BOARD OF GOVERNORS
Thursday, December 12, 2019 at 8:30 a.m.
Gilmour Hall, Council Room (Room 111)

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.

B. OPEN SESSION (8:45 a.m.)

2. REMARKS FROM THE CHAIR

3. NOTICE OF MEETING - NOVEMBER 28, 2019

4. APPROVAL OF THE AGENDA - OPEN SESSION

CONSENT (8:50 a.m.)

5. MINUTES OF PREVIOUS MEETING – OCTOBER 24, 2019 (OPEN SESSION)

Approval

6 - 14
a. Minutes - October 24, 2019 (Open Session)

6. BUSINESS ARISING (none)

7. COMMITTEE REPORTS

a. PLANNING AND RESOURCES COMMITTEE

Approval/Information

15 - 30
i. Audited Financial Statements of Contributory Pension Plan Information for Hourly-Rated Employees of McMaster University Including McMaster Divinity
b. **REMUNERATIONS COMMITTEE**

    *Approval*

83 - 87  
   a.  **Report from Health, Safety and Risk Management**

   MOTION: That items 5 to 8 be approved or received for information by consent.

**REGULAR** (8:55 a.m.)

9.  **BUSINESS ARISING** (none)

10.  **COMMUNICATIONS** (none)

11.  **PRESIDENT’S REPORT TO THE BOARD** (8:55 a.m.)

    *Information*

88 - 91  
   President’s Report to the Board

12.  **REPORT FROM SENATE** (9:15 a.m.)

    *Approval/Information*

92 - 93  
   a.  **Report from the Senate**

94 - 131  
   a.  **Sexual Violence Policy (Approval)**

132 - 164  
   b.  **Discrimination and Harassment Policy (Approval)**
13. COMMITTEE REPORTS (9:25 a.m.)

a. EXECUTIVE AND GOVERNANCE COMMITTEE (9:25 a.m.)

Approval

192 - 204
i. Revisions to Board By-Laws

b. PLANNING AND RESOURCES COMMITTEE (9:30 a.m.)

Approval/Information

205 - 215
i. Centre for Continuing Education Fees (Approval)

216 - 218
ii. McMaster Innovation Park Strategy (Information)

c. REMUNERATIONS COMMITTEE (9:45 a.m.)

Approval

219 - 224
i. Tuition Bursary Program for Dependents and Spouses

d. AUDIT AND RISK COMMITTEE (10:00 a.m.)

Information

225 - 243
i. Nuclear Health and Safety Risk

244 - 251
ii. Student Mental Wellness Data/Stats

252 - 253
iii. Employee Mental Wellness Data/Stats

14. PRESENTATION TO THE BOARD OF GOVERNORS (10:40 a.m.)

Name: Mr. Sean Van Koughnett,
Associate Vice-President (Students and Learning)
Title: Presentation to the Board of Governors

15. OTHER BUSINESS (10:45 a.m.)
Fund Financial Statements of

THE CONTRIBUTORY PENSION PLAN
FOR HOURLY-RATED EMPLOYEES
OF McMASTER UNIVERSITY INCLUDING
McMASTER DIVINITY COLLEGE

Year ended June 30, 2019
Registration Number 0215418
INDEPENDENT AUDITORS’ REPORT

To the Administrator of The Contributory Pension Plan for Hourly-Rated Employees of McMaster University including McMaster Divinity College 2000.

Opinion

We have audited the accompanying fund financial statements of The Contributory Pension Plan for Hourly-Rated Employees of McMaster University including McMaster Divinity College 2000 (the “Plan”), which comprise:

• the statement of net assets available for benefits as at June 30, 2019
• the statement of changes in net assets available for benefits for the year then ended
• and notes to the fund financial statements, including a summary of significant accounting policies and other explanatory information.

(Hereinafter referred to as the “fund financial statements”).

In our opinion, the accompanying fund financial statements, present fairly, in all material respects, the net assets available for benefits of the Plan as at June 30, 2019, and its changes in net assets available for benefits for the year then ended in accordance with the financial reporting provisions of Section 76 of Regulations of the Pension Benefits Act (Ontario).

Basis for Opinion

We conducted our audit in accordance with Canadian generally accepted auditing standards. Our responsibilities under those standards are further described in the “Auditors’ Responsibilities for the Audit of the Financial Statements” section of our auditors’ report.

We are independent of the Plan in accordance with the ethical requirements that are relevant to our audit of the fund financial statements in Canada and we have fulfilled our other responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.
Emphasis of Matter – Financial Reporting Framework

We draw attention to Note 1(a) in the fund financial statements, which describes the applicable financial reporting framework and the purpose of the financial statements. The fund financial statements are prepared to assist the Administrator of the Plan to meet the requirements of Section 76 of Regulations of the Pension Benefits Act (Ontario).

As a result, the fund financial statements may not be suitable for another purpose.

Our opinion is not modified in respect of this matter.

Responsibilities of Management and Those Charged with Governance for the Financial Statements

Management is responsible for the preparation and fair presentation of the fund financial statements in accordance with the financial reporting provisions of Section 76 of Regulations of the Pension Benefits Act (Ontario), and for such internal control as management determines is necessary to enable the preparation of fund financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the fund financial statements, management is responsible for assessing the Plan’s ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Plan or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Plan’s financial reporting process.

Auditors’ Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the fund financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors’ report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the fund financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, we exercise professional judgment and maintain professional skepticism throughout the audit.

We also:

- Identify and assess the risks of material misstatement of the fund financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.

  The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
• Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control.

• Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.

• Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Plan's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditors' report to the related disclosures in the fund financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditors' report. However, future events or conditions may cause the Plan to cease to continue as a going concern.

• Evaluate the overall presentation, structure and content of the fund financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

• Communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Chartered Professional Accountants, Licensed Public Accountants

Hamilton, Canada
November 13, 2019
THE CONTRIBUTORY PENSION PLAN FOR HOURLY-RATED EMPLOYEES OF MCMASTER UNIVERSITY INCLUDING MCMASTER DIVINITY COLLEGE

Statement of Net Assets Available for Benefits

June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assets:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash</td>
<td>$237,548</td>
<td>$235,208</td>
</tr>
<tr>
<td>Employer contributions receivable</td>
<td>145,923</td>
<td>160,229</td>
</tr>
<tr>
<td>Employee contributions receivable</td>
<td>34,226</td>
<td>31,676</td>
</tr>
<tr>
<td>Other receivables</td>
<td>48,408</td>
<td>17,870</td>
</tr>
<tr>
<td>Pooled fund investments (note 2)</td>
<td>61,323,352</td>
<td>58,230,361</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>61,790,457</td>
<td>58,675,344</td>
</tr>
<tr>
<td><strong>Liabilities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounts payable</td>
<td>249,203</td>
<td>78,736</td>
</tr>
<tr>
<td><strong>Net assets available for benefits</strong></td>
<td>$61,541,254</td>
<td>$58,596,608</td>
</tr>
</tbody>
</table>

See accompanying notes to fund financial statements.

On behalf of McMaster University:

Roger Couldrey
Vice-President (Administration)
McMaster University

Deidre Henne
Assistant Vice-President (Administration) & CFO
McMaster University
## Statement of Changes in Net Assets Available for Benefits

Year ended June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INCREASE IN NET ASSETS:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Net realized gain on sales of investments</td>
<td>$2,478,897</td>
<td>$1,482,022</td>
</tr>
<tr>
<td>Investment income</td>
<td>1,568,066</td>
<td>1,548,045</td>
</tr>
<tr>
<td>Change in net unrealized gain in investments</td>
<td>101,326</td>
<td>322,153</td>
</tr>
<tr>
<td></td>
<td>4,148,289</td>
<td>3,352,220</td>
</tr>
<tr>
<td>Contributions:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employer current service</td>
<td>624,918</td>
<td>613,086</td>
</tr>
<tr>
<td>Employer special</td>
<td>1,184,304</td>
<td>1,184,517</td>
</tr>
<tr>
<td>Employee required</td>
<td>452,839</td>
<td>444,266</td>
</tr>
<tr>
<td></td>
<td>2,262,061</td>
<td>2,241,869</td>
</tr>
<tr>
<td><strong>DECREASE IN NET ASSETS:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Payments to members:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pension benefits</td>
<td>2,853,726</td>
<td>2,558,876</td>
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<tr>
<td>Termination benefits</td>
<td>129,308</td>
<td>227,193</td>
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<tr>
<td></td>
<td>2,983,034</td>
<td>2,786,069</td>
</tr>
<tr>
<td>Expenses:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment manager</td>
<td>231,238</td>
<td>227,935</td>
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<tr>
<td>Professional</td>
<td>222,357</td>
<td>40,220</td>
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<tr>
<td>Trustee and custodial</td>
<td>16,726</td>
<td>14,330</td>
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<tr>
<td>Audit</td>
<td>9,152</td>
<td>9,234</td>
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<tr>
<td>Pension filing</td>
<td>3,197</td>
<td>3,483</td>
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<tr>
<td></td>
<td>482,670</td>
<td>295,202</td>
</tr>
<tr>
<td></td>
<td>3,465,704</td>
<td>3,081,271</td>
</tr>
<tr>
<td>Increase in net assets available for benefits</td>
<td>2,944,646</td>
<td>2,512,818</td>
</tr>
<tr>
<td>Net assets available for benefits, beginning of year</td>
<td>58,596,608</td>
<td>56,083,790</td>
</tr>
<tr>
<td>Net assets available for benefits, end of year</td>
<td>$61,541,254</td>
<td>$58,596,608</td>
</tr>
</tbody>
</table>

See accompanying notes to fund financial statements.
The Contributory Pension Plan for Hourly-Rated Employees of McMaster University including McMaster Divinity College (the “Plan”) is a defined benefit registered pension plan in the Province of Ontario under registration number 0215418.

The Plan is operated in accordance with the Trust and Custodial Services Agreement dated June 30, 1999, between McMaster University (“Administrator”) and CIBC Mellon Trust Company (“CIBC Mellon”), as Trustee.

1. Significant accounting policies:

(a) Basis of presentation:

As permitted by the Financial Services Commission of Ontario (“FSCO”) under Section 76 of the Regulation to the Pension Benefits Act (Ontario), the Plan as outlined in CPA Canada Handbook Section 4600 has prepared fund financial statements in accordance with Canadian accounting standards for pension plans excluding pension obligations and any resulting surplus or deficit.

In selecting or changing accounting policies that do not relate to its investment portfolio or pension obligations, Section 4600 requires the Plan to comply (on a consistent basis) with either international Financial Reporting Standards (IFRS) - Part I of CPA Canada Handbook - Accounting or Canadian Accounting Standards for Private Enterprises - Part II of CPA Canada Handbook - Accounting. The Plan has chosen to comply on a consistent basis with IFRS.

