~~ through business relationships and agile practices. Factors include a company's policies and approaches on human rights, labour standards, employment equity, diversity, child, slave and bonded labour, workplace health and safety, freedom of association and freedom of expression, human capital management, employee relations. In addition, we will consider where ~~community~~ material community impact, activities in conflict zones, health and access to medicine and finance, consumer protections, and relation to controversial weapons and activities. Further, where applicable, social factors extend to a company's position on animal use and/or testing, and how animals are bred or used in food supply chains.

Governance: How a company evaluates operational risks associated with corporate behaviours. These factors include effective disclosures that are relevant, complete, ~~transparent, accurate~~ transparent, accurate, and consistent that provide details about a company's board structure, director nomination processes, composition, size, executive pay, shareholder voting rights, diversity skills, independence, stakeholder rights, business ethics, anti-bribery policies, corruption involvement, tax avoidance activity, internal controls, cyber-security, and conflict of interest policies. This area includes a company's position and oversight on sustainability plans and integration of those plans into employee performance assessments and compensation.

†The implementation will be aligned with the investment type (e.g., pooled funds vs. direct investments).

management, employee relations, community impact, activities in conflict zones, health and access to medicine, consumer protections, and relation to controversial weapons. Further, where applicable, social factors extend to a company's position on animal use and/or testing, and how animals are bred or used in food supply chains.

Governance: How a company evaluates operational risks associated with corporate behaviours. These factors include effective disclosures that are relevant, complete, transparent, accurate, and consistent that provide details about a company's board structure, director nomination processes, composition, size, executive pay, shareholder voting rights, diversity skills, independence, stakeholder rights, business ethics, anti-bribery policies, corruption involvement, tax avoidance activity, internal controls, cyber-security, and conflict of interest policies. This area includes a company's position on sustainability plans and integration of those plans into employee performance assessments and compensation.

Investment Objectives:

The University expects the total Fund to earn an annualized 5.0% (4% payout + 1% administration fee) real rate of return (meaning after inflation) and after investment management fees, over the longer term. In any one year, however, the annual return may be significantly above or below the 5.0% real return. Investment strategies at the asset class and Fund Manager level will have specific objectives that when combined are expected to earn the total Fund level objective of 5%.

Section 6 – Investment Beliefs

The University has a belief that the Fund is a Long-Term asset that requires primarily active management and prudent diversification across asset classes, geographies, and fund manager styles, that will generate fund performance within tolerable volatility and risk profiles and have appropriate liquidity for annual needs. To deliver the objectives of this policy, the University believes the use of third-party experts is appropriate. from time to time reviewed and confirmed its investment beliefs. A summary of the major beliefs is outlined below. Currently, the University believes:

Section 7 – Risk

The University takes into consideration the Long-Term nature of the fund and in accordance with the enterprise risk management framework the fund has a high-risk appetite, defined as 10% of available expendable resources. Risk is multi-faceted and cannot be expressed in a single measure and, as such, the University considers and works to manage the following risks and other such other risks that may emerge over time when setting asset mix, targets, and other limits within this policy:

<u>Risk Item</u>	<u>Risk Description</u>	<u>Risk Mitigation Strategy</u>
<u>Volatility Risk</u>	<u>Market cycles and economic disruption impact orderly and smooth return performance of the Fund.</u>	<u>Quarterly the aggregate Fund volatility is reviewed against the permissible ranges determined by the strategic asset allocation within the Fund scorecard. Additionally, Fund Manager volatility is reviewed within the Investment Consultant quarterly report.</u>
<u>Concentration Risk</u>	<u>The Fund asset mix and geography allocations across</u>	<u>Annually the Fund oversight committee will discuss concentration risk and assess whether any actions are</u>

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

	<u>Fund Managers fails to achieve effective diversification resulting in concentration (or holdings overlap) that is otherwise undetected.</u>	<u>necessary. An investment in the shares of any single company should not exceed 10% of the total market value of all equities held in the investment pool.</u>
<u>Impairment Risk</u>	<u>A decline in the Fund's purchasing power over the Long Term.</u>	<u>Fund performance is monitored quarterly, annually (from inception), and on 4-year annualized return basis to relative benchmarks.</u>
<u>Currency Risk</u>	<u>Exposures to foreign currency can impact return and need to be considered when establishing asset mix.</u>	<u>A minimum of 20% of foreign currencies will be hedged to Canadian currency.</u>
<u>Liquidity Risk</u>	<u>The ability of the Fund to maintain sufficient liquidity to meet spending requirements.</u>	<u>Annual spend requirements are reviewed to ensure the percentage of funds held in illiquid assets will not affect spending requirements.</u>
<u>Governance Risk</u>	<u>Failure to undertake, or demonstrate where delegated, good stewardship and positive engagement activities in relation to Fund assets.</u>	<u>An annual report on active engagements and proxy voting by Fund Managers will be reviewed along with University engagements direct and indirect through partnerships.</u>
<u>Reputation Risk</u>	<u>Failure of the plan to effectively convey is strategic, risk management, metrics, and targets through widely accepted reporting principles to the satisfaction of broad and varied interest groups.</u>	<u>The University is a signatory of UNPRI. The plan is also following following these principles an accelerated decarbonization strategy is underway to deliver a net zero portfolio. A globally recognized reporting framework TCFD has been adopted to promote transparency in the Annual Financial Report and on the Responsible Investing website.</u>
<u>ESG and Climate-Risk</u>	<u>ESG and climate change implications can have a material impact on the future performance of the Fund, both associated with physical risks and transition risks. Physical risks include acute or increased chronic extreme weather event driven risks. Transition risks include impacts associated with policy, legal, technology, market, and reputation risks.</u>	<u>Fund Managers are asked to report, at minimum annually, on how physical and transition risks (and opportunities) are factored into individual company selection and the overall product profile. Fund Managers are required to consider the emissions profile of the companies held and assess company transition initiatives against global sustainability objectives. Additionally, the Investment Consultant and other third-party experts will report on ESG integration, total Fund physical and transition risk (and opportunities).</u>
<u>Net Zero Risk</u>	<u>The objective to achieve net zero within an acerated timeline, by 2035, fails to be achieved wither in concert with the primary Investment Objective or due to lack of data availability and transparency to effectively track.</u>	<u>Consistent with the UN-convened Net-Zero Asset Owner Alliance, the Fund shall monitor its decarbonization (using the carbon intensity measure for scope 1 and 2 emissions) and investment performance together. Further, five (5) year carbon reduction milestones will be used to measure the net zero path of the Fund.</u>
<u>Investment Consultant</u>	<u>Failure of the Investment Consultant to ensure the</u>	<u>The oversight committee will review quarterly reporting prepared by the Investment Consultant,</u>

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

<u>Risk</u>	<u>University oversight bodies are kept informed on evolving practices aligned to this policy and provide effective summary reporting on the Fund performance and other key metrics against established targets or maximum tolerances.</u>	<u>discuss evolving practice changes arising from global investment practice consortiums and standards setting bodies, and engage in discussions about the overall Fund profile, performance, and attainment of Investment Objectives.</u>
<u>Fund Manager Risk</u>	<u>Failure of a Fund Manager to meet Investment Objectives of the Fund while adopting evolving CFA Institute guidance requiring integration of ESG considerations, active engagement with companies held, and effective reporting to the University.</u>	<u>Each Fund Manager will report quarterly on its performance and product alignment to this policy. At least annually the Fund Manager will provide a report on its selection and monitoring approaches as aligned to CFA Institute (including ESG) guidance. Further, the Fund Manager will provide an annual proxy voting summary ideally organized by ESG and/or SDG topics and confirm discretionary votes were made in alignment of this policy.</u>
<u>Transition Cost Risk</u>	<u>Risk that portfolio turnover costs impact the performance of investments.</u>	<u>The Fund oversight committee will review net fees and investment strategy relative to anticipated transition costs to ensure costs do not have a materially detrimental impact on achieving the Investment Objectives.</u>

~~Section 8 – Strategic Asset Allocation~~~~The bias of the fund is towards being substantially fully invested over time;~~

~~That equity investments will provide greater long-term returns than fixed income investments, although with greater short-term volatility;~~

~~The Investment Pool has moderate cash requirements and therefore it is appropriate to accept a higher degree of liquidity risk;~~

~~Investments in real estate and infrastructure (“Real Assets”) are appropriate for the Investment Pool as source of diversification and investment return;~~

~~That investment in hedge funds and private equity are not appropriate investment at this time;~~

~~That it is prudent to diversify the Fund across the major asset classes;~~

~~That a meaningful allocation to foreign equities will increase portfolio diversification and, thereby, decrease portfolio risk while at the same time providing the potential for enhanced long-term returns;~~

~~The University will employ a rebalancing policy, to be implemented by the Treasury Department, within prescribed ranges around the long-term asset mix policy;~~

~~That it is appropriate to employ specialist, external investment managers to invest the Fund in an efficient and effective manner;~~

~~That investment managers with active mandates can reduce portfolio risk below market risk and potentially add value through security selection strategies, and that a substantial portion of the Fund should be allocated to such active mandates;~~

~~That a component of passive management can be appropriate in certain asset classes, and that a portion of the Fund may be invested in passive mandates;~~

~~That it is appropriate to hedge a minimum 20% of foreign equities to the Canadian dollar;~~

~~That it is appropriate to retain more than one investment manager, given the size of the Fund, provided that such managers offer asset class or style diversification;~~

~~The University recognizes that, environmental, social and governance (ESG) issues, including government/public policy and disclosure concerns can affect the performance of companies in which the Fund invest, and consideration on how managers analyze and integrate ESG factors into the Fund selection and investment management process is important when selecting Fund Managers and ongoing Fund Manager monitoring;~~

~~The University refers to ESG factors and the associated United Nations Sustainable Development Goals (UN SDGs) when discussing the investment approach and decisions of Investment Managers;~~

~~the University refers to the Financial Stability Board’s Task Force on Climate-Related Financial Disclosures (TCFD) Recommendations to guide its transparent investment strategy and responsibility reporting, annual climate risk and opportunity assessments, selection of investment measures and targets, and annual public reporting²;~~

Risk Appetite:

~~Based on the characteristics of the Investment Pool, the Committee has determined that the~~

²-Annual public reporting is included in the University’s Annual Financial Report and supplemented with information included in the University’s website.

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

~~Investment Pool has a moderate to high risk appetite for investment risk, as demonstrated by the approved asset classes, investment targets and limits within this policy.~~

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

The long-term strategic asset allocations to real assets (real estate and infrastructure) will be achieved over several quarterly cycles, as such an interim asset allocation will be used until such time the long-term allocation is achieved. *Investment Beliefs:*

Asset Class	Interim			Long-Term			Benchmark Index	Value-Add*
	Target Allocation	Permissible Range		Target Allocation	Permissible Range			
Canadian Equities	10%	5%	20%	10%	5%	20%	S&P/TSX Composite Index	75 basis points
US Large Cap	7.5%	10%	30%	7.5%	10%	30%	Russell 1000 Index (Cdn. \$)	50 basis points
US Large Cap (Hedged)	12.5%			12.5%			Russell 1000 Index (Hedged)	50 basis points
US Small Cap	5%			5%			Russell 2000 Index (Cdn. \$)	50 basis points
Non-North American Equities	25%	10%	30%	25%	10%	30%	MSCI EAFE Index (Net)	150 basis points
Bonds	25% 30%	15% 20%	45%	20%	15%	30%	FTSE TMX Universe Bond Index	20 basis points
Short/Medium Term Bonds	2.5% 5%			0%			FTSE TMX Universe+Maple Short-term Corporate Bond Index	20 basis points
Real Assets	12.5% 5%	5% 2.5%	20%	20%	10%	30%	CPI + 4%	200 basis points

*The expectation of value added over the benchmark index on a 4-year rolling annualized basis for active classes.

~~The University has from time to time reviewed and confirmed its investment beliefs. A summary of the major beliefs is outlined below. Currently, the University believes:~~

- ~~▪ The bias of the fund is towards being substantially fully invested over time;~~
- ~~▪ That equity investments will provide greater long-term returns than fixed income investments, although with greater short-term volatility;~~
- ~~▪ The Investment Pool has moderate cash requirements and therefore it is appropriate to accept a higher degree of liquidity risk;~~
- ~~▪ Investments in real estate and infrastructure (“Real Assets”) are appropriate for the Investment Pool as source of diversification and investment return;~~
- ~~▪ That investment in hedge funds and private equity are not appropriate investment at this time;~~
- ~~▪ That it is prudent to diversify the Fund across the major asset classes;~~
- ~~▪ That a meaningful allocation to foreign equities will increase portfolio diversification and, thereby, decrease portfolio risk while at the same time providing the potential for enhanced long-term returns;~~
- ~~▪ The University will employ a rebalancing policy, to be implemented by the Treasury Department, within prescribed ranges around the long-term asset mix policy;~~
- ~~▪ That it is appropriate to employ specialist, external investment managers to invest the Fund in an efficient and effective manner;~~

McMaster University
 Statement of Investment Policies and Procedures – Investment Pool

- ~~▪ That investment managers with active mandates can reduce portfolio risk below market risk and potentially add value through security selection strategies, and that a substantial portion of the Fund should be allocated to such active mandates;~~
- ~~▪ That a component of passive management can be appropriate in certain asset classes, and that a portion of the Fund may be invested in passive mandates;~~
- ~~▪ That it is appropriate to hedge a minimum 20% of foreign equities to the Canadian dollar;~~
- ~~▪ That it is appropriate to retain more than one investment manager, given the size of the Fund, provided that such managers offer asset class or style diversification;~~
- ~~▪ The University recognizes that, environmental, social and governance (ESG) issues, including government/public policy and disclosure concerns can affect the performance of companies in which the Fund invest, and consideration on how managers analyze and integrate ESG factors into the Fund selection and investment management process is important when selecting Fund Managers and ongoing Fund Manager monitoring;~~
- ~~▪ The University refers to ESG factors and the associated United Nations Sustainable Development Goals (UN SDGs) when discussing the investment approach and decisions of Investment Managers;~~
- ~~▪ the University refers to the Financial Stability Board’s Task Force on Climate Related Financial Disclosures (TCFD) Recommendations to guide its transparent investment strategy and responsibility reporting, annual climate risk and opportunity assessments, selection of investment measures and targets, and annual public reporting³ =~~

Liquidity Risk

The Investment Pool liquidity requirements primarily relate to the annual spending and expenses associated with the University’s externally restricted endowments. The requirements are approximately 5% of the market value of the externally restricted endowments. Other requirements are long term and relate to internally restricted endowments (e.g., bond sinking funds). Therefore, the

University is able to invest the Investment Pool assets for a long term horizon, accept short term volatility and invest in assets with a moderately high degree of liquidity risk.

The Investment Pool long term strategic asset mix is structured to maintain sufficient liquid assets to ensure that annual spending requirements are met.

Benchmark Portfolio:

- ~~▪ The University believes that a portfolio invested in the following asset mix (based on market value) can, over the long term, achieve the stated investment objectives:~~

Long term Strategic Asset Mix

<i>Asset Class</i>	<i>Benchmark Index</i>	<i>% Allocat</i>
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³-Annual public reporting is included in the University’s Annual Financial Report and supplemented with information included in the University’s website.

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

		10%
Canadian Equities	S&P/TSX Composite Index	10%
U.S. Equities		
U.S. Large Cap	Russell 1000 Index (Cdn. \$)	7.5%
U.S. Large Cap	Russell 1000 Index (Hedged)	12.5%
U.S. Small Cap	Russell 2000 Index (Cdn. \$)	5%
Non North American Equities	MSCI EAFE Index (Net)	25%
Bonds	FTSE TMX Universe Bond Index	20%
Short/Medium Term Bonds	FTSE TMX Universe+Maple Short term Corporate Bond Index	0%
Real Assets	CPI + 4%	20%

Transition Asset Mix

The long term policy mix contains allocations to asset classes (real estate and infrastructure) that take longer to implement. The investment pool will be subject to the transition benchmark portfolio for performance measurement purposes. For benchmarking purposes, the benchmark will be updated as real asset investments are implemented. The Investment Pool Committee is authorized to adjust the investment pool benchmark portfolio mix as real assets are funded, subject to the constraints set forth in the Long term total Fund Asset Mix noted above. Updates to the transition asset mix will occur annually as required.

Transition Asset Mix

<i>Asset Class</i>	<i>Benchmark Index</i>	<i>% Allocation</i>
Canadian Equities	S&P/TSX Composite Index	10%
U.S. Equities		
U.S. Large Cap	Russell 1000 Index (Cdn. \$)	7.5%
U.S. Large Cap	Russell 1000 Index (Hedged)	12.5%
U.S. Small Cap	Russell 2000 Index (Cdn. \$)	5%
Non North American Equities	MSCI EAFE Index (Net)	25%
Bonds	FTSE TMX Universe Bond Index	30%

McMaster University
 Statement of Investment Policies and Procedures – Investment Pool

Short/Medium Term Bonds	FTSE TMX Universe+Maple Short term Corporate Bond Index	5%
Real Assets	CPI + 4%	5%

~~For the purpose of measuring performance against the benchmark asset allocation guidelines of Section 7, any use of cash or other short term investments as part of a strategy shall be considered~~

~~either an equity or bond allocation, not a cash or short term allocation.~~

~~The actual asset mix may vary at any time since a large percentage of the Fund is actively managed and asset classes provide different returns. Section 8 defines the limit for such deviations.~~

Expectations from Active Management

Based upon policy weighted allocations, the gross expectation for value added from active management is approximately 100 basis points before fees. ~~Recognizing that value added from active management varies over time, it is assumed that this level of value added is~~ achieved approximately 60% of the time. ~~Thus, therefore, the~~ long-term 100 basis point value-added gross expectation is pro-rated to 60 basis points. ~~On this basis, the long-term overall quantitative and~~ performance of the Fund from active management shall be considered satisfactory if the total annualized returns earned by the Fund exceed by 60 basis points (~~refer also to see Appendix 1 for calculation~~) the returns that could be earned on a passive basis.

~~For the purpose of measuring the Fund's and each Fund Manager's total rate of return, all returns shall be measured before investment management fees, but after transaction costs, and over four year rolling periods. To measure the Fund Total Rate of Return and that of each Fund Manager, all returns shall be measured before investment management fees, but after transaction costs, and over four-year rolling periods. All index returns shall be total returns, and all foreign index returns shall be Canadian dollar returns. Fund Manager's with an active mandate are expected to the annualized return of the assigned asset class benchmark plus the associated value-added expectation. Fund Manager's with a passive mandate are expected to perform index results with minimum tracking error as stated within the Fund Manager's mandate.~~

Performance Objectives:

~~The following table outlines the value added expectations for the active component of each asset class. Individual Fund Manager benchmark indices and returns may differ from these. Fund Manager fee levels compared to value added expectations are an important criterion in the manager selection process.~~

Asset Class	Benchmark Index	Value-Added-Expectation (4-Year-Rolling-Annualized-Basis)
Canadian Equities	S&P/TSX Composite Index	75 basis points

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

U.S. Equities	Russell 1000 Index (Cdn. \$)	50 basis points
	Russell 1000 Index (Hedged)	
	Russell 2000 Index (Cdn. \$)	
Non North American Equities	MSCI EAFE Index (Net)	150 basis points
Bonds	FTSE TMX Universe Bond Index	20 basis points
Real Assets	CPI + 4%	200 basis points

The primary performance objective for a Fund Manager with an active mandate shall be to exceed the annualized return of the representative benchmark index, plus a value added expectation, specific to their mandate. The secondary performance objective, where appropriate, shall be to exceed the median return of other managers with comparable mandates in a well recognized manager performance universe.

A Fund Manager with a passive mandate shall manage with the objective of minimizing the tracking error. Tracking error is generated from the difference between the return of the Fund Manager's portfolio and that of the applicable benchmark index. The quantitative performance of the passive manager shall be considered satisfactory if the tracking error is within the objective stated in the mandate.

Section 8 – Asset Mix, Investment Risk Tolerance and Rebalancing Policies

Asset Mix Policy:

The Asset Mix Policy represents the risk limits that align investment objectives, with investment beliefs and risk appetite and risk tolerance. The maximum and minimum ranges are the quantitative boundaries that constrain investment risk taking activities.

The market values of the individual asset class components of the Fund shall be within the following minimum and maximum ranges:

Long Term Strategic Asset Mix Policy

Asset Class	Min	Be	Max
Canadian	5	10	2

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

Equities	0 %	0 %	0 %
U.S. Equities	1 0 %	25 %	3 0 %
Non-North American Equities	1 0 %	25 %	3 0 %
Bonds	1 5 %	20 %	3 0 %
Real Assets	1 0 %	20 %	3 0 %

During the transition period, while the Real Asset investments are being implemented, the interim mix policy will apply and will be updated annually, as appropriate.

Interim Asset Mix Policy

Asset Class	Min %	Be ne fit %	Max %
Canadian Equities	5 %	10 %	2 0 %
U.S. Equities	1 0 %	25 %	3 0 %
Non-North American Equities	1 0 %	25 %	3 0 %
Bonds	2 0 %	35 %	4 5 %
Real Assets	2- 5 %	5 %	2 0 %

Notwithstanding the asset mix ranges shown above, the Investment Pool Committee may recommend temporary asset mix positions outside these ranges under unusual market conditions.

Investment Return Volatility Risk Tolerance – Expected Volatility

The expected volatility of investment returns for the Fund Investment Pool is directly related to the strategic asset allocation mix strategy; specifically, the balance between Canadian equities, foreign equities, Canadian bonds, and real assets. Volatility is inherent in investing and will be managed according to the permissible ranges minimum and maximum asset mix ranges as outlined above. It is expected that the volatility of Investment Pool returns should be similar to the volatility of the Long Term Strategic Asset Mix Portfolio in Section 7.

The Committee will monitor the volatility of the Fund and underlying Fund Managers quarterly.

Rebalancing Policy:

Should any asset class fall outside of the minimum and maximum ranges, excluding the Real Asset Benchmark allocation, outlined on the previous page, the Treasurer shall rebalance the total Fund back to the Benchmark Portfolio. The Treasurer shall rebalance as soon as is practicable, but not later than three months after any breach of the ranges.

Section 9 – Permitted Investments

The following investments may be made either directly, through pooled or mutual funds, through private partnerships, or through insurance contracts. The list of permitted investments and constraints outlined below apply to all relevant mandates.

Additional constraints may be imposed on the Fund Managers through their specific mandate.

<ul style="list-style-type: none">▪ <u>Publicly traded Canadian common stocks, rights, warrants, instalment receipts and debt securities convertible into common stock.</u>▪ <u>Publicly traded U.S. and international common stocks, American depository receipts, global depository receipts, rights, warrants, instalment receipts and debt securities convertible into common stock.</u>▪ <u>Debt securities of Canadian issuers, including bonds, debentures, or other debt instruments of corporations, Canadian Governments, Canadian Government agencies, or guaranteed by Canadian Governments; mortgage-backed securities; asset-backed securities; and real return bonds.</u>▪ <u>Foreign issuers of Canadian-denominated bonds.</u>	<ul style="list-style-type: none">▪ <u>Publicly traded preferred shares.</u>▪ <u>Initial public offerings.</u>▪ <u>Exchange traded funds.</u>▪ <u>Foreign bonds.</u>▪ <u>Real estate.</u>▪ <u>Infrastructure.</u>▪ <u>Publicly traded income trusts.</u>▪ <u>Private placements.</u>▪ <u>Mortgages.</u>▪ <u>Canadian cash on hand, demand deposits, treasury bills, short-term notes and bankers' acceptances, term deposits and guaranteed investment certificates having a term of equal or less than one year.</u>
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The Fund Manager will serve as active stewards, engaging with the companies it holds and voting proxies. The Fund Manager will promote alignment to widely accepted global standards relating to ESG, such as

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

meeting the Paris Agreement targets. The Fund Manager shall exercise opportunities to divest itself from any company that fails to demonstrate, within a reasonable timeline, a transition plan with science-based metrics and targets aligned with UN supported directions. The Fund Manager will inform the company and the oversight committee of its reasons for any ESG related divestments. The Fund Manager may reinvest where the company effectively addresses the reasons for divestment and fits with the Fund Manager's selection approach.

Limitations and Restrictions

An investment in the shares of any single company should not exceed 10% of the total market value of all equities held in the investment pool by the pooled fund. Similarly, the cash equivalent and fixed income investments in the securities of one issuer should not be more than 10% of the total market value of all cash, cash equivalent and fixed income investments held by the pooled funds.

Derivatives

Derivatives such as options, futures, swaps, and forward contracts on any permissible investment is allowable, including but not limited to index option and futures, index participation units and equivalents. Derivatives may not be used speculatively, however may be used to:

- Hedge investment risk, including market ~~interest rate~~ interest rate, credit, liquidity, and currency risk.
- replicate direct investments in asset classes (to lower cost or market exposure for example).
- effect cash and asset mix rebalancing.

~~It is recognized that the actual allocations to these asset classes, to Fund Managers, and across mandates will change over time. This will largely be due to reasons such as the following:~~

- ~~▪ Different asset classes will provide different rates of return.~~
- ~~▪ Within an asset class, different Fund Managers and styles will provide different rates of return.~~
- ~~▪ Cash flow into the Fund will affect the allocations.~~

~~Should any asset class fall outside of the minimum and maximum ranges, excluding the Real Asset Benchmark allocation, outlined on the previous page, the Treasurer shall rebalance the total Fund back to the Benchmark Portfolio. The Treasurer shall rebalance as soon as is practicable, but not later than three months after any breach of the ranges.~~

~~Section 9— Permitted Investments~~

~~The following investments may be made either directly, through pooled or mutual funds, through private partnerships, or through insurance contracts. The list of permitted investments and constraints outlined below apply to all relevant mandates. Additional constraints may be imposed on the Fund Managers through their specific mandate.~~

~~Investments:~~

- ~~▪ Publicly traded Canadian common stocks, rights, warrants, instalment receipts and debt securities convertible into common stock.~~
- ~~▪ Publicly traded U.S. and international common stocks, American depository receipts, global depository receipts, rights, warrants, instalment receipts and debt securities convertible into common stock.~~
- ~~▪ Publicly traded income trusts.~~
- ~~▪ Private placements.~~
- ~~▪ Debt securities of Canadian issuers, including bonds, debentures, or other debt instruments of corporations, Canadian Governments, Canadian Government agencies, or guaranteed by Canadian Governments; mortgage backed securities; asset backed securities; and real return bonds.~~
- ~~▪ Mortgages.~~
- ~~▪ Publicly traded preferred shares.~~
- ~~▪ Foreign issuers of Canadian denominated bonds.~~
- ~~▪ Canadian cash on hand, demand deposits, treasury bills, short term notes and bankers' acceptances, term deposits and guaranteed investment certificates having a term of equal or less than one year.~~
- ~~▪ Foreign bonds.~~
- ~~▪ Initial public offerings.~~
- ~~▪ Exchange traded funds.~~
- ~~▪ Real estate.~~
- ~~▪ Infrastructure.~~

~~Derivatives:~~

~~Derivatives such as options, futures, swaps, and forward contracts on any security allowable under this Statement are permitted, including but not limited to index option and futures, index participation units and equivalents. Derivatives may be used:~~

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

- ~~to hedge (i.e., reduce) fully or partially any investment risk, including market interest rate, credit, liquidity, and currency risk.~~
- ~~replicate direct investments in the underlying assets or groups of assets (i.e., indices) so as to achieve some advantage of lower cost or market exposure.~~
- ~~to effect cash and asset mix rebalancing.~~

~~Derivatives shall not be used to create leverage or for speculative purposes.~~

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

The Fund Managers shall be responsible for assessing all counter party risks associated with derivative instruments, ~~with regard to including~~ credit rating and total exposure limits for each derivative securities dealer and bank. The minimum credit quality for the counter party of any derivative transaction shall be consistent with the credit quality requirements set out in the Fund Manager’s mandate. The Fund Manager’s shall implement internal procedures and controls in order to ensure that derivatives are ~~used in compliance with this Statement and their mandate at all times~~ always used in compliance with this Statement and their mandate.

Quality & Quantity Requirements:

Minimum quality requirements ~~and maximum quantity limited will be~~ established by the ~~oversight committee~~ Investment Commit and included in each Fund Manager’s tee and listed in each of the Fund Managers specific mandate, which and may vary between managers within an asset class and across asset classes. ~~Copies of mandates are available for review in the Treasury Department.~~

~~Quantity Requirements:~~

~~Maximum limits or prohibitions will be established by the Investment Committee and listed in each of the Fund Managers specific mandate and may vary between managers within an asset class and across asset classes. Copies of mandates are available for review in the Treasury Department.~~

~~Copies of mandates are available for review in the Treasury Department.~~

~~Section 10 – Securities Lending~~

~~Securities held by the Investment Pool may be loaned by the Trustee under a properly approved contract with the University. Such loans must be secured by cash or readily marketable securities with a quality rating of R1 or higher, a market value of at least 105% with the level of security maintained daily, and an indemnity by the custodian against all losses as a result of the custodian’s securities lending program. Collateral provided with respect to any such securities lending agreement must have free and clear title and may not be subject to any right of set-off. It is recognized that this policy on security lending is not enforceable to the extent that the investment is in pooled funds.~~

~~Section 110 – Delegation Proxy of Voting Rights~~

The ~~proxy voting rights for Fund assets are~~ University has delegated to the Fund Managers with the responsibility of exercising all voting ~~rights acquired~~ rights acquired through the Fund. The Fund Managers shall exercise such voting rights in alignment with this ~~Statement~~ University’s Investment Beliefs with the intent of fulfilling the Fund Investment Objectives, ~~and in accordance with other policy matters in this Statement.~~

The Fund Managers’s will at least annually ~~shall~~ provide their voting right, also referred to as proxy voting policy with an, policies to the Treasury Department. Each Fund Manager shall provide the Treasury Department with an annual ~~summary report~~ outlining how proxies were the Fund Manager voted, ideally identifying the vote relationship to ~~environment, social, and/or governance~~ ESG considerations, where possible further linked to related SDGs factors, and any departures from, or exceptions to, the policies and

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

any other extraordinary matters. This annual report will be available to the oversight committees up to including the Board of Governors. Fund Managers associated with Real Assets are excluded from this requirement.

~~At least annually, a summary proxy voting report from the Fund Manager shall be provided to the Investment Pool Committee for additional disclosure to the Planning and Resource Committee of the Board of Governors.~~

~~Fund Managers associated with Real Assets are excluded from this requirement.~~

Section 121 – ~~Fund Manager and Investment Consultant~~ Selection Requirements

The selection and appointment process for Fund Managers and investment consultants shall ensure that ~~the final~~the e-final candidates are selected in accordance with the University procurement policies. Further, that the candidate and final selection process aligns to the University’s overall investment objectives, investment beliefs and other policy matters in this Statement.

The selection process will include, where applicable, an assessment by the Investment Pool Committee whether the prospective candidates can demonstrate all or most of the following criteria, which are evolving in public practice and availability globally:

Prospective Investment Consultants shall:

- Be a signatory to UNPRI and provide disclosure of recent UNPRI assessment reports.
- Provide documentation ~~–~~ that responsible investing is integrated with advisory services offered.
- Demonstrate capability to accommodate the University’s responsible investment priorities.
- Demonstrate that it has access to ESG data and analytical tools to support recommendations.
- Confirm that standard ~~Total~~ Fund reporting will integrate both performance data with carbon and other ESG measurement data.

Prospective Fund Managers shall:

- Be a signatory to UNPRI and provide disclosure of recent UNPRI assessment reports ~~-~~.
- Provide documentation demonstrating its responsible investment policy, its responsible investing approach is appropriate for the asset class it manages, aligned to CFA Institute guidance, and proxy voting policy, including frequency of policy reviews (whether annual ~~ly~~ or otherwise).
- Demonstrate active engagement strategy and activities during a given year.
- Articulate an escalation strategy when ~~the an~~ underlying company has ESG issues or where initial engagement efforts are unsuccessful.
- Be ~~C~~ommitted (or within a reasonable timeline) to reporting aligned to the Task Force Recommendations on Climate-Related Financial Disclosures (TCFD).
- Engage in discussion, measures, and disclosures available associated with climate- related risks and opportunities, as defined by TCFD.

- Measure weighted average carbon intensity (WACI) of the Fund and carbon footprint, as defined by
 - TCFD, ~~–~~ and confirm that these measures will be available in quarterly reports along with standard performance results.
- Provide documentation for the Fund Manger’s mandate and its carbon-related reduction targets, if any, associated with the WACI or carbon footprint measure, or other targets on matters such as energy consumption, waster tonnage, water shed, land repatriation, diversity, equity, etc.
- Demonstrate actions and/or provide case studies where the Fund Manager is working with the companies it invests in to adopt TCFD reporting and provide evidence as to how many of its investee companies have already adopted TCFD, as a percentage of the Fund. Further, confirm that adoption rates will be reported to the committee annually.
- Provide investment assessment approach and disclosure for fossil fuel holdings within the Fund, and in particular rationale for any holdings on the Carbon Underground 200 list, representing the top 100

coal and 100 oil reserve owning companies (“CU200”) annually.

- Provide confirmation of the number of companies within the Fund that have a current Sustainability Plan; in relation to carbon emissions whether reduction targets exist in alignment to the Paris Agreement (or better); how underlying company ESG metrics and targets are monitored by the Fund Manager.
- Provide disclosure of the Fund Manager’s other memberships associated with responsible investing and disclosure on how resources within the Fund Manager organization are directly or indirectly responsible for responsible investing.
- Demonstrate commitment to incorporate material ESG factors into its investment and stewardship activities.
- Provide disclosure and/or the policy the Fund Manager is deploying to ensure diversity and equity is addressed within the Fund Manager’s organization, and whether employment census data reflects societal census data (if not, whether plans exist to address differences).

The above criteria are not exhaustive. Since responsible investment selection criteria is evolving it is not expected that Fu

nd Managers and/or Investment Consultant ~~will meet~~ will meet all of all the criteria identified. The ~~Investment Pool Committee~~ oversight committee will treat this as an evolving list, reflective of emerging global ESG practice, as guidance during the Fund Manager and Investment Consultant selection processes. In some cases, the criteria may not be applicable depending on Fund Manager’s asset class and/or the Investment Consultant business mix. The Investment Pool Committee will review these criteria at the onset of each selection process.

Documentation to be reviewed in the selection and appointment process includes, but is not limited to, standard client reporting, general and responsible investment policy and reports, investment methodology, proxy voting and engagement policy, historical voting and engagement activities with investees, and policy makers, compliance reports, controversies, and incidence reports. Reports provided may be redacted in some cases to protect proprietary information.

Section 123 – Fund Manager Reporting Requirements

Fund Managers will make a presentation to the Investment Pool Committee on a periodic basis, however

~~Each Fund Manager shall provide the Treasury Department with~~ quarterly statements that include the performance, attribution of the performance, carbon measures (WACI and/or carbon footprint), future investment strategy, compliance with the mandate and a listing of the assets in the portfolio.

At least annually, each fund manager shall provide ~~Treasury with a report of proxy voting actions and how ESG factored into the voting~~ the annual proxy voting report described in section 10.

At least annually, the Fund Manager will also respond to the Responsible Investing (RI) Reporting/ Questionnaire, whereby responses will be posted on the University’s Responsible Investing website. The RI Reporting/ Questionnaire may be updated annually to capture evolving practice matters and will cover the following include for example:

- ESG integration approach, highlighting any changes made over the last 12 months, and how is it used in the company selection process to build the product (pooled or segregated) and used ongoing to

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

monitor risk of individual holdings, and any ESG incidents in the portfolio.

- Percentage of underlying companies in the Fund ~~that~~:[that](#):
- Are UNPRI signatories
- Adopted TCFD Measures: WACI and/or Carbon Footprint and have a reduction target
- Have a current Sustainability Plan that materially addresses the UN SDGs
- Explain how climate-related risks are assessed at the pooled fund or segregated fund level, with explanation covering climate-related transition risk considerations (policy, legal, technology, market, and reputational risks) and physical risks (acute and chronic), as defined by TCFD.
- Explain how climate-related opportunities are assessed at the pooled or segregated fund level, with explanation covering resource efficiency, energy source, products and services, new markets, and resilience, as defined by TCFD.
- Report on any CU200 fossil fuel investment positions held and the rationale why the position is aligned to the University's investment beliefs and its carbon reduction target.
- An annual carbon intensity measurement and carbon footprint, where measured, in comparison to the University assigned benchmark and/or another ex-fossil fuel measure appropriate for the asset class.
- Additional aggregated annual measurements, where measured, energy consumption, water shed, waste tonnage, land use and repatriation.
- Progress made within Fund Manager's organization on diversity and inclusion strategies.

Fund managers whose hiring date precedes the date of this policy (“Legacy Fund Managers”) and do not have Responsible Investment reporting –and investment criteria included in Investment Management Agreements are not subject to negative action associated with Responsible Investment reporting and policy requirements. However, all Legacy Fund Managers will be asked to submit an action plan to the ~~Investment Pool Committee~~oversight committee that demonstrates compliance with the Responsible Investment requirements of this ~~SIPO-Statement~~ within a reasonable timeline.

~~In the event that~~If a Fund Manager is not in compliance with their mandate, the Fund Manager is required to notify the Treasurer as to the reasons for the non-compliance and to outline the course of action, including timing that will rectify the situation. The Treasurer will inform the ~~Investment Pool Committee~~oversight committee of the situation.

~~Fund Managers will make a presentation to the Investment Pool Committee on a periodic basis.~~

~~Section 14 – Conflict between Policy and Pooled Fund Investment Policies~~

~~While the guidelines in this Policy are intended to guide the management of the Fund, it is recognized that, due to the use of pooled funds, there may be instances where there is a conflict between this policy and the investment policy of a pooled fund. In that case, the pooled fund policy shall dominate. However, wherever such a conflict results in non-compliance with the Policy, the Fund Manager must report this conflict explicitly in its compliance report.~~

~~Section 15 – Conflict of Interest~~

~~For the purpose of this statement a conflict of interest is defined as any event in which any employee or member of or consultant to:~~

- ~~▪ Board of Governors;~~
- ~~▪ Planning and Resources Committee;~~
- ~~▪ Audit Committee;~~
- ~~▪ Investment Pool Committee;~~
- ~~▪ Investment Manager(s);~~
- ~~▪ Custodian/Trustee, and/or~~
- ~~▪ Consultant;~~

~~or any directly related party may gain a financial or other advantage from knowledge of, or participation in, an investment decision of the Fund, or a circumstance that could reasonably be interpreted as impairing his/her ability to render unbiased and objective advice or to fulfil his/her fiduciary responsibilities to act in the best interest of the Fund.~~

~~It is not possible to anticipate in advance, in this statement, the multitude of situations which can arise. All persons listed above must, therefore, be cognizant of the possibility that conflicts, or perceived conflicts,~~

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

~~may arise and must make timely and full disclosure in accordance with generally accepted concepts of fiduciary responsibilities and in accordance with the procedures set forth below:~~

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

~~Responsibilities~~

~~This standard applies to the persons named above in the execution of their responsibilities (the “Affected Persons”).~~

~~Disclosure~~

~~In the execution of their duties, the Affected Persons shall disclose any material conflict of interest relating to them, or any material ownership of securities, which could impair their ability to render unbiased advice, or to make unbiased decisions, affecting the administration of the Fund’s assets.~~

~~Further, it is required that no Affected Person shall make any personal financial gain (direct or indirect) because of his or her fiduciary position. However, normal, and reasonable fees and expenses incurred in the discharge of his/her responsibilities are permitted if documented and approved by the University.~~

~~No Affected Person shall accept a gift or gratuity or other personal favour that is material, from a person with whom the Affected Person deals in the course of performance of his or her duties and responsibilities for the Fund.~~

~~It is incumbent on any Affected Person who believes that he or she may have a conflict of interest, or who is aware of any conflict of interest, to disclose full details of the situation in writing to the Chair of the respective Committee within three business days after the individual becomes aware of the conflict of interest. The disclosure should also be made orally if awareness of the conflict occurs during the discussion of the Fund’s business. The respective committee, in turn, will decide what action is appropriate under the circumstances but, at a minimum, will table the matter at the next regular meeting of the Committee.~~

~~Normally, the individual disclosing the conflict of interest shall withdraw from the meeting during discussion of and vote on the issue causing the conflict of interest. The individual may be permitted, at the Committee’s request, to participate in the discussion but he/she shall not be present for the vote.~~

~~The disclosure of a conflict of interest, the name of the individual declaring the conflict and the manner in which the conflict was resolved will be recorded in the minutes of the Committee.~~

~~Section 16—Related Party Transactions~~

~~The Investment Pool Committee, on behalf of the Fund, may not enter into a transaction with a related party unless:~~

~~The transaction is both required for operation and or administration of a Fund and the terms and conditions of the transaction are not less favourable than market terms and conditions; or,~~

~~Securities of the related party are acquired at a public exchange.~~

~~A “related party” is defined to mean the administrator of the Fund, including any officer, director or employee of the administrator, or any person who is a member of the Committee. It also includes the Investment Managers and their employees, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. The concept of “related party” does not include government or a government agency, or a bank, trust company or other financial institution that holds the assets of the Fund, where that person is not the administrator of the Fund.~~

Section 173 – Other Policy Items

Valuation of Securities:

It is expected that all of the securities held by the Fund will have an active market and that the values of such securities will be based on their market values. The exception to this is Real Assets (Private Infrastructure and Private Real Estate) where it will be based generally on appraisals conducted on a periodic basis.

Investments that are not regularly traded shall be valued at least annually by the Fund’s custodian in cooperation with the Fund Manager. In making such valuations, consideration shall be given to bid and ask prices, previous transaction prices, discounted cash flow, independent appraisal values, the valuations of other comparable publicly- traded investments and other valuation techniques that are judged relevant to the specific situation.

Section 10 – Securities Lending

Securities held by the Investment Pool Fund may be loaned by the Trustee under a properly approved contract with the University. Such loans must be secured by cash or readily marketable securities with a quality rating of R1 or higher, a market value of at least 105% with the level of security maintained daily, and an indemnity by the custodian against all losses as a result of because of the custodian’s securities lending program. Collateral provided with respect to any such securities lending agreement must have free and clear title and may not be subject to any right of set-off. It is recognized that this policy on security lending is not enforceable to the extent that the investment is in pooled funds.

Section 16 – Related Party Transactions

The Investment Pool Committee, on behalf of the Fund, may not enter into entered into a transaction with a related party unless the :

The transaction is both required for operation and or administration of a Fund and the terms and conditions of the transaction are not less favourable than market terms and conditions; or, or

Securities of the related party are acquired at a public exchange.

A “related party” is defined to mean the administrator of the Fund, including any officer, director or employee of the administrator, or any person who is a member of the Committee. It also includes the Investment Managers and their employees, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. The concept of “related party” does not include government or a government agency, or a bank, trust company or other financial institution that holds the assets of the Fund, where that person is not the administrator of the Fund.

Section 15 – Conflict of Interest

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

~~For the purpose of this statement a~~ A conflict of interest is defined as any event where in which any employee or hired third party to support the Fund, or member of the oversight committees member of or consultant to:

Board of Governors,

Planning and Resources Committee,

Audit Committee,

Investment Pool Committee,

Investment Manager(s),

directly or indirectly gains financial or other advantage from his or her role with respect to the Fund. Or, where circumstances exist exist that could reasonably impair his or her ability to render unbiased and objective advise compromising his or her fiduciary responsibility to act in the interest of the Fund. In the situation of a conflict of interest it is the duty of the individual ("Affected Person") to disclose Custodian/Trustee, and/or

Consultant,

or any directly related party may gain a financial or other advantage from knowledge of, or participation in, an investment decision of the Fund, or a circumstance that could reasonably be interpreted as impairing his/her ability to render unbiased and objective advice or to fulfil his/her fiduciary responsibilities to act in the best interest of the Fund.

It is not possible to anticipate in advance, in this statement, the multitude of situations which can arise. All persons listed above must, therefore, be cognizant of the possibility that conflicts, or perceived conflicts, may arise and must make timely and full disclosure in accordance with generally accepted concepts of fiduciary responsibilities and in accordance with the procedures set forth below:

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

Responsibilities

This standard applies to the persons named above in the execution of their responsibilities (the “Affected Persons”).

Disclosure

In the execution of their duties, the Affected Persons shall disclose any material conflict of interest relating to them, or any material ownership of securities, which could impair their ability to render unbiased advice, or to make unbiased decisions, affecting the administration of the Fund’s assets.

Further, it is required that no Affected Person shall make any personal financial gain (direct or indirect) because of his or her fiduciary position. However, normal, and reasonable fees and expenses incurred in the discharge of his/her responsibilities are permitted if documented and approved by the University.

No Affected Person shall accept a gift or gratuity or other personal favour that is material, from a person with whom the Affected Person deals in the course of performance of his or her duties and responsibilities for the Fund.

It is incumbent on any Affected Person who believes that he or she may have a conflict of interest, or who is aware of any conflict of interest, to disclose full details of the situation in writing to the oversight committee Chair of the respective Committee within three business days after the individual becomes aware of the conflict of interest. The disclosure should also be made orally if awareness of the conflict occurs during the discussion of the Fund’s business. The respective committee, in turn, will decide what action is appropriate under the circumstances but, at a minimum, will table the matter at the next regular meeting of the oversight committee.

Normally, the individual disclosing the conflict of interest shall withdraw from the meeting during discussion of and vote on the issue causing the conflict of interest. The individual may be permitted, at the Committee's request, to participate in the discussion but he/she shall not be present for the vote.

The disclosure of a conflict of interest, the name of the individual declaring the conflict and the manner in which way the conflict was resolved will be recorded in the minutes of the oversight committee.

Section 14 – Conflict between Policy and Pooled Fund Investment Policies

While the guidelines in this Policy are intended to guide the management of the Fund, it is recognized that, due to the use of pooled funds, there may be instances where there is a conflict between this policy and the investment policy of a pooled fund. In that case, the pooled fund policy shall dominate. However, wherever such a conflict results in non-compliance with the Policy, the Fund Manager must report this conflict explicitly in its compliance report.

Valuation of Securities:

It is expected that all of the securities held by the Fund will have an active market and that the values of such securities will be based on their market values. The exception to this is Real Assets (Private

McMaster University
Statement of Investment Policies and Procedures – Investment Pool

~~Infrastructure and Private Real Estate) where it will be based generally on appraisals conducted on a periodic basis.~~

~~Investments that are not regularly traded shall be valued at least annually by the Fund's custodian in cooperation with the Fund Manager. In making such valuations, consideration shall be given to bid and ask prices, previous transaction prices, discounted cash flow, independent appraisal values, the valuations of other comparable publicly traded investments and other valuation techniques that are judged relevant to the specific situation.~~

Policy Review:

This Statement shall be reviewed at least annually by the ~~Investment Pool Committee~~oversight committees up to, ~~the Planning and Resources Committee and by the~~the Board of Governors with respect to the appropriateness of the policies and objectives contained therein.

Investment Pool Carbon Reporting:

~~At least annually, a report summarizing the WACI measurement, as defined by TCFD, of the Investment Pool's carbon footprint shall be made available for review by the Investment Pool Committee and Planning and Resources Committee.~~

~~Section 18 – Responsible Investing:~~

~~McMaster’s responsible investing approach is to integrate environmental, social and governance (ESG) factors into investment processes and decision-making in order to better manage risk and generate sustainable long-term returns. The University believes that ESG factors can have a material impact and financial implication on the risk and return profile of its investments.~~

~~The University recognizes that, environmental, social, and corporate governance (ESG) issues, including government/public policy and disclosure concerns can affect the performance of companies in which the Investment Pool invests, and consideration should be given to how managers analyze and integrate ESG factors into their investment process when selecting fund managers.~~

~~The University responsible investment approach aligns with the United Nations supported Principles for Responsible Investment (“PRI”). The University is committed to taking the appropriate steps to making investment decisions that incorporates ESG issues, data and factors while meeting its fiduciary responsibilities and duties to optimize long-term investment returns. Where consistent with fiduciary responsibilities, the University is committed to the six PRI principles listed below¹:~~

~~Principle 1: We will incorporate ESG issues into investment analysis and decision-making processes.~~

~~Principle 2: We will be active owners and incorporate ESG issues into our ownership policies and ————practices.~~

~~Principle 3: We will seek appropriate disclosure on ESG issues by the entities in which we invest.~~

~~Principle 4: We will promote acceptance and implementation of the Principles within the investment ————industry.~~

~~Principle 5: We will work together to enhance our effectiveness in implementing the Principles.~~

~~Principle 6: We will report on our activities and progress towards implementing the Principles.~~

Scope

~~The responsible investment approach is applicable to Investment Pool assets invested in listed equities and listed infrastructure. Other asset classes will be considered, including fixed income and real asset classes, to the extent that the investment manager has discretion for the portfolio and sufficient data is available to evaluate ESG criteria.~~

~~ESG considerations are identified as, not limited to, the following:~~

- ~~□ Environmental: How a company evaluates its operational impact and stewardship on physical natural resources and wild animal life. These factors include a company’s impact on climate change, including greenhouse gas emissions, biodiversity loss, deforestation, changing land use, air, water, natural resource depletion, waste management, along with impacts on animal habitat, and ocean acidification.~~
- ~~□ Social: How a company evaluates risks associated with human capital through businessrelationships and agile practices. Factors include a company’s policies and approaches on human rights, labour standards, employment equity, diversity, child, slave and bonded labour, workplace health and safety, freedom of association and freedom of expression, human capital~~

| ~~The implementation will be aligned with the investment type (e.g., pooled funds vs. direct investments).~~

~~management, employee relations, community impact, activities in conflict zones, health and access to medicine, consumer protections, and relation to controversial weapons. Further, where applicable, social factors extend to a company's position on animal use and/or testing, and how animals are bred or used in food supply chains.~~

- ~~□ Governance: How a company evaluates operational risks associated with corporate behaviours. These factors include effective disclosures that are relevant, complete, transparent, accurate, and consistent that provide details about a company's board structure, director nomination processes, composition, size, executive pay, shareholder voting rights, diversity skills, independence, stakeholder rights, business ethics, anti-bribery policies, corruption involvement, tax avoidance activity, internal controls, cyber security, and conflict of interest policies. This area includes a company's position on sustainability plans and integration of those plans into employee performance assessments and compensation.~~

**MCMASTER UNIVERSITY
INVESTMENT POOL VALUE ADDED RATE OF RETURN OBJECTIVE**

<u>ASSET CLASS</u>	<u>ALLOCATION TO ACTIVE MANAGEMENT %</u>	<u>EXPECTED ANNUALIZED VALUE ADDED BY ASSET CLASS (bps) (a)</u>	<u>ACTIVE COMPONENT OF ASSET MIX % (b)</u>	<u>EXPECTED ANNUALIZED VALUE ADDED FROM ACTIVE MANAGEMENT (bps) (a x b)</u>
CANADIAN EQUITY	100%	75	10	7.5
U.S. EQUITY	100%	50	25	12.5
EAFE EQUITY	100%	150	25	37.5
BONDS	79%	20	20	4
REAL ASSETS	100%	200	20	<u>40</u>
				101.5
				Assume 60% Success Rate (Management Estimate) 60%
				<u>Total Fund Value Added Rate of Return Objective* 60</u>

*intentionally rounded down from 60.9 to 60 bps.