These fund financial statements have been prepared to assist the Administrator of The Contributory Pension Plan for Hourly-Rated Employees of McMaster University including McMaster Divinity College in meeting the requirements of the Financial Services Commission of Ontario under Section 76 of Regulation 909 of the Pension Benefits Act (Ontario). As a result, these fund financial statements may not be suitable for another purpose.

The fund financial statements of the Plan do not purport to show the adequacy of the Plan's assets to meet its pension obligation. Such an assessment requires additional information, such as the Plan's actuarial reports and information about McMaster University and McMaster Divinity College's financial health.

(b) Basis of measurement:

The fund financial statements have been prepared on the historical cost basis, except for investments and derivative financial instruments which are measured at fair value through the statement of changes in net assets available for benefits.

(c) Functional and presentation currency:

These fund financial statements are presented in Canadian dollars, which is the Plan's functional currency.
1. Significant accounting policies (continued):

   (d) Financial assets and financial liabilities:

   (i) Non-derivative financial assets:

   Financial assets are recognized initially on the trade date, which is the date that the Plan becomes a party to the contractual provisions of the instrument. Upon initial recognition, attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred.

   The Plan measures all of its investments at fair value through the statement of changes in net assets available for benefits.

   All other non-derivative financial assets including contributions receivable are measured at amortized cost.

   The Plan derecognizes a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred or in which the Plan neither transfers nor retains substantially all the risks and rewards of ownership and does not retain control of the financial asset.

   On derecognition of a financial asset, the difference between the carrying amount of the asset and consideration received is recognized in the statement of changes in net assets available for benefits as a net realized gain on sale of investments.

   (ii) Non-derivative financial liabilities:

   All financial liabilities are recognized initially on the trade date at which the Plan becomes a party to the contractual provisions of the instrument.

   The Plan derecognizes a financial liability when its contractual obligations are discharged, cancelled or expired.

   Financial assets and liabilities are offset and the net amount presented in the statement of net assets available for benefits when, and only when, the Plan has a legal right to offset the amounts and it intends either to settle on a net basis or to realize the asset and settle the liability simultaneously.

   The Plan considers its accounts payable to be a non-derivative financial liability.

   (e) Fair value measurement:

   Fair value is the amount for which an asset could be exchanged, or a liability settled, between knowledgeable, willing parties in an arm's length transaction on the measurement date.

   In determining fair value, the Plan follows the guidance in IFRS 13, Fair Value Measurement (“IFRS 13”), in Part I of the CPA Canada Handbook. As allowed under IFRS 13, if an asset or a liability measured at fair value has a bid and an ask price, the price within the bid-ask spread that is the most representative of fair value in the circumstances shall be used to measure fair value. The Plan uses closing market price as a practical expedient for fair value measurement.
1. Significant accounting policies (continued):

(e) Fair value measurement (continued):

When available, the Plan measures the fair value of an instrument using quoted prices in an active market for that instrument. A market is regarded as active if quoted prices are readily and regularly available and represent actual and regularly occurring market transactions on an arm's length basis.

If a market for a financial instrument is not active, then the Plan establishes fair value using a valuation technique. Valuation techniques include using recent arm's length transactions between knowledgeable, willing parties (if available), reference to the current fair value of other instruments that are substantially the same, discounted cash flow analyses and option pricing models.

The best evidence of the fair value of a financial instrument at initial recognition is the transaction price, i.e. the fair value of the consideration given or received, unless the fair value of that instrument is evidenced by comparison with other observable current market transactions in the same instrument or based on a valuation technique whose variables include only data from observable markets. When transaction price provides the best evidence of fair value at initial recognition, the financial instrument is initially measured at the transaction price and any difference between this price and the value initially obtained from a valuation model is subsequently recognized in profit or loss on an appropriate basis over the life of the instrument but not later than when the valuation is supported wholly by observable market data or the transaction is closed out.

All changes in fair value, other than interest and dividend income, are recognized in the statement of changes in net assets available for benefits as part of the change in net unrealized gain in investments.

Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan's proportionate share of underlying net assets at fair values using closing market prices.

Fair values of investments are determined as follows:

i) Bonds and equities are valued at year-end quoted closing prices where available. Where quoted prices are not available, estimated fair values are calculated using comparable securities.

ii) Short-term notes, treasury bills and term deposits maturing within a year are stated at cost, which together with accrued interest income approximates fair value given the short-term nature of these investments.

iii) Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan's proportionate share of underlying net assets at fair values determined using closing market prices.

Investment transactions are accounted for on the trade date.

(f) Investment income:

Investment income, which is recorded on the accrual basis, includes interest income, dividends and pooled fund distributions.
1. Significant accounting policies (continued)

(g) Change in net unrealized gain in investments:

The change in net unrealized gain in investments is the change in the difference between the fair value and cost of investments from the beginning to the end of the year.

(h) Changes in accounting standards:

In accordance with Canadian pension accounting standards, the Plan follows IFRS for certain aspects of its accounting, including the recognition of financial assets and financial liabilities. Effective July 1, 2018, the Plan adopted IFRS 9 for the recognition and de-recognition requirements for financial assets and financial liabilities. The adoption of this accounting standard did not have an impact on the Plan's financial statements.

(i) Net realized gain on sales of investments:

The net realized gain on sales of investments is the difference between proceeds received and the average cost of investments sold.

(j) Income taxes:

The Plan is a Registered Pension Trust, as defined by the Income Tax Act (Canada) and, accordingly, is not subject to income taxes.

(k) Foreign currency:

Transactions in foreign currencies are translated into Canadian dollars at the exchange rate at the dates of the transactions. Monetary assets and liabilities denominated in foreign currencies at the reporting date are retranslated into Canadian dollars at the exchange rate at the reporting date.