(1) Pending the full funding of the Real Asset portion of the portfolio, we expect the Total Fund Value Added Rate of Return Objective to be lower than what is stated in the table above.

**Investment Pool Statement of Investment Policies and
Procedures
(Non-blacklined version)**

DRAFT

Complete Policy Title

**Statement of Investment Policies and
Procedures – Investment Pool**

Policy Number (if applicable):

Approved by

Board of Governors

Date of Most Recent Approval

March 31, 2022 /

April 21, 2022

Date of Original Approval(s)

October 19, 1995

Supersedes/Amends Policy dated

August 5, 2021

Responsible Executive

**Assistant Vice-President (Administration) & Chief
Financial Officer**

Policy Specific Enquiries

[Assistant Vice-President \(Administration\) & Chief
Financial Officer](#)

General Policy Enquiries

[Policy \(University Secretariat\)](#)

DISCLAIMER:

*If there is a Discrepancy between this electronic policy and the written copy held by the
policy owner, the written copy prevails.*

Table of Contents

Section 1 – Preamble 3

Section 2 – Definitions 3

Section 3 – Governance 3

Section 4 – Investment Objectives 3

Section 5 – Responsible Investing 4

Section 6 – Investment Beliefs 4

Section 7 – Risk 4

Section 8 – Strategic Asset Allocation 6

Section 9 – Permitted Investments 7

Section 10 – Proxy Voting Rights 8

Section 11 – Selection Requirements 8

Section 12 – Reporting Requirements 10

Section 13 – Other Policy Items 11

Valuation of Securities: 11

Securities Lending 11

Related Party Transactions 11

Conflict of Interest 11

Conflict between Policy and Pooled Fund Investment Policies 12

Policy Review 12

Section 1 – Preamble

University funds, including specific purpose endowed funds and reserves, and a portion of working capital, are pooled and unitized for investment purposes to create a large investment pool. The larger size of the pool creates greater investment opportunities and benefits from economies of scale.

Section 2 – Definitions

Fund refers to the combined assets of the Investment Pool.

Fund Manager is an external investment manager who invests a segment of the Fund according to guidelines specified in this policy and the mandate given by the University.

Investment Consultant is the external advisor, AON Consulting, selected by the Fund oversight committee.

Long Term is defined as a period of 10 years or longer.

Oversight Committee is defined as the Investment Pool Committee, which is a sub-committee of the Planning and Resources under the Board of Governors. Where plural, refers to reporting beyond the Investment Pool Committee to the Planning and Resources Committee unless otherwise noted,

Real Assets refer to real estate and infrastructure investments.

Related Party is defined to be administrator of the Fund, including any officer, director or employee, or any person who is a member of the oversight committees. up to the Board of Governors. Including Fund Manager’s and their employees, a spouse or child of the persons named previously, or a corporation that is directly or indirectly controlled by the persons named previously, among others. The concept of “related party” does not include government or a government agency, or a bank, trust company or other financial institution that holds the assets of the Fund, where that person is not the administrator of the Fund.

Total Rate of Return is the time-weighted rate of return based on the change in market value of the Fund over a measured period, calculated in conformity with the standards established by the CFAInstitute.

Section 3 – Governance

The University is the administrator of the Investment Pool and the Board of Governors is responsible for the overall management. The Board of Governors has delegated certain duties and responsibilities (including the power to sub-delegate) to the Planning and Resources Committee which, in turn, has delegated certain duties and responsibilities to the Investment Pool Committee, Financial Affairs, and third-party agents to carrying out the Investment Pool duties and adhere to this policy.

Section 4 – Investment Objectives

The primary objective is to generate Long Term average returns sufficient to meet the needs of the University, defined as a Total Rate of Return of 5.0%, after inflation and fees. Subject to an overriding commitment to financial prudence, investment decisions must align with the University’s sustainability commitments as a signatory to the [United Nations Principles for Responsible Investment](#) (UNPRI) and support a transition to a sustainable, just, and net zero carbon economy and society.

The Principles for Responsible Investment (PRI) is a United Nations-supported international network of investors working six principles:

- **Principle 1:** Signatories will incorporate ESG issues into investment analysis and decision-making p
- **Principle 2:** Signatories will be active owners and incorporate ESG issues into our ownership policies and practices.
- **Principle 3:** Signatories will seek appropriate disclosure on ESG issues by the entities in which we invest.
- **Principle 4:** Signatories will promote acceptance and implementation of the Principles within the investment industry.

- **Principle 5:** Signatories will work together to enhance our effectiveness in implementing the Principles.
- **Principle 6:** Signatories will each report on our activities and progress towards implementing the Principles.

As such, the University’s responsible investing approach integrates environmental, social, and governance factors across portfolio strategy, risk management, fund selection, management, monitoring metrics and targets, and reporting.

The secondary objective of the Fund is : Establishing phased action plans toward a net zero (scope 1 and 2) carbon profile across invested assets as soon as practical with periodic target reduction milestones. The Fund will ambitiously target to reduce the carbon intensity of publicly traded assets with milestone objectives of **65%** lower weighted average carbon intensity by 2025, **75%** by 2030, and an aspirational objective of the remainder, thereafter, compared to a 2018 baseline.

Section 5 - Responsible Investing

The University’s responsible investing approach integrates environmental, social and governance (ESG) considerations that could pose material risks to or otherwise impact (for better or worse) Long Term return. Further, the University is committed to aligning this policy with the UNPRI principles (above) and reporting its net zero strategy, targets and progress using widely recognized recommendations from the [Task Force on Climate-related Financial Disclosures](#) (TCFD). Finally, the University seeks to support positive societal impact that align with the [United Nations Sustainable Development Goals](#) (SDGs) and as such will work to measure, track, and reduce carbon intensity across investments while increasing green revenues and holdings in sustainable, renewable, green, and other clean technologies.

ESG considerations are identified as, not limited to, the following:

Environmental: How a company evaluates its operational impact and stewardship on physical natural resources and wild animal life, as well as the exposure of that company to the risks created by climate change. These factors include a company’s impact on climate change, including greenhouse gas emissions, biodiversity loss, deforestation, changing land use, air, water, natural resource depletion, waste management, along with impacts on animal habitat, and ocean acidification, as well as physical and transition risks to commercial operations.

Social: How a company evaluates risks associated with human capital through business relationships and agile practices. Factors include a company’s policies and approaches on human rights, labour standards, employment equity, diversity, child, slave and bonded labour, workplace health and safety, freedom of association and freedom of expression, human capital management, employee relations. In addition, we will consider where material community impact, activities in conflict zones, health and access to medicine and finance, consumer protections, and relation to controversial weapons and activities. Further, where applicable, social factors extend to a company’s position on animal use and/or testing, and how animals are bred or used in food supply chains.

Governance: How a company evaluates operational risks associated with corporate behaviours. These factors include effective disclosures that are relevant, complete, transparent, accurate, and consistent that provide details about a company’s board structure, director nomination processes, composition, size, executive pay, shareholder voting rights, diversity skills, independence, stakeholder rights, business ethics, anti-bribery policies, corruption involvement, tax avoidance activity, internal controls, cyber-security, and conflict of interest policies. This area includes a company’s position and oversight on sustainability plans and integration of those plans into employee performance assessments and compensation.

Section 6 – Investment Beliefs

The University has a belief that the Fund is a Long-Term asset that requires primarily active management and prudent diversification across asset classes, geographies, and fund manager styles, that taken together will generate fund performance within tolerable volatility and risk profiles and have appropriate liquidity for annual needs. To deliver the objectives of this policy, the University believes the use of third-party experts is appropriate.

Section 7 – Risk

The University takes into consideration the Long-Term nature of the fund and in accordance with the enterprise risk management framework the fund has a high-risk appetite, defined as 10% of available expendable resources. Risk is multi-faceted and cannot be expressed in a single measure and, as such, the University considers and works to manage the following risks and other such other risks that may emerge over time when setting asset mix, targets, and other limits within this policy:

Risk Item	Risk Description	Risk Mitigation Strategy
Volatility Risk	Market cycles and economic disruption impact orderly and smooth return performance of the Fund.	Quarterly the aggregate Fund volatility is reviewed against the permissible ranges determined by the strategic asset allocation within the Fund scorecard. Additionally, Fund Manager volatility is reviewed within the Investment Consultant quarterly report.
Concentration Risk	The Fund asset mix and geography allocations across Fund Managers fails to achieve effective diversification resulting in concentration (or holdings overlap) that is otherwise undetected.	Annually the Fund oversight committee will discuss concentration risk and assess whether any actions are necessary. An investment in the shares of any single company should not exceed 10% of the total market value of all equities held in the investment pool.
Impairment Risk	A decline in the Fund’s purchasing power over the Long Term.	Fund performance is monitored quarterly, annually (from inception), and on 4-year annualized return basis to relative benchmarks.
Currency Risk	Exposures to foreign currency can impact return and need to be considered when establishing asset mix.	A minimum of 20% of foreign currencies will be hedged to Canadian currency.
Liquidity Risk	The ability of the Fund to maintain sufficient liquidity to meet spending requirements.	Annual spend requirements are reviewed to ensure the percentage of funds held in illiquid assets will not affect spending requirements.
Governance Risk	Failure to undertake, or demonstrate where delegated, good stewardship and positive engagement activities in relation to Fund assets.	An annual report on active engagements and proxy voting by Fund Managers will be reviewed along with University engagements direct and indirect through partnerships.
Reputation Risk	Failure of the plan to effectively convey is strategic, risk management, metrics, and targets through widely accepted reporting principles to the	The University is a signatory of UNPRI. The plan is also following accelerated decarbonization strategy is underway to deliver a net zero portfolio. A globally recognized reporting framework TCFD has been adopted to promote transparency in the Annual

	satisfaction of broad and varied interest groups.	Financial Report and on the Responsible Investing website.
ESG and Climate-Risk	ESG and climate change implications can have a material impact on the future performance of the Fund, both associated with physical risks and transition risks. Physical risks include acute or increased chronic extreme weather event driven risks. Transition risks include impacts associated with policy, legal, technology, market, and reputation risks.	Fund Managers are asked to report, at minimum annually, on how physical and transition risks (and opportunities) are factored into individual company selection and the overall product profile. Fund Managers are required to consider the emissions profile of the companies held and assess company transition initiatives against global sustainability objectives. Additionally, the Investment Consultant and other third-party experts will report on ESG integration, total Fund physical and transition risk (and opportunities).
Net Zero Risk	The objective to achieve net zero within an acerated timeline, fails to be achieved wither in concert with the primary Investment Objective or due to lack of data availability and transparency to effectively track.	Consistent with the UN-convened Net-Zero Asset Owner Alliance, the Fund shall monitor its decarbonization (using the carbon intensity measure for scope 1 and 2 emissions) and investment performance together. Further, five (5) year carbon reduction milestones will be used to measure the net zero path of the Fund.
Investment Consultant Risk	Failure of the Investment Consultant to ensure the University oversight bodies are kept informed on evolving practices aligned to this policy and provide effective summary reporting on the Fund performance and other key metrics against established targets or maximum tolerances.	The oversight committee will review quarterly reporting prepared by the Investment Consultant, discuss evolving practice changes arising from global investment practice consortiums and standards setting bodies, and engage in discussions about the overall Fund profile, performance, and attainment of Investment Objectives.
Fund Manager Risk	Failure of a Fund Manager to meet Investment Objectives of the Fund while adopting evolving CFA Institute guidance requiring integration of ESG considerations, active engagement with companies held, and effective reporting to the University.	Each Fund Manager will report quarterly on its performance and product alignment to this policy. At least annually the Fund Manager will provide a report on its selection and monitoring approaches as aligned to CFA Institute (including ESG) guidance. Further, the Fund Manager will provide an annual proxy voting summary ideally organized by ESG and/or SDG topics and confirm discretionary votes were made in alignment of this policy.
Transition Cost Risk	Risk that portfolio turnover costs impact the performance of investments.	The Fund oversight committee will review net fees and investment strategy relative to anticipated transition costs to ensure costs do not have a materially detrimental impact on achieving the Investment Objectives.

Section 8 – Strategic Asset Allocation

The long-term strategic asset allocations to real assets (real estate and infrastructure) will be achieved over several quarterly cycles, as such an interim asset allocation will be used until such time the long-term allocation is achieved.

Asset Class	Interim			Long-Term			Benchmark Index	Value-Add*
	Target Allocation	Permissible Range		Target Allocation	Permissible Range			
		Minimum	Maximum		Minimum	Maximum		
Canadian Equities	10%	5%	20%	10%	5%	20%	S&P/TSX Composite Index	75 basis points
US Large Cap	7.5%	10%	30%	7.5%	10%	30%	Russell 1000 Index (Cdn. \$)	50 basis points
US Large Cap (Hedged)	12.5%			12.5%			Russell 1000 Index (Hedged)	50 basis points
US Small Cap	5%			5%			Russell 2000 Index (Cdn. \$)	50 basis points
Non-North American Equities	25%	10%	30%	25%	10%	30%	MSCI EAFE Index (Net)	150 basis points
Bonds	25%	15%	45%	20%	15%	30%	FTSE TMX Universe Bond Index	20 basis points
Short/Medium Term Bonds	2.5%			0%			FTSE TMX Universe+Maple Short-term Corporate Bond Index	20 basis points
Real Assets	12.5%	5%	20%	20%	10%	30%	CPI + 4%	200 basis points

*The expectation of value added over the benchmark index on a 4-year rolling annualized basis for active classes.

Expectations from Active Management

Based upon policy weighted allocations, the gross expectation for value added from active management is approximately 100 basis points before fees achieved approximately 60% of the time. Therefore, the long-term value-added gross expectation is pro-rated to 60basis points and performance of the Fund from active management shall be considered satisfactory if the total annualized returns earned by the Fund exceedby 60 basis points (refer also to Appendix 1) the returns that could be earned on a passive basis.

Investment Return Volatility

The expected volatility of returns for the Fund is directly related to the strategic asset allocation. Volatility is inherent in investing and will be managed according to the permissible ranges.

Rebalancing Policy

Should any asset class fall outside of the minimum and maximum ranges, excluding the Real Asset Benchmark allocation, outlined on the previous page, the Treasurer shall rebalance the total Fund back to the Benchmark Portfolio. The Treasurer shall rebalance as soon as is practicable, but not later than three months after any breach of the ranges.

Section 9 – Permitted Investments

The following investments may be made either directly, through pooled or mutual funds, through private partnerships, or through insurance contracts. The list of permitted investments and constraints outlined below apply to all relevant mandates.

Additional constraints may be imposed on the Fund Managers through their specific mandate.

<ul style="list-style-type: none">▪ Publicly traded Canadian common stocks, rights, warrants, instalment receipts and debt securities convertible into common stock.▪ Publicly traded U.S. and international common stocks, American depository receipts, global depository receipts, rights, warrants, instalment receipts and debt securities convertible into common stock.▪ Debt securities of Canadian issuers, including bonds, debentures, or other debt instruments of corporations, Canadian Governments, Canadian Government agencies, or guaranteed by Canadian Governments; mortgage-backed securities; asset-backed securities; and real return bonds.▪ Foreign issuers of Canadian-denominated bonds.	<ul style="list-style-type: none">▪ Publicly traded preferred shares.▪ Initial public offerings.▪ Exchange traded funds.▪ Foreign bonds.▪ Real estate.▪ Infrastructure.▪ Publicly traded income trusts.▪ Private placements.▪ Mortgages.▪ Canadian cash on hand, demand deposits, treasury bills, short-term notes and bankers' acceptances, term deposits and guaranteed investment certificates having a term of equal or less than one year.
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The Fund Manager will serve as active stewards, engaging with the companies it holds and voting proxies. The Fund Manager will promote alignment to widely accepted global standards relating to ESG, such as meeting the Paris Agreement targets. The Fund Manager shall exercise opportunities to divest itself from any company that fails to demonstrate, within a reasonable timeline, a transition plan with science-based metrics and targets aligned with UN supported directions. The Fund Manager will inform the company and the oversight committee of its reasons for any ESG related divestments. The Fund Manager may reinvest where the company effectively addresses the reasons for divestment and fits with the Fund Manager's selection approach.

Limitations and Restrictions

An investment in the shares of any single company should not exceed 10% of the total market value of all equities held in the investment pool.

Derivatives

Derivatives such as options, futures, swaps, and forward contracts on any permissible investment is allowable, including but not limited to index option and futures, index participation units and equivalents. Derivatives may not be used speculatively, however may be used to:

- Hedge investment risk, including market interest rate, credit, liquidity, and currency risk.
- replicate direct investments in asset classes (to lower cost or market exposure for example).
- effect cash and asset mix rebalancing.

The Fund Managers shall be responsible for assessing all counter party risks associated with derivative instruments, including credit rating and total exposure limits for each derivative securities dealer and bank. The minimum credit quality for the counter party of any derivative transaction shall be consistent with the credit quality requirements set out in the Fund Manager's mandate. The Fund Manager's shall implement internal procedures and controls in order to ensure that derivatives are always used in compliance with this Statement and their mandate.

Quality & Quantity Requirements

Minimum quality requirements and maximum quantity limited are established by the oversight committee

and included in each Fund Manager’s mandate, which may vary between managers within an asset class and across asset classes.

Copies of mandates are available for review in the Treasury Department.

Section 10– Proxy Voting Rights

The proxy voting rights for Fund assets are delegated to the Fund Managers with the responsibility of exercising all voting rights acquired through the Fund. The Fund Managers shall exercise such voting rights in alignment with this Statement with the intent of fulfilling the Fund Investment Objectives.

The Fund Manager’s will at least annually provide their proxy voting policy with an annual summary outlining how proxies were voted, ideally identifying the vote relationship to ESG considerations, where possible further linked to related SDGs, and any departures from, or exceptions to, the policies and any other extraordinary matters. This annual report will be available to the oversight committees up to including the Board of Governors. Fund Managers associated with Real Assets are excluded from this requirement.

Section 11 –Selection Requirements

The selection and appointment process for Fund Managers and investment consultants shall ensure that the final candidates are selected in accordance with the University procurement policies. Further, that the candidate and final selection process aligns to the University’s overall investment objectives, investment beliefs and other policy matters in this Statement.

The selection process will include, where applicable, an assessment by the Investment Pool Committee whether the prospective candidates can demonstrate all or most of the following criteria, which are evolving in public practice and availability globally:

Prospective Investment Consultants shall:

- Be a signatory to UNPRI and provide disclosure of recent UNPRI assessment reports.
- Provide documentation that responsible investing is integrated with advisory services offered.
- Demonstrate capability to accommodate the University’s responsible investment priorities.
- Demonstrate that it has access to ESG data and analytical tools to support recommendations.
- Confirm that standard Fund reporting will integrate both performance data with carbon and other ESG measurement data.

Prospective Fund Managers shall:

- Be a signatory to UNPRI and provide disclosure of recent UNPRI assessment reports.
- Provide documentation demonstrating its responsible investment policy, its responsible investing approach is appropriate for the asset class it manages, aligned to CFA Institute guidance, and proxy voting policy, including frequency of policy reviews (whether annual or otherwise).
- Demonstrate active engagement strategy and activities during a given year.
- Articulate an escalation strategy when an underlying company has ESG issues or where initial engagement efforts are unsuccessful.
- Be committed (or within a reasonable timeline) to reporting aligned to the Task Force Recommendations on Climate-Related Financial Disclosures (TCFD).
- Engage in discussion, measures, and disclosures available associated with climate-related risks and opportunities, as defined by TCFD.
- Measure weighted average carbon intensity (WACI) of the Fund and carbon footprint, as defined by TCFD, and confirm that these measures will be available in quarterly reports along with standard performance results.
- Provide documentation for the Fund Manager’s mandate and its carbon-related reduction targets, if any,

associated with the WACI or carbon footprint measure, or other targets on matters such as energy consumption, waster tonnage, water shed, land repatriation, diversity, equity, etc.

- Demonstrate actions and/or provide case studies where the Fund Manager is working with the companies it invests in to adopt TCFD reporting and provide evidence as to how many of its investee companies have already adopted TCFD, as a percentage of the Fund. Further, confirm that adoption rates will be reported to the committee annually.
- Provide investment assessment approach and disclosure for fossil fuel holdings within the Fund, and in particular rationale for any holdings on the Carbon Underground 200 list, representing the top 100 coal and 100 oil reserve owning companies (“CU200”) annually.
- Provide confirmation of the number of companies within the Fund that have a current Sustainability Plan; in relation to carbon emissions whether reduction targets exist inalignment to the Paris Agreement (or better); how underlying company ESG metrics and targets are monitored by the Fund Manager.
- Provide disclosure of the Fund Manager’s other memberships associated with responsible investing and disclosure on how resources within the Fund Manager organization are directly or indirectly responsible for responsible investing.
- Demonstrate commitment to incorporate material ESG factors into its investment and stewardship activities.
- Provide disclosure and/or the policy the Fund Manager is deploying to ensure diversity and equity is addressed within the Fund Manager’s organization, and whether employment census data reflects societal census data (if not, whether plans exist to address differences).

The above criteria are not exhaustive. Since responsible investment selection criteria is evolving it is not expected that Fund Managers and/or Investment Consultant will meet all the criteria identified. The oversight committee will treat this as an evolving list, reflective of emerging global ESG practice, as guidance during the Fund Manager and Investment Consultant selection processes. In some cases, the criteria may not be applicable depending on Fund Manager’s asset class and/or the Investment Consultant business mix. The Investment Pool Committee will review these criteria at the onset of each selection process.

Documentation to be reviewed in the selection and appointment process includes, but is not limited to, standard client reporting, general and responsible investment policy and reports, investment methodology, proxy voting and engagement policy, historical voting and engagement activities within investees, and policy makers, compliance reports, controversies, and incidence reports. Reports provided may be redacted in some cases to protect proprietary information.

Section 12–Reporting Requirements

Fund Managers will make a presentation to the Investment Pool Committee on a periodic basis, however each Fund Manager shall provide quarterly statements that include performance, attribution of the performance, carbon measures (WACI and/or carbon footprint), future investment strategy, compliance with the mandate and a listing of the assets in the portfolio.

At least annually, each fund manager shall provide the annual proxy voting report described in section 10.

At lease annually, the Fund Manager will also respond to the Responsible Investing (RI) Questionnaire, whereby responses will be posted on the University’s Responsible Investing website. The RI Questionnaire may be updated annually to capture evolving practice matters and will include for example:

- ESG integration approach, highlighting any changes made over the last 12 months, and how is it used in the company selection process to build the product (pooled or segregated) and used ongoing to monitor risk of individual holdings, and any ESG incidents in the portfolio.
- Percentage of underlying companies in the Fund that:
- Are UNPRI signatories

McMaster University

Statement of Investment Policies and Procedures – Investment Pool

- Adopted TCFD Measures: WACI and/or Carbon Footprint and have a reduction target
- Have a current Sustainability Plan that materially addresses the UN SDGs
- Explain how climate-related risks are assessed at the pooled fund or segregated fund level, with explanation covering climate-related transition risk considerations (policy, legal, technology, market, and reputational risks) and physical risks (acute and chronic), as defined by TCFD.
- Explain how climate-related opportunities are assessed at the pooled or segregated fund level, with explanation covering resource efficiency, energy source, products and services, new markets, and resilience, as defined by TCFD.
- Report on any CU200 fossil fuel investment positions held and the rationale why the position is aligned to the University’s investment beliefs and its carbon reduction target.
- An annual carbon intensity measurement and carbon footprint, where measured, in comparison to the University assigned benchmark and/or another ex-fossil fuel measure appropriate for the asset class.
- Additional aggregated annual measurements, where measured, energy consumption, water shed, waste tonnage, land use and repatriation.
- Progress made within Fund Manager’s organization on diversity and inclusion strategies.
- Fund managers whose hiring date precedes the date of this policy (“Legacy Fund Managers”) and do not have Responsible Investment reporting and investment criteria included in Investment Management Agreements are not subject to negative action associated with Responsible Investment reporting and policy requirements. However, all Legacy Fund Managers will be asked to submit an action plan to the oversight committee that demonstrates compliance with the Responsible Investment requirements of this Statement within a reasonable timeline.

If a Fund Manager is not in compliance with their mandate, the Fund Manager is required to notify the Treasurer as to the reasons for the non-compliance and to outline the course of action, including timing that will rectify the situation. The Treasurer will inform the oversight committee of the situation.

Section 13 – Other Policy Items

Valuation of Securities

It is expected that all the securities held by the Fund will have an active market and that the values of such securities will be based on their market values. The exception to this is Real Assets (Private Infrastructure and Private Real Estate) where it will be based generally on appraisals conducted on a periodic basis.

Investments that are not regularly traded shall be valued at least annually by the Fund’s custodian in cooperation with the Fund Manager. In making such valuations, consideration shall be given to bid and ask prices, previous transaction prices, discounted cash flow, independent appraisal values, the valuations of other comparable publicly-traded investments and other valuation techniques that are judged relevant to the specific situation.

Securities Lending

Securities held by the Fund may be loaned by the Trustee under a properly approved contract with the University. Such loans must be secured by cash or readily marketable securities with a quality rating of R1 or higher, a market value of at least 105% with the level of security maintained daily, and an indemnity by the custodian against all losses because of the custodian’s securities lending program. Collateral provided with respect to any such securities lending agreement must have free and clear title and may not be subject to any right of set-off. It is recognized that this policy on security lending is not enforceable to the extent that the investment is in pooled funds.

Related Party Transactions

The Fund may not enter into a transaction with a related party unless the transaction is both required for operation and or administration of a Fund and the terms and conditions of the transaction are not less favourable than market terms and conditions; or Securities of the related party are acquired at a public exchange.

Conflict of Interest

A conflict of interest is an event where any employee, hired third party to support the Fund, or member of the oversight committees directly or indirectly gains financial or other advantage from his or her role with respect to the Fund. Or, where circumstances exist that could reasonably impair his or her ability to render unbiased and objective advice compromising his or her fiduciary responsibility to act in the interest of the Fund. In the situation of a conflict of interest it is the duty of the individual ("Affected Person") to disclose any material conflict of interest relating to them, or any material ownership of securities, which could impair their ability to render unbiased advice, or to make unbiased decisions, affecting the administration of the Fund's assets.

Further, it is required that no Affected Person shall make any personal financial gain (direct or indirect) because of his or her fiduciary position. However, normal, and reasonable fees and expenses incurred in the discharge of his/her responsibilities are permitted if documented and approved by the University.

No Affected Person shall accept a gift or gratuity or other personal favour that is material, from a person with whom the Affected Person deals in the course of performance of his or her duties and responsibilities for the Fund.

It is incumbent on any Affected Person who believes that he or she may have a conflict of interest, or who is aware of any conflict of interest, to disclose full details of the situation in writing to the oversight committee Chair within three business days. The disclosure should also be made orally if awareness of the conflict occurs during the discussion of the Fund's business. The respective committee, in turn, will decide what action is appropriate under the circumstances but, at a minimum, will table the matter at the next regular meeting of the oversight committee.

Normally, the individual disclosing the conflict of interest shall withdraw from the meeting during discussion of and vote on the issue causing the conflict of interest. The individual may be permitted, at the Committee's request, to participate in the discussion but he/she shall not be present for the vote.

The disclosure of a conflict of interest, the name of the individual declaring the conflict and the way the conflict was resolved will be recorded in the minutes of the oversight committee.

Conflict between Policy and Pooled Fund Investment Policies

While the guidelines in this Policy are intended to guide the management of the Fund, it is recognized that, due to the use of pooled funds, there may be instances where there is a conflict between this policy and the investment policy of a pooled fund. In that case, the pooled fund policy shall dominate. However, wherever such a conflict results in non-compliance with the Policy, the Fund Manager must report this conflict explicitly in its compliance report.

Policy Review

This Statement shall be reviewed at least annually by the oversight committees up to the Board of Governors with respect to the appropriateness of the policies and objectives contained therein.

**MCMASTER UNIVERSITY
INVESTMENT POOL VALUE ADDED RATE OF RETURN OBJECTIVE**

<u>ASSET CLASS</u>	<u>ALLOCATION TO ACTIVE MANAGEMENT %</u>	<u>EXPECTED ANNUALIZED VALUE ADDED BY ASSET CLASS (bps) (a)</u>	<u>ACTIVE COMPONENT OF ASSET MIX % (b)</u>	<u>EXPECTED ANNUALIZED VALUE ADDED FROM ACTIVE MANAGEMENT (bps) (a x b)</u>
CANADIAN EQUITY	100%	75	10	7.5
U.S. EQUITY	100%	50	25	12.5
EAFE EQUITY	100%	150	25	37.5
BONDS	79%	20	20	4
REAL ASSETS	100%	200	20	<u>40</u>
				101.5
				Assume 60% Success Rate (Management Estimate) 60%
				<u>Total Fund Value Added Rate of Return Objective* 60</u>

*intentionally rounded down from 60.9 to 60 bps.

(1) Pending the full funding of the Real Asset portion of the portfolio, we expect the Total Fund Value Added Rate of Return Objective to be lower than what is stated in the table above.

**PRESIDENT’S REPORT TO
McMASTER UNIVERSITY’S BOARD OF GOVERNORS
APRIL 21, 2022**

Innovation: The Positive Impacts of Commercialization and Entrepreneurship

As highlighted in the University’s Institutional Framework and Strategic Priorities document launched last year, McMaster has a critically important and ongoing role to play in the transformation of Hamilton, our region, and our country. One of the key strategic objectives supporting and enabling this is our goal to “Be a driver of Economic Prosperity and Social Innovation”. We are focused on this in a number of ways, including taking a leadership role in the creation and support of Hamilton’s innovation eco-system through our research, commercialization, and partnerships with industry; supporting our students and faculty with their entrepreneurial ambitions, including the development of start-ups and social innovation initiatives; the development and launch of the McMaster Seed Fund to support early-stage research-based start-ups; and the coordination of mentorship and Entrepreneur-in-Residence initiatives to provide support and guidance across the University community.

Board Members are already well aware of the work and focus of McMaster Innovation Park (MIP), and the plans and opportunities presented by its ongoing evolution. The fundamental mission of MIP is to bridge the gap between research and industry, and to leverage the resources and capabilities of the University and the community to enable innovators to move from ideas to business reality. This is part of a broader innovation eco-system which engages our students, faculty, industry and community partners in different stages of social and research innovation, entrepreneurship, and commercialization activities.

Nurturing an Entrepreneurial Approach: Initiatives for Students

The Forge: Student Start-Ups, Entrepreneurship, and Innovation

Beginning with our students, and the fostering of an innovation mindset, The Forge is a business incubator funded by the University, which has as its mission supporting entrepreneurs to build novel and scalable businesses with a strong value proposition. The Forge acts as a hub for McMaster students, building an entrepreneurial culture and creating a strong pipeline of start-ups, as well as serving as a business incubator for early-stage companies in the Greater Hamilton region. In addition to the specific programs offered, The Forge also provides workshops, experienced mentors, an investor network, a professional workplace, discounted service providers, and access to a community of entrepreneurs. More than 250 businesses have been incubated to date, which between them have created more than 500 jobs and raised more than \$40M.

The Forge also runs a Summer Startup Survivor program specifically for McMaster students, which sees 10 student-led companies launched each year. The Business Incubator program has supported 15 companies each year, with 104 McMaster students, faculty, and alumni engaged, along with 65 non-McMaster founders, in the last year alone. Our students have also been involved in volunteering or working with start-up companies at The Forge and more than 6,000

attendees have been engaged in student-led events ranging from conferences, hackathons/designathons, to business or pitch competitions, and classes.

Career Treks: Community-Partnered Learning

Through the Student Success Centre, McMaster students have access to short-term career trek opportunities. This initiative enables our students to gain valuable work experience through community-partnered learning projects within the local start-up and small business community. As well as building relationships and networks and supporting the local business community, students have gained experience in market research, market validation, business strategy, data analysis, website redesign, and strategic marketing and communications. Over the last two years, 198 unique student placements were completed with 74 different start-ups.

In the Classroom: Minor in Innovation

The Minor in Innovation program is a partnership between the Faculty of Engineering and the DeGroote School of Business and is available to students from all Faculties who wish to learn more about innovation and develop a level of innovation literacy, as well as those who are already innovators and wish to develop skills to create their own enterprise. Alongside the opportunities for practical experience mentioned above, this provides a formal qualification and recognition of skills developed. The last year has seen a significant increase in registrations in the Minor in Innovation courses, with 2,068 course enrolments/registrations in Fall/Winter 2021-22, an increase of 650 from Fall/Winter 2020-21.

Commercializing our Research and Supporting McMaster Researchers

McMaster Industry Liaison Office (MILO)

Within the University the McMaster Industry Liaison Office works to facilitate collaborative research and commercialization efforts with industry partners. This includes working with researchers to advance collaborations with partners, obtain funding, evaluate and protect intellectual property, market and licence technologies to commercialize research results, and support start-ups. MILO seeks to enhance the impact of research by facilitating the transfer of research discoveries from lab to market, creating social and economic benefits locally, nationally, and globally.

During the pandemic, MILO worked with the research community to secure tens of millions of dollars in funding, including responding successfully to a number of COVID-19 specific funding calls. Almost 50 proposals to MITACS and NSERC were submitted which resulted in more than \$2.2M in research funding and will see more than 40 students trained across 34 different projects. In total, over \$42M in research funding was received, involving more than 250 partnerships.

The commercialization support and resources provided by MILO includes assistance with start-up formation and incorporation to define a strong value proposition and develop a pitch to secure early-stage funding; the establishment and support of a robust Entrepreneurs-in-Residence program; intellectual property assessment, patent filing and prosecution management; and intellectual property and entrepreneurial education initiatives. MILO evaluates close to 90 new invention disclosures annually and works with faculty and student inventors to explore their potential to be used by existing companies or as a basis for a new start-up. In total, more than

100 patent applications have been filed, \$4.2M in royalty and/or licencing revenue received, and nine start-up companies created in the last year alone.

McMaster Seed Fund: Providing the Investment to Support Success

One of the key goals articulated in the strategic plan is to create a seed fund to support early stage start-ups arising from research undertaken at McMaster. This has been achieved with the launch of McMaster Seed Fund Holdings Inc. (MSF) and completion of the first call for proposals and investment round. The first call for proposals saw 18 applications submitted from the Faculties of Engineering, Science, and Health Sciences. Of these initial 18 proposals, 12 ventures were invited to pitch to the Investment Committee made up of VC/angel investors, and senior executives from a broad range of industry sectors. Four ventures were selected by the Investment Committee for additional due diligence and ultimately two were recommended for funding, based on the quality of the teams, the nature of the technology, and the potential for the seed investment to support the start-up to a point that would enable them to secure a series A investment.

A total investment of \$735K was made in this first round into two start-up companies. Insight Medbotics aims to establish itself as the pre-eminent company in MRI surgical robotic imaging and diagnostics for breast cancer. The company is focused on the ability to undertake surgical procedures with unparalleled precision and accuracy, via image guidance coupled with minimally invasive or completely non-invasive therapeutic technologies. Insight Medbotic's technology works to image and detect cancerous tissues not previously visible and does so in a way that allows for interventions that were previously impossible to perform. Synmedix is a biotechnology company created to commercialize a novel and propriety antibiotic platform which dramatically enhances the effectiveness of antibiotics through the action of bicarbonate. The bicarbonate platform enhances both the efficacy and spectrum of many antibiotics and is broadly applicable to antibacterial drug discovery and development, while alleviating the challenge of antibiotic resistance.

In both cases, there are already early signs of success: MSF investment in Insight Medbotics has triggered an additional \$500K investment from other sources, while MSF investment in Synmedix is enabling the company to leverage FedDev funding programs, bringing in an additional \$150K for research costs and management and mentorship resources. In addition, the positive engagement with Investment Committee members and increased profile for the University has led to a number of angel and early-stage investors engaging with MILO.

Given the quality of the proposals submitted to date and the clear interest in commercializing research and increasing the impact of work undertaken in labs and offices across the campus, plans are underway for a second call for proposals, along with an expansion of the McMaster Seed Fund to support this. MSF has the potential to enhance and build on the ongoing success of MILO in supporting the creation of 5-10 start-ups each year to commercialize intellectual property created in labs at McMaster and affiliated hospitals, and allows the University to create socio-economic impact for the benefit of our local, national, and global communities.

With the eco-system in place to support this pipeline of ideas and creativity - which engages our students, faculty, local business community, investors, and beyond - and the critically important

central hub provided by MIP, McMaster is well-placed to develop this culture of innovation, entrepreneurship, and commercialization over the coming years.

CAMPUS UPDATE

McMaster Ranked in the Top 50 Universities in the World for Life Sciences and Medicine

McMaster is one of the world's 50 best schools to study life sciences and medicine, ranking 49th internationally and number four in Canada, according to an international ranking of universities. The 2022 QS World University Rankings by Subject has announced that McMaster has moved up three spots from its ranking in 2021. Six areas of study at McMaster rank among the Top 100 globally, with nursing ranked 21st in the world and third in Canada.

Santee Smith Reappointed as McMaster's Chancellor

Award-winning artist, dancer, choreographer, and McMaster graduate, Santee Smith, has been reappointed Chancellor of the University. McMaster's Senate unanimously approved a recommendation to extend Santee's tenure as Chancellor for another three-year term.

Planning for in-person Convocation Ceremonies and Legacy Events

Planning is underway for McMaster's first fully in-person Spring Convocation since 2019, including celebrations for students from the classes of 2020 and 2021, whose convocations were held virtually because of COVID-19 restrictions. The legacy events will provide recent alumni with the opportunity to mark the milestone of graduation with an in-person event. Ceremonies and events will be held during May and June.

McMaster recognized as Top Diversity Employer

For the fourth consecutive year, McMaster has been ranked as one of Canada's Best Diversity Employers in an annual competition that recognizes organizations with successful workplace diversity initiatives in a variety of areas. The University revised its faculty recruitment and selection policy and developed a handbook to support more equitable hiring practices. The launch of McMaster's Black Excellence faculty cohort hiring initiative resulted in the recruitment of 12 scholars across all six Faculties. The University continues to focus on Inclusive Excellence as a key priority within the strategic plan and is committed to undertaking more work, and demonstrating further progress, in this area over the coming months and years.

McMaster Pledges Support for Forcibly Displaced Students, Scholars and Researchers

McMaster's six Faculties and the Office of the Provost have collectively pledged \$800,000 to seed two new funds that will help students and scholars at risk around the world, including in Afghanistan and Ukraine. Of the total \$800,000 pledged, \$200,000 will be allocated to sponsoring and supporting forcibly displaced, undergraduate and graduate students, including refugees. The remaining \$600,000 will support McMaster faculty, departments, and research centres to employ scholars, researchers, and lecturers at risk, remotely and locally.

Research

COVID-19 Detection

The surveillance of wastewater has emerged as an important and non-invasive tool to quickly detect and track COVID-19 outbreaks and could be used to detect other pathogens such as influenza and hepatitis. McMaster researcher, David Bulir, is leading monitoring efforts across 13 cities and municipalities throughout the province. Researchers are testing raw sewage generated from several municipalities and data from these sites is then uploaded to a central portal and used to project trends and inform public health discussions and decision-making.

Triggering the Immune System Against COVID-19

Physicists, Chemists, and Immunologists at McMaster have teamed up to modify red blood cells to transport viral agents which can safely trigger the immune system to protect the body against SARS-CoV-2, creating a promising new vehicle for vaccine delivery. Developing new strategies and vaccine technologies is critical for controlling the pandemic and preparing for future outbreaks as the coronavirus continues to evolve and mutate.

McMaster-led Study Finds Important Benchmark for Heart Surgery Patients

A large international study led by McMaster researchers has found an important new benchmark for measuring the risk of death for patients undergoing heart surgery. This study, published in the *New England Journal of Medicine*, assessed patients having heart surgery, measured troponin before and daily for the first few days after surgery, and assessed death and the incidence of major vascular complications – such as heart attack, stroke, or life-threatening blood clot – after heart surgery.

McMaster Study Focused on Support for First Nations Youth

A landmark survey of the mental health of First Nations youth, conducted by McMaster researchers, has revealed high levels of distress in adolescents living off-reserve, but sets a benchmark for future investigations. The researchers say the survey data, the first of its kind, may also help shape the response of both government agencies and First Nations communities in supporting vulnerable children and youth.

New Global Partnerships to Tackle Global Health Threats

Canada's Global Nexus for Pandemics and Biological Threats at McMaster has joined forces with *DZIF – The German Center for Infection Research* – to advance international efforts to fight pandemics. McMaster is also partnering with *Bernhard Nocht Institute for Tropical Medicine (BNITM)* to further advance research and identify strategies to tackle global health threats. Both institutions are recognized for their leadership in infectious disease research and these partnerships will build on collective capacity to address future pandemics and biological threats.

Deborah Cook Wins 2022 Canada Gairdner Wightman Award

McMaster Professor, Deborah Cook, is the winner of the prestigious 2022 Canada Gairdner Wightman Award for her groundbreaking research in the treatment of patients in the intensive care unit. The award, given by the Gairdner Foundation, is in recognition of Dr. Cook's outstanding leadership in medicine and medical science throughout her career.

McMaster Cardiologist Salim Yusuf Honoured with Killam Prize

World-renowned Cardiologist, Salim Yusuf, has won the prestigious Killam Prize for health sciences for his research in preventing and treating cardiovascular disease. He is the third McMaster University Professor to receive this award, which began in 1982. The award is given by the Canada Council to recognize and celebrate the country's most inspiring scholars and thought leaders.

McMaster Researchers Awarded \$1.25M in New Frontiers in Research Fund Grants

Five McMaster researchers have been awarded a combined \$1.25M from the Government of Canada to advance their research across a number of disciplines. The investment comes from the New Frontiers in Research Fund. Exploration grant award winners Rong Zheng, Eric Brown and Ivona Kucerova all received \$250,000 over the next two years to advance their high-risk, high-reward areas of research. Pat Chow-Fraser and Catherine Bujold received funding for their innovative approaches to research in the pandemic context, part of a special call to support emerging research.

Student Experience

McMaster Launches Canada's First Graduate Degree in Midwifery

McMaster's Midwifery Education Program (MEP) is launching Canada's first Master of Science degree for midwives to build both scholarship and leadership in the profession. The program will accept up to 24 students for its first year — eight full-time and 16 part-time learners. With only two mandatory, week-long, in-person residencies requiring travel to Hamilton, the degree is accessible to students across the globe.

McMaster Projects offer Experiential Learning Opportunities for Emerging Student Leaders

Emerging student leaders at McMaster can gain insight into global challenges through unique experiential learning opportunities offered through two projects that have recently received federal funding. *The McMaster African and Caribbean Leadership Exchange (MACLeads)* and *Developing Skilled Future Leaders in Strengthening Health and Social Systems* both offer McMaster students the opportunity to study and work overseas. Funded by Global Skills Opportunity, part of Canada's International Education Strategy, the two multi-year projects aim to diversify the destination countries typically available to students and are geared towards students who have been typically under-represented in international study/work programs.

McMaster Students Recognized for Contributions during Workplace Co-op Placements

Every year, McMaster students get the chance to gain real-life work experience through placements, co-ops, and internships. This year, nine McMaster students have been nominated or have won awards for the contributions they made through their placements in a variety of workplace settings from research labs to technology companies. Growth in these experiential learning opportunities has enabled McMaster to leverage 200K in wage subsidies and employer funding in the past year to support over 450 student placements across all Faculties.

McMaster Student Groups Support Those Impacted by Global Conflicts

- Members of the **McMaster Ukrainian Student Association (MUSA)** worked with the Student Wellness Centre, the McMaster University Student Centre, and other units across campus to support the mental health and well-being of community members impacted by the war in Ukraine.
- The **McMaster chapter of World University Service of Canada (WUSC)** welcomes two student refugees to the University every year and helps them adjust to university life. They also hold fundraising events, such as their current campaign to support WUSC McMaster refugee students and the ongoing Afghanistan refugee crisis.
- **McMaster Alumna Hila Taraky and her Mother, Marufa Shinwari**, a PhD student at McMaster, are drawing on their experiences as refugees, working with community partners across Hamilton to support those displaced and targeted by the Taliban in their home country of Afghanistan. They are also part of McMaster's Committee on Students and Scholars in Crisis (CSSC), the group that created the proposal for the two new McMaster funds to support forcibly displaced students and scholars.



UNIVERSITY SECRETARIAT

- Board of Governors
- Senate

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REPORT TO THE BOARD OF GOVERNORS
from the
SENATE

At its meeting on April 13, 2022, Senate received for information the following, and now recommends it to the Board of Governors for information:

For Information

a. EIO Annual Report

Equity & Inclusion Office – Annual Report

Board of Governors: FOR INFORMATION
April 21, 2022



Equity and Inclusion Office Annual Report

SEPTEMBER 1, 2020 – AUGUST 31, 2021

BRIGHTER WORLD

Equity and
Inclusion Office



Equity and Inclusion Office Annual Report

- 3 Executive Summary
- 4 Program Highlights
- 14 Statistical Report

Relevant Links

[Equity & Inclusion Office Website](#)

[Equity & Inclusion Facebook Page](#)

[Accessibility Hub Website](#)

[Sexual Violence Prevention and Response Office Website](#)

[Discrimination and Harassment Policy](#)

[Sexual Violence Policy](#)

<https://equity.mcmaster.ca/app/uploads/2021/03/Blue-Folder-McMasters-Discrimination-Harassment-Policy.pdf>

<https://svpro.mcmaster.ca/app/uploads/2020/11/Gold-Folder.pdf>

Executive Summary

EIO Mandate

The Equity and Inclusion Office (EIO) has a broad three-pronged mandate:

- to provide leadership to advance institutional equity, diversity, and inclusion (EDI) priorities and inclusive excellence goals;
- to provide education, training, and resources related to accessibility, inclusion & antiracism, human rights, and sexual violence;
- to provide harassment, discrimination, and sexual violence response services.

The EIO is a key partner and leader in advancing McMaster's commitment to establishing accessible, equitable, and inclusive learning and working environments that are barrier-free and free from harassment, discrimination, and sexual violence, per the university's *Accessibility Policy*, *Discrimination & Harassment Policy*, and *Sexual Violence Policy*.

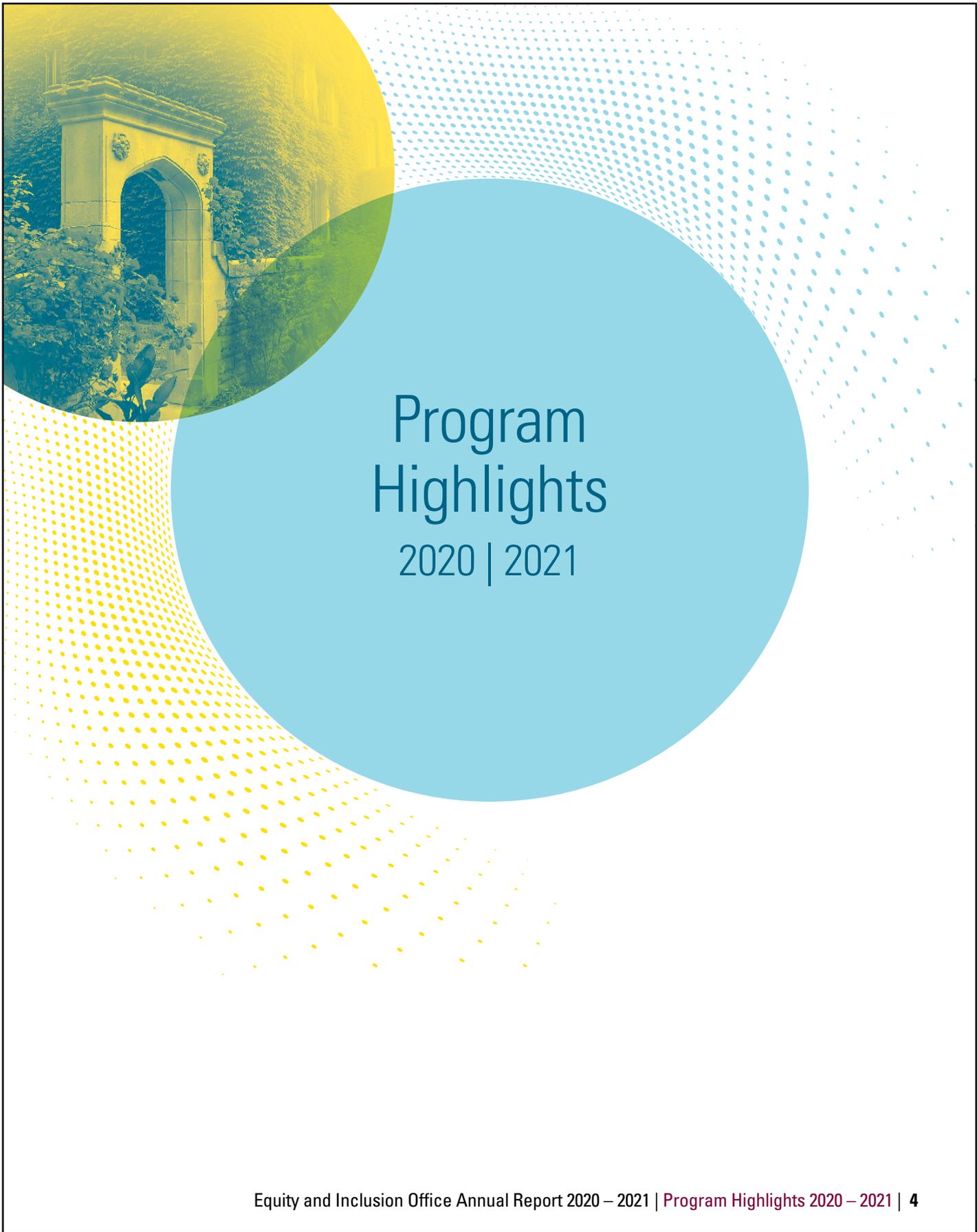
Report Purpose and Organization

This Annual Report provides narrative information and statistical data on activities of the four EIO portfolios: Access Mac Program; Inclusion & Anti-Racism Education Program; Sexual Violence Prevention and Response Office; and Human Rights & Dispute Resolution Program.