The fair values of foreign currency denominated investments are translated into Canadian dollars at the reporting date rates of exchange. Gains and losses arising from transactions are included in investment income within the statement of changes in net assets available for benefits.

(l) Use of estimates:

The preparation of the fund financial statements requires management to make judgements, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets and liabilities at the date of the statement of net assets and the reported amounts of changes in net assets available for benefits during the year. Actual results may differ from those estimates.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognized in the period in which the estimates are revised and in any future years affected.
2. Pooled fund investments:
The following summary of pooled fund investments includes information provided in respect of individual investments with a book value or fair value in excess of 1% of the book or fair value of the Plan as at June 30, 2019, as required by the Pension Benefits Act (Ontario), with comparative information for 2018.

<table>
<thead>
<tr>
<th>Fund name</th>
<th>Nature of investments held</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jarislowsky Fraser Bond Fund</td>
<td>Canadian bonds</td>
<td>$23,364,405</td>
<td>$21,751,693</td>
</tr>
<tr>
<td>Jarislowsky Fraser U.S. Equity Fund</td>
<td>U.S. equities</td>
<td>12,828,094</td>
<td>11,942,258</td>
</tr>
<tr>
<td>Jarislowsky Fraser Canadian Equity Fund</td>
<td>Canadian equities</td>
<td>12,725,468</td>
<td>12,098,472</td>
</tr>
<tr>
<td>Jarislowsky Fraser International Equity Fund</td>
<td>International equities</td>
<td>12,405,385</td>
<td>12,437,938</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>$61,323,352</strong></td>
<td><strong>$58,230,361</strong></td>
</tr>
</tbody>
</table>

All pooled funds held by the Plan are managed by Jarislowsky Fraser Limited. The book value of pooled fund investments at June 30, 2019 was $56,152,156 (2018 - $53,160,491).

3. Related party transaction:
The Administrator has provided administrative services without charge.

4. Financial instruments:
The investment objectives of the Plan are to efficiently fund the benefits of the participating plan members. As part of the risk management process, the Administrator has established a diversification policy, set rate of return objectives and developed specific investment guidelines.

(a) Fair value:
The fair value of investments is disclosed in note 2. The fair value of the Plan’s other financial assets and liabilities, being cash, employee and employer contributions receivable, other receivables, and accounts payable, approximate carrying value due to the short-term nature of the instruments.

Fair value measurements recognized in the statement of net assets available for benefits are categorized using a fair value hierarchy that reflects the significance of inputs used in determining the fair values.

- Level 1 - unadjusted quoted prices in active markets for identical assets or liabilities;
- Level 2 - inputs other than quoted prices included in Level 1 that are observable for the asset or liability, either directly or indirectly; and
- Level 3 - inputs for assets and liabilities that are not based on observable market data.
4. Financial instruments (continued):

The following is a summary of the Plan’s pooled fund investments carried at fair value:

<table>
<thead>
<tr>
<th></th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2019</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian bonds</td>
<td>$</td>
<td>-</td>
<td>$23,364,405</td>
<td>$23,364,405</td>
</tr>
<tr>
<td>U.S. equities</td>
<td>-</td>
<td>12,828,094</td>
<td>-</td>
<td>12,828,094</td>
</tr>
<tr>
<td>Canadian equities</td>
<td>-</td>
<td>12,725,468</td>
<td>-</td>
<td>12,725,468</td>
</tr>
<tr>
<td>International equities</td>
<td>-</td>
<td>12,405,385</td>
<td>-</td>
<td>12,405,385</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$</td>
<td>-</td>
<td>$61,323,352</td>
<td>$61,323,352</td>
</tr>
<tr>
<td><strong>2018</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian bonds</td>
<td>$</td>
<td>-</td>
<td>$21,751,693</td>
<td>$21,751,693</td>
</tr>
<tr>
<td>U.S. equities</td>
<td>-</td>
<td>11,942,258</td>
<td>-</td>
<td>11,942,258</td>
</tr>
<tr>
<td>Canadian equities</td>
<td>-</td>
<td>12,098,472</td>
<td>-</td>
<td>12,098,472</td>
</tr>
<tr>
<td>International equities</td>
<td>-</td>
<td>12,437,938</td>
<td>-</td>
<td>12,437,938</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$</td>
<td>-</td>
<td>$58,230,361</td>
<td>$58,230,361</td>
</tr>
</tbody>
</table>

(b) Associated risks:

(i) Market price risk:

Market price risk is the risk that the value of an instrument will fluctuate as a result of changes in market prices, whether those changes are caused by factors specific to an individual investment, its issuer or all other factors affecting all instruments traded in the market. As all of the Plan’s financial instruments are carried at fair value with fair value changes recognized in the statement of changes in net assets available for benefits, all changes in market conditions will directly affect the net increase (decrease) in net assets available for benefits. Market price risk is managed by the Administrator through construction of a diversified portfolio of instruments traded on various markets and across various industries.

As of June 30, 2019, had the value of all equity benchmarks increased or decreased by 10% with all other variables remaining unchanged, and assuming there is a perfect positive correlation between the Plan’s equities and benchmarks, the value of the Plan’s total equities would have increased or decreased respectively, by approximately $3,796,000 (2018 - $3,648,000).
4. Financial Instruments (continued):

(ii) Interest rate risk:

Interest rate risk is the risk that the market value of the Plan's investments will fluctuate due to changes in market interest rates. The value of the Plan's assets is affected by short-term changes in interest rates and equity markets. Interest rate changes directly impact the value of fixed income securities held in the Bond Fund.