In June of 2019, McMaster launched its [EDI Strategy](#), which included an [EDI Framework for Strategic Action](#) and a 2019 – 2022 EDI Action Plan. Fifty-seven strategic actions were identified across six thematic objectives. Detailed [EDI Action Plan Progress Reports](#) are posted on the EIO website.

2020/2021 Highlights

- The COVID-19 pandemic and McMaster's response to it required renewed efforts to address amplified and new accessibility, equity, and inclusion challenges facing campus community members. All Office staff remained available to provide virtual education, training, and outreach programs and services through the pandemic, reaching more than 16,500 individuals in the 2020/21 reporting year.
- As of 2021, the majority of priorities identified in the 2019 – 2022 EDI Action Plan were either completed or substantively underway. Given the ambitious nature of the university's EDI Action Plan, coupled with operational challenges presented by the protracted COVID-19 pandemic, the time horizon of this iteration of the EDI Action Plan was extended an additional year, to 2023.
- 2020/2021 marked the fourth year that the Human Rights & Dispute Resolution Program has been operating within an Intake Office team model, with partners in Employee and Labour Relations, in the Student Support and Case Management Office, and in the Faculty of Health Science Professionalism Office collaborating with the Human Rights & Dispute Resolution Program.
- In 2020/2021, the university launched a search for a new Director, Sexual Violence Prevention & Response Office (SVPRO), and committed to investing in hiring a Case Manager, Sexual Violence Response, bringing the staff complement in the SVPRO to 3.0 Full-Time Equivalent staff alongside the Prevention Education team member. The new SVPRO has been established as a centralized Intake Office for sexual violence response, though other Intake Offices still provide response services.
- We continue to enhance systems to enable the most effective collection and reporting of consultations, disclosures, early resolution of disputes, and complaint intakes; this year the annual report disaggregates disclosures and consultations, where previously they had been reported together.



Program Highlights

2020 | 2021

AccessMac Accessibility Program



Consultations

Consultations: A consultation takes place when an individual or group seeks advice and/or guidance on a matter related to accessibility and disability inclusion as per the *Accessibility for Ontarians with Disabilities Act, 2005* or best practice.

Type of Consultation	Number of Consultations
Accessibility and/or Disability Inclusion Consultations: Broad McMaster campus community	209
Accessibility and/ or Disability Inclusion Consultations: Provincial accessibility communities (other ON universities and municipalities)	18
Support-Related Consultations: Persons with lived experience of disability(ies)	34

Themes for AccessMac Accessibility Program Consultations

- Captioning and digital content accessibility
- Teaching and Learning accessibility
- Support for persons with lived experience of disability(ies)
- Employment Accessibility (Outside of Lived Experience / Accommodation Referral and Support)
- Respectful Disability Representation and Language
- Procurement Accessibility

AccessMac Accessibility Program Consultation Data Comparison – 2018-2021

Category	2018/19	2019/20	2020/21
Support-Related Consultations	27	24	34
Accessibility and/ or Disability Inclusion Consultations	82	141*	227*

*March 2020 onset of COVID-19, McMaster response lasting through 2020/2021 reporting year.

Broad accessibility consultations (defined above) increased 177% within the AccessMac Accessibility Program over the 2018-2021 time period, while disability / support related consultations increased to a lesser degree, but still significantly, by 25% over the same time period. Increases in campus-community consultations can be attributed to several factors including:

- the development of the EDI Framework and Strategic Action Plan,
- the development of the Accessibility Program Manager Position,
- the overall raising in awareness of accessibility across the province and locally (rapidly increased by the shift to remote work/study environments due to COVID-19), and
- web accessibility legislation requirements coming into effect this past January 1, 2021.

The expectation of the Program Manager is that consultations will continue to increase, in particular with the rollout of the Campus Accessibility for Ontarians with Disabilities Act (AODA) Web Accessibility Roadmap in partnership with University Technology Services (UTS) and Communications and Public Affairs (CAPA).

Education Numbers

Type of Education Delivery	Number of Sessions	Number of Participants
Synchronous (online, live) workshops, presentations, and training	39	1,915
Asynchronous (online, self-paced) training	10	4,097
Total	49	6,012

Top 5 Education Requests by Enrollment	Number of Sessions	Number of Participants
AODA and Human Rights Code (asynchronous)	7	3,117
Teaching and Learning (synchronous and asynchronous)	5 synchronous 3 asynchronous (FLEX Forward Accessible Education teaching and learning resource)	145 synchronous 780 asynchronous
Digital Accessibility (synchronous)	19	909
Leadership (Student / Staff) (blended)	4	315
Accessibility 101: Foundations (synchronous)	7	297



Community Development and Engagement

Type of Community Engagement	Engagement Highlights	Engagement Numbers
Employee Accessibility Network	Data captured regarding Disabled employee / employee with disability(ies) experience of remote work due to COVID; information communicated to HR and EIO leadership + Return to Campus Employee Experiences Committee	8 (synchronous) meetings 17–18-person average attendance/meeting Anonymous email list serve growth to 77 members
Disability DIScussions and Mad Chats Events Series	Strengthening of relationship among MSU Maccess, the DIMAND PACIBIC Working Group, and AccessMac. Data captured at “Disability DIScussions” regarding Disabled student experiences of remote work / study due to COVID; information communicated to SAS and EIO leadership + Return to Campus Teaching and Learning Committee Launch of the “Mad Chats” (Critical Mad Studies) scholarship series through the DIMAND PACIBIC Working Group	3 events / facilitated discussions 70 total participants in attendance across events
International Day of Persons with Disabilities Commemorative Events (December 3rd)	Accessibility and Disability Inclusion Highlights Newsletter released to McMaster campus community	539 document views across PDF and Word versions of the Newsletter

Highlights of Notable Successes and Opportunities

Institutional Accessibility Consultations and Projects

- Under the leadership of the McMaster Accessibility Council Chair, and in partnership with Accessibility/AODA Coordinators across the province, developed and launched an institution-wide consultation process to gather campus-wide feedback for the ongoing development of the [Post-Secondary Education Accessibility Standard](#) under the *Accessibility for Ontarians with Disabilities Act, 2005*.
- Under the leadership of the AVP EI and McMaster Accessibility Council Chair, drafted McMaster’s institutional AODA Compliance Environmental Scan evaluation tool to support December, 2021 AODA Compliance reporting.
- Under the leadership of the AVP EI and AVP / CTO UTS, drafted, launched, and gained governance approval of the *McMaster University Web Accessibility Roadmap* under McMaster’s emerging institutional Web Strategy.
 - AccessMac- lead role creation and hiring of McMaster’s inaugural central Web Accessibility Specialist role.

- Provided consultation to AVP Faculty, on accessibility and disability-inclusion integrations into McMaster's newly launched [Teaching and Learning Strategy 2021-2026](#).
- Provided consultation to AVP Faculty, on accessibility and disability-inclusion integrations into [McMaster's Fall 2021 Principles for Academic Planning](#).
- In partnership with Human Resources, supported the redrafting and republication of [McMaster's Workplace Accommodation Procedures](#).
- Co-coordinated McMaster's inaugural User Testing Pilot Program for website accessibility testing to carry out assistive technology testing with McMaster community members with disabilities on 6 institutional web projects (Faculty of Science partnership).
 - Notably, McMaster's new online Graduate and Undergraduate Application Portals and McMaster's public-facing Mosaic job application portal.

Institutional Accessibility Training Development

- Fall (2020)-Current: Ongoing development of baseline EDI Leadership Training for People Managers course suite with the Equity, Diversity, and Inclusion Leadership Committee (Blended Accessible Workplace Accommodations Training forthcoming in 2022).
- Late Spring (2021): Launch of the new chapter in the [FLEX Forward: Accessible Education](#) training for McMaster instructors and faculty on [Accessibility in Online and Technology-Enhanced Learning](#) (MacPherson Institute partnership).
- Spring-Summer (2021): Development and launch of the Inclusive Leadership Return to Campus Training (Human Resources partnership).
- Summer (2021): Migration of the [Accessible Digital Content Training](#) to the e-Campus Ontario-supported, open-source, Pressbooks platform (Faculty of Science partnership).
- Summer (2021): Development and launch of the mandatory TA training module on Accessibility and Disability Inclusion for Teaching Assistants (MacPherson Institute partnership).

Publications (Community)

- Third annual publication of the Full Version of the [Accessibility and Disability Inclusion Update, 2019-2020](#) on December 3rd which highlights and celebrates the Accessibility and Disability Inclusion work that takes place within community, student work, faculties, and service units across campus. This year matched last year's submissions, with over 70 in total from approximately 50 contributors across campus.

Inclusion and Anti-Racism Education Program



The H.E.A.A.R.T. series – offered twice a year – continues to be well-attended, with waiting lists for the series sessions, which include:

- Land Acknowledgement
- Human Rights Fundamentals
- An Introduction to the Duty to Accommodate
- Accessibility 101
- Digital Accessibility 101
- Accessibility in Online Teaching and Learning
- Accessible Presentation Techniques
- Supporting Survivors 1: Responding to Disclosures of Sexual Violence
- Supporting Survivors 2: Family, Friends, Partners – Navigating Long-Term Support
- Positive Space
- Anti-Racism
- Cultural Appropriation
- Challenging Islamophobia
- What's in a Word: Insult of Inclusion

Type of Program	# of Sessions	# of Participants
Educational	121	6,587
H.E.A.A.R.T. Workshops	14	545
Black History Month	18	507
Support	50	40
Let's Talk About Race! Drop-In	7	140

Highlights of Notable Successes and Opportunities

- Following completion of the [Systemic Review of the Black Student-Athlete Experience and the McMaster Athletics Climate](#) in fall 2020, and prior to the hiring of the inaugural Senior Advisor (Equity, Inclusion & Anti-Racism) in Student Affairs in 2021, the Inclusion and Anti-Racism Education Program supported Athletics & Recreation by providing a series of educational sessions.
- Co-facilitated the first Black student virtual check-in, an online space to listen, explore self care, advocacy, and the impact of anti-Black experiences. Hosted by the Race, Racism, and Racialization (R3) PACBIC Working Group and EIO.
- Supported the Ecumenical Chaplain in efforts to provide an Interfaith Dialogue Forum for Medical Students, Faculty, and Staff in the aftermath of global events in the Middle East.
- Supported the launch of the Employee Resource Group for Black, Indigenous, & Racialized Staff.

Sexual Violence Prevention & Response Office



Definitions

These categories are from the Common Institutional Metrics Reporting Guidelines

Sexual Assault. Non-consensual sexual contact or activity, including the threat of such activity, done by one person or a group of persons to another. Sexual assault can range from unwanted sexual touching, kissing, or fondling to forced sexual intercourse. Sexual assault can involve the use of physical force, touching, kissing, or fondling to forced sexual intercourse. Sexual assault can involve the use of physical force, intimidation, coercion, or the abuse of a position of trust or authority.

Sexual Harassment. A course of vexatious comment, conduct, and/or communication based on sex, sexual orientation, gender, gender identity, or gender expression that is known or should have been known to be unwelcome.

Stalking. Behaviours that occur on more than one occasion and which collectively instill fear in the person or threaten the person's safety or mental health, or that of their family or friends. Stalking includes non-consensual communications (e.g., face to face, phone, electronic); threatening or obscene conduct or gestures; surveillance and pursuit; and sending unsolicited gifts.

Indecent Exposure. The exposure of the private or intimate parts of the body in a lewd or sexual manner, in a public place when the perpetrator may be readily observed. Indecent exposure includes exhibitionism.

Voyeurism. The surreptitious observing of a person without their consent and in circumstances where they could reasonably expect privacy. Voyeurism may include direct observation, observation by mechanical or electronic means, or visual recordings.

Sexual Exploitation. Taking advantage of another person through non-consensual or abusive sexual control. This may include the digital or electronic broadcasting, distributing, recording and or photographing of people involved in sexual acts without their consent.

Intimate Partner Violence. Harm caused by an intimate partner, who is defined a person with whom someone has or had a close personal relationship that could be characterized by an emotional connection, or ongoing physical contact or sexual behaviour. Persons may identify as a couple, or refer to each other as spouse or partner. IPV is sometimes referred to as domestic violence, though this can include other types of relationships (e.g., with children or older adults). IPV includes: physical abuse (including a threat or attack made with a fist or object, pushing, shoving, slapping, kicking, choking, hitting or beating), sexual abuse, emotional and psychosocial abuse (words or actions to frighten, intimidate, control, isolate, humiliate, and/or belittle) and financial abuse (adapted from RCMP).

Disclosures

Disclosures over the past academic year are highlighted below.

A disclosure is made when an individual informs someone in the University community about an experience of sexual violence because they wish to access support, accommodations and/or information about their options. A person may wish to disclose, seek support, and take no further action. This is an option for individuals under [McMaster's Sexual Violence Response Protocol](#) and [Sexual Violence Policy](#).

Categories for reporting are based on provincial requirements, as set out in Common Institutional Metrics Reporting Guidelines document.

Between September 1, 2020 and August 31, 2021, there were a total of 26 Disclosures. 58% were received directly from survivors, and 42% were received as third party disclosures. The number that went on to complaints is captured in the statistical report section below.

Category	2017/18 Total # of Disclosures	2018/19 Total # of Disclosures	2019/20 Total # of Disclosures	2020/21 Total # of Disclosures
Sexual Assault	60	83	100	12
Sexual Harassment	19	9	13	11
Stalking	1	4	2	2
Indecent Exposure			1	
Voyeurism		1	1	
Sexual Exploitation		4	1	
Intimate Partner / Domestic Violence	6		3	1

Consultations

Between September 1, 2020 and August 31, 2021, the Sexual Violence Prevention & Response Office conducted 38 consultations. These consultations are captured here and are also reflected in the statistical section of the report showcasing consolidated consultation data collected by EIO from all five Intake Offices on campus.

Category	2017/18	2018/19	2019/20	2020/21
Consultations	57	106	84	38

Sexual Violence Prevention Education Statistics

Training Events

Type	# of Events	# of Participants	Audience	Topics
Synchronous Trainings and Workshops	65	1,598	Students (undergraduate, graduate, continuing education), staff, faculty, community volunteer coaches	Responding to disclosures of sexual violence, preventing sexual harassment, building cultures of consent, building positive spaces, healthy masculinities, bystander intervention, safeTALK
Asynchronous Trainings and Workshops	5	1,195	Community Advisors, Residence Life Area Coordinators, Archway Mentors, Archway Coaches, Welcome Week Faculty Representatives, open	Responding to disclosures of sexual violence; healthy relationship; art, gender, and expression



Highlights of Notable Successes and Opportunities

- Launched monthly webinar series, “Blueprints for Change,” on practicing healthy masculinity for men at McMaster, open to staff, faculty, and students and featuring external speakers on a variety of topics (e.g., patriarchal culture and male biology, celebrating trans masculinities, and challenging femme-phobia in queer men’s communities)
- Recruited and trained 12 new peer educators and 6 returning peer educators, split into four groups: events team, communications team, men’s allyship circle, and assistant workshop facilitators
- Offered two men’s allyship trainings in collaboration with Mohawk College and White Ribbon Campaign
- Developed drag persona, Unita Assk, to educate student leaders about sexual violence and host events
- Developed programming in collaboration with campus partners (Student Wellness Centre, Museum of Art, Archway, Residence Life, Student Success Centre), student groups (Student Advocates for EDI, Women in Science and Engineering)
- Invited to speak at conferences (jack.org Summit, Men’s Health Society) and as guest lecturer in various courses (WS 1AA3, FSL 4P06, LifeSci 4X03, CHEM 779, PNB 2XT0)
- Developed partnerships with staff at other institutions through the Ontario University Sexual Violence Network
- Expanded website resources (including Topics pages, Online Modules & Videos page, Additional Support Resources & Services pages)
- 5,914 new website users
- Launched the [Sexual Violence Prevention and Response Task Force](#) in the spring of 2021; the group met six times between March 2021 and January 2022
- Launched the Search for a Director (SVPRO) and secured funds to hire a Case Manager, bringing the staff complement in the SVPRO to 3.0 FTE.
- The Sexual Violence Policy was updated to reflect the requirements of O. Reg. 131/16 (Sexual Violence at Colleges and Universities). The updated policy, effective February 7, 2022, can be found here: <https://secretariat.mcmaster.ca/app/uploads/Sexual-Violence-Policy.pdf>. A full review of the Policy is commencing in the spring of 2022.

Human Rights and Dispute Resolution Program



Consolidated numbers on complaints, consultations and alternative dispute resolution are listed in the statistical report section below.

Highlights of Notable Successes and Opportunities

- Developed a resource guide called the [Blue Folder](#), setting out important information for faculty and staff in relation to the Discrimination & Harassment Policy.
- Appointment of a Senior Human Rights Officer as the EIO representative on the Trust Fund EDI Committee; provides advice and guidance on the creation of bursaries and awards under the University's Aid and Awards Policy.
- Initiated and led a collaborative project with AccessMac and colleagues in Student Accessibility Services, MAPS, MSU, and Financial Affairs to develop a resource guide for students registered with Student Accessibility Services, explaining supplementary fee options.
- Collaborated with Assistant Deans, Student Accessibility Services, and other partners to review McMaster's process for the intake and assessment of retroactive academic accommodation requests.
- Reviewed and updated internal tools and resources for use when processing complaints.
- Along with members of other Intake Offices, attended Violence Risk Triage Training in fall 2021.
- Continued partnership with EIO colleagues and members of other Intake Offices to deliver customized training on human rights issues.





Statistical Report

Complaints, Consultations,
and Disclosures

Discrimination & Harassment Policy
Sexual Violence Policy

Report Parameters

Under sections 52 of the *Discrimination & Harassment Policy* and section 53 of the *Sexual Violence Policy*, the EIO is responsible for collecting and reporting annual anonymized, aggregate data on complaints, investigations, sanctions and outcomes, consultations, disclosures, and dispute/early resolution to the Senate and the Board of Governors.

Data for the annual report is collected and maintained by the EIO and includes data collected from the Sexual Violence Prevention and Response Office, the Human Rights and Dispute Resolution Program, Employee & Labour Relations, the Student Support & Case Management Office, and the Faculty of Health Sciences Professionalism Office¹.

The purpose of the annual report is to inform education and training initiatives.

Unless stated otherwise, this report covers data collected from September 1, 2020 to August 31, 2021.

Definitions

Complaint: A complaint under McMaster University's *Discrimination & Harassment Policy* or *Sexual Violence Policy* is made when an individual seeks to initiate the institution's investigation and adjudication procedures, by completing and submitting complaint forms to one of the five Intake Offices on campus. Upon receipt of a complaint, the policy Response Team convenes to review the materials with a view to making recommendations to the respective Decision Maker. Complaints are either investigated or not investigated. If the complaint is not investigated, the complainant is informed of their right to make a written request for review of the decision to the appropriate Vice-President.

Investigations may also be initiated by the University, when the University becomes aware of situations where an investigation may be warranted, on the basis of both the circumstances and nature of the allegations².

Consultations: A consultation takes place when an individual seeks advice and/or guidance on a matter related to discrimination, harassment, and/or sexual violence from an Intake Office representative in one of the five Intake Offices on campus. Consultations are confidential, subject to limits of confidentiality, outlined in the Policies.

Disclosures: A disclosure is made when an individual informs someone in the University community about an experience of harassment, discrimination or sexual violence because they wish to access support, accommodations and/or information about their options. A person may wish to disclose, seek support, and take no further action.

Dispute or Early Resolution: Dispute or early resolution is a service provided by Intake Office representatives to help facilitate the successful resolution of issues and concerns related to discrimination, harassment, and/or sexual violence. It is a voluntary process and is not appropriate in all cases. It seeks to resolve matters in an efficient manner and reduces the need for complaints to be filed.

Intake Offices: The five Intake Offices listed in McMaster University's *Sexual Violence Policy* and *Discrimination & Harassment Policy* are the Sexual Violence Prevention & Response Office, Human Rights & Dispute Resolution Program, Employee and Labour Relations, Faculty of Health Sciences Professionalism Office and Student Support & Case Management Office.

1 Data submitted by the Faculty of Health Sciences Professionalism Office is incomplete.

2 For more information on University-initiated investigations, see section 92 of the *Discrimination & Harassment Policy* and/or section 99 of the *Sexual Violence Policy*.

Complaints

1. Complaints: Overview of complaint numbers

Reporting Year	Total # Complaints	Open at start of year	New	Closed
September 1, 2017 - August 31, 2018	57	16	41	47
September 1, 2018 - August 31, 2019	44	10	34	32
September 1, 2019 – August 31, 2020	46	12	34	20
September 1, 2020 – August 31, 2021	58	26	32	40

While the overall number of new complaints remained relatively stable, there continues to be a noted increase in the complexity of the matters coming forward.

Complaints by Policy

Reporting Year	Total # Complaints	# complaints involving the Discrimination & Harassment Policy	# complaints involving the Sexual Violence Policy	# complaints involving both policies
2017 - 2018	57	39	20	2
2018 - 2019	44	35	21	12
2019 - 2020	46	35	25	14
2020 - 2021	58	48	25	15

Complaints Investigated

Reporting Year	Percent investigated	Percent resulting in policy violations	Mean Length of investigation ¹ process (months)
2017 - 2018	51%	50%	6.1 (median 6)
2018 - 2019	69%	50%	6.7 (median 6.5)
2019 - 2020	75%	87%	5.4 (median 5)
2020 - 2021	80%	59%	7.4 (median 7)

¹ The length of an investigation process is calculated as the time between the date the parties are first notified of the process and the date the parties receive the findings and outcomes of the process

Complaints not investigated

Complaints are not investigated for a variety of reasons, including: the complainant elects to withdraw the complaint; the parties reach a resolution; the complaint proceeds under another University process, such as Academic/Research Integrity, Student Appeal Procedures or Student Code of Rights & Responsibilities; the Assessment Team and Decision Maker decide not to investigate because, for example, there is no jurisdiction, the complaint is out of time, or there is no *prima facie* case.

In the past academic year, approximately 20% of complaints did not proceed to investigation.

Interim measures

Interim measures are temporary steps put in place while an investigation is in progress to safeguard the working, learning and/or living environments of all individuals. Interim measures do not extend beyond the final resolution of a matter and are reviewed on an on-going basis to ensure they remain appropriate in the circumstances.

Interim measures were necessary in 78% of the cases investigated and closed this past academic year. At times, in order to implement appropriate interim measures, relevant staff and faculty are asked to assist in discussions to explore options, and to assist with implementation and oversight.

Outcomes

When policy violations are found to occur, outcomes vary, depending on the circumstances of each case. Examples of outcomes during the 2020/2021 academic year include: remedial educational initiatives; mandated training; professional coaching; instituting no contact orders between individuals; designating individuals as PNG (persona non grata) from campus; documented discussions; and termination of employment.

2. Complaints: Protected Ground

Protected Ground	2017/2018	2018/2019	2019/2020	2020/2021
Sex (includes sexual harassment and assault)	13	21	29	25
Personal Harassment (intimidation, bullying)	16	19	10	17
Ancestry, colour, race	4	6	7	13
Disability	5	2	5	7
Creed/religion	4	2	4	2
Family status	1	2	1	2

*Note: Some complaints involve more than one ground.

3. Complaints: Participant Type

	Complainant	Respondent
Undergraduate Student	16	10
Graduate Student	15	4
Staff	20	16
Faculty	15	28
Other (external, not identified)	2	

*Note: Some complaints involve more than one complainant and/or respondent

4. Complaints: Faculty/Area of the University

	Complainant	Respondent
Administrative Units* (*other than Hospitality and Facility Services)	3	6
DeGroote School of Business		
Faculty of Engineering	8	6
Faculty of Health Sciences	18	18
Faculty of the Humanities	2	2
Faculty of Science	13	10
Faculty of Social Sciences	5	6
Athletics & Recreation	6	6
Facility Services	1	1
Hospitality Services	1	1

5. Complaints: Origin of the Concern

Origin of Concern	2017/2018	2018/2019	2019/2020	2020/2021
Academic context	18	11	14	16
Employment context	7	24	17	26
Campus community (e.g. extracurriculars, events)	17	4	2	3
Off campus, with a nexus to the University	9	4	6	8
Residence			4	3
Athletics			3	4

Consultations & Disclosures

As set out above, a consultation takes place when an individual seeks advice and/or guidance on a matter related to discrimination, harassment, and/or sexual violence from an Intake Office representative in one of the five Intake Offices on campus. Consultations are confidential, subject to limits of confidentiality, outlined in the Policies.

A disclosure is made when an individual informs someone in the University community about an experience of harassment, discrimination or sexual violence because they wish to access support, accommodations and/or information about their options. A person may wish to disclose, seek support, and take no further action.

Numbers

For the 2020-21 academic year, the five Intake Offices recorded a total of 214 consultations and 146 disclosures.

Themes

The majority of consultations and disclosures pertained to academic matters. Undergraduate students and faculty members were the most common groups seeking consultation. Staff and faculty were the most common groups disclosing experiences.

Top three grounds – consultations:

- Sex
- Disability
- Race

Top three grounds – disclosures:

- Disability
- Race
- Sex

1. Consultations & Disclosures: Issue

Issue	2017/2018	2018/2019	2019/2020	2020/2021	
				Consults	Disclosures
Harassment - Personal	111	115	77	46	49
Sexual Violence	53	80	74	53	28
Discrimination	63	68	114	26	38
Accommodation	84	74	73	46	34
Grounds Based Harassment	24	43	125	23	20
Poisoned Environment	15	20	12	5	5
Accessibility**	5	5	2	15	2
TOTAL	355	405	477	214	146*

*some disclosures involved more than one ground

**consultations related to accessibility tend to focus on improving access to processes and services in a general overall sense, whereas consultations related to accommodation are focused on specific cases requiring resolution. It is important to note that consultations on accessibility tend to flow through the Accessibility Program, which is why so few are represented here.

2. Consultations & Disclosures: Protected Ground

Issue	2017/2018	2018/2019	2019/2020	2020/2021	
				Consults	Disclosures
Disability	85	108	92	44	46
Creed/religion	32	28	28	9	3
Ancestry, colour, race	22	22	70	23	26
Ethnic origin	8	6	10	9	14
Family status	8	18	14	5	4
Gender identity/gender expression	9	6	5	2	3
Age	5	0	3	0	0
Place of origin	6	10	11	9	15
Sex	59	80	151	65	27
Sexual orientation	6	9	6	0	3
Citizenship	3	0	3	2	5
Marital status	2	2	1	0	0

Note: Some consultations & disclosures involve more than one ground.

3. Consultations & Disclosures: Participant Type

	2017/2018	2018/2019	2019/2020	2020/2021	
				Consults	Disclosures
Undergraduate Student	95	96	114	59	15
Graduate Student	41	46	92	37	6
Staff	110	120	115	38	68
Faculty	73	103	118	50	45
Medical Resident	23	25	27	2	3
Other (external, not identified)	13	15	11	12	9

4. Consultations & Disclosures: Faculty/Area of the University

	2017/2018	2018/2019	2019/2020	2020/2021	
				Consults	Disclosures
Administrative Units	44	54	82	66	18
DeGroot School of Business	10	7	18	10	9
Faculty of Engineering	28	31	26	17	18
Faculty of Health Sciences	150	175	133	29	57
Faculty of the Humanities	26	14	24	15	8
Faculty of Science	30	29	35	20	12
Faculty of Social Sciences	34	33	46	27	13
Unknown	33	45	113	24	10
Athletics & Recreation*	–	–	–	6	1

* following the systemic review of the Black Student-Athlete Experience and the McMaster Athletics Climate, consultations from Athletics & Recreation are being disaggregated and reported on.

5. Consultations & Disclosures: Origin of the Concern

Origin of Concern	2017/2018	2018/2019	2019/2020	2020/2021	
				Consults	Disclosures
Academic context	182	199	201	110	89
Employment Context	86	109	73	41	29
Campus community (e.g. extracurriculars, events)	57	44	43	17	8
Off campus, with a nexus to the University	26	14	50	14	7
Off campus, with no nexus to the University*	–	–	–	2	5
Residence*	–	–	7	8	5
Athletics & Recreation*	–	–	18	14	1

* Data for these areas was not historically disaggregated and/or reported on.

Dispute/Early Resolution

As indicated above, dispute/early resolution is a service provided by Intake Office representatives to facilitate the resolution of issues and concerns related to discrimination, harassment, and/or sexual violence.

Dispute resolution seeks to resolve matters in an efficient and amicable manner and, if successful, reduces the likelihood of a complaint being filed. Engagement in the process is voluntary, and parties may withdraw from the process at any point in time.

Situations involving human rights go to the core of people's identity; it is not surprising that addressing and assisting parties to work through such matters entails mediating emotionally charged, highly sensitive, and multifaceted interpersonal conflicts. The Intake Offices draw upon their acquired expertise in conflict coaching, negotiation, and other ADR techniques to facilitate the resolution of disputes.

2020-2021 Numbers

- For the 2020-2021 academic year, the Intake Offices recorded a total of 145 dispute resolution matters.

Reporting year:	2017/2018	2018/2019	2019/2020	2020/2021
Number of resolutions facilitated by Intake Offices	87	110	122	145

- Discrimination/accommodation processes (related to disability, family status, creed, and retroactive academic accommodation requests) and non-grounds harassment (bullying, intimidation) are the most common matters where individuals requested dispute resolution.
- Undergraduate students and staff are the most common groups requesting assistance to resolve an issue, while staff and faculty are the most common groups asked to participate in a process in order to resolve an issue.
- The majority of early resolution matters pertain to academics, followed by employment.



Equity and Inclusion Office

Human Rights | Complaint Resolution
Education | Accessibility
Sexual Violence Support

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Equity and
Inclusion Office

McMaster
University 

REPORT TO THE BOARD OF GOVERNORS
from the
EXECUTIVE AND GOVERNANCE COMMITTEE

i. Revisions to Board By-Laws (Approve in Principle)

On April 7, 2022, the Executive and Governance Committee reviewed and approved, for recommendation to the Board of Governors, revisions to Appendix E of the Board By-Laws titled *Resolution Respecting the Execution of Instruments by McMaster University*. Details of the proposed revisions are contained in the attached report.

It is now recommended,

That the Board of Governors approve in principle, revisions to Appendix E – Resolution Respecting the *Execution of Instruments by McMaster University* of the Board By-Laws, as set out in the attached.

ii. Approval and Signing Authority Policy (Information)

At the same meeting the Executive and Governance Committee reviewed and approved, for recommendation to the Board of Governors, the proposed *Approval and Signing Authority Policy* intended to replace the Execution of Instruments. Details of the proposed revisions are contained in the attached report.

The Approval and Signing Authority policy is being presented to the Board for information. The policy will come forward for approval at the June Board meeting, when the revisions to the Board by-laws are approved.

Board of Governors: NOTICE OF MOTION
April 21, 2022

April 1, 2022

TO: Members of the Executive and Governance Committee
Board of Governors

FROM: Andrea Thyret-Kidd
University Secretary

SUBJECT: Board By-Laws & Approval and Signing Authority Policy

In the fall of 2021, Ms Saher Fazilat and myself co-chaired a group to review Appendix E of the Board By-Laws, titled 'Resolution Respecting the Execution of Instruments by McMaster University' and commonly referred to as the Execution of Instruments or EOI. The group had broad representation and the membership is listed below for your information.

The purpose of the EOI is to designate which persons are authorized to sign deeds, contracts, or documents on behalf of the University when the documents have been approved by the appropriate body or official of the University. Currently the EOI is not easy to interpret, contradictory in some instances, and the delegation charts have been revised many times to the limit of their current format. It is recommended that the EOI be replaced by a Board approved policy that can be more descriptive, unconstrained by the current format, and easier to modify.

A proposed Approval and Signing Authority Policy has been drafted to replace the EOI and reflects the current version of the EOI with some exceptions. The text from the EOI has been significantly reorganized and reformatted but reflects current practice. The changes include:

- Creation and definitions for the **Approval Authority** and the **Execution Signatory**
- Revisions to language to clarify current practice
- The Vice-President (Operations & Finance) will maintain copies of all signed and executed contracts rather than each Vice-President maintaining copies for their area
- Inclusion of delegation of authority language aligning with the Strategic Procurement Policy
- Reformatting of the Authority Matrix charts to include more information
- Creation of an Authority Matrix chart (A5) for donations, bequests or gift agreements

Additionally, escalating construction costs have had the impact of requiring Board committee approval for even minor construction projects. A scan of other university's thresholds for capital projects revealed that McMaster's thresholds are low in comparison. Recommendations for higher thresholds are shown in chart **A.4. Capital Project Funds and Awards of Contracts/Purchase Orders**, pages 14-16.

Attached please find:

1. A clean copy of the current EOI
2. A track change version of the Board By-Laws
3. The proposed Approval and Signing Authority Policy

A track change version of the EOI is not possible due to significant formatting changes.

Working Group Members:

- Dee Henne, Assistant Vice-President (Administration) & CFO
- Debbie Martin, Assistant Vice-President/Chief Facilities Officer
- Kathy Charters, Assistant Vice-President, Research Administration
- Brent Davis, University Counsel
- Gay Yuyitung, Executive Director, McMaster Industry Liaison Office (MILO)
- Lalita Goray, Director, Design & Construction
- Angelo DiLettera, Director, Strategic Procurement
- Ryan Liddell, Director, Advancement Services & Operations
- Susan Mitchell, Director of Administration, DeGroote School of Business
- Sonya Caissie, Director, Research Finance, Faculty of Health Sciences
- Rebecca Collier, Faculty Secretary, Faculty of Health Sciences
- Diana Parker, Project Manager, VPOF Office
- Mark Downard, Secretariat

Distinct from the matter of the EOI, there is an additional Board By-Laws revision to the membership of the University Student Fees Committee (pages 22-23). The Provost has requested the newly created position, Deputy Provost, be added to the membership and serve as the chair of the committee.

Motion:

that the Executive and Governance Committee approve for recommendation to the Board of Governors, revisions to the Board By-Laws as circulated.

Motion:

that the Executive and Governance Committee approve for recommendation to the Board of Governors, the proposed Approval and Signing Authority Policy, effective June 9, 2022.

Cc: S. Fazilat, Vice-President (Operations & Finance)

Appendix E

RESOLUTION RESPECTING THE EXECUTION OF INSTRUMENTS BY McMASTER UNIVERSITY

I JURISDICTION AND PURPOSE

1. The 1976 Act, Section 9, vests in the Board the government, conduct, management, and control of the University and of its property, revenues, business and affairs. In Board By-law No. 5, the Board has authorised officers of the University to sign deeds, transfers, assignments, contracts and obligations on behalf of the University.
2. The purpose of this resolution is to designate clearly which persons are authorised to sign deeds, transfers, assignments, contracts, obligations, agreements or documents on behalf of the University when such documents have been approved by the appropriate body or official of the University. These include all documents related to the University receiving money, to the purchase or lease of goods and services and to agreements having no financial commitment.
3. All dollar amounts cited in this document are exclusive of duties, taxes and shipping charges. Contracts that span over a period of greater than one (1) year should not be broken down into annual amounts when assessing the appropriate level of contract execution.
4. This resolution shall not apply to the signing on behalf of the University of the certificates and other academic documents arising from the actions of the Senate in accordance with the 1976 Act, Section 13.

II RESPONSIBILITIES AND CONFLICT OF INTEREST

1. Persons with signing authority have the responsibility to exercise their authority in the manner of a prudent University administrator. Where the commitment involves Real Estate, the Vice-President (Administration) shall review the documents. Depending upon the nature and complexity of the agreement to be signed, the responsibility of persons with signing authority shall include an assessment of some or all of the following:
 - a) the ability of the University to meet any financial obligations resulting from the agreement;
 - b) the ability of the other party(ies) to meet its (their) obligations;
 - c) compliance with labour legislation, employee collective agreements, sponsor guidelines, tax legislation, other legislative and regulatory requirements, and applicable University policies;
 - d) whether all approvals required by any applicable policy or practice have been obtained for the contract;
 - e) whether terms and conditions of the contract should be reviewed by Strategic Procurement;
 - f) in association with the Vice-President (Administration), whether legal advice is needed;
 - g) the financial and other benefits that are expected to flow to the University as a result of the contract; whether the overhead rate, if any, included in the contract is consistent with University guidelines;
 - h) the provisions regarding intellectual property requirements, physical, bodily injury and personal injury indemnities, and environmental liabilities.

2. Persons designated or appointed under this resolution shall not exercise their signing authority in circumstances where conflicts of interest exist or could be seen to exist; in addition, such persons shall inform their immediate supervisor when such circumstances exist. [Persons designated or appointed under this resolution are referred to “Conflict of Interest Policy for Employees” (2012), the “Statement on Conflict of Interest in Research” (2009) and “Statement of Ethics for Senior Executive Officers” (1990).]

3. One of the original signed contracts (if retained by the University) must be deposited with the Vice-President (Administration) or be maintained in a location approved by the Vice-President (Administration).

4. Vice Presidents must ensure a register of contractual documents pertaining to their portfolio is maintained, excluding documents for the purchase of goods and services which are maintained by Strategic Procurement.

That register is to include:

- a) a list of contractual documents signed by the appropriate individuals and the corresponding execution date;
- b) the name of any other party or parties signing the documents and their respective execution dates;
- c) a brief description of the subject matter contained in the documents;
- d) the effective start and termination date and the actual or estimated amount of each contractual obligation.

III RESOLUTION

The Board hereby resolves:

1. That each of the following University officers be and is hereby authorised, where required, to affix the corporate name and seal of the University on all deeds, transfers, assignments, contracts, obligations or documents on behalf of the University, provided that the agreement has been signed in accordance with the provisions of this policy: the Chair of the Board, the Vice-Chair(s) of the Board, the Chair of the Planning and Resources Committee, the Secretary of the Board, the President, the Provost, the Vice-President (Administration), the Dean and Vice-President (Health Sciences), the Vice-President (Research) and the Vice-President (University Advancement).
2. Notwithstanding provisions found elsewhere in this resolution, any contract or agreement to which the corporate seal is to be affixed must include the signature of an officer authorised by the Board of Governors to affix to seal.
3. The personnel authorised to execute contracts and agreements relating to the operation and development of the University and to bind the University to the terms thereof shall depend on the dollar amount of such contracts and agreements, the subject matter of such contracts and agreements as set out below and whether or not the University is receiving or paying out money under the contract or agreement. For agreements that span over a period of greater than one (1) year, dollar amounts, including annual maintenance fees, should be aggregated across all years and should not be broken down into per annum amounts when assessing the proper authorisation required.

Authority Matrices

Contracts

Signing authority for contracts and agreements above \$100,000, and to bind the University to the terms thereof, must be executed by a minimum of two approvers from the charts below, one of whom must be from the highest level.

No contract over \$10,000 for the purchase of goods or services may be released until approved through the University's enterprise electronic system using the charts below.

Where a purchase represents a renewal the thresholds below apply to the total cost of the previous term(s) and new term.

Purchase requisitions related to the purchase or lease by the University of Goods and Services and/or Real Estate will be approved in the electronic system by the authorities given in the charts below.

A.1 All Funds: excluding the Research Fund (see A.2) and Capital Fund (see A.3 and A.4)

	Department and/or Project Holder (Account Holder)	Only for Technology –Chief Technology Officer (Hardware or software related goods or services)	One of area: AVP^, Dean, VP	Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, VP(Administration), Provost, President	Following Board of Governors Approval: One of: VP(Administration), Provost, President, Board Secretary, Board Chair
< \$100,000	X				
\$100,000 up to \$1,999,999	X	X	X		
\$2,000,000 up to \$9,999,999	X	X		X	
Over \$10,000,000	X	X			X
			Additional Signature must be at least one level up from 1 st	The individual approving signs to confirm Board/Committee approval.	

AVP^ signing officers include: Assistant Vice-President, Associate Vice-President, Vice-Provost, Registrar, University Librarian, Treasurer, Director of Faculty Administration, Director of Research Finance Administration, Associate Dean of Education Services (Faculty of Health Sciences), and Controller.

A.2 Research Fund

	Project Holder (Account Holder)	Secondary Research Office (Central/FHS-HRS)	Only for Technology – Chief Technology Officer (Hardware or software related goods or services)	One of: AVP*, VP	Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, Area VP, VP(Administration), Provost, President	Following Board of Governors Approval: One of: VP(Administration), Provost, President, Board Secretary, Board Chair
< \$100,000	X	X				
\$100,000 up to \$1,999,999	X	X	X	X		
\$2,000,000 up to \$9,999,999	X	X	X		X	
Over \$10,000,000	X	X	X			X
				Additional Signature must be at least one level up from 1 st		
				The individual approving signs to confirm Board/Committee approval.		

AVP*^ signing officers include: Associate Vice-President (Research), Assistant Vice-President, Research Administration, Associate Dean, Health Sciences (Research), Director of Research Finance Administration, Assistant Vice-President (Faculty of Health Sciences), and Assistant Dean, Research Infrastructure.

A.3 Capital Fund (*Project Approval*)

	One of, Director of Design and Construction, Director of Maintenance	AVP (Facilities Services) or Director, Design and Construction	VP (Administration) or AVP (Administration) and Chief Financial Officer	Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, VP (Administration) Provost, or President.	Following Board of Governors Approval: One of: Provost, President, Board Secretary, Board Chair
< \$100,000	X				
\$100,000 up to \$499,999	X	X			
\$500,000 up to \$1,999,999	X	X	X		
\$2,000,000 up to \$9,999,999	X	X		X	
Over \$10,000,000	X	X			X
Cumulative cost overruns exceeding the lesser of (i) 25% of the original approved overall project budget, or (ii) \$500,000, require re-approval by the highest original approver. *		Additional Signature must be at least one level up from 1 st		The individual approving signs to confirm Board/Committee approval.	
*N.B. If cost overruns result in a total revised value that coincides with a higher approval threshold, then the approval of the higher level approver must also be obtained. *Cost overruns on Board or Planning and Resources Committee approved projects will be reported to the Planning and Resources Committee at its next meeting.					

A.4 Capital Fund (Award of Purchase Orders/Contracts) including Professional Consultants*

	One of, Director of Design and Construction, or, Director of Maintenance	AVP (Facilities Services) or Director, Design and Construction	VP (Administration) or AVP (Administration) and Chief Financial Officer	Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, (VP Administration) Provost, or President.	Following Board of Governors Approval: One of: Provost, President, Board Secretary, Board Chair
< \$100,000	X				
\$100,000 up to \$499,999	X	X			
\$500,000 up to \$1,999,999	X	X	X		
\$2,000,000 up to \$9,999,999	X	X		X	
Over \$10,000,000	X	X			X
<p>Change Orders to existing Contracts/Purchase Orders which do not increase the approved Overall Project Budget require approval in accordance with the thresholds and roles noted above.</p> <p>If change orders, alone or cumulatively, result in an increase to the overall project budget, approval for the increased overall project budget must be sought subject to cost overrun approval limits.</p> <p>* Includes Architects, Engineers, Design Consultants and Construction Managers.</p>					

In no case may a signing officer sign as first approver and highest approver. The minimum two signatures must be different individuals.

All purchases of goods and services and leases must be executed using the duly authorised processes developed and supported by the Department of Strategic Procurement.

All Investments must be executed by the Treasurer, using the duly authorized processes of the appropriate committees of the Board of Governors.

B. Human Resources

1. Employment related contracts will follow collective agreement provisions as ratified by the Board of Governors, or defined salary policies or guidelines, such as the applicable policies governing compensation discussions for members of the McMaster University Faculty Association, and the terms of reference of the Human Resources Committee of the Board of Governors.
2. This policy does not restrict remittance to the Receiver General as required by law for Payroll. This includes remittances such as Canada Pension Plan, Employment Insurance premiums, Income Tax, Employer Health Tax or other contributions as may be required by Federal or Provincial legislation.
3. This policy does not restrict remittance for monthly or quarterly payments to approved employee benefit and insurance providers (such as Health, Dental, Group RRSP, Group Life Insurance, Pension, Post-Retirement benefits, and liability insurance plans) for delivery of contracted services. Approval of benefit, benefit administration, and insurance contracts awarded through the Request for Proposal process will follow the charts in this policy.

C. For All Non-Competitive Consulting Services (as defined by the Broader Public Sector Procurement Directive)

- i. Up to \$999,999

Shall be executed by the Approvers identified in the appropriate chart in Section A above and the President,

- ii. \$1,000,000 and Over

Shall be executed by the approvers identified in the appropriate chart in Section A above after approval has been given by the Board of Governors or by its Executive and Governance Committee.

D. For All Agreements where the University is Receiving Donations, Bequests or Gifts (see Gift Acceptance Policy (2011))

- i. Over \$1,000,000,

Shall be executed by the President and the Vice-President, University Advancement.

- ii. Less than \$1,000,000,

Shall be executed by the Vice-President, University Advancement.

- iii. Acceptance of any gift that involves a proposal to name is conditional upon final approval of the naming by the Board of Governors.

E. For All other Agreements, not involving Research and Intellectual Property, where the University is Receiving Money, or where the Agreement Does Not Deal with the Payment by Either Party of Money

- i. Where the agreement does not deal with the payment by either party of money
Shall be executed by two (2) of the officers as identified in the charts in Section A, one of whom must be an identified Dean, AVP^ or Vice President of the University, and the second must be a Vice-President or the President.
- ii. Amounts up to \$2,000,000
Shall be executed in accordance with the signing authorities identified in the charts in Section A.
- iii. Over \$2,000,000 and less than \$10,000,000
Shall be executed by one of the officers identified in the charts in Section A, after approval has been given by the Planning and Resources Committee of the Board of Governors.
- iv. \$10,000,000 and over
Shall be executed by one (1) of the officers designated in section III.1, after approval has been given by the Board of Governors or by its Executive and Governance Committee.

F. Research And Intellectual Property: For All Agreements, Involving Research And Intellectual Property, Or Resulting From A Peer Or Merit Review Process Where

- **The University Is Receiving Money;**
- **The University Is Transferring Funds To A Collaborating Partner Institution; or**
- **The Agreement Does Not Deal With The Payment By Either Party Of Money**

- i. Under \$2,000,000, including where the agreement does not deal with the payment by either party of money

only one signature is required, from the chart F.1. below.

- ii. \$2,000,000 and over

In the case of agreements involving research funding that result from a peer or merit review process, authority is delegated to two (2) of the officers designated in section III.1.

In the case of where receipt of research funds requires the expenditure of incremental McMaster cash specific to the proposed research, approval for this incremental cash contribution will follow the charts in Section A.

F.1.

	One of AVP [^] , VP	Two (2) of the signing officers designated in Section III.1
Under \$2,000,000	X	
\$2,000,000 and over		X

AVP[^] signing officers include: Executive Director of the McMaster Industry Liaison Office, Associate Vice-President (Research), Associate Dean Health Sciences (Research), Director, Health Research Services, Director, Research Office for Administration, Development and Support, and Assistant Vice-President, Research Administration.

IV COMMENCEMENT

1. This resolution shall take effect on 18th day of April, 2019 and from that date shall supersede a Board of Governors' resolution that took effect on the 7th day of June, 2018.

Related Policies

Strategic Procurement

<http://www.mcmaster.ca/bms/policy/purchase/SP-01.pdf>

Internal Audit Department Policy Statement

<https://secretariat.mcmaster.ca/app/uploads/2019/06/Internal-Audit-Department-Policy-Statement.pdf>

Construction And Maintenance Projects Policy

<https://secretariat.mcmaster.ca/app/uploads/Approval-Authorities-for-Construction-and-Maintenance-Projects.pdf>

Statement of Ethics for Senior Executive Officers

<https://secretariat.mcmaster.ca/app/uploads/2019/06/Ethics-Statement-for-Senior-Executives.pdf>

Statement on Conflict of Interest in Research

<http://www.mcmaster.ca/policy/faculty/Research/StatementOnConflictOfInterestInResearch.pdf>

Conflict of Interest Policy for Employees

https://secretariat.mcmaster.ca/app/uploads/Conflict_of_Interest_Policy.pdf

Gift Acceptance Policy

<https://secretariat.mcmaster.ca/app/uploads/2019/06/Gift-Acceptance-Policy.pdf>

Intellectual Property Policy

<http://milo.mcmaster.ca/policies/ip-policy>

Board of Governors Meeting Dates

<http://www.mcmaster.ca/univsec/bog/schedules.cfm>

Board of Governors
December 12, 2019

McMASTER UNIVERSITY

Complete Policy Title: **By-laws of the Board of Governors of McMaster University**

Policy Number (if applicable): n/a

Approved by: **Board of Governors Executive and Governance Committee**

Date of Most Recent Approval: **November 23, 2021**

Revision Date(s):

March 23, 1977	October 22, 1992	December 15, 2011
April 27, 1977	December 10, 1992	June 7, 2012
June 29, 1977	December 9, 1993	October 18, 2012
April 25, 1978	December 14, 1995	April 18, 2013
January 23, 1979	April 25, 1996	October 24, 2013
August 31, 1979	December 11, 1997	December 12, 2013
October, 1980	December 10, 1998	December 11, 2014
May 6, 1981	June 10, 1999	April 16, 2015
September 23, 1981	December 14, 2000	June 9, 2016
September 22, 1982	March 22, 2001	December 15, 2016
September 21, 1983	December 13, 2001	June 8, 2017
January 19, 1984	October 31, 2002	June 7, 2018
September 19, 1984	June 16, 2005	April 18, 2019
March 20, 1985	December 15, 2005	June 6, 2019
June 26, 1985	June 15, 2006	December 12, 2019
March 20, 1986	November 2, 2006	June 4, 2020
April 30, 1986	June 14, 2007	December 17, 2020
April 30, 1987	June 19, 2008	June 10, 2021
February 25, 1988	December 18, 2008	November 23, 2021
July 22, 1988	March 5, 2009	
June 22, 1989	June 18, 2009	
October 26, 1989	March 4, 2010	
December 13, 1989	June 17, 2010	
December 13, 1990	December 16, 2010	
December 12, 1991	March 3, 2011	
March 26, 1992	June 9, 2011	

Position Responsible for Developing and Maintaining the Policy:

[University Secretary](#)

Contact Department

[University Secretariat](#)

DISCLAIMER: *If there is a Discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails.*

BOARD OF GOVERNORS OF McMASTER UNIVERSITY

BY-LAW NO. 1

being a by-law relating generally to the conduct of the affairs of the Board of Governors of McMaster University.

Interpretation

1. In the by-laws of the Board unless otherwise provided:
 - (a) "1976 Act" means The McMaster University Act, 1976 and amendments made thereto from time to time;
 - (b) "Annual Meeting" means the annual meeting of the Board of Governors of the University, as specified in Section 6 of this by-law No. 1
 - (c) "Board" means the Board of Governors of the University;
 - (d) "Chair of the Board" means the person elected as Chair of the Board of Governors of the University pursuant to Section 5 of this by-law No. 1;
 - (e) "Chair" means the person acting as chair of meetings of the Board or any of the Standing Committees of the Board
 - (f) "Chancellor" means the Chancellor of the University;
 - (g) "Closed Session" means a meeting of the Board or part of a meeting of the Board so declared by the Chair of the Board at which only members of the Board, Observers and specifically invited guests of the Board shall be present;
 - (h) "Divinity College" means McMaster Divinity College;
 - (i) "Graduate Student" means a person who is a candidate for an advanced degree authorized by the Senate of the University or from a college affiliated with the University and shall include Divinity College students, and Post Degree students;
 - (j) "Non-Teaching Staff" means the employees of the University and of a college affiliated with the University who are not members of the teaching staff but shall not include students;
 - (k) "Observer" means a person identified as such pursuant to Section 12 of this by-law No. 1;
 - (l) "Past Chair of the Board" means the immediate previous Chair of the Board;
 - (m) "President" means the President of the University;
 - (n) "Secretary of the Board" means Secretary of the Board of Governors of the University appointed pursuant to Section 5 of this by-law No. 1;
 - (o) "Senate" means the Senate of the University;

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- (p) "Standing Committees of the Board" means the committees specified in Section 15(2) of this by-law No. 1;
- (q) "Teaching Staff" means the employees of the University or of a college affiliated with the University who hold the academic rank of professor, associate professor, assistant professor or lecturer but shall not include graduate students who are employed by the University as teaching assistants nor individuals who hold title with the prefix "clinical" or "visiting";
- (r) "Undergraduate Student" means a person who is registered as a candidate for an undergraduate degree in a course of study approved by the Senate and shall include Medical students and Continuing students;
- (s) "University" means McMaster University;
- (t) "Vice-Chair(s) of the Board" means Vice-Chair(s) of the Board of Governors of the University elected pursuant to Section 5 of this by-law No. 1;
- (u) "Provost" means the Provost and Vice-President (Academic) of the University;
- (v) "University Secretariat" means the office of the University Secretary
- (w) "University Secretary" means the chief administrative officer of the Board of Governors and the Senate, when the same individual holds the positions of Secretary of the Board of Governors and Secretary of the Senate;
- (x) "Vice-President" means a Vice-President of the University.
- Fiscal Year** 2. The fiscal year of the University shall end on the 30th day of April in each year.
- Corporate Seal** 3. The Corporate Seal of the University shall be in the form impressed on the master copy of the by-laws held in the University Secretariat. The Seal may be impressed with duplicate instruments, one of which shall be retained by the Board and the other by the Senate for use on documents made under their respective powers. The duplicate instrument of the Seal retained by the Board shall be kept in the custody of the Vice-President (Operations and Finance) or in the custody of such other person as the Board may decide by resolution.
- Powers of the President** 4. (1) The Board delegates to the President, pursuant to Section 9 (d) of the 1976 Act, the power to make appointments for a stated period of time to the University's teaching staff, provided that such appointments are within the limits of the University's approved budget. (See resolution attached as Appendix A-1.)
- (2) The Board delegates to the President or such other officer or employee as the President may from time to time designate, provided such alternative delegate is first approved in writing by the Board, the power of the Board under Section 9 (b) of the 1976 Act to appoint, promote, suspend or remove all officers, agents and employees of the University not identified in the

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- preamble of Section 9 (b) or in Section 9 (b), Sub-sections (i), (ii) and (iii).
(See resolution attached as Appendix A-2.)
- (3) The Board delegates to the President the power of the Board under Section 9 (b) of the 1976 Act to suspend members of the teaching staff. (See resolution attached as Appendix A - 3).
- Election of Chair and Vice-Chair** 5. (1) The Board shall elect a Chair and Vice-Chair(s) of the Board at its Annual Meeting in accordance with Section 8 (12) of the 1976 Act, each to serve for a term of one year from the 1st day of July following the election, provided, however, that the Chair and Vice-Chair(s) may be re-elected for one or more term(s).
- Election of Secretary** (2) The Board shall appoint a secretary who shall serve as Secretary of the Board during its pleasure.
- Meetings of the Board** 6. The Board shall meet not fewer than four times in each fiscal year at such times and at such places as may be determined from time to time by the Chair or by resolution of the Board. In addition, thereto, the Board shall hold an Annual Meeting within two months after the end of the University's fiscal year at such time and place as the Board may determine by resolution.
- Notice of Meeting** 7. Notice in writing of each regular meeting and the Annual Meeting shall be sent electronically by the Secretary of the Board, to Board members at least fourteen days in advance of the meeting date. The agenda for any such meeting shall be sent by the Secretary of the Board to all members of the Board at least seven days prior to the date of each such meeting and posted on the Secretariat website. The dates, times and places of all such meetings shall be made available to the University community and the community-at-large through posting on the University Secretariat's website [<http://secretariat.mcmaster.ca>] at least seven days prior to such meetings.
- Location of Meetings** 8. (1) All meetings of the Board shall be held in the Council Room, Gilmour Hall, unless the Chair of the Board directs that the meeting be held elsewhere.
- Recording Devices** (2) No form of recording device (photographic or electronic) or sound-amplifying device shall be permitted at any meeting of the Board with the exception of instruments for official use by the Board or with the express authority of the Chair of the Board.
- Quorum of the Board** (3) The quorum of the Board shall consist of twenty members of whom at least ten shall consist of members of the Board appointed or elected under clauses b, c, d, and j of subsection 1 of Section 8 of the 1976 Act.
- (4) The Chair of the Board, or in their absence the Vice-Chair of the Board, shall act as Chair at all meetings of the Board. In the absence of both the Chair and the Vice-Chair(s), a Chair shall be elected by a majority of the members present.

(5) The Chair shall conduct the proceedings in conformity with the by-laws and rules of procedure enacted by the Board and, in all cases not so provided, the following reference shall be used: M.K. Kerr and H.W. King, Procedures for Meetings and Organizations (Carswell Thomson Professional Publishing, third edition, 1996).

(6) The Chair shall preserve order and decorum at all meetings of the Board. Any person admitted to a meeting of the Board who, in the opinion of the Chair, misconducts themselves must withdraw from the meeting at the order of the Chair. In the event that such person refuses to withdraw, the Chair has the power to declare a short recess, or to adjourn the Board, and may declare that the continuation of such recessed or adjourned meeting shall be in Closed Session.

Closed Session

(7) The following matters, which shall be considered or dealt with by the Board in Closed Session, shall be placed at the end of the agenda:

- (a) nominations;
- (b) elections;
- (c) recommendations from the Senate concerning appointments, tenure, or promotion;
- (d) suspensions or removals;
- (e) agenda items concerned with remuneration of individuals;
- (f) agenda items concerned with contracts; and
- (g) any other matter deemed appropriate by the Board.

(8) The Board may by a majority vote of the members present at any meeting of the Board without debate request the Chair to declare the meeting, or any part thereof, a Closed Session.

**Request for
Appearance at the
Board**

(9) Any person may request an appearance before the Board for the presentation of a brief. The request will be considered by the Board if the request and brief are submitted to the Secretary of the Board at least three days prior to the date set for a Board meeting. The three-day period set out above may be waived by a two-thirds majority vote of the members present at such meeting. If the Board approves the request, the presentation may be made and shall not exceed the time limit prescribed by the Chair.

**Record of
Proceedings**

(10)

(a) A record of the proceedings of all meetings of the Board shall be made by the Secretary of the Board. Items of business dealt with by the Board in Closed Session shall appear as appendices to the record and such appendices shall be made available only to members and Observers of the Board unless otherwise ordered by the Board.

**Access to Minutes of
UPC**

(b) A request by a Senator, Board member or an Observer of either body for access to the minutes and records of the Board-Senate University Planning Committee (formerly the Board-Senate Committee on Long-

Range Planning) shall be submitted to the University Secretary. The University Secretary shall consult with the Chair of the Senate and the Chair of the University Planning Committee and shall determine whether access is to be granted and in what form.

Communications to the Board

- (11) Any person may communicate to the Board in writing on a matter of interest to the Board. Such communications shall be received by the Secretary of the Board at least three days before any meeting of the Board to permit time for distribution. Such a communication shall be dealt with by the Board under the agenda heading "Communications" which shall normally be the fourth item of business on the agenda. The time period as set out herein may be waived by a two-thirds majority vote of the members present at such meeting.

Amend By-laws

9. (1) A proposal to amend the by-laws of the Board shall be considered by the Board only at its regular meetings, and then only after notice of the proposed amendment has been given at a previous regular meeting of the Board.
- (2) Editorial revisions to the by-laws shall be considered and approved by the Executive and Governance Committee. Editorial revisions are non-substantive and include editing and formatting, updating titles, and correcting grammatical errors, etc.
- (3) In the event that a Standing Committee of the Board presents an amendment for approval together with a recommendation that the amendment is not considered to be substantive in nature, and provided that no member of the Board makes a request, either at or prior to the meeting, that the procedure specified in section 9(1) be followed, the Board may waive the requirement to review the amendment at a subsequent meeting and adopt such amendment with immediate effect. Any such recommendation made by a Standing Committee should be included in its written report and provided to members of the Board in advance of the relevant meeting.

Expectations for Board Members

10. (a)
- (1) An individual who has been otherwise properly appointed or elected to membership in the Board, or who occupies an office which entitles them to ex officio membership in the Board, shall, before taking up their duties as a member of the Board, review and subscribe to the "Statement of Expectations for Members of the McMaster University Board of Governors" as set forth in Appendix H (the "Statement of Expectations"), and shall deliver an executed copy of the Statement of Expectations to the Secretary of the Board of Governors. If any such person shall fail to do so, the Secretary of the Board of Governors shall notify the Chair of the Board.

(2) A member of the Board who has not subscribed to the Statement of Expectations shall not serve upon any committee of the Board.

Members' Minimum Attendance

10. (b) The Board may declare vacant the seat of any member who, without being granted leave of absence by the Board, fails to attend four consecutive meetings of the Board.

Honorary Governors Designation

11. The Board may designate from time to time, on the recommendation of the Nominating Committee, a person as an Honorary Governor. Such designations shall be made to a member retiring from the Board to recognise distinguished service to the Board over an extended period of time. A list of Honorary Governors shall be included under this heading together with any list of Board members. Honorary Governors shall be accorded all the rights and privileges extended to Observers of the Board.

Observers

12. (1) An individual shall be an Observer if they (a) are not a member of the Board; (b) holds one of the following offices; and (c) assumes the role of an Observer by notifying the Secretary of the Board in advance:

The Vice-Presidents

Chief Internal Auditor

The Senior Advisor to the President

The Assistant Vice-President (Communications and Public Affairs)

Assistant Vice-President (Administration) & Chief Financial Officer

Assistant Vice-President & Chief Facilities Officer

Assistant Vice-President & Chief Human Resources Officer

The Chair of any Standing Committee of the Board who is not a member of the Board, provided that the Chair of that Standing Committee may recommend that the Chair of the Board appoint another member of that Standing Committee as their designate

The President or designate of:

Graduate Students Association

McMaster Association of Part-time Students

McMaster Students Union

McMaster University Faculty Association

McMaster University Retirees Association

UNIFOR, Local 5555

(2) Observers shall be invited to attend meetings of the Board and shall receive such notices and other materials as are distributed to members of the Board in advance of such meetings. An Observer shall withdraw from a meeting of the Board in any of the following circumstances:

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- (a) if they would, if a member of the Board, be required to withdraw from such meeting because of the requirements of subsection 16 of Section 8 of the 1976 Act; or
- (b) if the meeting is a Closed Session where matters of a personal nature concerning an individual may be discussed and that individual so requests; or
- (c) if the Chair so directs.
- (3) Observers shall not vote but may be permitted to address the Board, when invited by the Chair to do so, in order to respond to questions or provide information to members regarding items under discussion.
- (4) By receiving confidential Board materials or by attending any Closed Session, each Observer agrees to preserve in confidence any matters treated as confidential to the University and any matters of a personal nature concerning an individual of which they become aware while acting in the capacity of Observer.
- Appoint Observers & Consultants** (5) The Chairs and/or Vice-Chair(s) of the Standing Committees of the Board may appoint observers and consultants to the Standing Committees of the Board. This Section 12 shall apply to all such persons so appointed.
- Access to Advice** 13. The Board and each of its Standing Committees shall have access to such legal, financial and other advice as may be required from time to time to enable the duties of the Board and its Standing Committees to be properly discharged.
- Senate Representatives** 14. The Board shall appoint annually at its Annual Meeting its member(s) to the Senate for a term of three years.
- Service on Committees** 15. Unless otherwise specified, the Board shall elect members to committees to serve for a period of one year or until their successors are elected or appointed.
- Ex Officio Members of Board Committees** (1) The President and the Chair and Vice-Chair(s) of the Board shall be ex officio members of all committees of the Board except that the President shall not be a member of the Audit and Risk Committee, the Human Resources Committee, the Board-Senate Research Misconduct Hearings Panel and the Board-Senate Hearing Panel for Discrimination, Harassment and Sexual Violence, and the Chair and Vice-Chair(s) of the Board shall not be members of the Board-Senate Hearing Panel for Sexual Harassment and Anti-Discrimination and the Board-Senate Research Misconduct Hearings Panel.
- Board Standing Committees** (2) The following committees shall be Standing Committees of the Board provided that it may from time to time appoint other committees for any purpose within its powers:
- Audit and Risk;
Executive and Governance;
Planning and Resources Committee;

Investment Pool Committee;
Nominating;
Pension Trust;
Committee on University Advancement;
Remunerations;
University Planning Committee;
Budget Committee;
University Student Fees Committee;
Human Resources;
Board-Senate Research Misconduct Hearings Panel;
Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual
Violence.

Committee Meetings

- (3) Normally, it is expected that members attend committee meetings in person. At the discretion of the Chair however, a member(s) who is (are) unable to attend in person may participate in that meeting by such means of telephone or other communication facilities that permit all members to communicate simultaneously and instantaneously. A member(s) participating in such a meeting by such means is (are) deemed to be present at the meeting. For those meetings, or portions thereof, held in Closed Session or in camera, it is expected that members participating by such means of telephone or other communication facilities will ensure that the necessary standards of confidentiality are maintained and that their participation is conducted in a setting that ensures such confidentiality.

Electronic Voting

- (4) At the discretion of the Chair, a committee may be asked to consider a matter outside of a committee meeting and to determine the matter by means of an electronic vote. Such matters would, in the judgment of the Chair, be time-sensitive and delay until the next regularly scheduled meeting would have an adverse effect or would, in the judgment of the Chair, normally require little, if any, discussion prior to voting. Members with concerns, who would like an item to be discussed by the committee in advance of the electronic vote, must notify the Secretary without delay. The Chair will then determine an appropriate course of action and inform the committee on the disposal of the matter.

Terms of Reference

- (5) Composition and Terms of Reference of Standing Committees of the Board:

(a) AUDIT AND RISK COMMITTEE

The Audit and Risk Committee shall be composed of the Chair and the Vice-Chair(s) of the Board, and a minimum of three other members of the Board. The Chair of the Committee shall be appointed by the Board on the recommendation of the Nominating Committee. Notwithstanding any other provisions in the By-laws, in any event, every Audit and Risk Committee member shall be an independent, external and unrelated Governor (not employed by the University nor enrolled in a course of study at the University). Members of the Audit and Risk Committee shall be financially

literate, with the ability to read and understand financial statements of the breadth and complexity comparable to those of the University. Optimally, at least one member of the Committee a professional accounting designation.

One half of the membership of the Committee shall constitute a quorum.

The following individuals will normally be invited to attend Audit and Risk Committee meetings: the President, the Provost, the Vice-President (Operations and Finance), the Assistant Vice-President (Administration) and Chief Financial Officer, and the Chief Internal Auditor.

Meetings shall be held as required or upon the request of a member of the Audit and Risk Committee or of the University's internal or external auditors. The Committee Chair shall review an agenda in advance of each meeting.

The Audit and Risk Committee assists the Board in fulfilling its oversight responsibilities for the financial reporting process, the system of internal control, the audit process, the risk profile of the University and the University's processes for monitoring compliance with laws, regulations and University policies.

The primary responsibilities of the Committee are:

1. **Financial Statements:** to oversee the system of internal control and the financial reporting process. In fulfilling this responsibility, the Committee shall:
 - a. meet with the external auditors and review the results of the annual financial statement audit and approve such statements for recommendation to the Board;
 - b. review other sections of the annual report, including Management's Discussion and Analysis, and any report or opinion that the auditors propose to render, and consider the accuracy and completeness of the information;
 - c. review and discuss with management and the external auditors significant variances, estimates and accruals, judgments, changes in accounting policies and standards, issues concerning litigation or contingencies and any difficulties encountered;
 - d. review any recent and relevant professional and regulatory pronouncements to understand their impact on the financial statements;
 - e. review and discuss with management whether adequate procedures and processes are in place to ensure the integrity of the financial statements;

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- f. review the appropriateness of significant accounting principles and practices, reporting issues, unusual or extraordinary items, transactions with related parties and the adequacy of disclosures; and
 - g. consider whether the financial statements are complete and consistent with information known to Committee members.
2. **Internal Control:** to oversee the internal control structure and processes, the Committee shall:
- a. review with management and the internal and external auditors, their evaluation of the University's internal controls and processes, including internal controls over financial reporting, compliance with University policies and any material weaknesses or fraud and assess the steps management has taken to minimize significant risks or exposures; and
 - b. consider the effectiveness of the internal control system, including information technology security and control.
3. **External Audit:** to oversee the external audit process, the Committee shall:
- a. select and recommend annually the public accountants for appointment as auditors for the ensuing fiscal year and, in consultation with the administration, the basis of their compensation;
 - b. approve the engagement letter, receive the independence letter and review the management letter and related materials;
 - c. discuss with the external auditors the scope and purpose of the upcoming audit and the procedures to be followed including coordination with internal audit;
 - d. review all matters required to be communicated to the Committee under Generally Accepted Auditing Standards;
 - e. review with the external auditors their findings, any restrictions on their work, cooperation received, and their recommendations and facilitate the resolution of any disagreements between management and the external auditors;
 - f. receive privately the external auditors' opinion on various matters, including the quality and effectiveness of financial and internal audit staff, significant accounting principles and practices, unresolved material differences of opinion or disputes;
 - g. periodically review and approve a policy governing the engagement of the external auditors for the provision of non-audit services; and

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- h. annually review and assess the independence and performance of the external auditors.
4. **Internal Audit:** to oversee the internal audit function and reports, the Committee shall:
- a. review with the Chief Internal Auditor a summary of findings, any restrictions or limitations on their work, cooperation received, special investigation reports, findings from third party auditors (not including work performed by the appointed external auditors), and any recommendations arising therefrom;
 - b. review the proposed audit plans for the coming year, the criteria upon which they are based and the coordination of services provided to the external auditors;
 - c. periodically review and approve the internal audit mandate (the Internal Audit Department Policy Statement) for continued relevance;
 - d. review audit progress, findings, recommendations, responses and follow-up actions; in situations where the auditee has not responded appropriately in a timely fashion to the audit findings, follow-up and obtain a management response on those action items which remain outstanding for a significant period of time;
 - e. satisfy itself as to internal audit independence, cooperation received from management, interaction with external audit and any unresolved material disagreements with management;
 - f. review the budget, organizational structure, and qualifications of the internal audit department;
 - g. through its Chair, act as the formal supervisor of the Chief Internal Auditor and in consultation with the President and the Vice-President (Operations and Finance), have the final approval to appoint or discharge the Chief Internal Auditor and complete an annual performance review of the Chief Internal Auditor;
 - h. periodically review the effectiveness of the internal audit activity; and
 - i. meet privately with the Chief Internal Auditor at least quarterly.
5. **Compliance:** to oversee compliance-related issues, the Committee shall:
- a. obtain regular updates from management and legal counsel regarding legislative and regulatory compliance and outstanding litigation matters;

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- b. review the effectiveness of the system for monitoring compliance with laws and regulations and the results of management's investigation and follow-up (including disciplinary action) of instances of non-compliance;
 - c. review the findings of any examinations by regulatory agencies; and
 - d. review the process for communicating conflict of interest and code of conduct policies to employees and monitoring compliance.
6. **Enterprise-wide Risk Management:** to oversee the University's risk management framework which shall include approval of Management's proposed Risk Appetite Statement and review of:
- a. the identification and quantification of all significant risks (e.g. strategic, financial, operational, reputational etc.) the University is exposed to;
 - b. the University's appetite and tolerance for these risks on both an inherent and residual basis;
 - c. Management's strategy and controls for managing these risks;
 - d. the roles and responsibilities for risk identification and management including risk ownership;
 - e. risk monitoring and reporting;
 - f. emerging risks including risk horizon, likelihood and severity of such risks;
 - g. opportunities identified by Management for the future growth of the University

and shall provide input as appropriate as to the overall risk culture and tolerance of the University. The Audit and Risk Committee shall be satisfied that Management operates within the University's approved Risk Appetite Statement

7. **Reporting:** to fulfill its reporting responsibilities, the Committee shall:
- a. report to the Board of Governors as required about Committee activities, issues, and related recommendations;
 - b. report to the Board of Governors, on its review of Management's proposed Risk Appetite Statement and present a final version for approval by the Board

- c. complete periodic self-assessments of the Audit and Risk Committee's effectiveness against its mandate and report any concerns to the Board;
- d. periodically review the Terms of Reference of the Audit and Risk Committee and recommend any proposed changes for consideration by the Board of Governors; and
- e. perform other activities as requested by the Board.

8. Other duties:

- a. oversee the work of any public accounting firm engaged by the University where such work would be defined as "public accounting" within the meaning of the standards of the Canadian Institute of Chartered Accountants;
- b. investigate any matter brought to its attention with full access to all books, records, facilities and personnel of the University; and
- c. review and ensure that procedures are in place for the receipt, retention and treatment of complaints regarding accounting, internal accounting controls or audit matters.

(b) EXECUTIVE AND GOVERNANCE COMMITTEE

The Executive and Governance Committee of the Board shall be composed of the Chair and the Vice-Chair(s) of the Board, and representatives from every Board Committee, including but not limited to:

- Planning and Resources Committee Chair
- Audit and Risk Committee Chair
- University Advancement Committee Chair
- Investment Pool Committee Chair
- Remunerations Committee Chair
- One Board member who shall also be a member of the Pension Trust Committee, and as ex officio members, the Chancellor, the President, the Provost, and the Vice-President (Operations and Finance). The Chair of the Board shall be the Chair of the Committee. Five members of the Committee shall constitute a quorum.

The Executive and Governance Committee shall, between meetings of the Board, consider and take appropriate action on matters pertaining to the affairs of the Board, as referred to it by the Chair of the Board, the Standing Committees of the Board, the President or the Vice-Presidents. All decisions made by the Committee on behalf of the Board shall be reported to the Board at its next meeting and shall be subject to confirmation by the Board except

that when unusual or urgent matters require decision the action of the Committee shall be brought to the attention of the Board at its next meeting for information only.

The Executive and Governance Committee shall make recommendations to the Board on the appropriate form of all by-laws of the Board and on any alteration or other matter pertaining to such by-laws.

The Executive and Governance Committee shall:

- Annually review and endorse the Strategy & Priorities put forward by the President for the upcoming Academic year, to be provided to the Board for approval.
- Annually review and endorse the list of key performance metrics to be presented by University leadership to the Board throughout the year.
- Annually develop a Board Workplan, taking into account the President's priorities and other areas of interest to the Board for the upcoming Academic year.
- Annually review Terms of Reference and Calendar/Workplan for each Committee and make recommendations to Committee Chairs consistent with the Governance Agenda.
- Annually review the performance and effectiveness of the Board of Governors, and make recommendations to the Board regarding board composition, processes & practices, training, and other matters that may serve to improve overall University Governance.

(c) PLANNING AND RESOURCES COMMITTEE

The Planning and Resources Committee shall be composed of not fewer than five members of the Board in addition to the Chair and the Vice-Chair(s) of the Board, the Chair of the Audit and Risk Committee, the President, the Provost, and Vice-Presidents (or a designated delegate) as ex officio members. One-half of the membership of the Committee, excluding the President and Vice-Presidents, shall constitute quorum.

The primary responsibilities of the Planning and Resources Committee are:

Financial Affairs

1. Provide oversight of the financial affairs of the University and keep the Board informed thereon;
2. Approve financial expenditures as required by *the Approval and Signing Authority Policy* ~~McMaster's Board by-law Appendix E – Resolution Respecting the Execution of Instruments by McMaster University;~~
3. Review, at least once annually, interim financial statements in comparison with budgets;
4. Review final annual budgets and make recommendations to the Board;

5. Review and oversee the establishment of adequate financial controls to ensure the implementation of policies and decisions adopted by the Board, including budgetary matters;
6. Provide oversight of investment policies and the management of McMaster's investments and delegate such responsibilities as it sees fit to the University Administration in the implementation of established policies;
7. Recommend to the Board of Governors the establishment and collection of fees and charges for tuition on behalf of any entity or organization of the University.

Capital Planning and Construction

1. Review and approve plans for capital expenditures and all matters relating to building, expansion, maintenance or alteration of the physical resources of the University, as required by the *Approval and Signing Authority Policy Board of Governors by-law Appendix E – Resolution Respecting the Execution of Instruments by McMaster University*;
2. Review and approve the award of contracts and the selection of professional consultants;
3. Ensure capital projects and expenditures are within the resources of the University;
4. With the approval of the Board, determine limits within which authority for commitment of funds may be delegated to University officials.
5. When making decisions regarding building on campus, the Committee will consider factors that impact the aesthetic quality of campus, as well as the surrounding community.

The Committee shall be responsible for reviewing projects and proposals with consideration to both financial and planning aspects of University business.

The Investment Pool Committee

The Investment Pool Committee shall be a subcommittee of the -Planning and Resources Committee and shall consist of not fewer than six members, as follows: at least two current members of the Board, appointed by the Board; two members with investment expertise appointed by the -Planning and Resources Committee; the Assistant Vice-President (Operations and Finance), and the Treasurer. The President and Vice-President (Operations and Finance) shall be ex officio members, but shall have no vote. The Chair shall be designated by the Board of Governors from the Board appointed members on the Committee.

Four members of the Committee shall constitute a quorum.

Appointments shall become effective on July 1 and members shall hold office for a period of one year. Members shall be eligible for re-appointment.

The overall objective of the Investment Pool Committee is to bring advice and knowledge to the effective management of the investments included in the University's Investment Pool, consistent with the approved fund objectives.

Within this context, the Committee shall:

1. review investment policies, objectives, strategies and make recommendations to the Planning and Resources Committee;
2. make recommendations to the Planning and Resources Committee concerning the engagement and termination of investment managers and consultants;
3. review and approve mandates and investment objectives given to individual investment managers;
4. meet quarterly to monitor investment performance of the total Fund and of individual managers;
5. meet regularly with external investment managers;
6. monitor operating expenses such as fees paid to external fund managers, consultants, fund measurement services and custodians;
7. monitor rebalancing of funds among the investment managers and exposure to non-Canadian currencies; and
8. provide semi-annual performance reports to the Planning and Resources Committee.

(d) NOMINATING COMMITTEE

The Nominating Committee shall be composed of the Chair of the Board who shall be the Chair of the Committee, the Vice-Chair(s) of the Board, the President, the Chancellor, and three or more additional members of the Board. One-half the members of the Committee, other than the President, shall constitute a quorum.

The Nominating Committee of the Board shall consider and recommend to the Board persons to be elected under Section 8 (1) (b) of the 1976 Act, the membership and Chairs of Board Committees (and Vice-Chair if appropriate), Board members to serve on University/ Hospital Liaison Committees, Honorary Governors, and the Chair, Vice-Chair(s), and Secretary of the Board, and such other offices as may be referred to the Committee by the Board.

(e) PENSION TRUST COMMITTEE

The Pension Trust Committee shall be composed of the Chair and the Vice-Chair(s) of the Board, the President and the Vice-President (Operations and Finance) as ex officio members; four members appointed by, but not necessarily from, the Planning and Resources Committee of the Board; eight members of the Pension Plan, three of whom shall be appointed by the McMaster University Faculty Association, one of whom normally shall be appointed from the professional librarians; one of whom shall be appointed by the McMaster University Clinical Faculty Association; two of whom shall be appointed by UNIFOR, Local 5555; one of whom shall be appointed by the McMaster University Retirees Association; and one of whom shall be appointed by the President, in consultation with the Assistant Vice-President, Human Resources, from The Management Group.

Eight members of the Committee shall constitute a quorum.

Appointments shall become effective on July 1, and members shall hold office for a period of one year but any member shall be eligible for re-appointment. If a vacancy occurs during the year, a replacement shall be appointed within sixty days in the same manner as the prior appointment. The Pension Trust Committee shall elect a Chair from among its members.

The Committee shall:

1. Recommend to the Board general pension investment policy and the annual Statement of Investment Policies and Objectives for submission to the Financial Services Commission of Ontario;
2. Monitor and review performance of Investment Consultants and Fund Managers:
 - a. Make recommendations to the Board with respect to situations of deviation or proposed deviation by Fund Managers from the Statement of Investment Policies and Procedures;
 - b. Make recommendations to the Board on the appointment or replacement of such Investment Consultants and Fund Managers;
3. Monitor the annual calculation of the “Net Interest on the Fund” and the “Annual Pension Increase”;
4. Discuss and promote awareness and understanding of the pension plan by members of the plan and persons receiving benefits under the plan;
5. Comment and make recommendations to the Planning and Resources Committee on
 - a. the performance and appointment of the actuary; and

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- b. the actuarial methods and assumptions used in determining the financial condition of the pension plan and the contributions to the pension plan;
 6. Comment and make recommendations to the Planning and Resources Committee on proposed changes to the pension plan text, and propose changes to the pension plan text;
 7. Monitor at least annually the administrative expenses paid from the pension plan, and determine whether they are appropriate. Changes in the nature and structure of administrative expenses paid may be approved by the Board only if recommended by the Pension Trust Committee as a result of a ballot of all Pension Trust Committee members.

(f) COMMITTEE ON UNIVERSITY ADVANCEMENT

The Committee on University Advancement shall be composed of the Chancellor, the Chair and the Vice-Chair(s) of the Board, the President and the Vice-President (University Advancement) as ex officio members, and up to six other members, at least half of whom shall be members of the Board. One-half of the members of the Committee shall constitute a quorum.

The Committee shall make recommendations to the Board on policy matters related to institutional advancement, including external and internal communications, fund-raising, alumni relations, development and public relations.

(g) REMUNERATIONS COMMITTEE

The Remunerations Committee shall be composed of not fewer than three members of the Board, in addition to the ex officio members who shall be the Chair and the Vice-Chair(s) of the Board, the President and the Vice-President (Operations and Finance). No employee of the University, other than the President and the Vice-President (Operations and Finance), shall be a member of the Remunerations Committee. Three members of the Committee, other than the President and Vice-President (Operations and Finance), shall constitute a quorum.

The primary function of the Remunerations Committee shall be to recommend to the Board policies regarding salaries, wages, benefits and other forms of remuneration and to provide advice, as necessary, to the University Administration in implementing and administering such policies.

In making its recommendations, the Committee shall have regard to the policies of the University as approved by the Planning and Resources Committee and the Board.

(h)UNIVERSITY PLANNING COMMITTEE *

The University Planning Committee shall consist of the Chancellor; the Chair of the Board (or delegate); the Vice-Chair(s) of the Board (or delegate); the President; the Provost, who shall be Chair; the Vice-President (Operations and Finance); the Vice-President (Research); the Vice-Provost and Dean of Graduate Studies; six faculty members, one from each Faculty, elected for staggered three-year terms; one Faculty Dean elected annually (by and from the six Faculty Deans); one non-teaching staff member, elected for a three-year term; one graduate student, elected for a two-year term; and one undergraduate student, elected for a two-year term. The following persons shall be Observers to the University Planning Committee: the Dean and Vice-President (Health Sciences) or delegate; the Vice-President (University Advancement); the Associate Vice-President (Students and Learning) and Dean of Students; and the Chair of Undergraduate Council. The provisions of Section 12 of this by-law No. 1 shall apply to such Observers. One-half of the membership, excluding ex officio members, shall constitute a quorum.

The election of faculty, staff and student members to the University Planning Committee shall be conducted by the University Secretary and shall adhere to the Board of Governors Election By-Laws.

The University Planning Committee's fundamental mandate is to coordinate academic and resource planning so that the Senate and the Board may be assured that any proposal presented for approval has academic merit that supports the mission of the University and that resources necessary for the implementation of any proposal have been appropriately assessed. In this context the University Planning Committee shall:

1. review the Plan for the University annually, and recommend revisions to it as necessary, for approval by the Senate and the Board;
2. review, for recommendation to the Senate and the Board, major initiatives (including those which are part of submissions to external agencies) that have significant resource implications, providing comment on how the proposals fit within the University Plan;
3. review and receive annual planning reports as prescribed by the Provost from the Faculties, the School of Graduate Studies, the Associate Vice-President (Academic), the Associate Vice-President (Student Affairs) and Dean of Students, the University Registrar, the University Librarian, and other units (as appropriate) that report directly to the Provost, providing comment on how the plans relate to overall University planning and current budgeting. Approved plans are to be reported to the Senate and the Board for information;
4. review and receive annual planning reports as prescribed by the Vice-President (Operations and Finance) from those administrative and service units that report directly to the Vice-President (Operations and

Finance), providing comment on how the plans relate to overall University planning and current budgeting. Approved plans are to be reported to the Senate and the Board of Governors for information;

5. review and receive annually a report from the Vice-President (Research) on the major operations, institutes, and initiatives that receive significant support from the budget envelope of the Vice-President (Research), and on the anticipated impact of new funding opportunities (from federal, provincial, or private agencies or businesses) as they arise. Approved plans are to be reported to the Senate and the Board for information;
6. receive annually from the Vice-President (University Advancement) a report on advancement efforts of the previous year and review, for recommendation to the Senate and the Board, future fund-raising priorities and their relationship to the University Plan;
7. provide commentary, with reference to the University Plan and the McMaster University Campus Master Plan, to the relevant committee of the Board of Governors on proposals for capital development and other expenditures that fall outside the annual budget (such as those encompassed by the Capital Renewals process). For all major projects, the University Planning Committee will be provided with a total impact analysis that assesses the ongoing costs of maintenance, utilities, etc.;
8. review, for recommendation to the Senate and the Board, the annual report on the McMaster University Campus Master Plan, including any updates, amendments and elaborations; and
9. report to the Senate and the Board any matters of concern formally identified as such by a majority of the Committee.

The Budget Committee

The Budget Committee shall be a subcommittee of the University Planning Committee with membership drawn from the University Planning Committee as follows: the President, the Provost, the Vice-President (Operations and Finance), three faculty members (one of whom shall serve as Chair), one member of the non-teaching staff, one graduate student, one undergraduate student. Two-thirds of the membership shall constitute a quorum. If more than two members are absent when a vote is taken on the final budget, the vote must be confirmed by mail ballot.

The Chair of the Budget Committee shall be elected annually by the University Planning Committee from among the faculty members on the University Planning Committee following nomination by the Chair of the University Planning Committee and a call for further nominations. The other two faculty members on the Budget Committee shall be selected subsequently by and from the six faculty members on the University Planning Committee for

service commencing July 1 or immediately following a vacancy. The Chair may vote on all questions.

The Budget Committee shall:

1. review the budget framework prepared by the University administration in consultation with the Office of Institutional Research and Analysis, including any changes to the McMaster Budget Model; this framework (including the models and projections upon which it is based) will be provided to the Joint Administration/Faculty Association Committee to Consider University Financial Matters and to Discuss and Negotiate Matters Related to Terms and Conditions of Employment of Faculty (The Joint Committee) as will updates to the framework should these arise;
2. receive and respond to budget submissions from all Faculties, areas, and units;
3. make budget recommendations available to the University Planning Committee during development of the recommendations, for comment on whether those recommendations are congruent with the University Plan; deliver the final budget to the University Planning Committee in a timely fashion to ensure that it is in a position to make comments in advance of the budget being transmitted to other deliberative bodies;
4. make budget recommendations available to the University Senate for comment before they are transmitted by the President to the Planning and Resources Committee of the Board; and
5. deliver budget recommendations to the President of the University for transmittal to the Planning and Resources Committee of the Board. Any comments of the University Planning Committee and Senate shall be included in the material for the Board, along with the President's own comments.

* The University Planning Committee is a joint Board-Senate Committee and is the successor to the Board-Senate Committee on Academic Planning. It is also the successor to the Board-Senate Committee on Long-Range Planning named in the 1976 Act. All references to the Board-Senate Committee on Long-Range Planning in the 1976 Act shall be deemed henceforth to refer to its successor, the University Planning Committee.

The **University Student Fees Committee** shall be a sub-committee of the University Planning Committee with the following membership:

Ex Officio

Deputy Provost - Chair

Associate Vice-President (Students and Learning) and Dean of Students -
~~Co-Chair~~

Vice-Provost and Dean of Graduate Studies —~~Co-Chair~~
Vice-Provost (Faculty)
Associate Vice-President, Finance and Planning (Academic)
Executive Director, Education Services, Faculty of Health Sciences
Controller, Financial Services
University Registrar

Student Members

Graduate Student Representative – selected from applicants for a one-year term

Full-time Undergraduate Student Representative – selected from applicants for a one-year term

Part-time Undergraduate Student Representative – selected from applicants for a one-year term

**Student positions are renewable once.*

Consultants

Director, Finance and Administration, Student Affairs

Associate Registrar and Graduate Secretary, School of Graduate Studies

Assistant Registrar, Government Aid Programs

Manager, Accounts Receivable, Financial Affairs

Two staff members from Financial Affairs (approved by the Committee annually)

Two staff members from Institutional Research and Analysis (approved by the Committee annually)

The University Student Fees Committee shall:

- (i) recommend all revisions to tuition (undergraduate and graduate degree, diploma and certificate) and supplementary fees to the Budget Committee;
- (ii) establish deadlines for the submission of all proposed tuition and supplementary fees to the University Student Fees Committee;
- (iii) recommend policy guidelines to the Budget Committee that outline services and materials for which fees can be charged;
- (iv) recommend policy guidelines to the Budget Committee for charging fees for existing and new programs that are not funded through grants from the Ministry of Colleges and Universities;
- (v) ensure that all proposed changes to existing student fees and all proposed new fees are reasonable, conform to government regulations and have been approved through appropriate processes within the University; and
- (vi) ensure that proposed changes to student fees are feasible and do not involve undue complications to calculate and administer; where appropriate, determining the most “tax efficient” method for students who are being charged these fees.

All meetings of this Committee are in Closed Session

Board of Governors
~~December 17, 2020~~ June 9, 2022

(i) HUMAN RESOURCES COMMITTEE

The Human Resources Committee shall be composed of the Chair, the Vice-Chair(s), the Chair of the Remunerations Committee of the Board and the Chair of the Planning and Resources Committee of the Board. A majority of the members of the Committee shall constitute a quorum.

The Committee shall:

1. Negotiate and approve the terms of the President's contract of employment. A summary of the contractual terms shall be reported to the Board for information and prior to the relevant Board meeting a complete copy of the contract shall be made available through the office of the Secretary of the Board for Board members to review;
2. Evaluate, at least annually, the performance of the President;
3. Annually determine the remuneration of the President, including the payment of any bonuses or other awards. The Committee shall report the outcome of its deliberations, together with any agreed changes to the terms of the President's contract, to the Board for information;
4. Review and approve the terms of the Vice-Presidents' contracts of employment prior to appointment or renewal. A summary of the terms of such contracts shall be reported to the Board for information;
5. Annually review the President's assessment of the performance of the Vice-Presidents and approve any resultant recommendations regarding remuneration or the payment of any bonuses or other awards. Any such changes to remuneration or other contractual terms shall be reported to the Board for information;
6. Receive, at least annually, a report on the performance of assistant and associate vice-presidents, as well as other senior executives as requested by the Committee;
7. Review the contracts of employment of such other senior executive staff as the Committee shall determine or the Board shall request from time to time and report any concerns arising from such reviews to the Board.
8. Annually receive a report on succession planning at the senior executive level and assist the administration where appropriate;

The Committee shall be provided with such current, comprehensive market and comparative data regarding compensation and contractual terms as it shall require in order to undertake its work.

President's Performance Review Process:

The evaluation of the President's performance as specified in paragraph 2 above, shall include the following:

1. The Committee shall receive and review, annually, a written report from the President describing the President's progress against the specific goals and priorities approved by the Committee at the beginning of the assessment period. In addition to highlighting progress made against those goals, the report should also outline additional initiatives, matters and issues addressed during the assessment period, as well as any areas of concern, along with commentary on what will be done to address these going forward.

2. The Committee shall adopt a "Knowledgeable Other" process to assess the effectiveness of the President. Annually, the HR Committee and the President shall mutually agree on a reasonable number of Knowledgeable Others who have had exposure and are familiar with aspects of the President's work and priorities over the past year. The Board Chair shall seek input in writing from the Knowledgeable Others and shall consolidate the feedback (on an anonymous basis) into appropriate themes for sharing and discussion with the HR committee, and with the President.

3. Should the Committee determine in any particular assessment period that more comprehensive input on the President's performance from a broader group of stakeholders is needed, the HR Committee may establish an "HR Advisory Panel", whose members shall be decided in the sole discretion of the HR Committee. The HR Advisory Panel shall be provided with a "Terms of Reference" for gathering and consolidating input from specific stakeholders, potentially both internal and external to the University. The HR Advisory Panel shall compile a written report of its findings to be shared and discussed with the HR Committee, and with the President.

**(j) BOARD-SENATE RESEARCH MISCONDUCT HEARINGS
PANEL**

The Board-Senate Research Misconduct Hearings Panel shall consist of eighteen tenured faculty members appointed by the Senate after consultation with the Faculty Association, three graduate and three undergraduate students appointed by the Senate, and twelve full-time staff members who have been employees of the University for at least two years appointed by the Board of Governors after consultation with the appropriate staff associations. Members of the Panel shall be appointed for staggered renewable three-year terms. The Chair and one Vice-Chair of the Panel shall be appointed by Senate from among the tenured faculty members; one Vice-Chair shall be

appointed by the Board of Governors from among the staff members. In addition, the Chair of the Panel has the authority to appoint, on an ad hoc basis, faculty, staff and student who are not members of the Panel to serve on Hearings Committees as auxiliary Panel members. For meetings of the Panel that do not relate to a specific case, fifteen members of the Panel constitute a quorum.

The Board-Senate Research Misconduct Hearings Panel shall:

1. receive all cases of alleged research misconduct referred to it and arrange the adjudication of them in accordance with the procedures outlined in the Research Integrity Policy and approved by the Senate and the Board of Governors, and
2. when deemed appropriate, review the policy and procedures relating to academic ethics and allegations of research misconduct and make recommendations to the Senate and the Board of Governors on policy changes or new policies deemed necessary by the Panel. The hearing of any case referred to the Panel shall be conducted before a Hearings Committee, established according to the procedures outlined in the Research Integrity Policy.

The conduct of hearings before a Hearings Committee of the Board-Senate Research Misconduct Hearings Panel shall be in accordance with the procedures outlined in the Research Integrity Policy.

(k) BOARD-SENATE HEARING PANEL FOR DISCRIMINATION, HARASSMENT AND SEXUAL VIOLENCE

The Board-Senate Hearing Panel for Discrimination, Harassment and Sexual Violence shall consist of six faculty members, three undergraduate students and three graduate students appointed by the Senate; and six staff members appointed by the Board. The Chair and one Vice-Chair shall be appointed by the Senate from among the faculty members appointed by the Senate, and one Vice-Chair shall be appointed by the Board from among the members appointed by the Board. Student members shall serve for staggered two-year terms and faculty and staff members for staggered three-year terms. No member shall serve for more than two consecutive terms, but on the expiration of two years after having served the second of two consecutive terms, such person may again be eligible for membership on the Hearing Panel. In addition, the Chair of the Panel has the authority to appoint, on an ad hoc basis, faculty, staff and students who are not members of the Panel to serve on Hearings Committees as auxiliary Panel members. For meetings of the Panel that do not relate to a specific case, ten members of the Panel constitute a quorum.

The Board-Senate Hearing Panel for Discrimination, Harassment and Sexual Violence shall:

1. receive all Referrals to Hearing/Formal Requests for a Hearing and arrange for their adjudication in accordance with the relevant procedures approved by the Senate and the Board, and
2. when deemed appropriate, review the policy and procedures relating to discrimination, harassment, and/or sexual violence and make recommendations, through the Senate Executive Committee, to the Senate and the Board on policy changes or new policies deemed necessary by the Panel.

The hearing of any case shall be before a Tribunal, consisting of three members of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence. These members shall be free of conflict of interest and shall be chosen by the Chair, or a Vice-Chair as appropriate, of the Hearing Panel in accordance with procedures approved by the Senate and the Board.

Hearings before a Tribunal of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence shall be conducted in accordance with the procedures approved by the Senate and the Board.

- | | | |
|--|-----|---|
| Conflict of Interest | 16. | At any meeting of the Board or of any committee of the Board, changes in remuneration of employees of the University shall be deemed not to be a proposed contract within the terms of Section 8, subsection 16 of the 1976 Act. |
| Board-Senate Committee to Recommend a President | 17. | From time to time, as required, the Board shall appoint five of its members to a Board-Senate Committee to Recommend a President, one of whom shall be from those appointed under Section 8 (1) (d) of the 1976 Act, one member from those elected under Section 8 (1) (i), one member from those elected under Section 8 (1) (f), and two members shall be from among the persons elected or appointed under Sections 8 (1) (b), 8 (1) (c) or 8 (1) (j) of the 1976 Act. |

BY-LAW NO. 2

being a by-law relating to the elections to the Board.

Election by the Board

1.
 - (1) The term of office of each of the members to be elected under Section 8 (1) (b) of the 1976 Act shall end on June 30th of the last year of the designated term for which the member was elected so that the terms of not more than four members shall expire in any one year;
 - (2) The candidates for election under Section 8 (1) (b) of the 1976 Act shall be nominated by the Nominating Committee of the Board or by individual members of the Board, provided that nominations of candidates by individual members shall be filed with the Chair of the Nominating Committee not later than three weeks preceding the date of the election, and the consent of the nominee shall be secured before such nomination is filed;

- (3) The Board shall conduct its election at a regular meeting in June of each year, having notified its members at least two months prior to the date of the election. In the event that more candidates than are required are nominated, voting shall be by secret ballot, and the candidates receiving the greatest number of votes shall be declared elected;
- (4) When two or more candidates receive the same number of votes and are thus prevented from being declared elected, a new election shall be held, confined to such candidates, under similar conditions to elect one candidate.

Election by
Teaching Staff

2.