As at June 30, 2019, had the prevailing interest rates increased or decreased by 1% with all other variables remaining unchanged, the value of the bond securities component of the Plan would have increased or decreased by approximately $1,808,405 (2018 - $1,570,000).

(iii) Liquidity risk:

Liquidity risk is the risk that the Plan may be unable to meet pension payment obligations in a timely manner and at a reasonable cost. Management of liquidity seeks to ensure that even under adverse conditions, the Plan has access to immediate cash that is necessary to cover benefits payable, withdrawals and other liabilities. The Statement of Investment Policies and Procedures requires the Plan's investments to be highly liquid, so they can be converted into cash on short notice. The Plan's exposure to liquidity risk is considered negligible.

The accrued expenses of the Plan are all due within 90 days or less.

The following table summarizes the contractual maturities of all fixed income securities as at June 30, 2019, by the earlier of contractual repricing or maturity dates:

<table>
<thead>
<tr>
<th>Maturity range</th>
<th>2019 Fair value</th>
<th>Percentage of fixed income</th>
<th>2018 Fair value</th>
<th>Percentage of fixed income</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 to 5 years</td>
<td>$10,186,881</td>
<td>43.6%</td>
<td>$9,962,276</td>
<td>45.8%</td>
</tr>
<tr>
<td>5 to 10 years</td>
<td>7,102,779</td>
<td>30.4%</td>
<td>7,199,810</td>
<td>33.1%</td>
</tr>
<tr>
<td>Over 10 years</td>
<td>6,074,745</td>
<td>26.0%</td>
<td>4,589,607</td>
<td>21.1%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$23,364,405</td>
<td>100.0%</td>
<td>$21,751,693</td>
<td>100.0%</td>
</tr>
</tbody>
</table>
4. Financial instruments (continued):

(b) Associated risks (continued):

(iv) Foreign currency risk:

Foreign currency risk is the risk that fair value or future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The Plan invests in financial instruments denominated in various foreign currencies, other than its measurement currency. Consequently, the Plan is exposed to risks that the exchange of various currencies may change in a manner that has an adverse effect on the value of the portion of the Plan’s assets denominated in currencies other than the Canadian dollar. The Plan’s overall currency positions and exposures are monitored on a regular basis by the investment manager.

The Plan’s currency exposure of its investments as at June 30, 2019, is as follows:

<table>
<thead>
<tr>
<th>Currency</th>
<th>Canadian dollar equivalent</th>
<th>Percentage of total</th>
<th>Canadian dollar equivalent</th>
<th>Percentage of total</th>
</tr>
</thead>
<tbody>
<tr>
<td>US Dollar</td>
<td>$13,880,615</td>
<td>22.5%</td>
<td>$12,529,109</td>
<td>21.5%</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>2,212,279</td>
<td>3.6%</td>
<td>1,545,958</td>
<td>2.6%</td>
</tr>
<tr>
<td>Euro</td>
<td>1,713,202</td>
<td>2.8%</td>
<td>4,755,027</td>
<td>8.1%</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>685,407</td>
<td>1.0%</td>
<td>2,127,067</td>
<td>3.6%</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>233,155</td>
<td>0.4%</td>
<td>1,809,985</td>
<td>3.1%</td>
</tr>
<tr>
<td>Other</td>
<td>6,608,821</td>
<td>10.7%</td>
<td>1,613,050</td>
<td>2.8%</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th></th>
<th>2018</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2019</td>
<td>2018</td>
<td>2019</td>
<td>2018</td>
</tr>
<tr>
<td>US Dollar</td>
<td>$13,880,615</td>
<td>$12,529,109</td>
<td>$13,880,615</td>
<td>$12,529,109</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>2,212,279</td>
<td>1,545,958</td>
<td>2,212,279</td>
<td>1,545,958</td>
</tr>
<tr>
<td>Euro</td>
<td>1,713,202</td>
<td>4,755,027</td>
<td>1,713,202</td>
<td>4,755,027</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>685,407</td>
<td>2,127,067</td>
<td>685,407</td>
<td>2,127,067</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>233,155</td>
<td>1,809,985</td>
<td>233,155</td>
<td>1,809,985</td>
</tr>
<tr>
<td>Other</td>
<td>6,608,821</td>
<td>1,613,050</td>
<td>6,608,821</td>
<td>1,613,050</td>
</tr>
</tbody>
</table>

As at June 30, 2019, if the Canadian dollar strengthened or weakened by 5% (2018 - 5%) in each respective foreign currency, with all other factors remaining constant, the following table summarizes the estimated impacts:

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>US Dollar</td>
<td>$13,880,615</td>
<td>$12,529,109</td>
<td>$694,031</td>
<td>$626,456</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>2,212,279</td>
<td>1,545,958</td>
<td>110,614</td>
<td>77,298</td>
</tr>
<tr>
<td>Euro</td>
<td>1,713,202</td>
<td>4,755,027</td>
<td>85,660</td>
<td>237,751</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>685,407</td>
<td>2,127,067</td>
<td>29,270</td>
<td>106,353</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>233,155</td>
<td>1,809,985</td>
<td>11,658</td>
<td>90,499</td>
</tr>
<tr>
<td>Other</td>
<td>6,608,821</td>
<td>1,613,050</td>
<td>330,441</td>
<td>80,651</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2019</td>
<td>2018</td>
</tr>
<tr>
<td>US Dollar</td>
<td>$13,880,615</td>
<td>$12,529,109</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>2,212,279</td>
<td>1,545,958</td>
</tr>
<tr>
<td>Euro</td>
<td>1,713,202</td>
<td>4,755,027</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>685,407</td>
<td>2,127,067</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>233,155</td>
<td>1,809,985</td>
</tr>
<tr>
<td>Other</td>
<td>6,608,821</td>
<td>1,613,050</td>
</tr>
</tbody>
</table>