- (1) The election of members by the teaching staff under Section 8 (1) (f) of the 1976 Act shall be held annually and completed by April 30th;
- (2) The terms of office of each member to be elected under Section 8 (1) (f) shall end on June 30th of the last year of the designated term for which the member was elected so that the terms of not more than two members shall expire in any one year;
- (3) A notice defining eligibility requirements shall be posted on the McMaster Daily News website [<http://dailynews.mcmaster.ca>] and on the University Secretariat's election website <https://secretariat.mcmaster.ca> throughout the nomination period;
- (4)
 - a) For seats on the Board of Governors, any member of the teaching staff may be nominated as a candidate for election provided the written consent of the nominee has been filed with the Secretary of the Board and the nomination paper has been signed by three members of the teaching staff;
 - b) Seats on the University Planning Committee are Faculty specific (one member from each Faculty). Teaching staff may be nominated as a candidate from their Faculty for election provided the written consent of the nominee has been filed with the Secretary of the Board and the nomination paper has been signed by three members of the teaching staff from the same Faculty as the candidate. The Dean of the Faculty shall review the nominations and make any additional nominations as deemed necessary to ensure an election. A separate election shall be held for each faculty seat and eligible voters will be from the relevant Faculty;
- (5) The nominations must be received by the Secretary of the Board not later than three weeks prior to the election. The Secretary of the Board shall, as soon as possible following the close of the election period, prepare a list of candidates whose eligibility has been validated by the Assistant Vice-President, Human Resources, such list to be posted on the McMaster Daily News website and on the University Secretariat's election website at least two weeks prior to the election;

- (6) Eligible voters may cast their votes via the link to the election software provided by the University Secretariat, such votes to be cast no later than April 30, the precise dates to be determined by the Secretary of the Board. Detailed instructions for the conduct of elections shall be posted on the University Secretariat election website.
- (7) The ballots shall be counted under the supervision of the Secretary of the Board. The candidate having the greatest number of votes using the transferable vote system shall be declared elected;
- (8) Where two or more candidates receive the same number of votes and are thus prevented from being declared elected, a new election shall be held, confined to such candidates, under similar conditions to elect one candidate.

**Election by
Undergraduate
Students**

3.

- (1) The nomination and election of a member by the undergraduate students under Section 8 (1) (g) of the 1976 Act, shall be conducted during the period January 15 – March 31 (primary election period). In the event that the undergraduate student position is vacant at the end of the first week of September, a secondary election shall be conducted and completed by October 31;
- (2) The term of a member to be elected under Section 8 (1) (g), during the primary election, shall commence on July 1 following the election, and the term of a member elected during the secondary election shall be deemed to have begun on the previous July 1;
- (3) Any undergraduate student whose registration has been recorded by the University Registrar as a student, as defined by the 1976 Act, is eligible to vote;
- (4) Any undergraduate student eligible to vote may be nominated as a candidate for election, provided written consent has been filed with the Secretary of the Board and the nomination paper has been signed by at least three undergraduate students eligible to vote;
- (5) At the beginning of the election period a notice defining eligibility requirements shall be posted on the McMaster Daily News website and on the University Secretariat election website;
- (6) Nominations must be received by the Secretary of the Board not later than the end of the first week of February (the end of the first week of October)* in the year of election;
- (7) A list of eligible candidates whose status has been validated shall be posted, as soon as possible after the close of nominations, on the McMaster Daily News website and on the University Secretariat election website at least ten days prior to the election day(s). A copy of the campaign regulations (see

Appendix I) will be provided to each candidate and posted on the University Secretariat election website;

- (8) Eligible voters may cast their votes via the link to the election software provided by the University Secretariat, such votes to be cast no later than March 31 (October 31)*, the precise dates to be determined by the Secretary of the Board. Detailed instructions for the conduct of the election shall be posted on the University Secretariat election website;
- (9) The ballots shall be counted under the supervision of the Secretary of the Board. The candidate having the largest number of votes using the transferable vote system shall be declared elected;
- (10) Where two or more candidates receive the same number of votes and are thus prevented from being declared elected, a new election shall be held, confined to such candidates, under similar conditions to elect one candidate.

* Secondary election

Election by
Graduate Students

4.

- (1) The nomination and election of a member by the graduate students under Section 8 (1) (h) of the 1976 Act, shall be conducted during the period January 15 – March 31 (primary election period). In the event that the graduate student position is vacant at the end of the first week of September, a secondary election shall be conducted and completed by October 31;
- (2) The term of a member to be elected under Section 8 (1) (h) during the primary election shall commence on July 1 following the election, and the term of a member elected during the secondary election shall be deemed to have begun on the previous July 1;
- (3) Any graduate student, whose registration has been recorded by the University Registrar as a student, as defined by the 1976 Act, is eligible to vote and may be nominated as a candidate for election provided consent has been filed with the Secretary of the Board and the nomination paper has been signed by at least three graduate students eligible to vote;
- (4) At the beginning of the election period a notice defining eligibility requirements shall be posted on the McMaster Daily News website and the University Secretariat election website;
- (5) Nominations must be received by the Secretary of the Board not later than the end of the first week of February (the end of the first week of October)* in the year of election;
- (6) A list of eligible candidates, whose status has been validated, shall be posted, as soon as possible after the close of nominations, on the McMaster Daily News website and the University Secretariat election website at least ten days prior to the election day(s). A copy of the campaign regulations (see

Appendix I) will be provided to each candidate and posted on the University Secretariat election website;

- (7) Eligible Voters may cast their votes via the link to the election software provided by the University Secretariat, such votes be cast no later than March 31 (October 31)*, the precise dates to be determined by the Secretary of the Board; Detailed instructions for the conduct of the election shall be posted on the University Secretariat election website.
- (8) The ballots shall be counted under the supervision of the Secretary of the Board. The candidate having the largest number of votes using the transferable vote system shall be declared elected;
- (9) Where two or more candidates receive the same number of votes and are thus prevented from being declared elected, a new election shall be held, confined to such candidates, under similar conditions to elect one candidate.

* Secondary election

Election by Non-Teaching Staff

5.

- (1) The election of a member by the non-teaching staff under Section 8 (1) (i) of the 1976 Act shall be completed by April 30 in any year in which an election is held;
- (2) The term of a member to be elected under Section 8 (1) (i) shall end on June 30th of the last year of the designated term for which the member was elected so that the term of not more than one member shall expire in any one year;
- (3) Any member of the non-teaching staff who is eligible to vote may be nominated as a candidate for election provided written consent has been filed with the Secretary of the Board and the nomination paper has been signed by at least three members of the non-teaching staff eligible to vote;
- (4) A notice defining eligibility requirements shall be posted on the McMaster Daily News website and the University Secretariat's election website throughout the nomination period;
- (5) Nominations must be received by the Secretary of the Board not later than three weeks prior to the election. The Secretary of the Board shall, as soon as possible following the close of the nomination period, prepare a list of candidates whose eligibility has been validated by the University's Assistant Vice-President, Human Resources, such list to be posted on the McMaster Daily News website and the University Secretariat election website at least two weeks prior to the election;
- (6) Eligible voters may cast their votes via the link to the election software provided by the University Secretariat, such votes to be cast no later than April 30, the precise dates to be determined by the Secretary of the Board of

Governors. Detailed instructions for the conduct of the election shall be posted on the University Secretariat's election website.

- (7) The ballots shall be counted under the supervision of the Secretary of the Board. The required number of candidate(s) having the greatest numbers of votes using the transferable vote system shall be declared elected.
- (8) Where two or more candidates receive the same number of votes and are thus prevented from being declared elected, a new election shall be held, confined to such candidates, under similar conditions.

**Electoral
Responsibilities of
the Secretary**

6. The Secretary of the Board shall be responsible for determining dates and implementing procedures, as necessary, to give effect to the by-laws of the Board governing the elections of members of the Board by and from the teaching staff, the non-teaching staff, undergraduate and graduate students.

**Listing of
Candidates**

7. When names of candidates are listed on any electoral documents, they shall be arranged in alphabetical order.

**Transferable Vote
System**

8. Whenever the by-laws provide for the counting of ballots by the transferable vote system, the following procedure shall be adopted.

Ballots shall be marked only with numerals 1, 2, 3, 4, etc. entered opposite the names of candidates in order of preference. Voters may leave blanks opposite the names of candidates for whom they do not wish to vote.

- (1) To elect a single member,

A - First Count

- (i) The number of ballots shall be counted to determine how many votes will constitute a majority which is one more than one-half the total number of ballots;
- (ii) A candidate who receives a majority of first choice votes shall be declared elected;
- (iii) On the first count, if no candidate has received a majority of the first choice votes, the candidate with the fewest number of first choice votes shall be eliminated from the count and such ballots shall be redistributed according to the second choice votes marked upon them.

B - Second Count

- (i) A candidate who receives a majority of first and second choice votes combined shall be declared elected;
- (ii) On the second count, if no candidate has received a majority of first choice and second choice votes combined, the ballots of the candidate with the next fewest number of votes shall be redistributed according to the next valid

choice vote marked upon them. The "next valid choice vote" shall not include a candidate who has already been eliminated.

C - Third Count

- (i) A candidate who receives a majority of first, second and next valid choice votes combined shall be declared elected;
- (ii) On the third count if no candidate has received a majority of first, second and next valid choice votes combined, the above procedures shall be repeated as many times as necessary until one candidate has received a majority of votes.

(2) To elect a second member:

The same procedure described in subsection 1 of this section shall be followed to elect a second member except that the candidate who has already received a majority of votes under subsection 1 of this section and has been declared elected shall not be included in the count. All ballots indicating the elected candidate as first choice shall be allotted to the candidate whom these ballots indicate as second choice. Whenever a vote in any ballot is for the elected candidate, the next valid choice vote shall be counted;

(3) To elect a third member:

The same procedures described in subsection 1 and 2 of this section shall be followed, except that the two candidates elected shall not be included in the count. All ballots indicating the two elected candidates as choices shall be allotted to the candidate whom these ballots indicate as the next valid choice marked upon them;

(4) To elect a fourth member:

The same procedures described in subsections 1, 2 and 3 of this section shall be followed except that the three candidates already elected shall not be included in the count.

**Vacancy of an
Elected Member**

9. When a vacancy occurs on the Board and the vacancy is that of an elected member whose term has six months or less to run, the Board may decide by resolution to fill the vacancy and shall so inform the constituency involved. If the Board so decides, it shall, at its next regular meeting, on the recommendation of the Nominating Committee of the Board, appoint a member from the relevant constituency to hold office until the following June 30th.

When a vacancy on the Board is that of a member whose term has more than six months remaining in it and the member has been elected under Section 8 (1) (f), or 8 (1) (i) of the 1976 Act, a special election shall be held as soon as practicable to fill the vacancy for the period remaining. Except as to the date of such election, the election procedures shall be those established in the Board By-laws for a regular election.

BY-LAW NO. 3

being a by-law relating to the borrowing of money, the issuing of securities and the securing of liabilities.

1. The Board may from time to time:
 - (a) Borrow money upon the credit of the University in such amounts and upon such terms as the Board may deem expedient;
 - (b) Issue bonds, debentures, debenture stock or other securities of the University in such amounts and upon such terms and pledge or sell the same for such sums and at such prices as the Board may deem expedient;
 - (c) Mortgage, hypothecate, charge or pledge all or any of the real and personal property, undertaking and rights of the University to secure any such bonds, debentures, debenture stock or other securities or any money borrowed or any other liability of the University;
 - (d) Give indemnities to any member of the Board or other person who has undertaken or is about to undertake any liability on behalf of the University and secure any such member of the Board or other person against loss by giving the person by way of security a mortgage or charge upon the whole or any part of the real and personal property, undertaking and rights of the University;
 - (e) Delegate to such one or more of the officers and members of the Board as may be designated by the Board all or any of the powers conferred by the foregoing clauses of this By-law to such extent and in such manner as the Board shall determine at the time of each such delegation.
2. This by-law shall come into effect on the day it is enacted by the Board and, effective the same day, all previous by-laws inconsistent herewith are repealed.

BY-LAW NO. 4

being a by-law relating to banking arrangements.

1. The banking business of the University, or any part thereof, shall be transacted with such bank, trust company or other firm or corporation carrying on a banking business as the Board may designate, appoint or authorise from time to time by resolution; and
2. All such banking business, or any part thereof, shall be transacted on the University's behalf by such one or more officers and/or other persons (with or without the power to sub-delegate) as the Board by resolution may designate, direct or authorise from time to time and to the extent therein provided, including, but without restricting the generality of the foregoing, the operation of the University's accounts; the making, signing, drawing, accepting, endorsing, negotiating, lodging, depositing or transferring of any cheques, promissory notes, drafts, acceptances, bills of exchange and order for the payment of money; the giving of receipts for and orders relating to any property of the University; the

execution of any agreement relating to any such banking business and defining the rights and powers of the parties thereto; and the authorising of any officer of such banker to do any act or thing on the University's behalf to facilitate such banking business.

3. This by-law shall come into effect on the day it is enacted by the Board and, effective the same day, all previous by-laws inconsistent herewith are repealed.

BY-LAW NO. 5

being a by-law relating to the ~~execution of instruments~~ Approval and Signing Authority Policy by the University.

1. Deeds, transfers, assignments, contracts and obligations on behalf of the University may be signed by the Officers of the University so designated in the ~~Resolution Respecting the Execution of Instruments as found at Appendix E of these by-laws;~~ Approval and Signing Authority Policy; and the Corporate Seal of the University shall be affixed to such instruments as required by the Resolution Respecting the Corporate Seal of McMaster University as found at Appendix E ~~the same~~. Notwithstanding any provision to the contrary contained in the by-laws of the University, the Board may at any time and from time to time direct the manner in which and the person or persons by whom any particular deed, transfer, assignment, contract or obligation of the University or any class thereof may or shall be signed.
2. This by-law shall come into effect on ~~June 19, 1989~~ 2022 and, effective the same day, all previous by-laws inconsistent herewith are repealed.

BY-LAW NO. 6

being a by-law respecting the indemnification of members of the Board.

1. Every member of the Board and their heirs, executors and administrators and other legal personal representatives shall, from time to time and at all times, be indemnified and saved harmless out of the funds or other assets of the University, from and against:
 - (a) All costs, charges and expenses whatsoever which such member sustains or incurs in or about any action, suit or proceeding which is brought, commenced or prosecuted against the member, for or in respect of any act, deed, matter or thing whatsoever made, done or permitted by the member, in or about the execution of the duties of the member's office or employment; and
 - (b) All other costs, charges and expenses that a member sustains or incurs in or about or in relation to the affairs thereof;

except such costs, charges or expenses as are occasioned by the member's own wilful neglect or default.

- (2) This by-law shall come into effect on the day it is enacted by the Board and, effective the same day, all previous by-laws inconsistent herewith are repealed.

RESOLUTIONS OF THE BOARD OF GOVERNORS

- Appendix A-1** Power Granted to the President to Appoint Persons to the Teaching Staff for a Stated Period of Time (See By-law No. 1, Section 4 (1)).
- Appendix A-2** Power Granted to the President to Make Administrative Appointments (See By-law No. 1, Section 4 (2)).
- Appendix A-3** Power Granted to the President to Suspend Members of the Teaching Staff (See By-law No. 1, Section 4 (3)).
- Appendix B** Banking Resolution.
- Appendix C** Safekeeping Resolution.
- Appendix D** Resolution for the Sale of Securities.
- Appendix E** Resolution Respecting the Corporate Seal of McMaster University.~~Respecting the Execution of Instruments by McMaster University.~~
- Appendix F** Resolution Respecting Directions to the CIBC Mellon Global Securities Services Company by McMaster University.
- Appendix G** Borrowing Resolution.

Appendix A-1

**RESOLUTION - POWER GRANTED TO THE PRESIDENT TO APPOINT PERSONS TO
THE TEACHING STAFF FOR A STATED PERIOD OF TIME (SEE BY-LAW NO.1,
SECTION 4 (1))**

The Board hereby resolves that the power of the Board to appoint persons to the teaching staff for a stated period of time shall be and the same is hereby delegated to the President, provided that such appointments are within the limits of the University's approved budget. The Board hereby repeals the delegation of a similar authority which it granted to the President at its meeting on March 30, 1971.

Board of Governors
March 23, 1977

Appendix A-2

**RESOLUTION - POWER GRANTED TO THE PRESIDENT TO MAKE
ADMINISTRATIVE APPOINTMENTS (SEE BY-LAW NO. 1, SECTION 4 (2))**

The Board hereby accepts and approves the delegation of authority to appoint, promote, suspend or remove all officers, agents and employees of the University not identified in the preamble of Section 9 (b) or in Section 9 (b), Sub-sections (i), (ii), (iii) of the 1976 Act to the following officers of the University, within their respective areas of responsibility, as designated by the President, provided such alternative delegate is first approved in writing by the Board:

The Provost;
The Vice-President (Operations and Finance);
The Dean and Vice-President (Health Sciences)
The Vice-President (Research);
The Vice-President (University Advancement); or
Assistant Vice-President, Human Resources

Letters of appointment and promotion, within the authority of the Assistant Vice-President, Human Resources, may be signed by the following officers of the University within their respective areas of responsibility but only where the proposed salary is below the control point:

Senior Manager, Human Resources Service Centre;
Employee/Labour Relations Advisor;
Administrator, Human Resources, Health Sciences;
Human Resources Consultant;
Human Resources Organizational Development Consultant, University Advancement.

Board of Governors
March 3, 2011

Appendix A-3

**RESOLUTION - POWER GRANTED TO THE PRESIDENT TO SUSPEND MEMBERS OF
THE TEACHING STAFF (SEE BY-LAW NO. 1, SECTION 4 (3))**

The Board hereby resolves that the power of the Board under Section 9(b) of the 1976 Act to suspend members of the teaching staff shall be and the same is hereby delegated to the President.

Board of Governors
December 10, 1998

Appendix B

BANKING RESOLUTION

The Board hereby resolves:

1. THAT the banking business of the University, or any part thereof, may be transacted with any one or more of the banks or other corporations (hereinafter referred to as "institutions") named in Schedule 1 hereto.
2. THAT all such banking business may be transacted on the University's behalf by the Planning and Resources Committee of the Board.
3. THAT the Planning and Resources Committee further delegate to any officer holding the position and having the title listed in Schedule 2 authority to transact any part or parts of such banking business on behalf of the University, subject to the limitations of such authority as may be imposed in such instructions.
4. THAT in this resolution the expression "banking business" includes, without limitation, the operation of the University's accounts; the making, signing, drawing, accepting, endorsing, negotiating, lodging, depositing or transferring of any cheques, promissory notes, drafts, acceptances, bills of exchange and orders for the payment of money; the giving of receipts for and orders relating to any property of the University; the execution of any agreement relating to any such banking business and defining the rights and powers of the parties thereto; and the authorizing of any officer of such institution to do any act or thing on the University's behalf to facilitate such banking business.
5. THAT this resolution and any instructions given pursuant to paragraph 3 hereof to any institution shall remain in force until written notice to the contrary shall have been given to such institution.
6. THAT this resolution shall, from the time of its communication to any institution, supersede any previous resolutions and instructions respecting the transaction of banking business between the University and such institutions.

Schedule 1: McMASTER UNIVERSITY BANKS

Canadian Imperial Bank of Commerce
Bank of Montreal
National Bank of Canada
Bank of Nova Scotia
Royal Bank of Canada
TD Canada Trust

Board of Governors
April 18, 2019

Schedule 2: McMASTER UNIVERSITY AUTHORIZED BANK SIGNERS

The primary currencies used by the University are the Canadian dollar and U.S. dollar. For the purposes of amounts noted in Schedule 2, limits are applicable to either currency.

- (1) With respect to bank accounts held at institutions noted in Schedule 1 above:
 - (a) Cheques up to \$100,000.00 require any one of the following signatures:
 - ▶ President and Vice- Chancellor
 - ▶ Vice-President (Operations and Finance)
 - ▶ Associate Vice-President (Students and Learning) and Dean of Students
 - ▶ Assistant Vice-President (Administration) and CFO
 - ▶ Assistant Vice-President and Chief Human Resources Officer (payroll account(s) only)
 - ▶ Controller
 - ▶ Treasurer
 - ▶ Senior Manager, Accounting & Financial Reporting
 - ▶ Manager, Financial Reporting
 - ▶ Manager, Financial Affairs Business Office
 - ▶ Senior Investment Accounting Analyst
 - ▶ Senior Investment Analyst
 - ▶ Senior Accountant
 - ▶ Director, HR Strategic Partnerships and Initiatives (Payroll Account(s) only)
 - ▶ Senior Analyst Reporting and Control (Payroll account(s) only)
 - (b) Cheques over \$100,000.00 require any two of the signatures in (a).
 - (c) The following facsimile signatures are acceptable on cheques drawn on any account, however, when a second signature is required by virtue of the amount being over \$100,000.00, the second signature must be any one of the signatures in (a) applied manually:
 - ▶ President and Vice Chancellor
 - ▶ Vice-President (Operations and Finance)
 - (d) All electronic payment services, such as Wires, EFTs, Bill payments and Government Payments require electronic approvals as follows:
 - (i) System generated batch payments up to \$12,000,000.00 require electronic approval from any one of the positions listed in (a) above; over \$12,000,000.00 require electronic approval from any two of the positions listed in (a) above.
 - (ii) All other payments up to \$100,000.00 require electronic approval from any one of the positions listed in (a) above; over \$100,000.00 require electronic approval from any two of the positions listed in (a) above.

-
- (e) All bank transfers between bank accounts held by McMaster require any one of the following signatures or electronic approvals:
- ▶ President and Vice-Chancellor
 - ▶ Vice-President (Operations and Finance)
 - ▶ Assistant Vice-President (Administration) and CFO
 - ▶ Controller
 - ▶ Treasurer
 - ▶ Senior Manager, Accounting & Financial Reporting
 - ▶ Manager, Financial Reporting
 - ▶ Manager, Financial Affairs Business Office
 - ▶ Senior Investment Accounting Analyst
 - ▶ Senior Investment Analyst
 - ▶ Senior Accountant
 - ▶ Investment Operations Analyst
 - ▶ Financial Analyst – Trust Funds
 - ▶ Director, HR Strategic Partnerships and Initiatives (Payroll Account(s) only)
 - ▶ Senior Manager, Payroll Services, Tax and Data Compliance (Payroll Account(s) only)
 - ▶ Senior Analyst Reporting and Control (Payroll account(s) only)

(2) Foreign electronic payments:

(a) Up to \$100,000.00 require any one of the following signatures and/or electronic approvals:

- ▶ President and Vice-Chancellor
- ▶ Vice-President (Operations and Finance)
- ▶ Assistant Vice-President (Administration) and CFO
- ▶ Controller
- ▶ Treasurer
- ▶ Senior Manager, Accounting & Financial Reporting
- ▶ Manager, Financial Reporting
- ▶ Senior Investment Accounting Analyst
- ▶ Senior Investment Analyst
- ▶ Senior Accountant

(b) Over \$100,000.00 require any two of the signatures or electronic approvals in (a).

Appendix C

SAFEKEEPING RESOLUTION

The Board hereby resolves:

1. THAT the CIBC Mellon Global Securities Services Company (and certain of its Affiliates) be and it is hereby authorized on behalf of McMaster University:
 - (a) to receive for safekeeping such property including such securities as may from time to time be delivered for such purpose to any office, branch or agency of the Bank;
 - (b) to cause any such securities which are capable of registration to be registered in the name of the University, or, when instructed, in the name of the Bank's nominee;
 - (c) to hold, deliver, sell, exchange or otherwise dispose of or deal with any or all such property including such securities pursuant to such written instructions as may be given from time to time by or on behalf of the University to the Bank by any two of the Chair of the Board of Governors, the Vice-Chair(s) of the Board of Governors, the Chair of the Planning and Resources Committee of the Board of Governors, the President, the Vice-President (Operations and Finance), the Assistant Vice-President (Administration), the Controller, the Executive Director, Strategic Projects Financial Affairs, Treasurer or one of the aforementioned together with the Senior Investment Accounting Analyst or Senior Investment Analyst are hereby authorized to give the said Bank instructions from time to time as aforesaid;
 - (d) notwithstanding the foregoing, any delivery to this University of any such property including such securities shall be made only to and against the written receipt of any two of the Chair of the Board of Governors, the Vice-Chair(s) of the said Board of Governors, the Chair of the Planning and Resources Committee of the said Board of Governors, the President, the Vice-President (Operations and Finance);
 - (e) to transfer any such property including any such securities to another office, branch or agency of the Bank than the office, branch or agency of the Bank to which or to whom such property was originally delivered, but the Bank shall immediately notify the Assistant Vice-President (Administration) of the University in writing of any such transfer;
 - (f) to detach on maturity the coupons, if any, from the securities and to complete as agent of the University any ownership certificates in connection therewith and to surrender any securities against receipt of moneys payable at maturity or upon redemption thereof; but the Bank is not obliged to examine lists of drawn and redeemed bonds or notices relating to coupons or dividends or to advise the undersigned of the expiry of rights or warrants in connection with the securities;

-
- (g) to obtain and receive payment of any moneys, whether on account of principal or revenues, in respect of any such securities, and to place the moneys so received in respect of the securities or any rights pertaining thereto to the credit of the University at the Westdale Hamilton Branch of the Bank, Deposit Account or to deal with such moneys in accordance with the written instructions of any two of the persons mentioned in paragraph (c).
2. The University agrees that the responsibility of the Bank in respect of any or all such property including such securities and proceeds shall be to exercise such due and proper care with respect to such property including such securities and proceeds as if such property including such securities and proceeds were the property of the Bank.
3. The University undertakes to pay to the Bank the agreed safekeeping charges for its services hereunder which the Bank is hereby authorized to debit to any account of the University with the Bank.
4. This resolution shall take effect on the 18th day of April, 2019 and from that date shall supersede a resolution passed by the Board of Governors of the University on the 8th day of June, 2017 and shall remain in force and effect as regards each office, branch or agency of the Bank having in its custody any of such property including such securities of the University until notice in writing abrogating or modifying this agreement is received by such office, branch or agency of the Bank.

The Board further resolves:

That McMaster University may enter into a Safekeeping Agreement with the CIBC Mellon Global Securities Services Company (and certain of its Affiliates), in accordance with the provisions of the foregoing resolution.

Board of Governors
April 18, 2019

Appendix D

RESOLUTION FOR THE SALE OF SECURITIES

The Board hereby resolves:

1. THAT any two of the Chair of the Board of Governors, the Vice-Chair(s) of the Board of Governors, the Chair of the Planning and Resources Committee of the Board of Governors, the President, the Vice-President (Operations and Finance), the Assistant Vice-President (Administration), the Controller, the Executive Director, Strategic Projects Financial Affairs, Treasurer or one of the aforementioned together with the Senior Investment Accounting Analyst or the Senior Investment Analyst of this University be, and they hereby are, fully authorized and empowered to transfer, convert, endorse, sell, assign, set over and deliver any and all shares of stock, bonds, debentures, notes, subscription warrants, stock purchase warrants, evidence of indebtedness, or other securities now or hereafter standing in the name of or owned by this University, and to make, execute and deliver, under the corporate seal of this University or otherwise, any and all written instruments of assignment and transfer necessary or proper to effectuate the authority hereby conferred.

2. AND FURTHER that there shall be annexed to any instrument of assignment and transfer, executed pursuant to and in accordance with the foregoing resolution, a certificate of the Secretary of the Board, Vice-President (Operations and Finance) or Assistant Vice-President (Administration) of this University in office at the date of such certificate, and such certificate shall set forth these resolutions and shall state these resolutions are in full force and effect, and shall also set forth the names of the persons who are then officers of this University, then all persons to whom such instrument with the annexed certificate shall thereafter come shall be entitled without further inquiry or investigation and regardless of the date of such certificate to assume and to act in reliance upon the assumption that the shares of stock or other securities named in such instrument were theretofore duly and properly transferred, endorsed, sold, assigned, set over and delivered by this University, and that with respect to such securities the authority of these resolutions and of such officers is still in full force and effect.

Board of Governors
June 6, 2019

Appendix E

RESOLUTION RESPECTING THE CORPORATE SEAL OF McMASTER UNIVERSITY RESPECTING THE EXECUTION OF INSTRUMENTS BY McMASTER UNIVERSITY

I — JURISDICTION AND PURPOSE

1. ~~The 1976 Act, Section 9, vests in the Board the government, conduct, management, and control of the University and of its property, revenues, business and affairs. In Board By-law No. 5, the Board has authorized officers of the University to sign deeds, transfers, assignments, contracts and obligations on behalf of the University.~~
2. ~~The purpose of this resolution is to designate clearly which persons are authorized to sign deeds, transfers, assignments, contracts, obligations, agreements or documents on behalf of the University when such documents have been approved by the appropriate body or official of the University. These include all documents related to the University receiving money, to the purchase or lease of goods and services and to agreements having no financial commitment.~~
3. ~~All dollar amounts cited in this document are exclusive of duties, taxes and shipping charges. Contracts that span over a period of greater than one (1) year should not be broken down into annual amounts when assessing the appropriate level of contract execution.~~
4. ~~This resolution shall not apply to the signing on behalf of the University of the certificates and other academic documents arising from the actions of the Senate in accordance with the 1976 Act, Section 13.~~

II — RESPONSIBILITIES AND CONFLICT OF INTEREST

1. ~~Persons with signing authority have the responsibility to exercise their authority in the manner of a prudent University administrator. Where the commitment involves Real Estate, the Vice President (Operations and Finance) shall review the documents. Depending upon the nature and complexity of the agreement to be signed, the responsibility of persons with signing authority shall include an assessment of some or all of the following:~~
 - a) ~~the ability of the University to meet any financial obligations resulting from the agreement;~~
 - b) ~~the ability of the other party(ies) to meet its (their) obligations;~~
 - e) ~~compliance with labour legislation, employee collective agreements, sponsor guidelines, tax legislation, other legislative and regulatory requirements, and applicable University policies;~~
 - d) ~~whether all approvals required by any applicable policy or practice have been obtained for the contract;~~
 - e) ~~whether terms and conditions of the contract should be reviewed by Strategic Procurement;~~
 - f) ~~in association with the Vice President (Operations and Finance), whether legal advice is needed;~~
 - g) ~~the financial and other benefits that are expected to flow to the University as a result of the contract;~~

~~h) whether the overhead rate, if any, included in the contract is consistent with University guidelines;~~

~~i) the provisions regarding intellectual property requirements, physical, bodily injury and personal injury indemnities, and environmental liabilities.~~

~~2. Persons designated or appointed under this resolution shall not exercise their signing authority in circumstances where conflicts of interest exist or could be seen to exist; in addition, such persons shall inform their immediate supervisor when such circumstances exist. [Persons designated or appointed under this resolution are referred to “Conflict of Interest Policy for Employees” (2012), the “Statement on Conflict of Interest in Research” (2009) and “Statement of Ethics for Senior Executive Officers” (1990).]~~

~~3. One of the original signed contracts (if retained by the University) must be deposited with the Vice President (Operations and Finance) or be maintained in a location approved by the Vice President (Operations and Finance).~~

~~4. Vice Presidents must ensure a register of contractual documents pertaining to their portfolio is maintained, excluding documents for the purchase of goods and services which are maintained by Strategic Procurement.~~

~~That register is to include:~~

~~a) a list of contractual documents signed by the appropriate individuals and the corresponding execution date;~~

~~b) the name of any other party or parties signing the documents and their respective execution dates;~~

~~e) a brief description of the subject matter contained in the documents;~~

~~d) the effective start and termination date and the actual or estimated amount of each contractual obligation.~~

~~III RESOLUTION~~

The Board hereby resolves:

1. That each of the following University officers be and is hereby authorized, where required, to affix the corporate name and seal of the University on all deeds, transfers, assignments, contracts, obligations or documents on behalf of the University, provided that the agreement has been signed in accordance with the provisions of the ~~e~~ *Approval and Signing Authority is p*Policy: the Chair of the Board, the Vice-Chair(s) of the Board, the Chair of the Planning and Resources Committee, the Secretary of the Board, the President, the Provost, the Vice-President (Operations and Finance), the Dean and Vice-President (Health Sciences), the Vice-President (Research) and the Vice-President (University Advancement).

2. Notwithstanding provisions found elsewhere in this resolution, any contract or agreement to which the corporate seal is to be affixed must include the signature of an officer authorized by the Board of Governors to affix to seal.

Board of Governors
June 9, 2022

~~3. — The personnel authorized to execute contracts and agreements relating to the operation and development of the University and to bind the University to the terms thereof shall depend on the dollar amount of such contracts and agreements, the subject matter of such contracts and agreements as set out below and whether or not the University is receiving or paying out money under the contract or agreement. For agreements that span over a period of greater than one (1) year, dollar amounts, including annual maintenance fees, should be aggregated across all years and should not be broken down into per annum amounts when assessing the proper authorisation required.~~

Authority Matrices

Contracts

Signing authority for contracts and agreements above \$100,000, and to bind the University to the terms thereof, must be executed by a minimum of two approvers from the charts below, one of whom must be from the highest level.

No contract over \$10,000 for the purchase of goods or services may be released until approved through the University's enterprise electronic system using the charts below.

Where a purchase represents a renewal the thresholds below apply to the total cost of the previous term(s) and new term.

Purchase requisitions related to the purchase or lease by the University of Goods and Services and/or Real Estate will be approved in the electronic system by the authorities given in the charts below.

A.1 — All Funds: excluding the Research Fund (see A.2) and Capital Fund (see A.3 and A.4)

	Department and/or Project Holder (Account Holder)	Only for Technology—Chief Technology Officer (Hardware or software related goods or services)	One of area: AVP ^Δ , Dean, VP	Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, VP(Operations and Finance), Provost, President	Following Board of Governors Approval: One of: VP(Operations and Finance), Provost, President, Board Secretary, Board Chair
< \$100,000	✗				
\$100,000 up to \$1,999,999	✗	✗	✗		
\$2,000,000 up to \$9,999,999	✗	✗		✗	
Over \$10,000,000	✗	✗			✗
			Additional Signature must be at least one level up from 1 st	The individual approving signs to confirm Board/Committee approval.	

AVP^Δ signing officers include: Assistant Vice President, Associate Vice President, Vice Provost, Registrar, University Librarian, Treasurer, Director of Faculty Administration, Director of Research Finance Administration, Associate Dean of Education Services (Faculty of Health Sciences), and Controller.

A.2 — Research Fund

	Project Holder (Account Holder)	Secondary Research Office (Central/ FHS-HRS)	Only for Technology — Chief Technology Officer (Hardware or software related goods or services)	One of: AVP*, VP	Following Planning and Resources Committee Approval: One of: AVP (Administration) and Chief Financial Officer, Area VP, VP (Operations and Finance), Provost, President	Following Board of Governors Approval: One of: VP (Operations and Finance), Provost, President, Board Secretary, Board Chair
< \$100,000	X	X				
\$100,000 up to \$1,999,999	X	X	X	X		
\$2,000,000 up to \$9,999,999	X	X	X		X	
Over \$10,000,000	X	X	X			X
				Additional Signature must be at least one level up from 1 st		
				The individual approving signs to confirm Board/Committee approval.		

~~AVP*^ signing officers include: Associate Vice President (Research), Assistant Vice President, Research Administration, Associate Dean, Health Sciences (Research), Director of Research Finance Administration, Assistant Vice President (Faculty of Health Sciences), and Assistant Dean, Research Infrastructure.~~

A.3 — Capital Fund (Project Approval)

	One of; Director of Design and Construction; Director of Maintenance	AVP (Facilities Services) or Director, Design and Construction	VP (Operations and Finance) or AVP (Administration) and Chief Financial Officer	Following Planning and Resources Committee Approval: One of: AVP (Administration) and Chief Financial Officer, VP (Operations and Finance) Provost, or President.	Following Board of Governors Approval: One of: Provost, President, Board Secretary, Board Chair
< \$100,000	X				
\$100,000 up to \$499,999	X	X			
\$500,000 up to \$1,999,999	X	X	X		
\$2,000,000 up to \$9,999,999	X	X		X	
Over \$10,000,000	X	X			X
Cumulative cost overruns exceeding the lesser of (i) 25% of the original approved overall project budget, or (ii) \$500,000, require re-approval by the highest original approver.*		Additional Signature must be at least one level up from 1st		The individual approving signs to confirm Board/Committee approval.	
<p>*N.B. If cost overruns result in a total revised value that coincides with a higher approval threshold, then the approval of the higher level approver must also be obtained. *Cost overruns on Board or Planning and Resources Committee approved projects will be reported to the Planning and Resources Committee at its next meeting.</p>					

A.4 — Capital Fund (Award of Purchase Orders/Contracts) including Professional Consultants*

	One of, Director of Design and Construction, or, Director of Maintenance	AVP (Facilities Services) or Director, Design and Construction	VP (Operations and Finance) or AVP (Administration) and Chief Financial Officer	Following Planning and Resources Committee Approval: One of: AVP (Administration) and Chief Financial Officer, (VP Operations and Finance) Provost, or President.	Following Board of Governors Approval: One of: Provost, President, Board Secretary, Board Chair
< \$100,000	X				
\$100,000 up to \$499,999	X	X			
\$500,000 up to \$1,999,999	X	X	X		
\$2,000,000 up to \$9,999,999	X	X		X	
Over \$10,000,000	X	X			X
<p>Change Orders to existing Contracts/Purchase Orders which do not increase the approved Overall Project Budget require approval in accordance with the thresholds and roles noted above.</p> <p>If change orders, alone or cumulatively, result in an increase to the overall project budget, approval for the increased overall project budget must be sought subject to cost overrun approval limits.</p> <p>*Includes Architects, Engineers, Design Consultants and Construction Managers.</p>					

~~In no case may a signing officer sign as first approver and highest approver. The minimum two signatures must be different individuals.~~

~~All purchases of goods and services and leases must be executed using the duly authorized processes developed and supported by the Department of Strategic Procurement.~~

~~All Investments must be executed by the Treasurer, using the duly authorized processes of the appropriate committees of the Board of Governors.~~

~~**B. — Human Resources**~~

- ~~1. Employment related contracts will follow collective agreement provisions as ratified by the Board of Governors, or defined salary policies or guidelines, such as the applicable policies governing compensation discussions for members of the McMaster University Faculty Association, and the terms of reference of the Human Resources Committee of the Board of Governors.~~
- ~~2. This policy does not restrict remittance to the Receiver General as required by law for Payroll. This includes remittances such as Canada Pension Plan, Employment Insurance premiums, Income Tax, Employer Health Tax or other contributions as may be required by Federal or Provincial legislation.~~
- ~~3. This policy does not restrict remittance for monthly or quarterly payments to approved employee benefit and insurance providers (such as Health, Dental, Group RRSP, Group Life Insurance, Pension, Post-Retirement benefits, and liability insurance plans) for delivery of contracted services. Approval of benefit, benefit administration, and insurance contracts awarded through the Request for Proposal process will follow the charts in this policy.~~

~~**C. — For All Non-Competitive Consulting Services (as defined by the Broader Public Sector Procurement Directive)**~~

~~i. — Up to \$999,999~~

~~Shall be executed by the Approvers identified in the appropriate chart in Section A above and the President,~~

~~ii. — \$1,000,000 and Over~~

~~Shall be executed by the approvers identified in the appropriate chart in Section A above after approval has been given by the Board of Governors or by its Executive and Governance Committee.~~

~~**D. — For All Agreements where the University is Receiving Donations, Bequests or Gifts (see Gift Acceptance Policy (2011))**~~

~~i. — Over \$1,000,000,~~

~~Shall be executed by the President and the Vice-President, University Advancement.~~

~~ii. — Less than \$1,000,000,~~

~~Shall be executed by the Vice President, University Advancement.~~

~~iii. — Acceptance of any gift that involves a proposal to name is conditional upon final approval of the naming by the Board of Governors.~~

~~**E. — For All other Agreements, not involving Research and Intellectual Property, where the University is Receiving Money, or where the Agreement Does Not Deal with the Payment by Either Party of Money**~~

~~i. — Where the agreement does not deal with the payment by either party of money~~

~~Shall be executed by two (2) of the officers as identified in the charts in Section A, one of whom must be an identified Dean, AVP^ or Vice President of the University, and the second must be a Vice President or the President.~~

~~ii. — Amounts up to \$2,000,000~~

~~Shall be executed in accordance with the signing authorities identified in the charts in Section A.~~

~~iii. — Over \$2,000,000 and less than \$10,000,000~~

~~Shall be executed by one of the officers identified in the charts in Section A, after approval has been given by the Planning and Resources Committee of the Board of Governors.~~

~~iv. — \$10,000,000 and over~~

~~Shall be executed by one (1) of the officers designated in section III.1, after approval has been given by the Board of Governors or by its Executive and Governance Committee.~~

~~**F. — Research And Intellectual Property: For All Agreements, Involving Research And Intellectual Property, Or Resulting From A Peer Or Merit Review Process Where**~~

- ~~• — The University Is Receiving Money;~~
- ~~• — The University Is Transferring Funds To A Collaborating Partner Institution; or~~
- ~~• — The Agreement Does Not Deal With The Payment By Either Party Of Money~~

~~i. — Under \$2,000,000, including where the agreement does not deal with the payment by either party of money~~

~~only one signature is required, from the chart F.1. below.~~

~~ii. — \$2,000,000 and over~~

~~In the case of agreements involving research funding that result from a peer or merit review process, authority is delegated to two (2) of the officers designated in section III.1.~~

~~In the case of where receipt of research funds requires the expenditure of incremental McMaster cash specific to the proposed research, approval for this incremental cash contribution will follow the charts in Section A.~~

F.1.

	One of AVP [^] , VP	Two (2) of the signing officers designated in Section III.1
Under \$2,000,000	X	
\$2,000,000 and over		X

~~AVP[^] signing officers include: Executive Director of the McMaster Industry Liaison Office, Associate Vice-President (Research), Associate Dean Health Sciences (Research), Director, Health Research Services, Director, Research Office for Administration, Development and Support, and Assistant Vice President, Research Administration.~~

IV — COMMENCEMENT

~~1. — This resolution shall take effect on 18th day of April, 2019 and from that date shall supersede a Board of Governors' resolution that took effect on the 7th day of June, 2018.~~

Related Policies

Strategic Procurement

~~<http://www.mcmaster.ca/bms/policy/purchase/SP-01.pdf>~~

Internal Audit Department Policy Statement

~~<https://secretariat.mcmaster.ca/app/uploads/2019/06/Internal-Audit-Department-Policy-Statement.pdf>~~

Construction And Maintenance Projects Policy

~~<https://secretariat.mcmaster.ca/app/uploads/Approval-Authorities-for-Construction-and-Maintenance-Projects.pdf>~~

Statement of Ethics for Senior Executive Officers

~~<https://secretariat.mcmaster.ca/app/uploads/2019/06/Ethics-Statement-for-Senior-Executives.pdf>~~

Statement on Conflict of Interest in Research

~~<http://www.mcmaster.ca/policy/faculty/Research/StatementOnConflictOfInterestInResearch.pdf>~~

Conflict of Interest Policy for Employees

~~https://secretariat.mcmaster.ca/app/uploads/Conflict_of_Interest_Policy.pdf~~

Gift Acceptance Policy

~~<https://secretariat.mcmaster.ca/app/uploads/2019/06/Gift-Acceptance-Policy.pdf>~~

Intellectual Property Policy

~~<http://milo.mcmaster.ca/policies/ip-policy>~~

Board of Governors Meeting Dates

~~<http://www.mcmaster.ca/univsec/bog/schedules.cfm>~~

Board of Governors
December 12, 2019

Appendix F

**RESOLUTION RESPECTING DIRECTIONS TO
THE CIBC MELLON GLOBAL SECURITIES SERVICES COMPANY
BY McMASTER UNIVERSITY**

The Board hereby resolves:

1. a) THAT directions or approvals given by the University under or pursuant to Section 4 of the Master Trust Agreement between McMaster University and CIBC Mellon Trust Company dated July 1, 2000, the Participating Trust Agreement for the Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College dated July 1, 2000, the Participating Trust Agreement for the Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000 dated July 1, 2000 and the Trust and Custodial Services Agreement for the Contributory Pension Plan for Hourly-rated Employees dated June 30, 1999; and
- b) THAT directions or approvals given by the University under or pursuant to Section 4 of the Custodial Services Agreements between McMaster University and the CIBC Mellon Global Securities Services Company (and certain of its Affiliates) dated June 30, 1999 for the Investment Pool, which includes the General Trust and Endowment Funds and certain other restricted funds

shall be given on behalf of the University by any two of the President, the Vice-President (Operations and Finance), the Assistant Vice-President (Administration), the Controller, the Executive Director, Strategic Projects Financial Affairs, the Treasurer or one of the aforementioned together with one of the Assistant Vice-President and Chief Human Resources Office, Director, HR Services and Systems, Senior Manager, HR Projects, Analytics and Payroll, Senior Manager, Total Rewards, , the Senior Investment Accounting Analyst or the Senior Investment Analyst.

2. THAT this resolution shall take effect on the 18th day of April, 2019.

Board of Governors
June 6, 2019

Appendix G

BORROWING RESOLUTION

The Board hereby resolves:

1. THAT the powers contained in clause 1 (a) of By-Law Number 3 being a by-law respecting the borrowing of money, the issuing of securities and the securing of liabilities by the University, be and they are hereby delegated to any two of the Chair of the Board, the Vice-Chair(s) of the Board, the Chair of the Planning and Resources Committee, the President, the Vice-President (Operations and Finance), the Assistant Vice-President (Administration), the Controller, the Executive Director, Strategic Projects Financial Affairs, the Treasurer for amounts up to \$100,000. For amounts in excess of \$100,000 these same powers are delegated to any two of the Chair of the Board, the Vice-Chair(s) of the Board, the Chair of the Planning and Resources Committee; or one of the aforementioned together with one of the President or the Vice-President (Operations and Finance).

2. THAT this resolution shall take effect on the 18th day of April, 2019 and from that date shall supersede a resolution passed by the Board of Governors on the 1st day of July, 2017.

Board of Governors
June 6, 2019

Appendix H

STATEMENT OF EXPECTATIONS FOR MEMBERS OF THE MCMASTER UNIVERSITY BOARD OF GOVERNORS

The Board of Governors of McMaster University (the “Board”) has three different types of members: those appointed or elected in conformance with the McMaster University Act (the “Act”); those whose office at the University results in *ex officio* membership, again in conformance with the Act; and Honorary Governors who have been designated as such by the Board of Governors. Members appointed or elected in conformance with the Act have full rights of membership including the right to attend and participate in meetings of the Board, and to vote. The Board has also designated, through its By-laws, a fourth type of participant called “Observers”. Observers and Honorary Governors may attend and participate in Board meetings, as regulated by the Board’s By-laws, but may not vote.

Inherent in the acceptance of membership in the Board of Governors is a commitment to perform the duties of Governor personally, to the best of one’s ability, and in the best interest of the University. The purpose of this Statement of Expectations is to assist those undertaking membership in the Board to understand that commitment and the expectations of the University.

Members of the Board of Governors owe a fiduciary duty to McMaster University and are charged with acting with care in the exercise of their powers. The duty of a Board member is to act honestly, in good faith, and in the best interest of the University rather than in the interest of any advocacy or interest group or other organization including a group or organization that may have appointed or elected them to the Board. The duty of care requires Board members to exercise an appropriate standard of care in the performance of their Board responsibilities.

The University’s Board of Governors has the following expectations of its Members in respect of their fiduciary duty and duty of care:

1. Attend meetings and play a full and active role in the work of the Board. Prepare for meetings, seeking clarification of pending issues and any additional information required to enable informed decision making. Members of the administration are fully available for consultation with members of the Board through the office of the University Secretary.
2. To act in their capacity as Governor in good faith and in the best interests of the University. In relation to matters concerning the business and affairs of the University which come before the Board, to place the interests of the University paramount to the interests of any other group or organization of which they may be a member or that they may represent. This includes exercising care, diligence, and skill in the exercise of these responsibilities.
3. Become acquainted with the University’s operations, including the transaction of business, University policies, and the routine delegation of tasks.
4. While acting as Governor, remain knowledgeable and respectful of the University’s governance process, including relevant by-laws and legislation.

-
5. Maintain the confidentiality of information provided in confidence, understanding the responsibility not to disclose information without proper authority. This duty continues to apply after the completion of service on the Board.
 6. As fiduciaries, members of the Board of Governors have an obligation to challenge and to confirm the merit of the recommendations and information presented to the Board, including requesting that options be presented and that salient points be pointed-out by officers and management of the University. Members are expected to express their views fully and candidly during Board discussions, but they should respect the principle of collective decision-making and corporate responsibility, accepting that a decision once made reflects the will of the Board. Members speaking other than during a Board discussion should ensure that they are not perceived to be speaking on behalf of the Board or the University. The Chair of the Board is its official spokesperson.
 7. Be transparent regarding any conflict, or the possible appearance of conflict, between Board duties and private interests, financial or otherwise. If a conflict or potential conflict arises, a member must declare any private interests relating to their Board duties and promptly take steps to resolve any conflicts arising in a way that protects the interests of the University. A member who is in any way interested in a proposed contract with the University must also comply with Article 8 Paragraph 16 of the Act. In instances where a member is uncertain about a possible conflict of interest, the member has a duty to seek advice from the Chair of the Board, President, or University Secretary. In this context, members must refrain from using confidential information gained in the course of Board service for personal gain or for political purpose.
 8. Refrain from using, or attempting to use, the opportunity of Board service inappropriately to promote personal interests or those of any connected person, firm, business or other organization.
 9. Bring personal expertise to bear on related University business before the Board. A Governor who possesses specific expertise is expected to use it in the interests of the University.
 10. Remain reasonably knowledgeable about developments surrounding post-secondary education in the province.

Appendix I

REGULATIONS GOVERNING STUDENT ELECTIONS TO THE BOARD OF GOVERNORS

All candidates are responsible for the conduct of their campaigns, including the actions of others who are campaigning for them. It is the responsibility of all candidates to follow the campaign rules.

Campaign Rules

1. Campaigning may start once the candidate receives their letter of validation confirming that their nomination has been approved by the Secretary of the Board of Governors.
2. All campaign activities are subject to official University regulations and policies (By-laws, Codes of Conduct, etc.), as well as the laws of the land.
3. Any campaigning that is slanderous or libelous is prohibited.
4. Any use of social media, such as Facebook or Twitter, must be in good taste and adhere to all Codes of Conduct.
5. Spamming of public forums or University e-mail distribution lists is forbidden.
6. All campaigning must end at 11:59 p.m. the night prior to the start of the first day of voting.
7. Candidates shall take down signs or posters within sight of the computer lab(s) by 11:59 p.m. the night prior to the first day of voting.
8. Candidates may not approach voters requesting them to cast votes in their favour on election day(s).
9. Candidates may not provide computers or other devices to the electorate for the purposes of voting.
10. Candidates must notify the Secretary of the Board of Governors of their scrutineers at least 24 hours prior to the beginning of voting days. A candidate may not be a scrutineer.
11. Campaign expenses will be limited to \$50.00 for each candidate, in order that those students with limited finances are not placed at a disadvantage during the election campaign. The Secretary of the Board of Governors is authorized to reimburse each candidate for campaign expenses up to the amount of \$50.00, upon submission of receipts for expenses by the candidate.
12. The Secretary of the Board of Governors reserves the right to disqualify any candidate if regulations are violated. They shall also:
 - (a) up to 14 days after the election, receive and investigate allegations of malpractice;
 - (b) up to 14 days after the election, hear appeals for a re-count, evaluate them, and arrange for a re-count if judged necessary;
 - (c) have the authority to levy fines, up to the amount claimed for campaign expenses, for violation of campaign rules;
 - (d) have the authority to declare an election invalid.

-
13. The Secretary of the Board of Governors shall report to the Board of Governors on the student elections to the Board of Governors at the first regular meeting of the Board of Governors after the elections have been completed.

In addition to the above regulations, it is each candidate's responsibility to ensure that any and all posters are displayed according to each building's poster and advertising policies. For many campus buildings, this is *MSU Operating Policy 1.3.2 – Promotions & Advertising*, which can be viewed on the MSU website: https://msu-production.s3.amazonaws.com/uploads/assets/attachments/661/original_Operating_Policy_1.3.2_-_Promotions_Advertising.pdf. Other campus buildings, such as the McMaster University Student Centre, the McMaster University Medical Centre, and McMaster residences, etc. have their own policies that must be followed.

Complete Policy Title

Approval and Signing Authority Policy

Policy Number (if applicable):

Approved by

Board of Governors

Date of Most Recent Approval

TBD

Date of Original Approval(s)

Supersedes/Amends Policy dated

Responsible Executive

President

Policy Specific Enquiries

University Secretary

General Policy Enquiries

[Policy \(University Secretariat\)](#)

DISCLAIMER: *If there is a discrepancy between this electronic policy and the written copy held by the policy owner, the written copy prevails.*

TABLE OF CONTENTS

SECTION I: INTRODUCTION.....	1
PURPOSE AND SCOPE	1
DEFINITIONS	2
SECTION II: RESPONSIBILITIES AND CONFLICT OF INTEREST.....	3
SECTION III: SIGNING AUTHORITY	5
SECTION IV: AUTHORITY MATRICES	6
All Funds, excluding the Research Fund and Capital Fund (Chart A 1.):.....	Error! Bookmark not defined.
Research Fund Expenditures (Chart A 2.):.....	Error! Bookmark not defined.
Research and IP Agreements (Chart A.3.)	Error! Bookmark not defined.
Capital Project Funds and Award of Contracts / Purchase Orders (Chart A.4)	Error! Bookmark not defined.
SECTION V: REAL ESTATE, LEASES, AND HUMAN RESOURCES.....	18
REAL ESTATE AND LEASES	18
HUMAN RESOURCES – CONTRACTS AND PAYMENTS.....	18
APPENDIX A - RELATED POLICIES AND LEGISLATION.....	19

SECTION I: INTRODUCTION

1. As outlined in the McMaster University Act, the Board of Governors is responsible for the governance, conduct, management, and control of the University and its property, revenue, and business affairs. In order to execute its responsibilities, the Board has authorized officers of the University to sign deeds, transfers, contracts, and obligations on behalf of the University.

PURPOSE AND SCOPE

2. The purpose of this Policy is to:
 - a) identify the approval authority and the approval thresholds for all funds, including capital funds, research funds, and research expenditures, and
 - b) designate the execution signatories who are authorized to sign deeds, transfers, assignments, contracts, obligations, agreements, or documents on behalf of the University after such documents have been appropriately approved. These include all documents related to the University receiving money, to the purchase or lease of goods and services, and to agreements having no financial commitment.
3. This Policy shall not apply to the signing on behalf of the University of the certificates and other academic documents arising from the actions of the Senate in accordance with the McMaster University Act, Section 13.

TERMS AND DEFINITIONS

4. For the purpose of interpreting this document:
- a) words in the singular may include the plural and words in the plural may include the singular;
 - b) **Approval Authority** means the body or individual within the University's governance or management structure with the responsibility to commit the University to the relationship;
 - c) **Account Holder** means the employee who has the highest level of decision-making authority for a budget unit in a Faculty, department or other operating unit;
 - d) **Execution Signatory** means the individual(s) assigned the responsibility of executing formal documents, forms and instruments that bind the University contractually;
 - e) **VPOF** means the Vice-President (Operations and Finance);
 - f) **Provost** means the Provost and Vice-President (Academic)
 - g) **CTO** means the Assistant Vice-President and Chief Technology Officer;
 - h) **Board Secretary** means the University Secretary;
 - i) **AVP (Admin) & CFO** means Assistant Vice-President (Administration) and Chief Financial Officer;
 - j) **Dean and VP, FHS** means the Dean and Vice-President, Faculty of Health Sciences;
 - k) **Area AVP** means Area Assistant/Associate Vice-President.

SECTION II: RESPONSIBILITIES AND CONFLICT OF INTEREST

5. The Execution Signatories have the responsibility to exercise their authority in the manner of a prudent University administrator.
6. All purchases of goods and services and leases must be executed using the duly authorized processes developed and supported by the Department of [Strategic Procurement](#).
7. All contracts must comply with the policies of the University and of external bodies, as applicable (see [Appendix A: Related Policies and Legislation](#)). For example, depending upon the nature and complexity of the agreement to be signed, the responsibility of the [Execution Signatory](#) shall include an assessment of some or all of the following:
 - a) the ability of the University to meet any financial obligations resulting from the agreement;
 - b) the ability of the other party(ies) to meet its (their) obligations;
 - c) compliance with labour legislation, employee collective agreements, sponsor guidelines, tax legislation, other legislative and regulatory requirements, and applicable University policies;
 - d) whether all approvals required by any applicable policy or practice have been obtained for the contract;
 - e) whether terms and conditions of the contract should be reviewed by Strategic Procurement;
 - f) in consultation with the Vice-President Operations and Finance (the "VPOF"), an assessment of whether legal or other expert advice is needed;
 - g) the financial and other benefits that are expected to flow to the University as a result of the contract;
 - h) whether the overhead rate, if any, included in the contract is consistent with University guidelines; and/or
 - i) the provisions regarding intellectual property requirements, physical, bodily injury and personal injury indemnities, and environmental liabilities.
8. Execution Signatories shall not exercise their signing authority in circumstances where conflicts of interest exist or could be seen to exist; in addition, individuals shall inform their immediate supervisor when such circumstances exist to enable alternative execution arrangements to be made.
9. One original copy of all signed and executed contracts must be deposited or stored electronically with the [VPOF](#) or be maintained in a location approved by the VPOF. The VPOF must ensure an appropriate repository for executed instruments exists, this may be in either paper or electronic form.
10. That register is to include:

- a) a list of contractual documents signed by the appropriate individuals and the corresponding execution date;
- b) the name of any other party or parties signing the documents and their respective execution dates;
- c) a brief description of the subject matter contained in the documents; and
- d) the effective start and termination date and the actual or estimated amount of each contractual obligation.

SECTION III: SIGNING AUTHORITY

11. Determination of the appropriate [Approval Authority](#) and [Execution Signatory](#) is based on the subject matter of the contract/agreement and the dollar amount of such contract/agreement, and whether or not the University is receiving or paying out money under the contract/agreement (see the [Authority Matrices](#)).
12. Signing authority for contracts and agreements above \$100,000 must be executed by a minimum of two approvers, one of whom must be an AVP, Dean or VP. In all cases the two signatures must be different individuals. The exception is for agreements in charts A.3. and A.5. which require only one signature.
13. No contract over \$10,000 for the purchase of goods or services may be released until approved through the University's electronic system using the charts in the Authority Matrices.
14. For agreements that span a period of greater than one (1) year, dollar amounts, including annual maintenance fees, should be aggregated across all years and should not be broken down into per annum amounts when assessing the proper authorisation required. For subsequent agreements extending or renewing a duly signed agreement, required signatures will be as per the incremental funds or costs unless a new total threshold is passed, in which case the signatures should be per the aggregate total.
15. All dollar amounts cited in this document are exclusive of duties, taxes and shipping charges.
16. Where a purchase represents a renewal, the thresholds apply to the total cost of the previous term(s) and the new term.
17. An individual, designated in the authority matrices as the Approval Authority or Execution Signatory, may from time to time temporarily delegate their authority to execute a document where there is reason to do so. The individual delegating the responsibility remains accountable.

SECTION IV: AUTHORITY MATRICES

18. The Authority Matrices outline the financial thresholds and approvals required to undertake projects and make commitments on behalf of McMaster University.

A.1. All Funds: excluding the Research Fund (see A.2) and Capital Fund (see A.4)

19. When applying the A1 matrix, the following information applies:
- a) AVP signing officers include:
 - Assistant Vice-Presidents
 - Associate Vice-Presidents
 - Vice-Provosts
 - Registrar
 - University Librarian
 - Treasurer
 - Director of Faculty Administration
 - Director of Research Finance Administration
 - Vice-Dean, Education, Faculty of Health Sciences, and
 - Controller.
 - b) all Investments must be executed by the Treasurer, using the duly authorized processes of the appropriate committees of the Board of Governors.

A.1. All Funds: excluding the Research Fund (see A.2) and Capital Fund (see A.4)

Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
\$10M and above	<ul style="list-style-type: none"> Board of Governors 	<p>One of:</p> <ul style="list-style-type: none"> VPOF Provost President Board Secretary Board Chair <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	
\$2M up to \$9,999,999	<ul style="list-style-type: none"> Planning and Resources Committee 	<p>One of:</p> <ul style="list-style-type: none"> AVP (Admin) & CFO VPOF Provost President <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	
\$100,000 up to \$1,999,999	<ul style="list-style-type: none"> AVP Dean, or VP 	<p>One of:</p> <ul style="list-style-type: none"> Area AVP Dean VP <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	
Under \$100,000	<ul style="list-style-type: none"> Project Holder (Account Holder) 	<ul style="list-style-type: none"> Project Holder (Account Holder) 	

A.2. Research Fund Expenditures

20. When applying the A.2. matrix, the following information applies:
- a) AVP signing officers include
 - Associate Vice-President (Research)
 - Assistant Vice-President, Research Administration
 - Vice-Dean Research Health Sciences
 - Director of Research Finance and Administration
 - Assistant Vice-President & Chief Administrative Officer (Faculty of Health Sciences)
 - Executive Director Finance FHS
 - Director Research Finance FHS, and
 - Assistant Vice-President (Administration) and Chief Financial Officer
 - b) all Investments must be executed by the Treasurer, using the duly authorized processes of the appropriate committees of the Board of Governors.

A.2. Research Fund Expenditures

Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
\$10 Million and above	<ul style="list-style-type: none"> Board of Governors 	<p>One of:</p> <ul style="list-style-type: none"> VPOF VP Research VP and Dean, FHS, Provost President Board Secretary Board Chair <p>And: Research Finance Office (Central or FHS)</p> <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	<p>All agreements or documents with 3rd parties must be reviewed by the appropriate office according to the type of expenditure. This could include Strategic Procurement, the Office of Legal Services, the Research Finance Offices or MILO</p> <p>All research expenditures must follow the appropriate Research Finance Office approval process (Central or FHS)</p> <p>Expenditures for IT infrastructure and IT security must follow consultation and review by the CTO.</p> <p><u>Types of Documents:</u></p> <ul style="list-style-type: none"> Equipment orders Service Agreements excluding research service agreements under Matrix A.3
\$2 Million up to \$9,999,999	<ul style="list-style-type: none"> Planning and Resources Committee 	<p>One of:</p> <ul style="list-style-type: none"> AVP (Admin) & CFO VPOF Provost President <p>And: Research Finance Office (Central or FHS)</p> <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	
\$100,000	<ul style="list-style-type: none"> AVP 	<p>One of:</p>	

A.2. Research Fund Expenditures

Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
up to \$1,999,999	<ul style="list-style-type: none"> Dean, or VP 	<ul style="list-style-type: none"> AVP VP <p>And: Research Finance Office (Central or FHS)</p> <p>And: Project Holder (Account Holder)</p> <p>And, if technology: CTO</p>	<p>All agreements or documents with 3rd parties must be reviewed by the appropriate office according to the type of expenditure. This could include Strategic Procurement, the Office of Legal Services, the Research Finance Offices or MILO</p> <p>All research expenditures must follow the appropriate Research Finance Office approval process (Central or FHS)</p> <p>Expenditures for IT infrastructure and IT security must follow consultation and review by the CTO.</p> <p><u>Types of Documents:</u></p> <ul style="list-style-type: none"> Equipment orders Service Agreements excluding research service agreements under Matrix A.3
Under \$100,000	<ul style="list-style-type: none"> Project Holder (Account Holder) and Research Finance office 	<p>One of:</p> <ul style="list-style-type: none"> Research Finance Office (Central) Research Finance Office (FHS) <p>And: Project Holder (Account Holder)</p>	

A.3. Research And Intellectual Property

21. When applying the A.3. matrix, the following information applies:
 - a) AVP signing officers include:
 - Executive Director McMaster Industry Liaison Office
 - Associate Vice- President (Research)
 - Vice-Dean Research Health Sciences
 - Director Health Research Services FHS
 - Director, Research Office for Administration, Development and Support, and
 - Assistant Vice-President, Research Administration.
22. For all agreements, involving research and intellectual property, or resulting from a peer or merit review process, where the:
 - a) University is receiving money;
 - b) University is transferring funds to a collaborating partner institution; or
 - c) agreement does not deal with the payment by either party of money.
23. Review of documents and signatures normally obtained by ROADS, Health Research Services or MILO
24. Typical documents include:
 - a) documents for research funds coming to McMaster:
 - contribution or Funding Agreement from funding agency or contract
 - Inter-Institutional Agreement (IIA) or sub-grants with other institutions or companies for transfer in
 - research contracts, research service or research collaboration agreements
 - clinical trial agreements
 - transfer agreements (hospital)
 - license agreements, transfer or assignment of intellectual property (IP)

- confidentiality, material transfer, data transfer (with funding)
 - memorandum of understanding (MOU), letter of intent (with funding)
 - consulting agreements (McMaster is consultant)
 - hospital cost recovery - funding agreements
 - amendments or renewals of any of the above
- b) documents for research expenditures by McMaster related to research funding:
- inter-institutional agreement (IIA), sub-grants with other institutions or companies for transfer out
 - transfer agreements or cost recovery (hospital)
 - service agreements or purchase orders for payment to 3rd parties
 - transfer agreements
 - hospital cost recovery - commitment agreements
 - subrecipient commitment agreements
- c) documents related to research agreements or activities, but which do not involve payment by either party:
- statement of intent, memorandum of understanding (MOU), letter of intent
 - due diligence forms
 - confidentiality, material transfer, data transfer, inter-institutional agreements
 - declarations for anti-bribery
 - assignment of intellectual property

A.3. Research And Intellectual Property			
Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
\$2,000,000 and over	One of: <ul style="list-style-type: none"> • VP Research, or • Dean and VP FHS 	Two of: <ul style="list-style-type: none"> • VP Research, • Dean and VP, FHS • Provost • President, • University Secretary 	All agreements or documents with 3rd parties must be reviewed by one of the Research Office (ROADS, MILO, HRS) in consultation with OLS or Purchasing, as applicable
Under \$1,999,999	<ul style="list-style-type: none"> • AVP, or • VP 	One of: <ul style="list-style-type: none"> • AVP • VP Research • Dean and VP FHS • Provost 	<p>In the case of where receipt of research funds requires the expenditure of incremental McMaster cash specific to the proposed research, approval for this incremental cash contribution will follow the charts in the Authority charts according to the source of the contribution.</p> <p>See section 25. for typical documents signed under A.3.</p>

A 4. Capital Project Funds and Award of Contracts / Purchase Orders

25. When applying the A4 matrix, the following information applies:
- a) emergency work may proceed, approved by [VPOF](#) or designate, and reported at the next [Planning and Resources Committee meeting or Board of Governors meeting](#) as appropriate;
 - b) Award of Purchase Orders/Contracts includes professional consultants, architects, engineers, design consultants, and construction managers;
 - c) cumulative cost overruns exceeding 20% of the original approved overall project budget require re-approval by the highest original approver;
 - d) Change Orders to existing Contracts/Purchase Orders which cumulatively do not increase the approved Overall Project Budget do not require reapproval in accordance with the thresholds above; and
 - e) if a revised project value alters to the next or higher approval authority, approval is required from the higher approving authority.

A 4. Capital Project Funds and Award of Contracts / Purchase Orders			
Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
\$20 Million and above	<ul style="list-style-type: none"> Board of Governors 	<p>One of:</p> <ul style="list-style-type: none"> President Provost VPOF Board Secretary <p>And two of:</p> <ul style="list-style-type: none"> AVP (Facility Services) AVP (Admin) & CFO 	Purchase Requisition Legal Contracts binding University
\$10 Million up to \$19,999,999	<ul style="list-style-type: none"> Planning and Resources Committee 	<p>One of:</p> <ul style="list-style-type: none"> President Provost VPOF Board Secretary <p>And two of:</p> <ul style="list-style-type: none"> AVP (Facility Services) AVP (Admin) & CFO 	
\$5,000,000 up to \$9,999,999	<ul style="list-style-type: none"> VPOF 	<p>Two of:</p> <ul style="list-style-type: none"> President Provost VPOF <p>And two of:</p> <ul style="list-style-type: none"> AVP (Facility Services) AVP (Admin) & CFO 	
\$2,000,000 up to \$4,999,999	<ul style="list-style-type: none"> VPOF 	<p>Two of:</p> <ul style="list-style-type: none"> VPOF AVP (Facility Services) AVP (Admin) & CFO 	
\$500,000 up to \$1,999,999	<ul style="list-style-type: none"> AVP (Facility Services) 	<p>One of:</p> <ul style="list-style-type: none"> VPOF AVP (Facility Services) 	

A 4. Capital Project Funds and Award of Contracts / Purchase Orders			
Dollar Threshold	Approval Authority	Execution Signatory	Process of Implementation or Document Used
		And one of: <ul style="list-style-type: none"> • Director, Design & Construction • Director of Finance, Facility Services 	Purchase Requisition Legal Contracts binding University
Under \$500,000	<ul style="list-style-type: none"> • Director, Design & Construction 	Two of: <ul style="list-style-type: none"> • AVP (Facility Services) • Director, Design & Construction • Director of Finance, Facility Services 	

A5. For All Agreements where the University is Receiving Donations, Bequests or Gifts

26. See also the current version of the Gift Acceptance Policy.
27. Acceptance of any gift that involves a proposal for naming shall be done in accordance with McMaster's Naming Policy & Procedures.
28. As a general practice, for gifts in support of specific areas across the University (e.g., Faculties and units), University Advancement will consult with the respective academic leader to confirm gift acceptance in support of academic priorities, and will engage the academic leader in execution of such agreements as appropriate.

A5. For All Agreements where the University is Receiving Donations, Bequests or Gifts		
Dollar Threshold	Approval Authority	Execution Signatory
\$1 Million and above	<ul style="list-style-type: none"> • President 	BOTH: <ul style="list-style-type: none"> • President • Vice-President, University Advancement
Under \$1,000,000	<ul style="list-style-type: none"> • Vice-President, University Advancement 	<ul style="list-style-type: none"> • Vice-President, University Advancement

SECTION V: REAL ESTATE, LEASES, AND HUMAN RESOURCES

REAL ESTATE AND LEASES

29. Review of real estate and leasing transactions will include the assessment of tax, filing, and reporting obligations on the University.
30. All lease agreements must be reviewed by Financial Affairs.
31. All contracts for Real Estate must be reviewed by the Office of Legal Services (OLS).

HUMAN RESOURCES – CONTRACTS AND PAYMENTS

32. Employment related contracts will follow collective agreement provisions as ratified by the Board of Governors, or defined salary policies or guidelines, such as the applicable policies governing compensation discussions for members of the McMaster University Faculty Association, and the terms of reference of the Human Resources Committee of the Board of Governors.
33. This policy does not restrict remittance to the Receiver General as required by law for Payroll. This includes remittances such as:
 - Canada Pension Plan
 - Employment Insurance premiums
 - Income Tax
 - Employer Health Tax
 - or other contributions as may be required by Federal or Provincial legislation.
34. This policy does not restrict remittance for monthly or quarterly payments to approved employee benefit and insurance providers (such as Health, Dental, Group RRSP, Group Life Insurance, Pension, Post-Retirement benefits, and liability insurance plans) for delivery of contracted services.
35. Approval of benefit, benefit administration, and insurance contracts awarded through the Request for Proposal process will follow the A1 chart in this Policy.

APPENDIX A - RELATED POLICIES AND LEGISLATION

- [Board of Governors By-Laws](#)
- [McMaster University Act, 1976](#)
- [Construction and Maintenance Projects, Approval Authorities for](#)
- Capital Projects Policy (*in progress*)
- [Conflict of Interest Policy for Employees](#)
- [Conflict of Interest in Research, Statement on](#)
- [Ethics for Senior Executive Officers, Statement on](#)
- [Strategic Procurement \(SP-01\) Policy](#)
- [Gift Acceptance Policy](#)
- [Naming Policy & Procedures](#)
- [Internal Audit Department Policy Statement](#)
- [Intellectual Property Policy](#)

REPORT TO THE BOARD OF GOVERNORS
from the
PLANNING AND RESOURCES COMMITTEE

At its meeting on March 31, 2022, the Planning and Resources Committee approved the following, which is now being presented to the Board of the Governors for information:

- i. **Energy Management Plan**

Board of Governors: FOR INFORMATION
April 21, 2022

FACILITY SERVICES

ENERGY MANAGEMENT PLAN

2022/2023



FACILITY SERVICES



A Message from the AVP

Debbie Martin, Assistant Vice President and Chief
Facilities Officer, MBA, CPA, CGA



In alignment with McMaster University's strategic vision, Facility Services is making a positive impact on our world by focusing on sustainability. Across McMaster's campus, our utilities group is initiating projects that conserve energy and reduce greenhouse gas emissions.

Since 2013, we have completed over 23 energy-savings projects campus-wide, with two currently in progress and plans for another 12 to begin over the coming years.

This year, our team is taking the first step in the university's Net Zero Carbon Roadmap. As part of this journey, we have set goals to completely negate the amount of greenhouse gases produced by human activity on campus. The team continues to work to accelerate the timelines for delivering this goal.

I would like to thank our team members who collectively worked to create the university's Net Zero Carbon Roadmap, developing business cases for the various components of the strategy, including some of the projects detailed in this report. For example, an upcoming project that changes power generation on campus will reduce McMaster's carbon footprint by over 30% in 2022.

Once again, we have illustrated how our sustainable energy projects align with the United Nations Sustainable Development Goals (SDG's). Learn more about this on page 13.

I am extremely proud of the work that our staff have done to develop this year's Energy Management Plan as we strive to be a leader in the area of sustainability.

Debbie Martin
AVP and Chief Facilities Officer

“At McMaster, we have always challenged our community to come up with big ideas to solve the world's greatest challenges, with a razor-sharp focus on the UN's Sustainable Development Goals”
David Farrar, President, McMaster University

Table of Contents

A Message from the AVP	2
Table of Contents	3
Executive Summary	4
Energy Management Plan Framework.....	6
McMaster University Profile	6
Basis for the Plan	7
Environmental	7
Economic	8
Social and Research Considerations	10
COVID-19 Return to Campus.....	11
Governmental Policy Changes.....	12
Carbon Funding Streams.....	13
Net-Zero Carbon Road Map	14
Net-Zero Carbon Road Map (Update).....	15
Sustainable Development Goals (SDGs).....	16
Utility Trends and Monitoring.....	17
Utility Baselines.....	17
McMaster GHG Emissions.....	22
Benchmarking with Other Institutions.....	27
Reduction Targets	28
Energy Action Plan.....	29
Completed Projects (post 2019).....	30
Ongoing Projects	31
Proposed Projects.....	36
Energy Action Plan Conclusion	42

Executive Summary

McMaster is committed to maintaining a safe and sustainable campus. Home to a diverse and innovative faculty and internationally renowned researchers, McMaster University has traditionally affirmed the need for triple-bottom-line decision making considering the environmental, social (i.e. user comfort and safety) and economic ramifications of the University's actions. With this approach, various projects have been evaluated in the past and new projects proposed with the aim of creating a more sustainable campus environment.

McMaster aims to reduce its utility consumption and GHG emissions in accordance with the targets outlined in the Net Zero Carbon Roadmap ([Net Zero Roadmap](#)). This currently means a reduction of 75% in GHG emissions by 2030 and 90% by 2050. Electricity, and natural gas consumptions will be reduced to meet these goals through various energy and carbon reduction projects. Water consumption will remain at a reduction of 5% annually as per the targets established in the 2019/2020 EMP.

These significant reductions will be accomplished through the various projects proposed in this updated EMP plan with a total investment required of over **\$79M** by 2030. McMaster currently emits **40,400 tonnes of CO₂e** annually from its district steam system, cogeneration system, emergency generators and fleet vehicles. It is anticipated that McMaster's GHG emissions can be reduced to **15,049 tonnes of CO₂e** annually by 2030 through the completed, ongoing, and proposed projects highlighted in this report. Future versions of the Energy Management Plan will focus on progress towards meeting these annual targets.

McMaster is currently looking into accelerating the net-zero plan to 2035. This entails a thorough look of new technologies as well as cost-effective solutions. It is anticipated that an updated plan will be available in the Fall of 2022.

The progress of the energy management plan will be based on existing baselines and benchmarks with other Universities, rooted from utility consumption data. A yearly analysis of the utility consumptions will be conducted to ensure that targets are met. Building performance can be compared and user groups within each building be made aware of how their buildings are performing in comparison to the others in the hopes of stimulating further energy conservation.

The federal government has released two carbon funding streams in the first quarter of 2022. Several projects will be submitted to take advantage of this opportunity. With the current changes in federal policies concerning carbon pricing, McMaster aims to reduce its usage of natural gas for steam production by implementing various measures (for example, electric boiler installation, demand control ventilation).

In keeping up with various global initiatives, McMaster has adopted Sustainable Development Goals from the United Nations and has identified three distinct SDGs met by the Energy Management Plan. They are as follows:

7 – Affordable and Clean Energy

9 – Industry, Innovation and Infrastructure

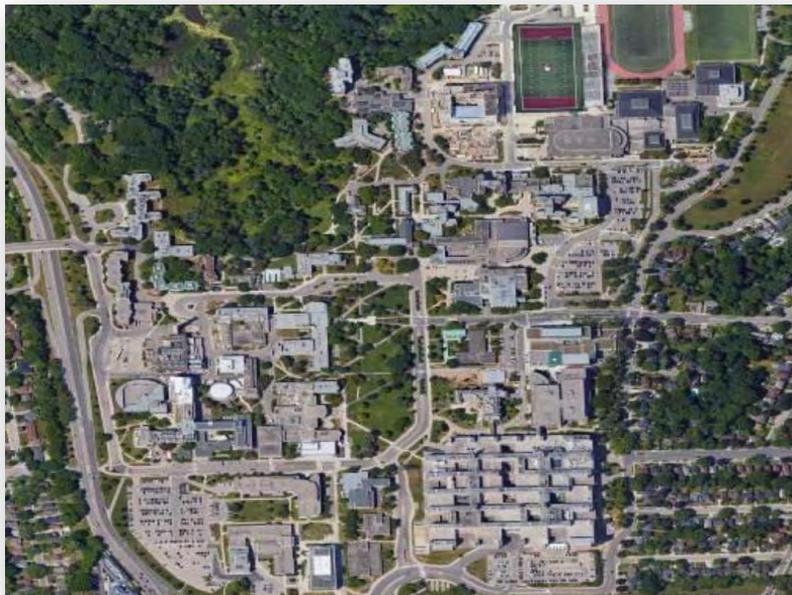
13 – Climate Action

With the completion of the net-zero carbon roadmap and an accelerated net-zero plan in the horizon, the university aims to position its community in an everchanging global environment by continuing to meet the goals in its Energy Management Plan.

Energy Management Plan Framework

McMaster University Profile

Founded in 1887, McMaster University is home to 36,450 students, 994 faculty members and 13,783 staff ([McMaster Factbook 2020/2021](#)). McMaster University offers a unique educational experience featuring state-of-the-art research facilities, world-renowned educational programs and innovative student services, and located only minutes from Cootes Paradise (a wetland that supports a large variety of plants and animals). Like most Canadian universities, the academic year runs from September until late April, and during this period, just over 4,000 students occupy the university's 13 residence buildings. In the summer months (May-September), many of the residence buildings and classrooms remain unoccupied. Campus occupancy decreases significantly to around 10,000 including summer students, campus maintenance staff, and conference guests. However, this presents a unique challenge to energy management, as the buildings that are partially occupied must have access to heating, lighting and ventilation, thus increasing energy costs, even with lower occupancy.



Basis for the Plan

McMaster has adopted a triple-bottom-line decision approach when considering new capital projects, policies, and initiatives. This means evaluating each decision based on its environmental, social, and economic impacts. Due to the COVID-19 pandemic, and governmental policy changes in 2020/2021 (federal and provincial), McMaster must strategically position itself when adopting new energy projects and initiatives, to ensure that it benefits its diverse and innovative campus community.

Environmental

Energy production and usage typically produces greenhouse gases, which contribute to global climate challenges. Concerns about global energy supply and global health effects due to the high consumption of fossil fuels have led many nations and organizations to advocate for a sustainable and responsible energy production/usage. Facility Services is working with the University community and is moving towards greater energy conservation through occupant behaviour change, increased energy efficiency in buildings through technical retrofits, and reduced reliance on fossil fuels (natural gas). Organizations across North America are feeling the challenge of maintaining standards of service, and quality of life, while reducing energy consumption to remain cost competitive.

According to the Independent Electricity System Operator (IESO), the greenhouse gas emissions in Ontario are anticipated to increase to 11 megatonnes CO₂e by 2030 because of a decline in nuclear production and an increased demand for electricity. This higher demand coinciding with a reduced nuclear generation capacity will partially be made up by an increase in usage of gas-fired generators across the province. Figure 1 shows the IESO's Electricity Sector GHG Emissions, Historical and 20-year forecast. This means that energy projects which reduces direct carbon emissions resulting from burning of fossil fuels, must ensure that the indirect emissions are accounted for in the strategy.

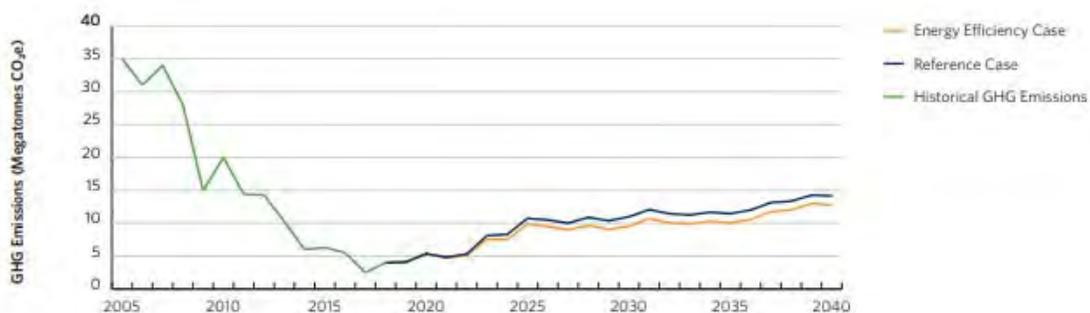


Figure 1: IESO Electricity Sector GHG Emissions, Historical and 20 year Forecast (Reference: IESO Annual Planning Outlook 2020)

This stresses the need for McMaster University to commit to further reducing its Green House Gas emissions. Figure 2 shows McMaster’s current GHG emissions trend with no carbon reduction projects in place.

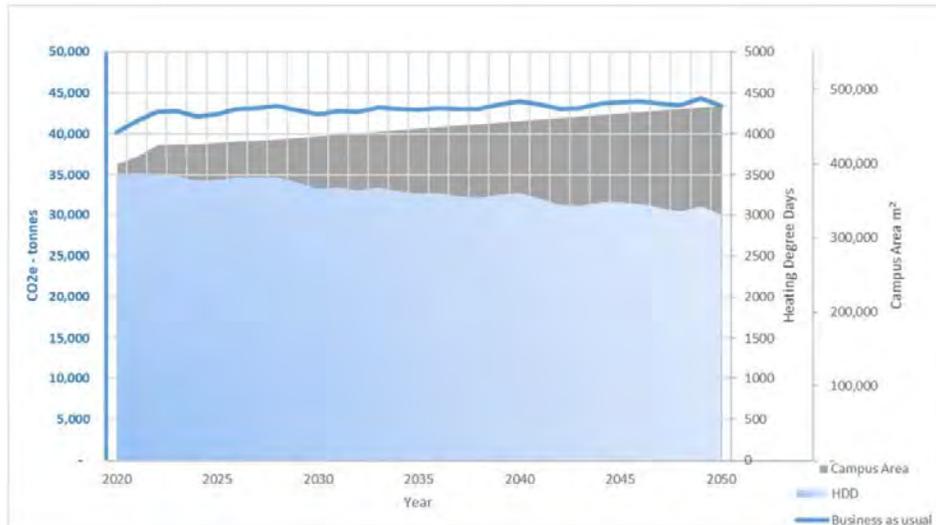


Figure 2: McMaster Baseline Emissions - Business as Usual [Source: Net Zero Carbon Roadmap]



Economic

Energy is one of the most expensive commodities on campus. Energy consumption is driven by research activities, campus population, facility utilization, new buildings and varying weather.

Energy rates are driven by the provincial market, based on energy demand and government policies.

The price of electricity has increased since 2009 as shown in the Hourly Ontario Energy Price (HOEP) Plus Average Global Adjustment (GA) Cost Graph (Figure 3), which drives the need for energy reduction projects.



Figure 3: Hourly Energy Ontario Price Plus Average Global Adjustment Cost Graph (<http://www.ieso.ca/Power-Data/Price-Overview/Global-Adjustment>)

** Mid to large businesses pay hourly wholesale prices, also known as Hourly Ontario Energy Price (McMaster University is included in this group), as opposed to time-of-use rates (residential and small business consumers). The total commodity cost of electricity is comprised of the HOEP and the Global Adjustment (GA) cost. The GA cost is intended to cover new electrical infrastructure, maintenance of existing ones and delivery of conservation programs. The GA cost is calculated each month and varies depending on market revenues. For residential and small business consumers, the GA cost is incorporated into time-of-use rates.*

The cost of electricity for time-of-use rate users are determined when the electricity is used. The Ontario Energy Board (OEB) has provided set rates for off-peak, mid-peak and on-peak hours. These rates are adjusted by the OEB twice a year.

As universities no longer qualify for the Ontario Electricity Rebate program as of November 1, 2019 (which provides an electricity rebate of 31.8 percent of the base invoice amount), there will be a stark contrast in electricity rates between residential consumers and the universities across Ontario.

There have been several policy changes at both the federal and provincial level, affecting electricity and natural gas prices. McMaster must create a sound strategy to position itself for the next coming years, with the aim of maximizing carbon reduction and minimizing financial implications.

Social and Research Considerations



One of McMaster University's strategic goals is to develop a “distinctive, personalized, engaging, and sustainable student experience” (Source: McMaster Goals and Priorities, 2021).

This commitment suggests that one of the highest priorities of the university is to provide an enriching and transformative learning experience for all students. A part of

this is a safe and a comfortable workplace and learning environment for all people using the campus. **Therefore, any energy savings measure, despite its economic savings and environmental benefits must be made in the context of user health, safety, comfort and learning experience.** An effective energy management plan, and novel approaches to new building designs and refurbishments on campus can help to achieve this goal.

McMaster aims to support its academic faculties in delivering a personalized, engaging, and sustainable student experience by providing the utilities and infrastructure required to perform top notch teaching and research. Energy projects such as demand control ventilation allow for a reduction of heating, cooling and ventilation demand in buildings while maintaining the required conditions for proper teaching and laboratory use. Other projects, such as solar panel heating, and rainwater harvesting allow for renewable sources of energy, which reduces the need for district heating and water from McMaster central plant.

COVID-19 Return to Campus

The McMaster community slowly returned to campus in the Fall of 2021, and this has changed the operations of the buildings from the prior year, which has resulted in an increase in energy consumption on campus. Figure 4 shows McMaster's electricity profile for 2019/2020, 2020/2021, and 2021/2022 academic years. For any occupied spaces, McMaster Facility Services has ensured that the spaces are ventilated and thermally conditioned.

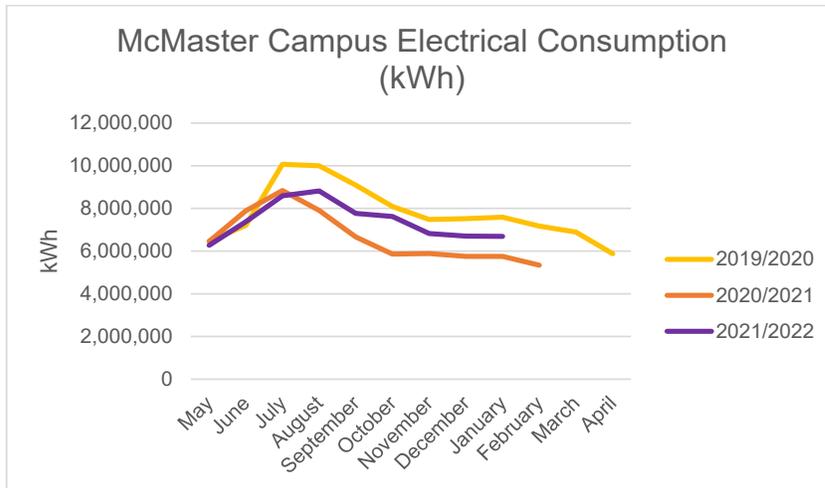


Figure 4: McMaster Electricity Consumption

With the increased campus population in the Fall of 2021, there was an emphasis on adequate ventilation in buildings to reduce risk of COVID-19 transmission. This required maximizing the delivery of fresh air into the buildings, resulting in an increase in heating and electricity (usage will be dependent on occupancy numbers) from the pandemic levels, as shown in Figure 4.

With uncertainty posed by the COVID-19 pandemic, McMaster must take a cautious approach in its operations to ensure a good balance between health and safety and energy management.

Governmental Policy Changes

There have been several changes in the federal and provincial policies regarding carbon and hydro pricing. Some of these changes are a direct result of the COVID-19 pandemic and Canada's commitment to the Paris Accord. A list of significant policy changes is listed below:

- **Ontario Emergency Order (COVID-19):** The provincial government announced early in 2020 that it will defer a portion of the Global Adjustment paid by electricity consumers that do not participate in the Regulated Price Plan (RPP) starting April 1, 2020 to June 30, 2020. Under this order, Class B consumers were charged at a capped rate of \$115/MWh, while Class A consumers received an equal reduction through a Deferral Adjustment Ratio. The total estimated GA deferral is \$800M and is to be recovered in 2021. It is forecasted that this will add \$10.6 million to Class A recovery each month and \$17.2 million to non-RPP Class B recovery.
- **Increase in Federal Carbon Tax:** On December 2020, the Federal Government announced that it will increase the price on carbon from \$10/tonne of CO₂e to \$15/tonne of CO₂e after 2022. This announcement has affected the natural gas price model for McMaster university.
- **Announcement Ontario Budget 2020:** On November 5, 2020, Ontario announced its budget information to the public. The most important portion of the budget as it relates to hydro prices is that the provincial government will transfer approximately 85% of revenue payments currently paid to wind, solar and bioenergy generators from the ratepayer to the tax base. Class B GA consumers are anticipated to pay on average approximately 14% to 16% less of the total invoice. Based on third-party price model/projections, McMaster is expected to have a reduction of 21.5% in its Global Adjustment cost.
- **Implementation of Bill C-12:** Canada has officially passed the *Canadian Net-Zero Emissions Accountability Act* in order to improve the transparency and consistency around climate action.

Carbon Funding Streams

There are several opportunities that were recently announced by the Environment and Climate Change Canada (ECCC) regarding carbon funding initiatives. The most recent programs announced are the following:

1. Low Carbon Economy Challenge – Champions Stream: This program will provide over \$200 million in funding and will support the implementation of the Pan-Canadian Framework with the intent to promote clean growth and reduction of GHG emissions. The Champions stream focuses on projects with a direct reduction on GHG emissions which will contribute to Canada's 2030 emissions reduction target. Eligible projects must have a Technology Readiness Level (TRL) scale of 8 or higher.

McMaster intends to submit an expression of interest for the following projects:

- Electric Boiler
- Demand Control Ventilation (Lab systems)
- Engineering Technology Building Cooling modifications.
- Life Science Building Greenhouse – Heat Pump

Detailed information about each project can be found under the projects section of the Energy Action Plan.

2. Decarbonization Incentive Program (DIP) – Output Based Pricing System: This program is intended to promote decarbonisation and support Canada's greenhouse gas (GHG) emissions reduction goals. Projects can receive funding amounts from \$500,000 to \$10 million with a cost-share arrangement.

McMaster intends to access both funding streams for all eligible projects listed above.

Net-Zero Carbon Road Map

McMaster's continuous commitment to sustainability and carbon reduction has led to the development of a Net Zero Carbon Roadmap. This report was developed by Footprint, which looked at McMaster's current operations and provided several recommendations to achieve net-zero by 2050. The comprehensive report is a culmination of McMaster's past project successes and progressive outlook towards the future. The report highlights the following key recommendations.

- **Energy Conservations Measures:** This focuses on implementing energy saving technologies, such as demand control ventilation (DCV), Energy and Heat Recovery, and Optimization of Building Automation Systems. These measures have been implemented in past projects and will be continually pursued in future renovation and infrastructure upgrades.
- **Reduced Cogeneration Operation:** The cogeneration plant comprises about 30% to 40% of McMaster's greenhouse gas emissions. Reducing its yearly operation will significantly reduce McMaster's campus carbon emissions.
- **Electric Boiler Installation:** McMaster's district steam system provides the heating for all the buildings on campus. With an aging infrastructure, the renewal of the steam system is critical to ensure campus operation resiliency. Instead of investing in traditional gas fired boilers, McMaster will invest in electric boilers to provide part of the campus steam requirements.
- **Installation of Natural Gas Peak Shaving Generators:** To minimize the increase in electricity costs by the electrification of the heating systems on campus, it was recommended to install 10 MW of peak shaving generators and participate in the Industrial Conservation Initiative (ICI) program by the IESO. This program will allow McMaster to realize cost savings from the Global Adjustment portion of its electricity bill.
- **Ground Source Heat Pump – Closed Loop:** A heat pump system uses the stable ground temperature as the source for building heating and heat sink for cooling. With a closed loop system, condenser water is circulated through several u-tube wells drilled to a certain depth. Through the circulation of the condenser water, heat is exchanged between the water medium and the ground.
- **Waste Water Heat Recovery:** This solution utilizes the waste water from buildings on campus as either a heat source or heat sink depending on the energy production requirements. The system uses heat exchangers and heat pumps to extract or expel heat from or to the waste water stream. The conditioned water is then recirculated through a condenser water network using a set of heat pumps.
- **Reactor Heat Recovery:** The nuclear reactor on campus expels heat as part of the reaction process. This solution harnesses this waste heat for campus heating. This is done via a heat exchange system where heat from the reactor is recovered and transferred to a heating loop which is circulated in various buildings. This can be tied in into an overall water condenser loop serving the proposed ground source heat pump system and waste water heat recovery systems.

Net-Zero Carbon Road Map (Update)

As of Fall of 2021, McMaster has engaged Footprint to develop an accelerated plan to 2035 and provide a Class C cost-estimate for the proposed Ground Source Heat Pump system. The Class C cost-estimate focused on transitioning the buildings on the east side of campus, which includes Michael DeGroot Centre for Learning, Life Sciences Building, L.R. Wilson and Mills Memorial Library.

Initial cost estimates were higher than initially anticipated. McMaster is currently exploring options to reduce costs. It is expected that the new accelerated plan will be completed by Fall of 2022.

Sustainable Development Goals (SDGs)

McMaster is committed to helping in the development of a sustainable and prosperous future. One of the ways McMaster is at the forefront of this initiative is through its adoption of the United Nations' Sustainable Development Goals (SDGs). Twelve of the SDG's focus on various aspects related to energy, such as clean water, climate action, sustainable communities, etc.

The 2021 Energy Management Plan has incorporated three of the 17 SDGs:



7 – Affordable and Clean Energy: Through proposed projects, such as solar panels (refer to Proposed Projects section); McMaster is able to provide clean energy within its campus grounds.



9 – Industry, Innovation and Infrastructure: A number of past projects and proposed projects involves varying innovation for green and sustainable technologies. Some of these include demand control ventilation projects, new fume hood technologies, solar panel roofs, etc.



13 – Climate Action: McMaster recognizes the need for climate action. Through various decarbonisation projects, as highlighted in this Energy Management Plan, McMaster is committed to lowering its overall carbon footprint. Some project examples include but not limited to: electric boiler installation, demand control ventilation, etc.

Utility Trends and Monitoring

Utility Baselines

To determine the effectiveness of the Energy Management Plan, proper baselining must be implemented. This entails recording previous Utility trends and actively monitoring changes in Utility consumption/costs to ensure that target goals are met.

Electricity/Hydro

As staff and students returned in the fall of 2021 for the 2021-2022 academic year, there has been an increased in utility consumption on campus. However, due to Covid precautions, and remote and hybrid work options for staff, the consumption has not increased significantly enough to match pre-pandemic levels.

Increased electricity usage is a result of increased plug-loads, lighting and HVAC operations in response to the increase in occupants in buildings. Refer to Figure 5 for McMaster's monthly electrical profile for each academic year.

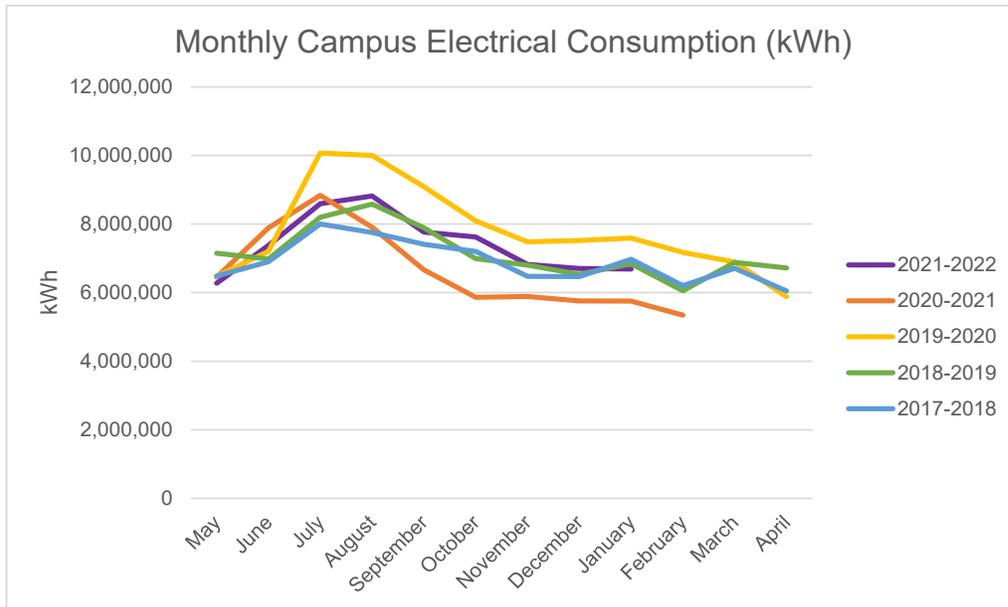


Figure 5: McMaster Campus Electricity Consumption

Steam

Steam production for 2021-2022 academic year is greater than the 2020-2021 academic year during the months of November 2021 to January 2022. This is attributed to McMaster

campus providing steam to McMaster University Medical Centre (MUMC). Hamilton Health Sciences (HHS) has undergone upgrades on their cogeneration facility at the MUMC site, which severely reduced their on-site steam production. Refer to Figure 6 for McMaster’s monthly steam production profile.