As at June 30, 2019, if the Canadian dollar strengthened or weakened by 5% (2018 - 5%) in each respective foreign currency, with all other factors remaining constant, the following table summarizes the estimated impacts:
4. Financial instruments (continued):

(b) Associated risks (continued):

(v) Credit risk:

Credit risk is the risk that an issuer or counterparty will be unable or unwilling to meet a commitment that it has entered into with the Plan. Credit risk is generally higher when a non-exchange traded financial instrument is involved because the counterparty for non-exchange traded financial instruments is not backed by an exchange clearing house. The Plan policy does not permit investments in below investment grade securities. The credit risk is minimized by dealing with borrowers considered to be of high quality and by monitoring their credit risk. The Plan records all investments at fair value and therefore the values reflected in the statement of net assets available for benefits represent the maximum credit exposure to the Plan. The following is a summary of the June 30, 2019 weighted average of funds invested, and the respective allocation targets:

<table>
<thead>
<tr>
<th>Asset Mix</th>
<th>Policy Asset Mix % Minimum</th>
<th>Benchmark</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian equities</td>
<td>20.7%</td>
<td>10.0</td>
<td>20.0</td>
</tr>
<tr>
<td>U.S. equities</td>
<td>20.8%</td>
<td>8.0</td>
<td>18.0</td>
</tr>
<tr>
<td>International equities</td>
<td>20.1%</td>
<td>7.0</td>
<td>17.0</td>
</tr>
<tr>
<td>Total equities</td>
<td>61.6%</td>
<td>25.0</td>
<td>55.0</td>
</tr>
<tr>
<td>Fixed income</td>
<td>38.0%</td>
<td>25.0</td>
<td>45.0</td>
</tr>
<tr>
<td>Cash</td>
<td>0.4%</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>Total</td>
<td>100.0%</td>
<td>100.0%</td>
<td></td>
</tr>
</tbody>
</table>

The following are the Plan’s investments in interest-bearing financial instruments and the Plan’s exposure to credit risk as at June 30, 2019:

<table>
<thead>
<tr>
<th>Credit rating</th>
<th>Fair value</th>
<th>Percentage of portfolio</th>
<th>Fair value</th>
<th>Percentage of portfolio</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAA</td>
<td>$4,392,508</td>
<td>18.8%</td>
<td>$4,676,614</td>
<td>21.5%</td>
</tr>
<tr>
<td>AA</td>
<td>10,654,169</td>
<td>45.6%</td>
<td>9,657,752</td>
<td>44.4%</td>
</tr>
<tr>
<td>A</td>
<td>6,822,406</td>
<td>29.2%</td>
<td>5,916,460</td>
<td>27.2%</td>
</tr>
<tr>
<td>BBB</td>
<td>1,495,322</td>
<td>6.4%</td>
<td>1,500,867</td>
<td>6.9%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$23,364,405</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>$21,751,693</strong></td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>
4. Financial instruments (continued):

(c) Interest bearing investments:

The following information is provided in respect to interest-bearing investments:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th></th>
<th>2018</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Investment</td>
<td>Average</td>
<td>Investment</td>
<td>Average</td>
</tr>
<tr>
<td></td>
<td>total</td>
<td>effective yield</td>
<td>total</td>
<td>effective yield</td>
</tr>
<tr>
<td>Cash and equivalents</td>
<td>$237,548</td>
<td>0.5%</td>
<td>$235,208</td>
<td>0.1%</td>
</tr>
<tr>
<td>Jarislowsky Fraser Bond Fund</td>
<td>$23,364,405</td>
<td>2.3%</td>
<td>$21,751,693</td>
<td>2.8%</td>
</tr>
</tbody>
</table>

The average effective yield is the rate at which the future cash flows of the instrument must be discounted to arrive at the fair value of the instrument.

5. Capital risk management:

The capital of the Plan is represented by the net assets available for benefits. The main objective of the Plan is to ensure the security of the promised pension benefits under the Plan. The Plan fulfills its primary objective by adhering to specific investment policies outlined in its Statement of Investment Policies and Procedures (the "SIP&P"), which is reviewed annually by the Pension Committee. The Plan manages net assets available for benefits by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds (contributions) in accordance with the approved SIP&P. The SIP&P was last amended effective October 22, 2015 to reflect changes required by the Financial Services Commission of Ontario.

The Plan’s investment manager and other consultants as at June 30, 2019 are as follows:

<table>
<thead>
<tr>
<th>Service</th>
<th>Manager and Consultants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Consultant</td>
<td>Mercer Investment Consulting</td>
</tr>
<tr>
<td>Investment Manager</td>
<td>Jarislowsky Fraser &amp; Company Limited</td>
</tr>
<tr>
<td>Actuary</td>
<td>Mercer Human Resources Consulting Ltd.</td>
</tr>
<tr>
<td>Custodian/ Trustee</td>
<td>CIBC Mellon Trust Company</td>
</tr>
</tbody>
</table>

Although there are no regulatory requirements relating to the level of net assets available for benefits, the funding to be maintained by the defined benefit Plan is determined through triennial actuarial valuations. No contributions remain past due as of June 30, 2019. The pension plan investments fell within the asset mix target ranges for the Plan as at June 30, 2019.

The Plan is required to file fund financial statements with the Financial Services Regulatory Authority (FSRA) of Ontario annually. FSRA replaced FSCO effective June 2019.