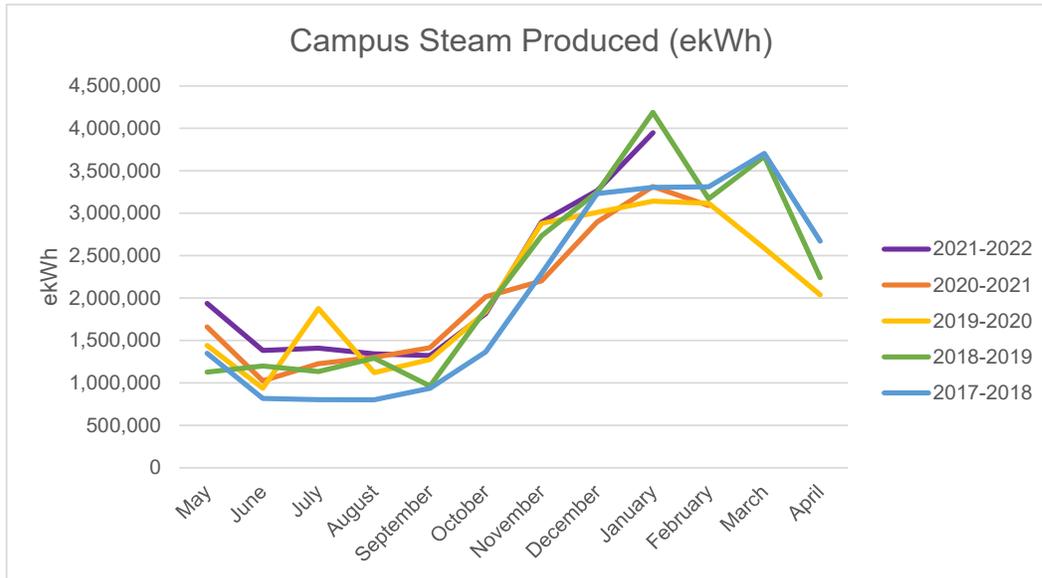


Figure 6: McMaster Campus Steam Production Profile

Steam consumption during the spring and fall season are dependent on ambient conditions. Although there is an increased occupancy on campus, there is not a significant change in steam production profile between 2020-2021 academic year and 2021-2022 academic year during the early months of the fall season (before MUMC steam requirements). This is mainly because the buildings must remain operational and thermally conditioned.

Natural Gas

Natural gas consumption is predominantly influenced by steam production from Boilers 3/5 and power/steam production from the Cogeneration Plant. Refer to Figure 7 for McMaster’s monthly natural gas consumption profile. In 2021-2022 academic year, the cogeneration plant saw a reduction in operating hours in October and November to reduce campus GHG emissions. However, this was offset by the temporary steam demands of MUMC resulting from the upgrades on their cogeneration facility; resulting in an increased in usage of Boilers 3 and 5. Figure 8 and Figure 9 breaks down the campus boilers and cogeneration gas consumption which highlights the above points.

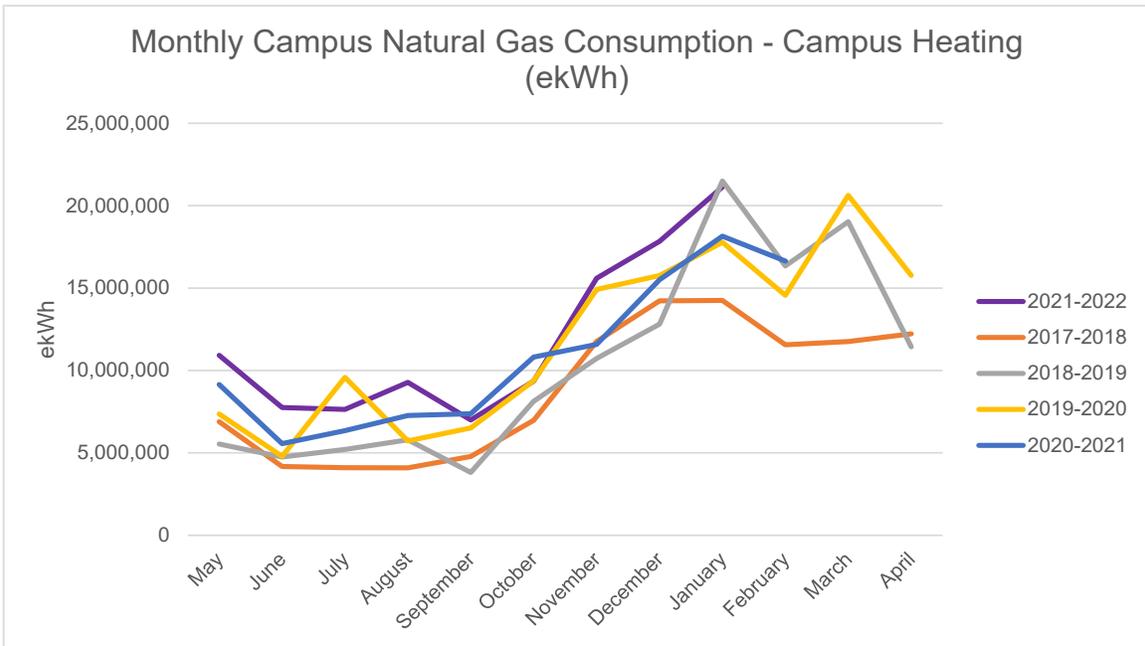


Figure 7: McMaster Campus Natural Gas Consumption - Boilers and CHP

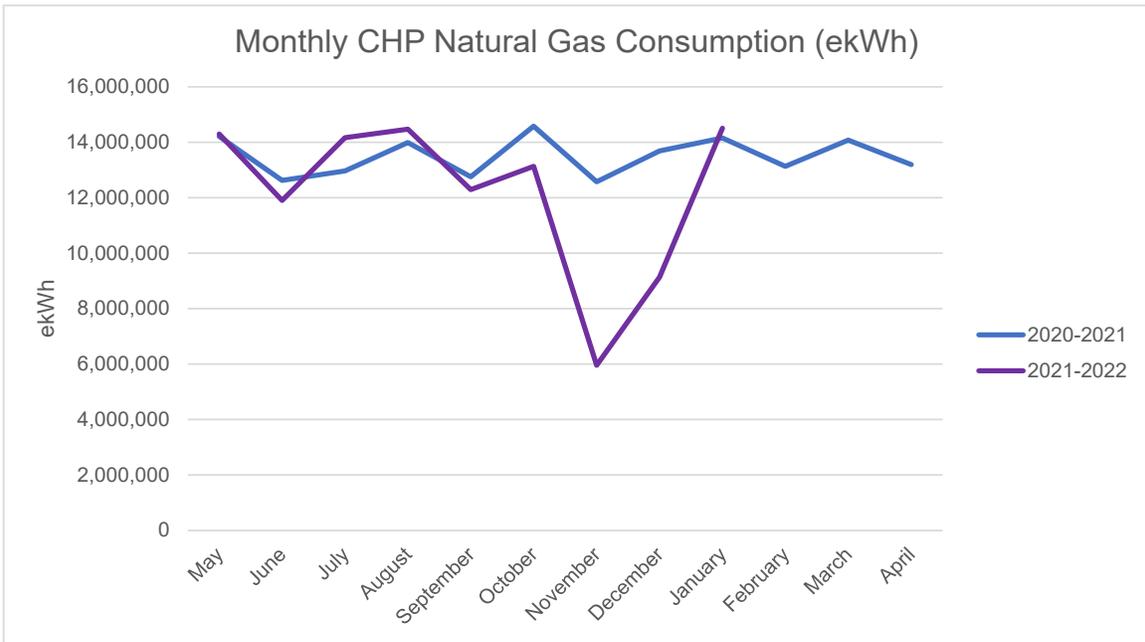


Figure 8: McMaster Monthly Cogeneration (CHP) Natural Gas Consumption (ekWh)

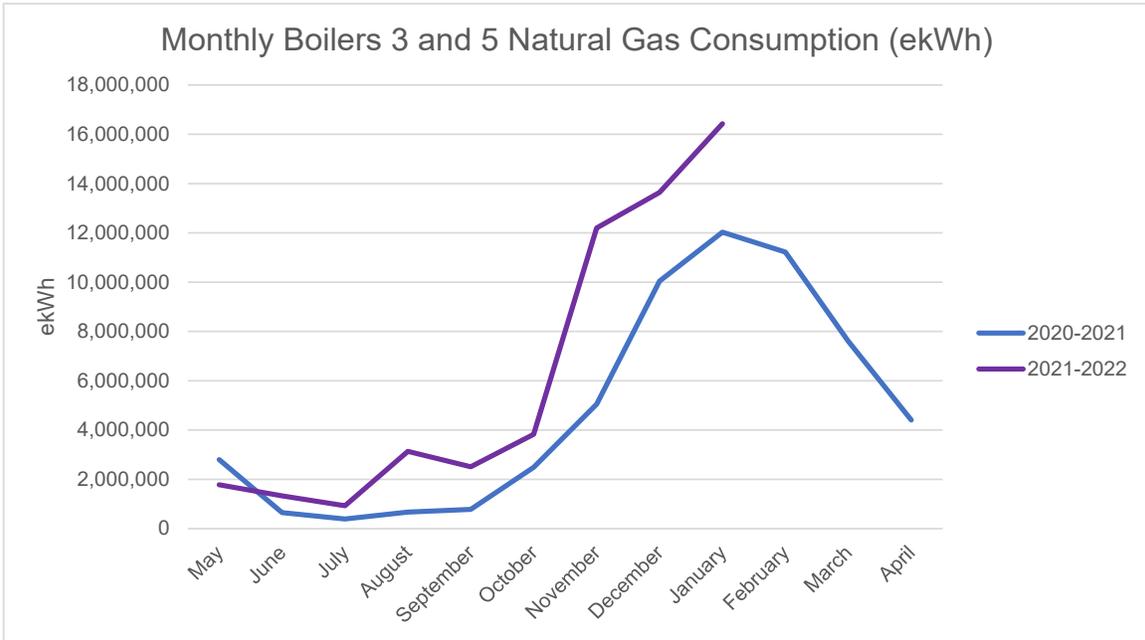


Figure 9: McMaster Monthly Boilers 3 and 5 Natural Gas Consumption (ekWh)

Domestic Water

The 2021-2022 domestic water usage has been omitted from the analysis due to incomplete data set at the time that this report was updated. However, the usage for the 2021-2022 academic year is expected to be slightly greater in comparison to 2020-2021 academic year, due to the return of staff and students to campus.

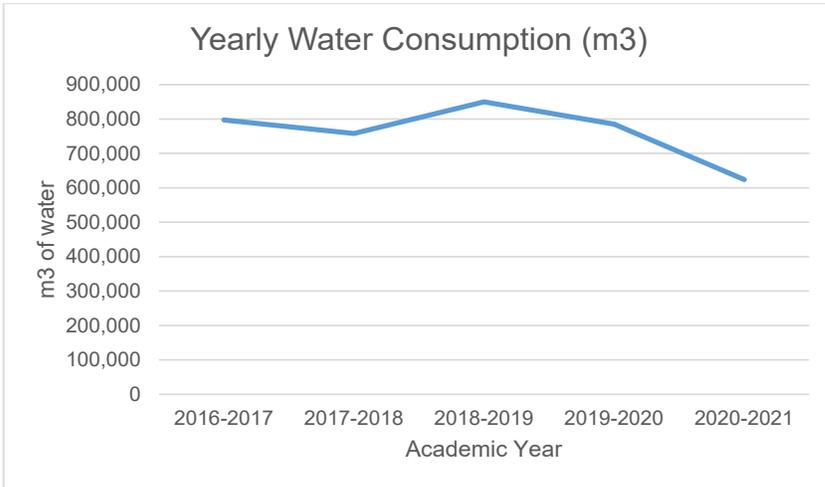


Figure 10: McMaster Domestic Water Consumption (2021-2022 data has been omitted)

Utility Intensities

There has not been an increase in net building area on campus between 2020-2021 and 2021-2022 academic years. The change in utility consumption is reflected on the utility intensity graphs, as shown in Figure 11, 12 and 13. As noted above, the domestic water data for 2020-2021 has been omitted in the analysis.

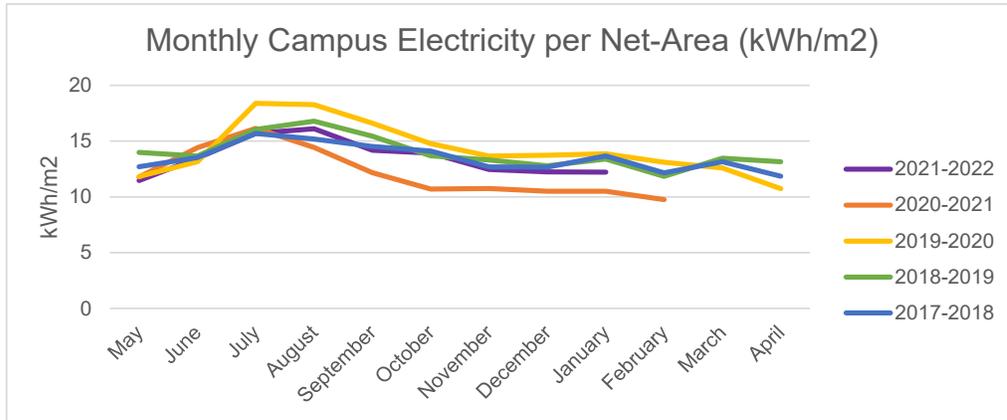


Figure 11: Monthly Campus Electricity per Net-Area (kWh/m²)

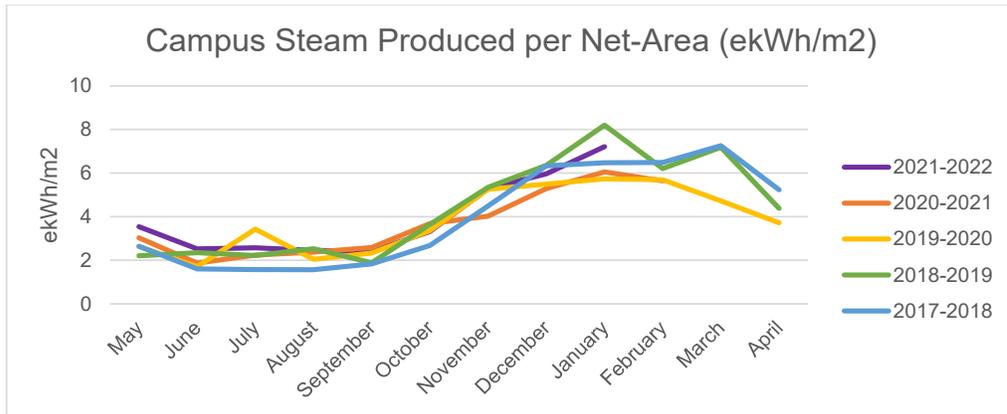


Figure 12: Monthly Steam Produced per Net-Area (ekWh/m²)

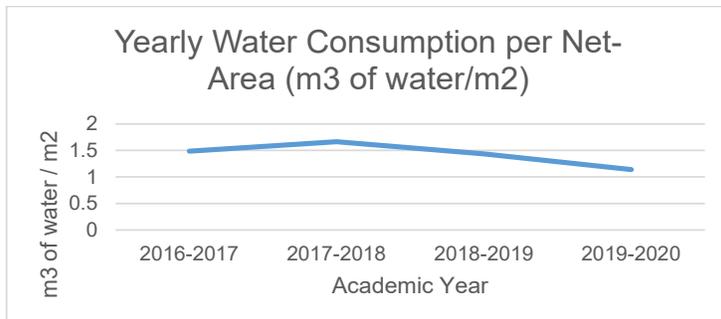


Figure 13: Yearly Water Consumption per Net-Area (m³ of water / m²)

McMaster GHG Emissions

As part of the Net Zero Carbon Roadmap, an energy model was created to determine the most energy and carbon intensive buildings. Figures 14 and 15 shows the campus models created by Footprint. These models will help McMaster University in prioritizing energy projects in the future.

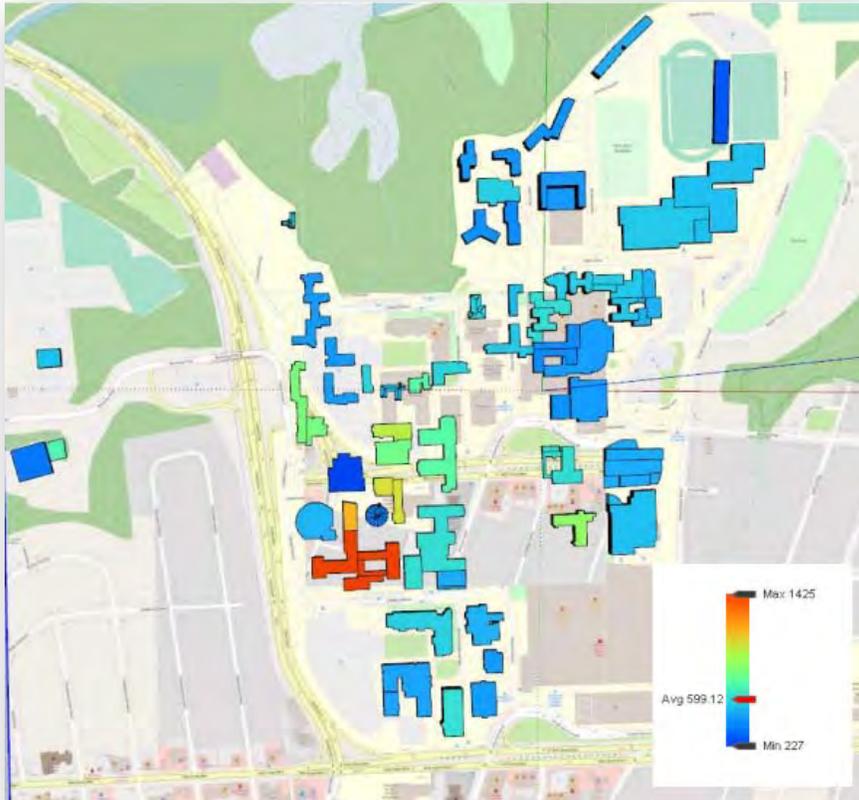


Figure 14: Campus Energy Model [Source: McMaster Net-Zero Carbon Roadmap Report]

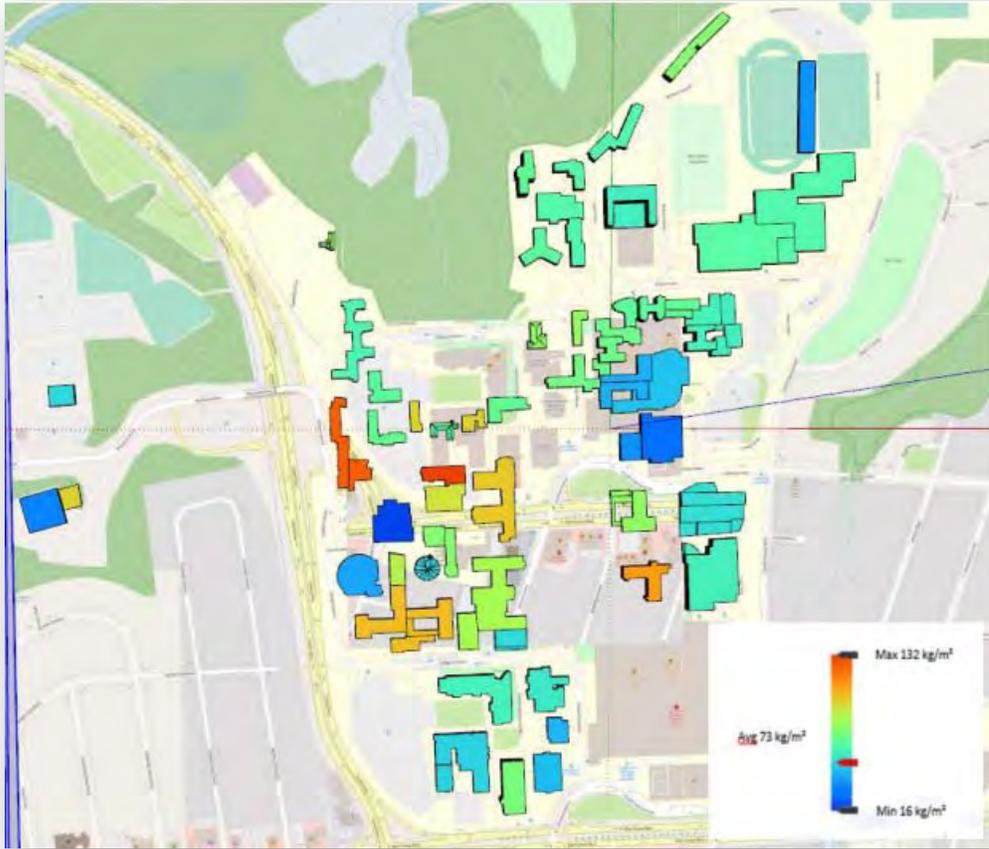


Figure 15: Campus Carbon Emissions Model [Source: McMaster Net-Zero Carbon Roadmap Report]

Based on the energy model in Figure 14, A.N. Bourns Building (Building 25) is one of the highest energy consuming buildings on campus (red/orange colour), followed by Tandem Accelerator (Bldg 32), and General Science Building (Bldg 22), which are yellow in colour. Table 1 summarizes the highest energy consuming buildings on campus and associated action plan to reduce energy consumption.

Building	Energy Consumption (red/orange/yellow)	Action Plan
AN Bourns Building (Bldg 25)	Red/Orange	Recent renovation in ABB has installed Demand Control Ventilation in the Undergraduate Chemistry Wing. There are several other laboratories that could

		be retrofitted with a DCV system. This will be part of the campus wide DCV project.
Burke Science Building (Bldg 11)	Yellow	Lab systems to be retrofitted with demand control ventilation as part of campus wide DCV project.
Tandem Accelerator (Bldg 32)	Yellow	Lab systems to be retrofitted with demand control ventilation as part of campus wide DCV project.

Table 1: Highest Energy Consuming buildings

Currently, McMaster emits approximately 40,400 tonnes of CO₂e annually. 95% of the emissions are direct emissions stemming from the district steam, cogeneration plant, emergency generators and fleet vehicles. The remaining 5% are indirect emissions from electricity imported from the grid. Figure 16 highlights the amount of carbon emissions resulting from the direct use of natural gas and grid electricity consumption.

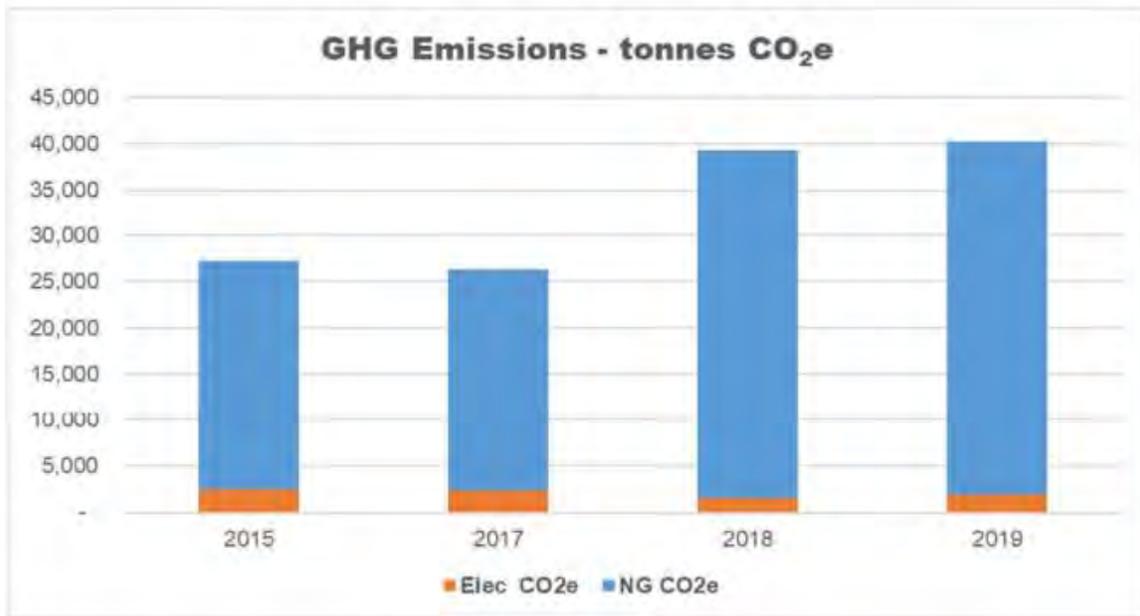


Figure 16: McMaster GHG Emissions [Source: McMaster Net-Zero Carbon Roadmap Report]

This highlights the need for McMaster to actively reduce its carbon emissions through various carbon reduction projects. The suggested carbon pathway to 2050 is shown in Figure 17.

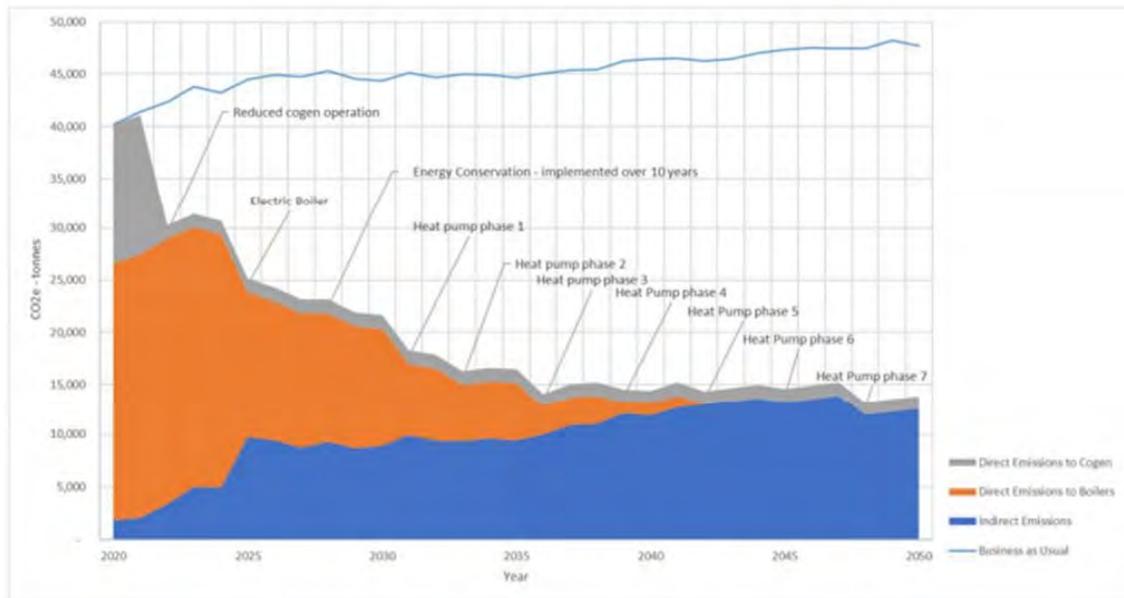


Figure 17: McMaster Carbon Reduction Path [Source: McMaster Net-Zero Carbon Roadmap Report]

The main theme in McMaster’s carbon road map is the electrification of the heating systems on campus. McMaster’s district heating system utilizes high energy steam and this has proven to be cost effective throughout McMaster’s history due to the low cost of natural gas. However, with the yearly increase in carbon tax, the true cost to operate the district system becomes significant. As such, McMaster is pursuing the installation of two electric boilers to renew its aging steam infrastructure while also avoiding future carbon cost.

To operate the electric boilers without an increase in electricity cost, McMaster intends to participate in the ICI program as a Class A customer. This will be accomplished by installing 10 MW of peak shaving at the NF 91 transformer lot. As a Class A customer, McMaster will be able to reduce the Global Adjustment portion of its annual electricity cost, making it financially feasible to operate the electric boilers. A Utility Cost impact graph shown in Figure 18, highlights what it would cost McMaster on an annual basis to implement all the carbon reduction recommendations with and without peak shaving.

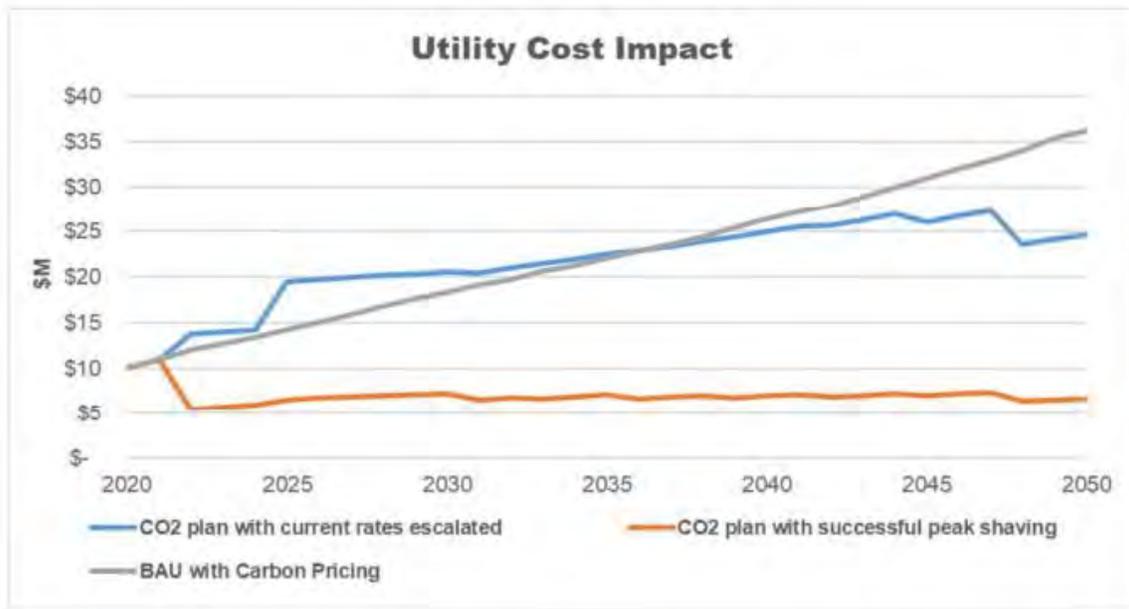


Figure 18: McMaster Utility Cost Impact [Source: McMaster Net-Zero Carbon Roadmap Report]

Benchmarking with Other Institutions

McMaster energy and GHG intensities were favourable prior to 2017. Due to the installation of the cogeneration plant (CHP), McMaster's energy and GHG intensities have significantly increased as shown in Figure 19 and 20.

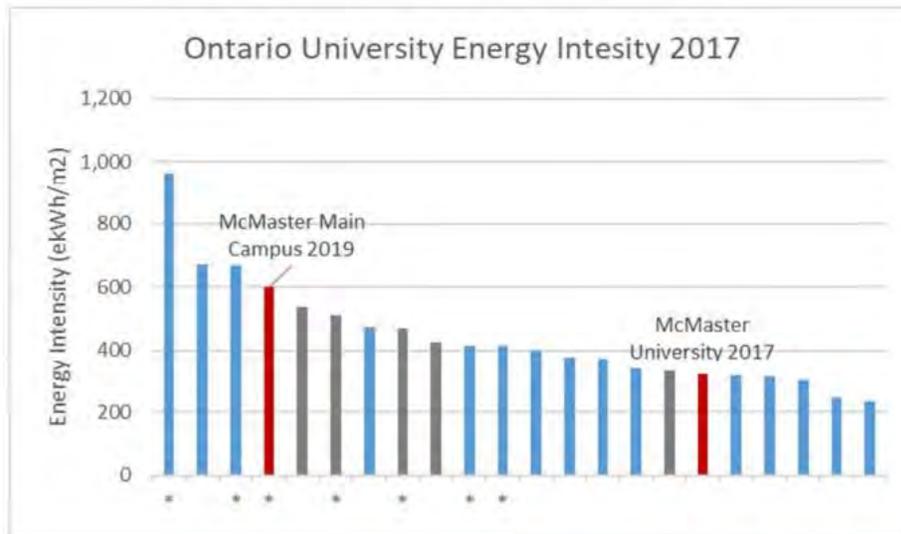


Figure 19: Ontario University Energy Intensity 2017 in kWh/m² [Source: Source: McMaster Net-Zero Carbon Roadmap Report]

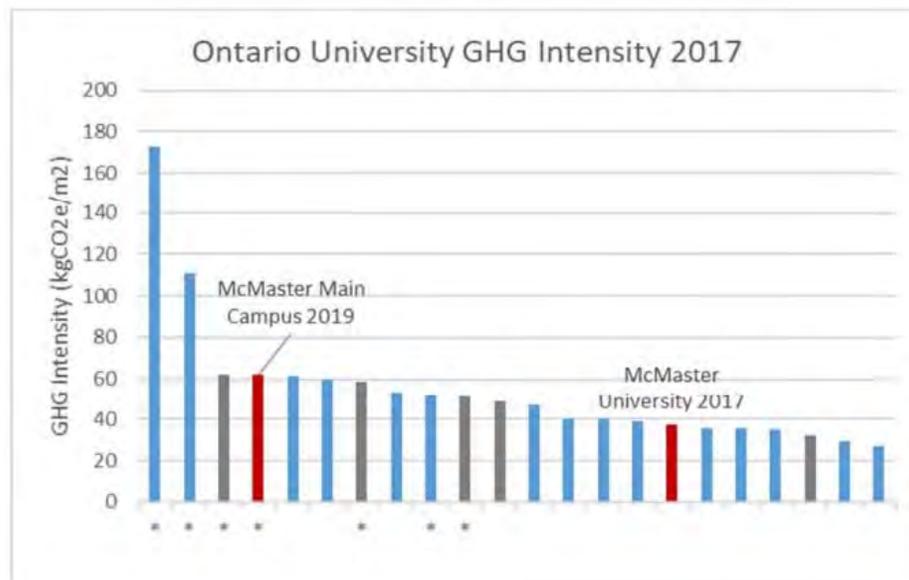


Figure 20: Ontario University GHG Intensity 2017 in kgCO₂e/m² [Source: McMaster Net-Zero Carbon Roadmap Report]

Reduction Targets

McMaster's Net-Zero Carbon Road Map has outlined comprehensive targets from 2021 to 2050, reducing campus carbon emissions by **75% in 2030** and **90% in 2050**, with a net reduction of **36,360 tonnes of CO2 per year**. The remaining 10% of campus carbon emissions are to be addressed by utilizing carbon offsets, or production of renewable energy on campus.

McMaster is committed to meeting its 2030 carbon reduction targets through the implementation of projects that focus on energy conservation, ventilation heat recovery, and BAS optimization.

McMaster will also alter its current electrical infrastructure by implementing peak shaving generators to reduce the financial cost of future carbon reduction projects, which heavily rely on electrification of heating systems. This becomes important as McMaster moves forward with the proposed projects, beginning with the installation of electric boilers at ET Clarke in 2022.

As of Fall of 2021, McMaster University is exploring solutions that will accelerate the Net-Zero roadmap to 2035, with a focus on cost-effective solutions. Results of the accelerated plan will be available in the Fall of 2022.

Energy Action Plan

McMaster's Net Zero Carbon Roadmap has successfully laid out McMaster's carbon reduction pathway to 2050. The goal of the energy action plan is to highlight projects that will assist McMaster in achieving its reduction targets with an emphasis on carbon and financial impacts.

Due to COVID-19, the initiation of a few projects has been delayed. This is a direct result of changes in governmental policies, and funding streams. Economic changes have also led to uncertainty with pricing and construction scheduling.

Government funding can also alter the execution of projects based on program rules. Projects submitted for federal/provincial carbon funding will need project key dates assessed and re-evaluated to meet the conditions of the funding program.

Past projects before 2019 can be found in previous iterations of the Energy Management Plan.

Completed Projects (post 2019)



Strobic Fan Upgrades

The strobic (high plume fans) in NRB and ABB are still operating with old pneumatic dampers. This project has replaced old pneumatic dampers to DDC electronic and has been successfully completed.

Water Conservation – Water System Retrofit on Life Sciences Building Fish Tank Room



The Building 39 Life Sciences Facility has a fish research room which currently utilizes potable water through fish tanks and drains it to the sewage system. The current annual consumption of city water is approximately 50,000 m³ or \$164,000 in annual costs at current water rates. This is a significant potable water consumption area on campus.

The project involves implementing best practices from fish research labs at University of Guelph, Aqua Lab and Environment Canada and implementing a filtration and circulation system which would have the capability to reduce potable water consumption by 80-95%. Detailed engineering of the project has been completed and bidding preparation is currently underway. Project was planned to be completed in 2019 in conjunction with the Faculty of Science and the Central Animal Facility.

Update: Project is now completed with minor deficiencies to be addressed. It is now awaiting regulatory approval.

Ongoing Projects



Steam Traps Replacement

The steam distribution system at McMaster relies on steam traps to ensure operation. Aside from an operational standpoint, steam traps play a vital role in fuel efficiency. Leaking traps are a major cause of energy and condensate loss. This project focuses on replacing these old and leaky steam traps for better efficiency and energy savings.

Update: All required steam traps have been ordered and are scheduled for replacement in the spring of 2022 after the systems switch over to cooling; this ensures that the system can be safely isolated. This project has also officially qualified for incentives from Enbridge gas.



LSB Mechanical Upgrades / Variable Speed Pumping

The pumping and distribution system at LSB is currently designed for constant volume. Retrofitting the system to variable speed operation will result in electrical savings due to variable flow. This would entail new VFD pumps and conversion of all three-way valves to two-way valves (energy valves).

Update: This project has been included in the new Greenhouse project at LSB, where majority of the mechanical systems in the building are to be replaced and renewed as part of deferred maintenance. Project is scheduled to be completed in 2023 and overall project funding for the mechanical systems upgrade is approximately **\$2.5M**. Amount of carbon reduction resulting from the upgrades to be determined once selection of equipment have been finalized.



LSB Greenhouse Geothermal Heat Pump System

One of the key recommendations in the Net Zero Carbon Roadmap is the transition to a geothermal heat pump system to provide heating on campus. To verify the effects of the proposed campus geothermal heat pump systems, it was decided that a pilot system would be implemented as part of the Life Science Building Greenhouse project.

This involves drilling thermal wells below the new greenhouse addition and installing a closed-loop system with circulation pumps. It is estimated that the pilot geothermal system would displace **100 kW** of heating and cooling from the district energy system. This amounts to a reduction of **98.5 tonnes of CO₂e annually**.

The implementation of the pilot geothermal system would cost approximately **\$500K** with no financial payback; it is intended for carbon reduction. McMaster Facility services hopes to gain more understanding of the financial implications of geothermal heat pump systems to operations and utilities through this pilot project.

Update: This project will be included in the submission for the Low Carbon Economy Challenge fund and Decarbonization Incentive Program.

Electric Boilers and Peak Shaving Generators (Natural Gas Generators)



Installation of electric boilers as opposed to the conventional natural gas boilers will significantly reduce McMaster's GHG emissions. Based on the recommendations in the Net Zero Carbon Roadmap, the installation of one 30,000 lb/hr steam boiler would reduce McMaster's carbon emissions by 35%. There are no cost savings associated with the implementation of an electric boiler; it is simply a greenhouse gas emission reduction strategy.

McMaster will be installing two 50,000 lb/hr electric boilers in the last quarter of 2022. This will require a capital investment of approximately \$3.6M. These two boilers will be operated in partial loads to achieve the carbon reduction target in the Net-Zero Carbon Roadmap. It is possible to achieve greater carbon reduction by operating the two electric boilers at a higher capacity. An operational review will be conducted once the electric boilers are in place.

To minimize the financial impacts on the operational budget of the electric boilers, McMaster will need to participate in the Industrial Conservation Initiative with the IESO and participate as a Class A customer. Class A participants pay global adjustment (GA) based on their percentage contribution to the top five peak hours. As a prerequisite to the program, the facility must have a peak demand above the nominal threshold of 5 MW; McMaster currently operates between 9 to 11 MW.

To maximize the financial savings from the program, McMaster will be installing 10 MW of peak shaving generators at the NF91 transformer lot and ET Clarke. With behind-the meter generation, McMaster will be able to significantly reduce its global adjustment cost, minimizing the operational costs of the proposed electric boilers. The natural gas generators are expected to operate 100 hours/year, in order to meet the peak days, which happen mostly in the summer months. With this, the natural gas generators will be producing approximately 700 tonnes of CO₂e locally on campus. In essence, this displaces 700 tonnes of CO₂e from the province as the province would be operating natural gas generators during peak periods.

Based on McMaster’s electricity load profile over the years, and current market conditions, it is estimated that approximately \$4M in Global Adjustment savings can be achieved through peak shaving.

The installation of the two electric boilers, 10 MW of peak shaving generators and refurbishment of existing steam assets will cost McMaster approximately \$31.5M. With an estimated \$4M in annual savings, a payback of 13 years is expected; this factors in operational and maintenance costs.

Update: This project has been separated into two projects due to the location of the equipment.

- 1. NF91 Peak Shaver Project – includes installation of the 4 x 2 MW generators at NF91 site**
- 2. 2.5 MW Peak Shaver/Emergency Generator and Electric Boilers – includes the installation of the fifth generator at ET Clarke (2.5 MW) and installation of the two electric boilers.**

The NF91 project is nearing design completion and will be tendered shortly. The project is now expected to be completed near the end of 2022. Meanwhile, the 2.5 MW generator and electric boilers project is expected to be completed by the spring of 2023.

Due to the project delays, the financial savings projected from the ICI program (peak shaving) will not be realized until 2024-2025 fiscal year.

Please note that the electric boilers will be part of the submission for the Low Carbon Economy Challenge fund and Decarbonization Incentive Program fund.

Metering Upgrades Project



With an aging campus infrastructure, many of the existing meters are outdated and difficult to service. This project will look at upgrading old meters (chilled water and steam mostly). It is estimated that the project will cost approximately \$250K (equipment and install). Upgrading the existing meters will help in better monitoring and tracking of Utility services, which will facilitate verification measures for the EMP plan.

Update: This project has now been awarded to a contractor and is scheduled to be completed by September of 2022.



Demand Control Ventilation – Physics Wing

With McMaster being one of Canada’s most research-intensive universities, research labs are the biggest consumers of energy on campus. This is due to the high fresh airflows through the labs for maintaining safety and comfort. As there is no recirculation of air in labs, large amounts of heating and cooling energy is required for constantly air conditioning outdoor air (outside air temperature ranges from -30 to +40 degrees Celsius through the year) and maintaining comfortable indoor air temperature and humidity levels.

This project implemented a measurement-based approach to lab ventilation. Typically, a lab ventilation system is designed to maintain constant air flows based on the maximum capacity of the equipment. The project implements lab air quality sensors, which measure air temperature, CO₂, volatile organic compounds, and particulate matter. When the lab air quality is acceptable, the system reduces the lab airflow to maintain comfort levels. If an accidental spill happens, the system ramps up the ventilation system to the maximum available capacity to exhaust air contaminants and allow the occupant to take action. As the lab air quality system delivers air where required (as opposed to throughout the facility), the system enhances the lab safety by delivering the higher fresh air flows. With the lab air quality being acceptable 97%+ of the occupied hours, significant energy savings are possible with lab demand control ventilation. This initiative has been recognized by the US Department of Energy as best practices in labs.

Similar initiatives have previously been implemented in top labs across North America, including:

- University of Ottawa
- Carleton University
- MaRS Discovery District
- Environment Canada
- University of California, Irvine– these measures were implemented at 11 labs and were profiled by US Department of Energy as best practices in labs
- Harvard University Medical School, Beth Israel Deaconess Medical Centre
- University of Pennsylvania

This particular project will target the Physics Wing of AN Bourns Building.

Update: The project will proceed to construction tender to solicit contractor bids in the spring of 2022. This project will also be included in the submission for the Low Carbon Economy Challenge fund and Decarbonization Incentive Program. Please note that if funding application is successful, construction start date of project might be altered to meet program requirements.

<i>Ongoing Projects</i>	<i>Year Completed</i>	<i>Cost (\$)</i>	<i>Energy Incent.</i>	<i>Annual Gas Savings (m3)</i>	<i>Annual Electricity Savings (kWh)</i>	<i>Annual Water Savings (m3)</i>	<i>Annual Savings (\$)</i>	<i>Simple Payback</i>	<i>Funding Source</i>	<i>GHG Emissions Reduction (tonnes of CO2e)</i>
Steam Traps Replacement	2022	\$37,500	\$11,400	52,640	0	0	\$14,213	1.8	D.M	99
LSB Greenhouse – Mech	2023	\$2,500,000	\$0	TBD	TBD	0	TBD	TBD	D.M	TBD
LSB - Geothermal HP	2023	\$500,000	\$250,000	**	**	0	**	TBD	EMP	99
Peak Shaver & Electric Boiler	2022	\$31,222,530	\$1,707,602	4,880,637	1,570,000	0	\$4,000,000	13	EMP	9200
Lab Air / DCV – ABB Physics Wing	2022 - 2023	\$887,000	\$443,500	131,597	311,393	0	\$112,000	4	EMP	248
Metering Upgrades	2022	\$1,800,000	\$0	0	0	0	N/A	N/A	D.M.	0
Total EMP Investments		\$34,109,530	\$2,401,102	5,012,233	2,131,758	0	\$4,112,000			9,547

DM – Deferred Maintenance

EMP – Energy Management Plan (Energy Budget)

**All projects under EMP to be submitted for government funding (Low Carbon Economy Fund & Decarbonization Incentive Fund)*

*** The annual gas savings achieved from the geothermal heat pump system is negated by the increased electricity cost from the operation of the heat pumps*

Table 2: Ongoing Projects Summary

Proposed Projects



Window Replacements

A culprit for a building's energy losses are from the building's façade, with old leaky windows being the top contributor. Replacing the windows would ensure that there are minimal leakages allowing conditioned air to escape. The following buildings have been identified for potential candidates for window replacements:

- Ivor Wynne Centre
- Commons Building
- Campus Services Building
- Tandem Accelerator
- Life Sciences Building



Demand Control Ventilation – Campus Wide

In order to reduce the steam demand, the heating demand of a building must also be reduced. The most common way to accomplish this is through demand control ventilation.

Laboratories have the highest energy usage out of all the spaces on campus and as such have the most potential for energy savings. The proposed demand control ventilation system monitors the concentration of the effluent in the exhaust air stream and effectively increases/decreases the speed of the exhaust fan in response. The energy savings occur when there is minimal fume hood activity/usage, as the system reduces the fan speed in order to conserve energy. This reduces the air changes per hour required in the laboratory, which reduces the heating load in the building. This translates to less steam demand from central plant, effectively reducing the GHG emissions of the gas boilers. In the past, McMaster has implemented the demand control ventilation system across many labs on campus (JHE Chemistry Wing, ABB Undergraduate Chemistry, MDCL, etc.), with great success (refer to past projects section).

Building on previous success, the DCV system can also be used in non-lab spaces; in the case of non-lab areas such as office spaces, meeting rooms, etc., the sensor suite/system can be configured to detect CO₂, TVOC's, and particulates. This will give an indication of the occupancy levels in each of the spaces, which can be used in real-time to adjust ventilation requirements and reduce fan operations.

Table 3 highlights all the potential buildings (both laboratories, non-laboratories, and animal facilities) that can be retrofitted with Demand Control Ventilation with accompanying savings and GHG reductions as indicated in study completed by Airgenuity.

		Capital Cost	Incentive	Net Capital	Electrical Savings (kWh)	Therms	CO 2 (Metric Tonnes)
9	Nuclear Research building	\$165,000	\$27,084	\$137,916	174,823	34,291	230
10	Mills Memorial Library	\$209,550	\$26,069	\$183,481	164,053	34,515	222
11	Burke Science Building	\$529,600	\$73,066	\$456,534	471,683	92,490	617
16	John Hodgins Engineering	\$687,475	\$146,809	\$540,666	950,946	184,696	1238
17	Divinity College	\$97,166	\$5,794	\$91,372	36,423	7,685	51
22	General Sciences	\$165,000	\$22,690	\$142,310	148,961	27,834	188
23	Chester New Hall	\$91,100	\$15,208	\$75,892	97,241	19,586	132
24	Ivor Wynne Centre	\$155,925	\$49,058	\$106,867	310,065	64,471	429
25	ABB - Arthur Bourns Building	\$856,040	\$126,436	\$729,604	847,776	148,779	1009
29	Togo Salmon Hall	\$155,930	\$33,158	\$122,772	210,503	43,243	289
30	Biology Greenhouse	\$105,300	\$11,305	\$93,995	74,097	13,911	94
32	Tandem Accelerator Building	\$131,115	\$27,807	\$103,308	179,581	35,175	236
33	Applied Dynamics Lab	\$132,500	\$18,860	\$113,640	124,398	22,927	155
34	Psychology Building	\$437,558	\$84,466	\$353,092	540,345	108,686	724
38	Kenneth Taylor Hall	\$253,389	\$18,459	\$234,930	121,851	22,405	147
39	Life Science building	\$721,500	\$146,023	\$575,477	1,003,008	163,294	1080
42	Thode Library of Science & Engineering	\$118,450	\$31,698	\$86,752	200,660	41,543	276
43	Communications Research Laboratory	\$119,971	\$9,935	\$110,036	69,105	10,801	71
46	DeGroot School of Business	\$97,200	\$5,325	\$91,875	33,503	7,051	46
48	Institute for Applied Health Sciences	\$306,763	\$50,867	\$255,896	329,514	63,983	424
49	Information Technology Building	\$209,600	\$14,270	\$195,330	89,963	18,836	123
51	McMaster University Student Centre	\$197,400	\$28,706	\$168,694	181,430	37,725	250
52	Michael Degroote Centre for Learning & Discovery	\$438,016	\$89,670	\$348,346	614,290	100,860	667
54	David Braley Athletic Centre	\$144,750	\$13,884	\$130,866	86,027	18,862	120
56	Engineering Technology Building	\$324,491	\$72,753	\$251,738	501,507	80,724	530
57	Ron Joyce Centre	\$162,940	\$10,240	\$152,700	64,630	13,489	88
58	MIP MARC	\$363,725	\$62,998	\$300,727	408,183	79,215	531
59	MIP Atrium Building	\$165,000	\$27,152	\$137,848	179,168	32,982	23
74	LR Wilson Hall	\$209,600	\$32,551	\$177,049	206,042	42,669	284
83	David Braley Athletic Centre	\$97,170	\$12,862	\$84,308	83,949	5,954	104
85	One James North	\$97,170	\$4,940	\$92,230	31,264	6,478	43

Table 3: Airgenuity - McMaster Campus Review

Engineering Technology Building – Demand Control/Cooling Modifications



Lab spaces typically have very high energy usage due to the increased ventilation rates. Therefore, it is beneficial to ensure that the main fan systems only condition the right amount of outside air to minimize energy consumption. This can be accomplished by using terminal units, such as fan coils, to provide the required thermal conditioning of the space. This will then allow for the reduction of ventilation rates based on occupancy/demand. By implementing both strategies, the thermal requirements at the main fan systems will be reduced, resulting in energy savings.

This project focuses on reducing the thermal loads on the main fan systems by installing chilled water/hot water fan coil units across the various labs/rooms in the Engineering Technology Building. The intent is for the fan coils to provide the thermal conditioning, in order to reduce the energy demand at the main fan systems.

The design of this project has been completed and is ready to be tendered for contractor pricing. It is anticipated that this project will be completed in the summer of 2023 due to the size and magnitude of the scope. A detailed outline of the project, along with funding sources will be submitted through governance for approval. This project will also be included in the submission for the Low Carbon Economy Challenge fund and Decarbonization Incentive Program.



Solar Panels (Electricity)

A solar panel farm produces sustainable renewable energy. This design works by photovoltaic cells/panels that absorb the energy from the sun and convert it to electricity via solar inverters.

McMaster is through the planning stages of designing and constructing a multi-level parking lot in Lot K. This provides the opportunity for a solar panel array on this structure's roof. A feasibility study was conducted by a consultant to assess the viability of integrating a solar panel farm/array on this proposed multi-level parking structure. It was determined that this solar roof could yield approximately 400 kW of power, with a construction cost of approximately \$1.09 million.

The cost savings for the solar roof originate from two sources:

1. With McMaster potentially being a Class A participant in the future, McMaster will be able to participate in the ICI program. McMaster can save approximately \$550K per MW when chasing the 5 top peaks as discussed in previous sections. If a battery storage system was implemented in conjunction with the solar panel farm/array, McMaster is able to utilize the electricity generated through the solar panels and offset the electricity taken from the grid by 400 kW during peak hours, resulting in potential savings of around **\$220K**. Implementing a battery storage system in Parking Lot K will require physical space and additional electrical infrastructure. It will add approximately \$2 million in cost to the project.
2. During non-peak hours, the savings can be realized by offsetting the power taken from the grid during the day. The savings from the daily operation is approximately **\$70,000 annually**.

This project has a payback of 11 years.



Irrigation Control System / Water Monitoring System

There are currently 28 irrigation systems on campus that the McMaster Grounds maintains and operates. Ninety percent of the irrigation systems are operated based on a schedule, which is not the most efficient way to operate. With advancement in control systems, today's irrigation technology allows for a demand response operation whereby the water monitoring system will track weather data and make adjustments to the irrigation demand. For instance, during days when there is precipitation, the water monitoring system will close the valves to the sprinkler system to conserve water. The water monitoring system also tracks the integrity

of the irrigation lines/heads by actively monitoring any pressure drops caused by leaks or damaged sprinkler heads.

As a test case, the ten-acre field was used to determine the potential water savings from retrofitting a water monitoring to an existing irrigation system. There are 15 zones in this area and the test results were very positive. Savings targets are being developed. **With 15 zones, the total water consumption is around 3,839,616 million gallons per year (14,547 m3/year).**



Rainwater Harvesting

Rainwater harvesting involves harvesting rainwater via a water collection system; rooftops are the most viable location for collection to avoid water contamination by ground elements. Currently, McMaster has a number of rainwater collectors spread across campus (DBAC, IWC, JHE, ETB, etc.). There are already cistern tanks in place to take advantage of this. A capital investment would have to be made to install new pipelines and pumps to extract rainwater from the cisterns and to be used for irrigation. This project is being researched.



Campus City Water Audit

This project involves identifying all sources of water leaks, such as taps, pump seals, and once-through cooling systems. Once the campus is audited, the amount of water loss for each is identified and repairs are prioritized accordingly. This involves hiring two summer students to audit the campus and to complete a follow-up inspection. The expected savings are based on the industrial savings of 5%. Cost of repairs is to be determined based on the results of the initial audit.



Wastewater Abatement Program

Participation in this program will allow the University to reduce their water cost by diverting a minimum of 25% of the purchased potable water from the sewer works. Examples of diverted water includes ground irrigation, evaporative water from cooling towers, etc.

There are potential savings in pursuing this program as a high volume of water is diverted from the sewer works by the cooling towers and water irrigation. The City of Hamilton will have to be engaged to determine if McMaster will qualify for this program.



Cooling Tower Make-Up Source Change

The cooling towers in ET Clarke use city water for make-up. This introduces calcification in the system increasing water usage. By switching the make-up water source from city water to Reverse Osmosis (RO) water, contamination will be kept at a minimal and will provide a reduction in make-up water consumption.

McMaster Utilities is currently exploring this option. Potential water savings will be calculated once the new RO system is fully operational.

<i>Proposed Projects</i>	<i>Target Completion Date</i>	<i>Cost (\$)</i>	<i>Energy Incent.</i>	<i>Annual Gas Savings (m3)</i>	<i>Annual Electricity Savings (kWhr)</i>	<i>Annual Water Savings (m3)</i>	<i>Annual Savings</i>	<i>Simple Payback</i>	<i>Funding Source</i>	<i>GHG Emissions Reduction (tonnes of CO2e)</i>
Window Replacements (various)	2022-2030	\$7,615,000	\$0	28,854	15,865	0	\$7,646	> 20	D.M.	54
Demand Control Vent (Campus Wide)	2025	\$14,300,000	\$2,900,000	9,436,400	19,189,000	0	\$780,000	15	EMP	13,789
ETB DCV/Cooling Modification	2023	\$2,550,000	\$1,275,000	141,161	250,365	0	\$87,565	8.6	EMP	266
Solar Panels (Lot K)	TBD	\$3,090,000	TBD	0	1,460,000	0	\$290,000	11	EMP	0
Irrigation Control/Water Monitoring	2022	\$6,500	\$0	0	0	7,274	\$24,700	< 1 year	EMP	0
Rainwater Harvesting	TBD	\$23,000	\$0	0	0	648	\$2,400	10	EMP	0
Campus City Water Audit	**	TBD	TBD	0	0	31,000	\$105,000	<1 year	EMP	0
Wastewater Abatement Program	2022	TBD	TBD	0	0	TBD	TBD	TBD	EMP	0
Cooling Tower Make-Up Water Source Change	2022	TBD	TBD	0	0	TBD	TBD	TBD	EMP	0
Total		\$27,584,500	\$4,175,000	9,606,415	20,915,230	38,922	\$1,297,311			14,109
Total EMP Investments		\$19,969,500	\$4,175,000	9,577,561	20,899,365	38,922	\$1,289,665			14,055

Table 4: Proposed Projects Summary

DM- Deferred Maintenance

EMP – Energy Management Plan (Energy Budget)

** This is a continuous project where the city water audit is done on a yearly basis.

Energy Action Plan Conclusion

This energy action plan extends to 2030 and includes 3 ongoing energy projects with a total energy investment of **\$34,109,503**, scheduled to be completed by 2023. There are 20 completed projects with a total investment to date of **\$25,335,444** and another 9 proposed projects with a total anticipated energy investment of **\$19,969,500**. This will bring the total investment to **\$79,414,447** by 2030. Funding sources for each of these projects are being considered, along with timelines and business case development. Projects will be brought through governance for consideration based on the total project value. Table 5 below summarizes the EMP investment breakdown from the past, current and future projects.

Project	EMP Investment
Completed Projects	\$25,335,444
Ongoing Projects	\$34,109,503
Proposed Projects	\$19,969,500
Total (by 2030)	\$79,414,447

Table 5: EMP Investment up to 2030

With the current and proposed projects, the GHG emission is targeted to be reduced significantly. McMaster's annual carbon footprint of **40,400 tonnes of CO₂** is projected to be reduced to an annual carbon footprint of **15,500 tonnes of CO₂** by 2030.

Year	Annual GHG Emission Reductions (tonnes of CO ₂)
2013 to 2020	1,695
2020 to 2030	23,656
Total	25,351

Table 6: GHG reductions up to 2030

The EMP progress will be tracked by comparing monthly and yearly utility and GHG intensities. Baseline, benchmarks, progress and targets met will be tracked and recorded. Annual reports will be developed to alert any stakeholders of any issues and milestones achieved. The hope is to raise awareness and maintain enthusiasm for sustainability and energy management initiatives.



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REPORT TO THE BOARD OF GOVERNORS
from the
COMMITTEE ON UNIVERSITY ADVANCEMENT

At its meeting on March 29, 2022, the Committee on University Advancement received for information the following, which is now presented to the Board of the Governors for information:

- i. **2021 University Advancement Year in Review**

Board of Governors: FOR INFORMATION
April 21, 2022



**BRIGHTER
WORLD**

For your information

Date: March 29, 2022
To: Members of the Committee on University Advancement
From: Mary Williams, Vice-President, University Advancement
Cc: Debbie Martin, Acting Vice-President, University Advancement
(as of May 1, 2022)
Re: 2021 University Advancement Year in Review

.....

We are proud to share McMaster's 2021 University Advancement Year in Review, highlighting accomplishments in another uniquely challenging year that demonstrate strong growth, which are the result of the entire University community working together to help build McMaster's relationships, reputation and resources in support of our strategic priorities. The document also provides context and connections to University Advancement's Strategic Plan 2021-2023.

The 2021 review provides a snapshot of some of the amazing highlights from the past year in support of McMaster's vision, "Impact, Ambition and Transformation through Excellence, Inclusion and Community: Advancing Human and Society Health through Well-being." We proudly report on our collective accomplishments as part of our accountabilities to various University governing bodies. The information and stories included are excellent examples of the exceptional efforts of our students, faculty, researchers, staff, alumni and friends in support of our University and its strategy.

We will also share these results with the Planning and Resources Committee and the Board of Governors as part of our annual accountability reporting. Now, we are pleased to share these results with you and look forward to further discussing at our meeting.

Please feel free to reach out to me with any questions. Thank you.

Mary Williams
Vice-President, University Advancement

Enclosed

UNIVERSITY ADVANCEMENT

2021 Year in Review



BRIGHTER WORLD



University Advancement

Vision

Together, we enable McMaster to advance human and societal health and well-being.

Mission

Inspired by McMaster’s tradition of collaboration and innovation, we strengthen relationships, reputation, and resources in pursuit of our goal to be the best.

Values

Integrity, Quality, Service, Strategy, Respect, Teamwork

Contents

- University Advancement Strategic Plan 2021-2023 3
- Key Success Factor 1: Strengthening Relationships..... 4
- Key Success Factor 2: Building Reputation.....10
- Key Success Factor 3: Expanding Resources.....16
- Key Success Factor 4: Service and Support..... 22



Wherever you see this icon within the document, click it to view the associated story to read further details.

Note: some group photos in this document were taken prior to the implementation of COVID-19 restrictions.

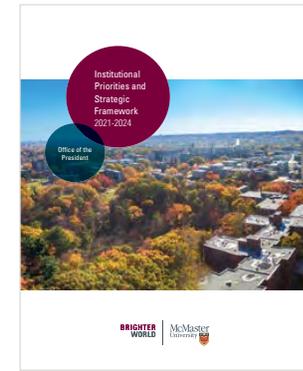


University Advancement Strategic Plan 2021-2023

University Advancement's 2021-2023 Strategic Plan highlights our key priorities and annual objectives through 2023 and sets a framework to guide how we advance the University's vision and mission.

Our way forward

The University Advancement strategic plan was refreshed with input from a variety of stakeholders across the McMaster community and ensured alignment with the University's [Institutional Priorities and Strategic Framework 2021-2024](#) which was rolled out in the spring of 2021 by President David Farrar.



With our plan finalized following the release of the University's strategy, our team is committed to supporting and furthering the priorities within that framework: **Inclusive Excellence; Teaching and Learning; Research and Scholarship; Engaging Local, National, Indigenous, and Global Communities; and Operational Excellence.**

The refreshed University Advancement plan includes some familiar elements and some new additions. The vision, mission and values for University Advancement were reaffirmed, while overarching principles that feed into all that we do were added: Inclusive Excellence, Advancing the University's Strategy, Growth in All Advancement-Related Areas in Faculties and Units, Stakeholder-Centred. Each of our teams reviewed and updated their strategic initiatives and annual goals based on the current landscape, and Big Ideas (opportunities that could support McMaster's worldwide impact) were included again.

The forthcoming pages share highlights from 2021 in relation to the Key Success Factors from this plan, which include [Relationships](#), [Reputation](#), [Resources](#) and [Service and Support](#).

UNIVERSITY ADVANCEMENT STRATEGIC PLAN 2021-2023 – SUMMARY

Vision: Together, we enable McMaster to advance human and societal health and well-being. **Mission:** Inspired by McMaster's tradition of collaboration and innovation, we strengthen relationships, reputation, and resources in pursuit of our goal to be the best. **Values:** Integrity, Quality, Service, Strategy, Respect, Teamwork.

Overarching principles: Inclusive Excellence, Advancing the University's Strategy, Growth in All Advancement-Related Areas in Faculties and Units, Stakeholder-Centred

OUR KEY SUCCESS FACTORS

	RELATIONSHIPS	REPUTATION	RESOURCES
Strategic Initiatives (Initiatives that will receive special attention, effort and/or resources through 2023)	<ul style="list-style-type: none"> Maximize opportunities for increased support, along with focused, strategic advocacy to all levels of government to enhance the impact of policy changes. Accelerate the breadth of digital programming, volunteer and engagement opportunities for our key audiences including alumni, students and friends of the University. Establish and grow a network of volunteer leaders and champions that will support the University and its priorities. Foster greater collaboration with Faculties, units, and campus partners through strong partnerships to maximize alumni engagement. 	<ul style="list-style-type: none"> Enhance McMaster's global reputation by: <ul style="list-style-type: none"> Implementing and amplifying an integrated content strategy with paid and earned media Expanding the digital ecosystem and digital best practices Focusing on key global rankings Expanding analytics and evidence-based insights. Provide comprehensive communications and marketing leadership to meet the ongoing challenges of the COVID-19 pandemic. 	<ul style="list-style-type: none"> Initiate all aspects of BWRI (Brighter World: Re-imagining Innovation & Impact), with a particular focus on priority projects (e.g. Canada's Global Nexus for Pandemics and Biological Threats). Position McMaster for resources related to our role in economic recovery from the COVID-19 pandemic. Diversify resources and non-traditional partnerships to maximize all revenue opportunities.
Annual Goals (Ongoing mission-critical activities that continue to advance the University's goals)	<ul style="list-style-type: none"> Identify and foster the development and growth of a diverse and inclusive University volunteer community. Leverage our reputation as a trusted advisor to strengthen and broaden the range of relationships with all levels of government. Build our Alumni Engagement Index from a baseline of at least 32% annually, to a goal of 34%. Enhance engagement offerings and delivery of programming that is responsive to the external environment and values of our alumni and friends. Sustain productive neighbourhood relations. 	<ul style="list-style-type: none"> Collaborate with Faculties and units across the University to provide strategic communication and branding advice and support on priority projects for internal and external audiences. Support international recruitment and engagement through strategic marketing, communications, and other initiatives. Accelerate an innovative digital-first approach to expand McMaster's engagement with our key audiences. Be a leader in issues and reputation management. 	<ul style="list-style-type: none"> Build from a baseline of at least \$55 million in new revenue confirmed annually, to a goal of \$100 million. Maintain and grow government funding. Amplify and expand the funder pipeline to support sustained revenue growth through Faculties and units and mobilize to support emerging and urgent University fundraising priorities. Continue to maximize potential of existing alumni affinity programs with a focus on developing new revenue generating programs.
SERVICE AND SUPPORT Foundational elements that enable the achievement and success of all items above)			
STRATEGIC INITIATIVES	<ul style="list-style-type: none"> Promote and model a culture of inclusive excellence across UH while supporting the University's EDI strategy and action plan. Alignment of all resource plans (i.e. budgets, human resource plans, learning and development opportunities, etc.) and priorities with BWRI (Brighter World: Re-imagining Innovation and Impact) and priorities of Faculties, units and the broader University. 		
ANNUAL GOALS	<ul style="list-style-type: none"> Continue to grow and foster partnerships with Faculties and units to build capacity to support shared goals and priorities. Provide stellar stewardship & accountability to funders with strategic focus on stewarding McMaster's most generous funders. Moderate and enhance the use of tools, technology, processes & data to support the stakeholder experience. Ensure ongoing confidentiality, integrity, and security of data, systems and software, and use data to support decision-making. 		
BIG IDEAS	<ul style="list-style-type: none"> Big Idea - Big Reward: Huge opportunities that could support McMaster's worldwide impact 	<ul style="list-style-type: none"> Goal 30: Bring our research to the world through partnerships to the university that transformed a city. Deepen our network of volunteer champions and friends. 	

BRIGHTER WORLD | McMaster University

Created December 2020. Last Modified: September 2021. FOR INTERNAL PURPOSES ONLY

Key Success Factor 1: Strengthening Relationships

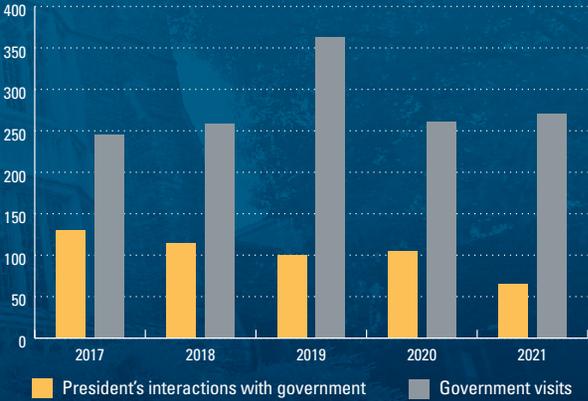
Fostering effective external and internal relationships through strong partnerships and effective government, community and alumni relations, as well as through collaborative and successful programs, events and services that connect with key contacts and audiences locally, nationally and internationally.

Key Priorities – Government Relations

We remain focused on operationalizing government relations plans to achieve success and mitigate challenges and risks for the University.

- Maximize opportunities for increased support, along with focused, strategic advocacy to all levels of government to enhance the impact of policy changes.
- Leverage our reputation as a trusted advisor to strengthen and broaden the range of relationships with all levels of government.
- Maintain and grow government funding.

Interactions with Government 2017-2021



McMaster in the Legislature

In the following video segments addressing parliament, Milton MP Adam van Koeverden '07 highlights some of the remarkable work being done at McMaster University, and Flamborough-Glanbrook MPP Donna Skelly recognizes the McMaster Glamour girls.



1st
across Ontario universities
and
6th
among the U15
for meaningful meetings
with members of the
federal government.



271

The number of meetings McMaster held with government in 2021, an increase from 261 meetings in 2020.

25 The number of times McMaster was mentioned in Parliament and the provincial legislature on topics related to students, COVID-19 research, the McMaster Nuclear Reactor and Canada's Global Nexus for Pandemics and Biological Threats.



Bringing government stakeholders to campus

Ontario Premier Doug Ford and key caucus members, together with Hamilton Mayor Fred Eisenberger, toured several laboratories where McMaster researchers are working to resolve critical issues related to COVID-19.



Ontario Energy Minister, Todd Smith (right), tours the McMaster Nuclear Reactor to learn more about McMaster's nuclear research capabilities with Chris Heysel, director of Nuclear Operations and Facilities.



Maintaining and growing government funding

Working with McMaster leaders and researchers, our team successfully advocated for and helped secure funding for priority projects across the University via direct funding from all levels of government.

\$10,000,000 **\$75,000**

from [FedDev Ontario](#) to support an integrated automotive, aerospace and advanced manufacturing network

from Hamilton Public Health for testing and sampling collection

\$1,200,000

for the Faculty of Engineering's wastewater sampling initiative

\$65,000

funding agreement with eCampus Ontario for the Faculty of Engineering's work on researching digital credentials in the academic sector and beyond

\$1,960,000

for a medical imaging strategy in collaboration with Mohawk College

\$485,000,000

Government funding directed to McMaster for the most recent year, the **THIRD HIGHEST** of any U6 institution (CAUBO, 2021).

This includes \$47M from CIHR, \$25M from NSERC, and nearly \$9M from SSHRC.

Focused, strategic advocacy: Ottawa Advocacy Day

In December, McMaster conducted an advocacy day on Parliament Hill with a focus on raising awareness and generating support for Canada's Global Nexus for Pandemics and Biological Threats. President David Farrar and Gerry Wright, lead for Canada's Global Nexus for Pandemics and Biological Threats, along with Public Affairs staff, conducted a series of meetings with key government stakeholders from the federal government including Simon Kennedy, Deputy Minister of Innovation, Science and Economic Development, Leslie Church, Chief of Staff, Office of the Minister of Finance, and Jean-Sébastien Bock, Director of Policy, Office of the Minister of Health.

Leveraging our reputation as a trusted advisor to government

Pre-election outreach

Leading up to the 2021 federal election, we hosted virtual meetings with local candidates from all parties to discuss McMaster's priorities and opportunities for collaboration. This is part of our regular, award-winning pre-election outreach strategy.



Aiding government's response to COVID-19

Karen Mossman, McMaster's vice-president of research, and Brian Lichty, associate professor in the Department of Medicine, presented in front of the House of Commons Standing Committee on Industry, Science, and Technology to discuss [Canada's Global Nexus for Pandemics and Biological Threats](#) and biomanufacturing capacity.



Key Priorities – Alumni Engagement

University Advancement, the McMaster Alumni Association (MAA), and our campus partners work collaboratively to engage more than 221,500 alumni from around the world through a range of programs and activities.

We aim to:

- Accelerate the breadth of digital programming, volunteer and engagement opportunities for our key audiences including alumni, students, and friends of the University.
- Establish and grow a network of volunteer leaders and champions that will support the University and its priorities.
- Foster greater collaboration with Faculties, units, and campus partners through strong partnerships to maximize alumni engagement.
- Identify and foster the development and growth of a diverse and inclusive University volunteer community.
- Build our Alumni Engagement Index from a baseline of at least 32 per cent annually, to a goal of at least 34 per cent.
- Enhance engagement offerings and delivery of programming that is responsive to the external environment and values of our alumni and friends.
- Continue to maximize potential of existing alumni affinity programs with a focus on developing new revenue generating programs.

2021 Alumni Engagement Index – **46.3%**

2021 Alumni Engagement Renewal Rate – **84.0%**

Alumni Engagement 2017-2021



— Alumni Engagement Index – actual
— Alumni Engagement Index – goal



— Alumni Engagement Renewal Rate – actual
— Alumni Engagement Renewal Rate – goal

- Alumni Engagement Index = (total alumni participating in events/programs/volunteer communications) / by total mailable alumni
- Alumni Engagement Renewal Rate = alumni who were engaged in 2020 and again in 2021

Fostering greater collaboration with Faculties and campus partners

Over the past year, we have begun to partner with McMaster's academic Faculties with the common goal of maximizing alumni engagement.

- Establishment and recruitment of a new Associate Director, Faculty Alumni Engagement role to support implementation of a pilot of Faculty-based alumni engagement officer roles
- Partnership agreements executed and recruitment into the above-listed alumni engagement officer roles for four of our six Faculties
- A webinar co-hosted during Small Business Week in October with the DeGroot School of Business
- Development of an Alumni Strategic Plan with the Faculty of Engineering
- Recruitment of mentors for the first class of Humanities Career Apprenticeship Program
- 75th Virtual Anniversary celebrations for the School of Nursing within the Faculty of Health Sciences

Accelerating the breadth of programming and opportunities

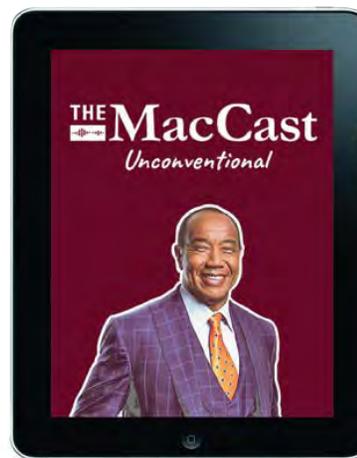
We forged ahead with digital programming with the intent to inspire and engage our alumni community despite pandemic restrictions. Some examples of out-of-the-box digital programming we ran are highlighted below.

Embracing the unconventional

No one ever said that a career journey has to be a straight line. For some, the journey is full of unexpected turns, surprising opportunities and a few roadblocks. With McMaster's substantial alumni base, there are more than a few stories about taking the road less travelled between graduation and career success. *The MacCast Unconventional*, a new podcast series launched in 2021, features 19 of these stories to date, all told by the alumni themselves.

Further examples of enhancements to our engagement offerings and delivery of 2021 programming included:

- Family Series: A March/April spring break virtual series featuring graduate students (physics of food; bat cave)
- Special themed programming adapted to Public Health guidelines, including @homewithMac, Light Up the Night 2021 Part I, Light Up the Night 2021 Part II, and Summer@Mac
- Virtual Awards Celebration: Alumni around the globe participated in the celebration of alumni achievements



Engaging
221,500+
alumni globally

Enhancing engagement offerings and delivering programming that is responsive to the external environment, our alumni and friends

Celebrating five years of questions



2021 marked the fifth year of the [Question of the Week Club](#). Each week, over the past five years, we have shared responses to the question sent the previous week to our growing community of members.

Top questions by year:

2021: What is your favourite international food?

2020: Do you love your job?

2019: What is the major world issue of the century?

2018: Share someone other than your family who has had a significant impact on the person you became?

2017: What is one small thing you do to make yourself happier?

Top five most popular webinars in 2021:

- The Art & Science of Improved Well-Being with Dr. Laurie Santos
- [Better Conversations: How to listen so that they will talk](#) with Haesun Moon '01, '02
- Partnership event with the Faculty of Science's Centre for [Climate Change: We're Screwed, It's Our Fault, It's Going to Get Worse and There's Nothing We Can Do About It?](#)
- [The Operation of All Wonderful Things: Magic and the Occult](#) at McMaster University Library
- Two-Eyed Seeing and the Night Sky with Sasha Doxtator & Dr. Robert Cockcroft, in support of National Indigenous Peoples Day

Question of the Week Club: by the numbers

3,042
members

37,871
answers submitted

AGES
19 to 98
Oldest member is 98 (Class of 1947) and youngest is 19 (Class of 2024)

89
number of people who have submitted over 100 answers to our questions



Key Success Factor 2: Building Reputation

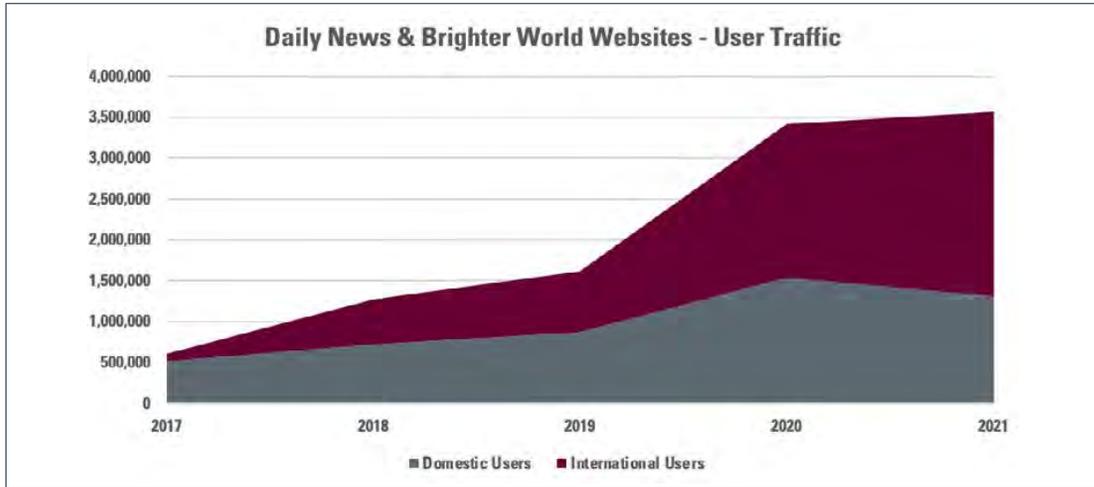
Enhancing McMaster's reputation for excellence through outstanding media and alumni relations, communications, marketing, government relations and stewardship.

Key Priorities

- Enhance McMaster's global reputation by:
 - Implementing and amplifying an integrated content strategy with paid and earned media
 - Expanding the digital ecosystem and digital best practices
 - Focusing on key global rankings
 - Expanding analytics and evidence-based insights
- Provide comprehensive communications and marketing leadership to meet the ongoing challenges of the COVID-19 pandemic.
- Collaborate with Faculties and units across the University to provide strategic communication and branding advice and support on priority projects for internal and external audiences.
- Support international recruitment and engagement through strategic marketing, communications, and other initiatives.
- Accelerate an innovative digital-first approach to expand McMaster's engagement with our key audiences.
- Be a leader in issues and reputation management.

Integrated content and marketing strategy

McMaster's content, marketing, media and paid media strategy continues to deliver strong year-over-year results. An integrated real-time content and ongoing planned amplification campaign are delivering the University's research success to expanding audiences and advancing our goals around reputation and rankings globally.



63% portion of all Daily News and Brighter World website traffic from international users in 2021 (vs. 15% in 2017)

2,328% growth in international user traffic since 2017

154% growth of domestic user traffic to since 2017

3.5 million+
user visits to Brighter World Research website / Daily News (+4% over 2020)

2.3 million+
international user visits (+20% over 2020)

5.4 million+
page views (+4% over 2020)



Implementing and amplifying an integrated content strategy with paid and earned media and accelerating an innovative digital-first approach to expand McMaster's engagement with our key audiences

Promoting a McMaster-made vaccine

When the media relations team learned about a new inhaled vaccine being produced at McMaster, planning immediately began to deliver an integrated content, media and paid media strategy. Months of work was done in advance with key researchers to prepare them for large-scale media interest and to craft a compelling narrative supported by video and photography to target multiple audiences, including funders, government, alumni and an international research audience.

The plan:

Acquire key headlines through earned media; send the story soaring through social media; use paid advertising and email marketing to amplify the story and reach key audience groups.

The outcome:

- More than 600 media mentions, including all major national outlets (CBC, Globe & Mail, Toronto Star, National Post, CTV) and several key international platforms, such as CNN.
- More than 27,000 global researchers received the news in a customized email, which received a 39 per cent click-through rate, much higher than industry standard. Ads featuring the lead researchers were served worldwide to extend the impact of media coverage.
- Heightened awareness of Canada's Global Nexus for Pandemics and Biological Threats and increased interest among government officials and funders.
- A social media strategy engaged dozens of McMaster researchers enhancing engagement of multiple platforms, including more than 200,000 video views on Twitter and Facebook.



Promotion of a McMaster-made vaccine hailed **600+** media mentions



and garnered more than **200,000** video views on Twitter and Facebook

Accelerating an innovative digital-first approach to expand McMaster's engagement with our key audiences

The Conversation

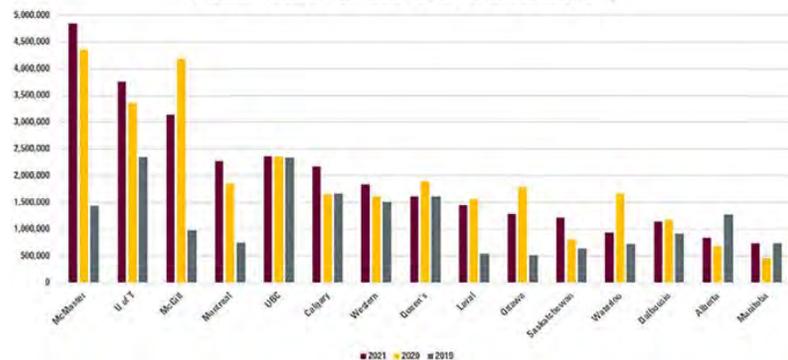
The strategic amplification of McMaster research excellence in 2021 continued to leverage *The Conversation*, a channel we have supported as founding partners since 2018. This website opens the door to tell McMaster research stories to large audiences via their republishing platform of more than 500 quality media outlets. To increase the breadth and depth of those participating, media relations delivers *Conversation* information sessions, ghostwrites opinion pieces and coaches graduate students and faculty members to pen their own columns.



FOUR of *The Conversation's* top 10 most read stories last year came from McMaster

Spinoff benefits: 60 per cent of authors were contacted by media for additional interviews and 17 per cent were invited to speak at conferences.

The Conversation Canada - Total Article Reads (U15)



Media relations

Our reputation team helps our world-class researchers to put their work on the local, national, and international stage.

4,000 Local media mentions
16,000 National media mentions and broadcast mentions
5,200 International media mentions

Social media

Our integrated approach to social media – through paid advertising and organic reach — effectively engages a range of audiences from prospective international students to global researchers to our own internal community.

 6.8M impressions 153K engagements	 16.8M impressions 4.3M engagements	 427.3M impressions 171K engagements	 6.5M impressions 171K engagements
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#1 in total reads per article

78,000+ average reads per article (+45% over 2020) vs. 22,000 for U-of-T



#1 in total reads among the U15

4,800,000+ article reads (+11% over 2020 / +240% since 2019)

Implementing and amplifying an integrated content strategy with paid and earned media; expanding the digital ecosystem and digital best practices

Strategic advertising

Digital advertising allows us to be precise in connecting with our targeted audiences in new and interesting ways. The goal for 2021 focused on building McMaster's research and teaching reputation by driving a global audience to our Brighter World and other key McMaster websites.

1.1 billion+
total media impressions
(+79% over 2020)

258 million+
total paid media impressions
promoting research reputation
(+53% over 2020)

912 million+
total paid media impressions
to generate interest among
prospective international
students (+88% over 2020)



Marketing's role in supporting international recruitment

In 2021, the marketing team continued to lead year two of a pilot strategic investment to diversify and grow McMaster's international student population. With an enhanced focus on lead generation tactics, such as Search Engine Marketing (SEM) and campaign landing pages, and with further support for Faculty priorities with specialized campaigns for the Faculty of Humanities and McMaster English Language Development (MELD) programming added for the first time, the marketing team was once again able to help drive increased interest, and ultimately enrolment, of international students at McMaster.

McMaster has shown the largest increase (+24.8%) in international student (Visa 105) applicants among Ontario universities since 2019 when marketing began supporting McMaster's international recruitment efforts. This two-year applicant growth compares to a 0.1% flat two-year metric among Ontario universities in aggregate.

1.3 million+

user visits to the
"Future Student"
International website

7,412

prospective international
future student leads
generated (+86% over 2020)

24.8%
increase in
international student
applications



Focusing on key global rankings

Academic leaders and University Advancement representatives serve on McMaster's Rankings Committee, which continues to deliver on the priorities within the University's Rankings Roadmap strategic plan. From 2018 to 2021, McMaster has earned the largest improvement of any top 200 ranked institution in the Times Higher Education World University Rankings.

80th in the world
4th in Canada

Times Higher Education, 2022 World University Rankings (released in 2021)



45th in the world
4th in Canada

Times Higher Education, 2022 Most International Universities List (released in 2021)



14th in the world
3rd in Canada

Times Higher Education, 2021 UN Sustainable Development Goals – Impact Rankings



Back to Mac and meeting the challenges of Covid-19

Meeting the challenges of COVID-19 from a communication and marketing perspective meant a new phase of communication needs. The COVID-19 website has transitioned to "Back to Mac" and continues to be the go-to source for all news, guidance and tips for our university community.



More than **150 news updates** were posted in 2021 to keep the community abreast of constantly evolving information on everything from the vaccination policy, vaccine clinics, health and safety guidelines and mask announcements.

The "COVID-19 / Back to Mac" website has become a critical resource with more than **371,000 users** visiting the site in 2021, resulting in **678,118 sessions** and **1.1 million total page views**.

Back to Mac was more than a website. A dedicated communications group was formed and met weekly to ensure collaboration and coordination with Faculty communications leads and other central service units, along with joint social media campaigns. This coordination will continue to benefit the university post-COVID.

On-campus branding brought the experience to life as students, faculty and staff were greeted with banners and signage. Many stakeholders adopted Back to Mac in their branding and messaging, offering a united and collaborative front during a fraught time.

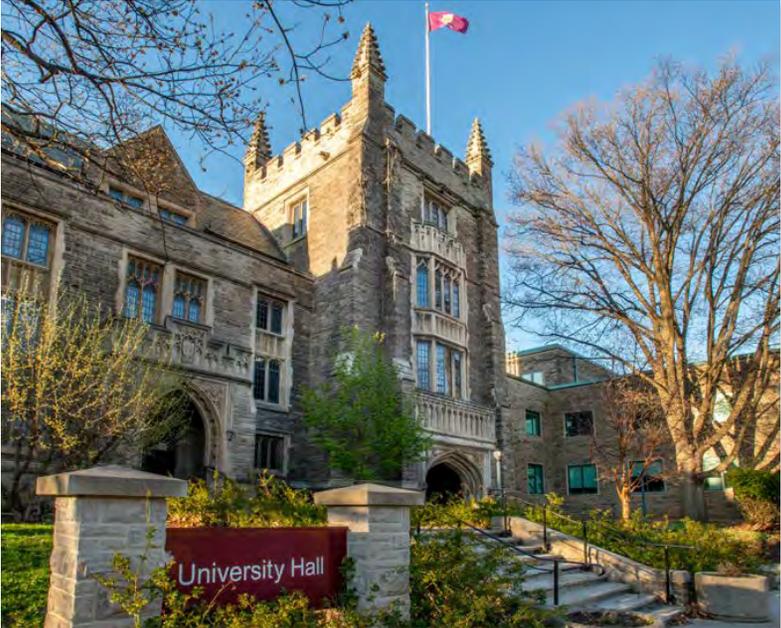
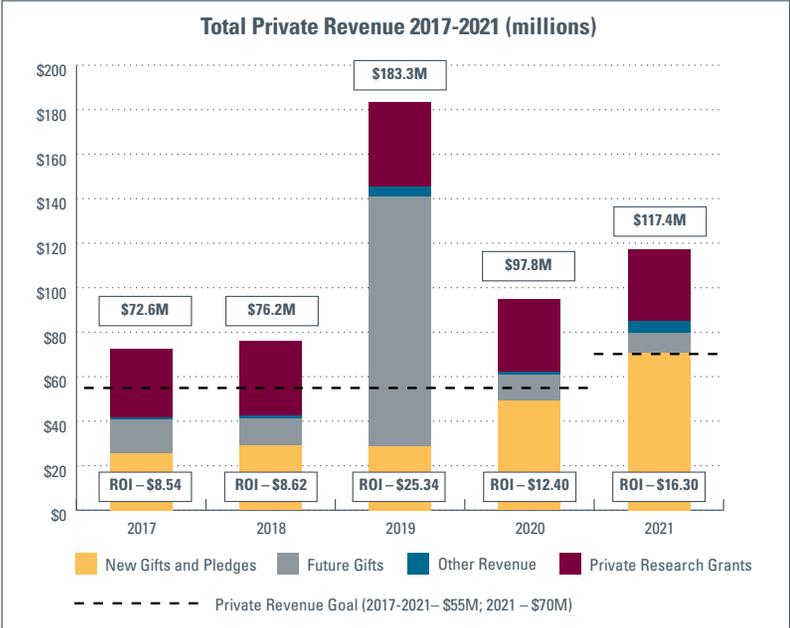
Key Success Factor 3: Expanding Resources

Expanding and stewarding private and public support through a comprehensive range of development programs for funders that achieve our ambitious revenue goals.

Key Priorities

- Initiate all aspects of BWRII (Brighter World: Re-imagining Innovation & Impact), with a particular focus on priority projects (e.g. Canada's Global Nexus for Pandemics and Biological Threats).
- Position McMaster for resources related to our role in economic recovery from the COVID-19 pandemic.
- Diversify resources and non-traditional partnerships to maximize all revenue opportunities.
- Build from a baseline of at least \$55 million in new revenue confirmed annually, to a goal of \$100 million.
- Amplify and expand the funder pipeline to support sustained revenue growth through Faculties and units and mobilize to support emerging and urgent University fundraising priorities.

Expanding resources



Goal	\$70,000,000
New gifts and pledges	\$70,724,893
Future gifts	\$8,769,447
Other revenue	\$5,375,028
Private research grants	\$32,507,475
2021 Total	\$117,376,842

Return on investment: \$16.30 (\$12.40 in 2020)
 Cost per dollar raised: \$0.06 (\$0.08 in 2020)
 Note: calculations above exclude funding from Private Research Grants

Definitions:

- **New gifts and pledges** – outright cash gifts and unconditional pledges made during the calendar year (excludes pledges and pledge payments made in previous years).
- **Future gifts** – confirmed bequests (where if the amount is unknown, it is based on a rolling five-year average for realized bequests and is discounted for funders under the age of 60) and other deferred gifts including life insurance policies and charitable trusts.
- **Other revenue** – non-philanthropic gifts or revenue (e.g. sponsorship), confirmed but not processed through University Advancement.
- **Private research grants** – contributions received for either unrestricted or restricted use in the furtherance of research that typically come from a corporation, foundation, or other organization, rather than an individual.

Initiate all aspects of BWRII (Brighter World: Re-imagining Innovation & Impact), with a particular focus on priority projects

In partnership with leaders from across McMaster University, our team worked throughout 2021 to develop and refine plans for BWRII (Brighter World: Re-imagining Innovation & Impact). This ambitious campaign, while still in its planning or “quiet” phase, is focused on doubling private revenue to at least \$100 million annually by 2023. It will enable us to bring special focus to identifying and raising resources from traditional philanthropic sources as well as from other partners including government and industry to support Faculty and University-wide priorities.

We continue to refine the pillars and case for support for this campaign, and we look forward to sharing details in future editions of this report.



Heersink \$32M gift boosts McMaster’s biomedical and global health innovation

A donation from Marnix Heersink, an Alabama physician and entrepreneur, and his wife Mary was directed to the **Faculty of Health Sciences** to boost its role as a hub for biomedical innovation, entrepreneurship and global health, enabled by the strong leadership within that Faculty.



\$1M gift from McMaster alumnus helps equity-deserving students access university education

Alan Hitchen '51 established the Alan Hitchen Access Strategy Award through a \$1-million gift of securities. The award will help academically qualified students from equity-deserving groups receive an undergraduate education at McMaster University.



\$1M gift from KPMG will create innovative learning lab at DeGroot School of Business

McMaster's DeGroot School of Business has received a \$1-million gift from the KPMG Foundation and KPMG in Canada's Regions East offices to develop a new lab that will embrace digital technology and promote experiential learning among students.



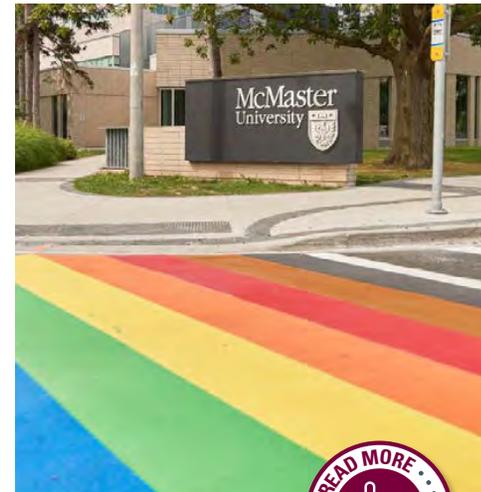
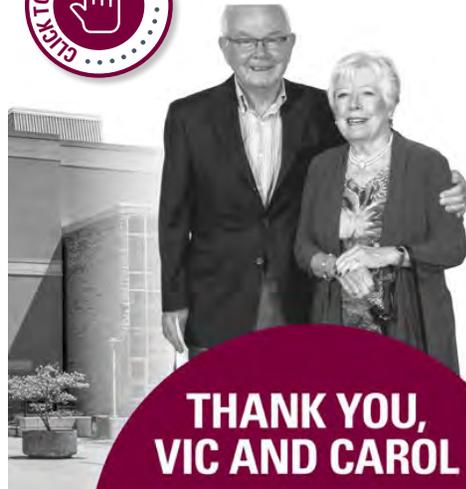
Celebrated humanitarian, diplomat and activist Stephen Lewis gives 'life's work' to McMaster

From his campaign to galvanize global action on HIV/AIDS in Africa to addressing the genocide in Rwanda through his work with the United Nations, Stephen Lewis' archive offers valuable insight into some of the world's most pressing social and global health issues.



Legacy of dedicated library retirees Carol and Vic Nunn lives on through \$1.1-million gift

Carol and Victor (Vic) Nunn dedicated their careers to McMaster University Library, and now their memory will live on in an extraordinary way.



Marking 51 years of service: The new Spencer Family professorship in economics

A generous donation from economics professor emeritus Byron Spencer and his wife, Flora, will establish the Spencer Family professorship in economics. The donation will enable McMaster's economics department to recruit an experienced researcher with an established research portfolio to join the Faculty of Social Sciences. As part of the professorship, the holder will receive an annual research allowance with which to pursue an ambitious research agenda.

New McMaster Rainbow Bursary Fund supports LGBTQ2S+ graduate students

McMaster grad Ray Brillinger '72, '74 and his partner, Cy Hack, have donated \$50,000 to create the bursary, and to inspire others to do the same.

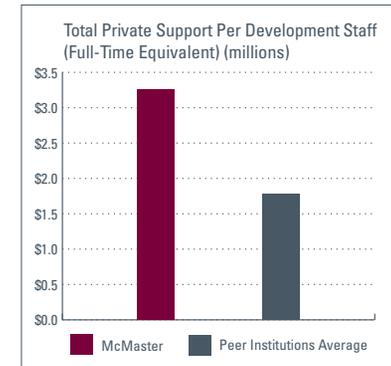
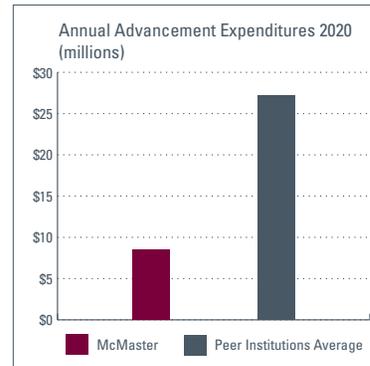


McMaster professor's gift establishes spine surgery research chair

A generous donation from Dr. Desmond Kwok, a McMaster professor in the orthopedic surgery and neurosurgery residency programs, has established the W.H. Kwok Chair in Spine Surgery Research and the W.H. Kwok Spine Surgery Chair Support Fund. By establishing the Chair, Kwok hopes to encourage other surgeons and researchers to make a difference by donating to research and education efforts.

Benchmarking against peers – Advancement Leadership Forum

Since 2017, McMaster has been participating in the Advancement Leadership Forum (ALF) facilitated by consulting firm GG+A. The ALF is comprised of eight of the largest U15 members, with each institution submitting advancement data to share within the group for benchmarking purposes. This data has proven to be invaluable for decision making and allocation of resources. Highlights from this past year's comparative ALF data are shown below.



Key Success Factor 4: Service and Support

The work undertaken by University Advancement in support of McMaster's strategic priorities depends on several foundational elements that enable our collective achievement and success. This includes services and support related to our culture, people, finances, technology, systems, processes, research, and training.

Key Priorities

- Promote and model a culture of inclusive excellence across UA while supporting McMaster's Equity, Diversity and Inclusion (EDI) strategy and action plan.
- Alignment of all resource plans (budgets, human resource plans, learning and development opportunities, etc.) and priorities with BWRII (Brighter World: Re-imagining Innovation & Impact) and priorities of Faculties, units and the broader university.
- Continue to grow and foster partnerships with Faculties and units to build capacity to support shared goals and priorities.
- Provide stellar stewardship and accountability to funders with strategic focus on stewarding McMaster's most generous funders.
- Modernize and enhance the use of tools, technology, processes and data to support the stakeholder experience.
- Ensure ongoing confidentiality, integrity, and security of data, systems and software, and use data to support decision-making.

Furthering McMaster's Equity, Diversity and Inclusion (EDI) action plan and advancing inclusive excellence

University Advancement is committed to supporting McMaster's EDI strategy and action plan and the principle of inclusive excellence. In 2021, we focused specifically on action objectives one (Communication and coordination of EDI imperative) and six (Recruitment and retention of equity-deserving groups) of the EDI Action Plan.



Tracy Bear, Director, McMaster Indigenous Research Institute shares remarks at the launch of the Indigenous Education Council's new strategy.

Along with embedding inclusive excellence as an overarching principle in our refreshed UA Strategic Plan 2021-2023, examples of our alignment with this strategy and plan include:

- Collaboration with the Equity and Inclusion Office, Student Affairs and faculty groups, such as the African and Caribbean Faculty Association of McMaster (ACFAM) to develop, promote and fund initiatives in support of equity-deserving groups.
- Collaboration with Indigenous leaders across campus, including the Indigenous Education Council (IEC), to develop, promote and fund priorities identified by those groups.
- Through our Alumni Engagement, Communications and Marketing work, highlighting the stories, successes and diversity of our McMaster community (alumni, faculty, students, staff, funders and friends of the University).
- A focused effort on recruiting and retaining team members from equity-deserving groups across our operation.
- Partnership with Dr. Arig al Shaibah, associate vice-president, Equity and Inclusion, to support learning opportunities for our team related to McMaster's EDI strategy.

**Service and Support:
2021 highlights**

THIRTEEN

Administered 13 partnership agreements with Faculties and units across McMaster related to advancement work. Included renewal of agreements with two Faculties and one unit

67



In collaboration with our academic partners, Development team and the Aid and Awards office, we supported the documentation and creation of 67 new student awards, including 19 with a focus on equity-deserving groups



734

Coordinated the production and distribution of 734 endowment reports to generous funders, with a further 137 for those supporting endowed chairs and professorships

264,000

Oversaw security and administration of nearly 264,000 database records



60+

Organized over 60 internal training and development opportunities for the team, customized by different employee groups and length of service



Processed **16,000+** gifts to the University

Managed record-high activity for recruitment and retention across UA, with 94 hires (new members, internal promotions or contract renewals) in 2021

94



THANK YOU

We couldn't achieve these collective goals and results without our leaders and colleagues across the University or the amazing University Advancement team.

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