Recommendation

That the Planning and Resources Committee approve the audited financial statements of Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College 2000 as at June 30, 2019.

Financial Implications: No immediate implications.

Description/Background: The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College 2000 (“Salaried Pension Plan (Plan 2000)”) financial statements are prepared to comply with Financial Services Regulatory Authority (FSRA) of Ontario, the regulator of Ontario pension plans, requirements. More specifically, the financial statements are prepared in accordance with Section 76 of the Ontario Pension Benefits Act. The statements do not show the pension liabilities (which are obligations of the plan sponsor – McMaster University) and are prepared as at June 30th year-end.

Note: FSRA is formerly known as FSCO (Financial Services Commission of Ontario)

Alignment with university strategy: The preparation and filing of Salaried Pension Plan (Plan 2000) annual financial statements is aligned with meeting regulatory requirements.

Important considerations: The Salaried Pension Plan (Plan 2000) financial statements, once approved, will be filed with FSRA by December 31, 2019. Note: an expense variance explanation was provided at PTC and discussed, an oral overview will be provided at the meeting.

Major risks: Salaried Pension Plan (Plan 2000) financial statements contain material misstatements.

Mitigating factors identified: KPMG has completed an audit of the Salaried Pension Plan (Plan 2000) financial statements and has provided a clean audit opinion.

Prepared By: Steven Moore, Treasurer

Reviewed by: Deidre (Dee) Henne, AVP (Administration) & CFO
Fund Financial Statements of

THE CONTRIBUTORY PENSION PLAN
FOR SALARIED EMPLOYEES
OF McMASTER UNIVERSITY INCLUDING
McMASTER DIVINITY COLLEGE 2000

Year ended June 30, 2019
Registration Number 1079920
INDEPENDENT AUDITORS’ REPORT

To the Administrator of The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000

Opinion

We have audited the accompanying fund financial statements of The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000 (the “Plan”), which comprise:

- the statement of net assets available for benefits as at June 30, 2019
- the statement of changes in net assets available for benefits for the year then ended
- and notes to the fund financial statements, including a summary of significant accounting policies and other explanatory information.

(Hereinafter referred to as the “fund financial statements”).

In our opinion, the accompanying fund financial statements, present fairly, in all material respects, the net assets available for benefits of the Plan as at June 30, 2019, and its changes in net assets available for benefits for the year then ended in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario).

Basis for Opinion

We conducted our audit in accordance with Canadian generally accepted auditing standards. Our responsibilities under those standards are further described in the “Auditors’ Responsibilities for the Audit of the Financial Statements” section of our auditors’ report.

We are independent of the Plan in accordance with the ethical requirements that are relevant to our audit of the fund financial statements in Canada and we have fulfilled our other responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.
Emphasis of Matter – Financial Reporting Framework

We draw attention to Note 1(a) in the fund financial statements, which describes the applicable financial reporting framework and the purpose of the financial statements.

As a result, the fund financial statements may not be suitable for another purpose.

Our opinion is not modified in respect of this matter.

Responsibilities of Management and Those Charged with Governance for the Financial Statements

Management is responsible for the preparation and fair presentation of the fund financial statements in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario), and for such internal control as management determines is necessary to enable the preparation of fund financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the fund financial statements, management is responsible for assessing the Plan's ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Plan or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Plan's financial reporting process.

Auditors' Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the fund financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors' report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the fund financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, we exercise professional judgment and maintain professional skepticism throughout the audit.
We also:

- Identify and assess the risks of material misstatement of the fund financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.

The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.

- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control.

- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.

- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Plan's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditors' report to the related disclosures in the fund financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditors' report. However, future events or conditions may cause the Plan to cease to continue as a going concern.

- Evaluate the overall presentation, structure and content of the fund financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

- Communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Chartered Professional Accountants, Licensed Public Accountants

November 19, 2019
Hamilton, Canada
THE CONTRIBUTORY PENSION PLAN FOR
SALARIED EMPLOYEES OF MCMASTER UNIVERSITY
INCLUDING MCMASTER DIVINITY COLLEGE 2000

Statement of Net Assets Available for Benefits
(thousands of dollars)

June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employer contributions receivable</td>
<td>$4,949</td>
<td>$5,343</td>
</tr>
<tr>
<td>Employee contributions receivable</td>
<td>2,118</td>
<td>2,386</td>
</tr>
<tr>
<td>Other receivable</td>
<td>176</td>
<td>-</td>
</tr>
<tr>
<td>Investment in Master Trust (note 2)</td>
<td>2,163,777</td>
<td>2,057,129</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>2,171,020</td>
<td>2,064,858</td>
</tr>
<tr>
<td><strong>Liabilities</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fees payable and accrued liabilities</td>
<td>2,705</td>
<td>1,527</td>
</tr>
<tr>
<td><strong>Net assets available for benefits</strong></td>
<td>$2,168,315</td>
<td>$2,063,331</td>
</tr>
</tbody>
</table>

Subsequent event (note 7)

See accompanying notes to fund financial statements.

On behalf of the Administrator:

Roger Couldrey
Vice-President (Administration)
McMaster University

Deidre Henne
Assistant Vice-President (Administration) & CFO
McMaster University
## Statement of Changes in Net Assets Available for Benefits

**THE CONTRIBUTORY PENSION PLAN FOR SALARIED EMPLOYEES OF MCMASTER UNIVERSITY INCLUDING MCMASTER DIVINITY COLLEGE 2000**

**Statement of Changes in Net Assets Available for Benefits**

(Thousands of dollars)

June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INCREASE IN NET ASSETS</strong></td>
<td></td>
</tr>
<tr>
<td>Investment income allocated by the Master Trust Fund (note 4):</td>
<td></td>
</tr>
<tr>
<td>Investment income</td>
<td>$50,800</td>
</tr>
<tr>
<td>Net realized gain on sale of investments</td>
<td>$62,829</td>
</tr>
<tr>
<td>Net realized gain on sale of units in the Master Trust Fund</td>
<td>$16,337</td>
</tr>
<tr>
<td>Change in net unrealized gain in investments</td>
<td>$129,966</td>
</tr>
<tr>
<td>Contributions:</td>
<td></td>
</tr>
<tr>
<td>Employer current service</td>
<td>$33,973</td>
</tr>
<tr>
<td>Employer past service</td>
<td>$19,633</td>
</tr>
<tr>
<td>Employee required</td>
<td>$27,546</td>
</tr>
<tr>
<td>Employee transfers from other plans</td>
<td>$76</td>
</tr>
<tr>
<td>81,228</td>
<td>84,098</td>
</tr>
<tr>
<td><strong>DECREASE IN NET ASSETS</strong></td>
<td></td>
</tr>
<tr>
<td>Change in net unrealized loss in investments</td>
<td>$3,132</td>
</tr>
<tr>
<td>Payments to members:</td>
<td></td>
</tr>
<tr>
<td>Pension benefits</td>
<td>$77,067</td>
</tr>
<tr>
<td>Termination benefits</td>
<td>$19,319</td>
</tr>
<tr>
<td>96,386</td>
<td>82,488</td>
</tr>
<tr>
<td>Expenses:</td>
<td></td>
</tr>
<tr>
<td>Investment managers</td>
<td>$4,716</td>
</tr>
<tr>
<td>Professional</td>
<td>$1,419</td>
</tr>
<tr>
<td>Administrative (note 5)</td>
<td>$304</td>
</tr>
<tr>
<td>Trustee and custodial</td>
<td>$186</td>
</tr>
<tr>
<td>Pension filing</td>
<td>$49</td>
</tr>
<tr>
<td>Audit</td>
<td>$18</td>
</tr>
<tr>
<td>6,692</td>
<td>6,052</td>
</tr>
<tr>
<td>106,210</td>
<td>88,540</td>
</tr>
</tbody>
</table>

Net increase in net assets available for benefits | $104,984 | $159,508 |

Net assets available for benefits, beginning of year | $2,063,331 | $1,903,823 |

Net assets available for benefits, end of year | $2,168,315 | $2,063,331 |

Subsequent event (note 7)

See accompanying notes to fund financial statements.
The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College 2000 (the “Plan”) is a defined benefit registered pension plan in the Province of Ontario under registration number 1079920, the Administrator of which is McMaster University.

McMaster University operates the Master Trust Fund to facilitate the collective management of the investment assets for pension plans of McMaster University and Divinity College. These fund financial statements reflect the consolidation of net assets held by the Plan directly and its share of the net assets of the Master Trust Fund.

The Plan is operated in accordance with the Trust and Custodial Services Agreement dated July 1, 2000, between McMaster University (the “Administrator”) and CIBC Mellon Trust Company (the “Trustee”).

1. Significant accounting policies:

(a) Basis of presentation:

As permitted by The Financial Services Commission of Ontario (“FSCO”) under Section 76 of the Regulation 909 to the Pension Benefits Act (Ontario), the Plan has prepared fund financial statements in accordance with Canadian accounting standards for pension plans as outlined under CPA Canada Handbook Section 4600 excluding pension obligations and any resulting surplus or deficit.

In selecting or changing accounting policies that do not relate to its investment portfolio or pension obligations, Section 4600 requires the Plan to comply (on a consistent basis) with either International Financial Reporting Standards (IFRS) - Part I of CPA Canada Handbook - Accounting or Canadian Accounting Standards for Private Enterprises - Part II of CPA Canada Handbook - Accounting. The Plan has chosen to comply on a consistent basis with IFRS.

These fund financial statements have been prepared to assist the Administrator of The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College 2000 in meeting the requirements of the Financial Services Commission of Ontario. As a result, these fund financial statements may not be suitable for another purpose.

These fund financial statements of the Plan do not purport to show the adequacy of the Plan’s assets to meet its pension obligation. Such an assessment requires additional information, such as the Plan’s actuarial reports and information about McMaster University including McMaster Divinity College 2000’s financial health.

(b) Basis of measurement:

The fund financial statements have been prepared on the historical cost basis, except for investments and derivative financial instruments which are measured at fair value through the statement of changes in net assets available for benefits.

(c) Functional and presentation currency:

These fund financial statements are presented in Canadian dollars, which is the Plan’s functional currency.
1. Significant accounting policies (continued):

(d) Financial assets and financial liabilities:

(i) Non-derivative financial assets:

Financial assets are recognized initially on the trade date, which is the date that the Plan becomes a party to the contractual provisions of the instrument. Upon initial recognition, attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred.

The Plan measures all of its investments at fair value through the statement of changes in net assets available for benefits.

All other non-derivative financial assets including contributions receivable are measured at amortized cost.

The Plan derecognizes a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred or in which the Plan neither transfers nor retains substantially all the risks and rewards of ownership and does not retain control of the financial asset.

On de-recognition of a financial asset, the difference between the carrying amount of the asset and consideration received is recognized in the statement of changes in net assets available for benefits as a net realized gain (loss) on sale of investments.

(ii) Non-derivative financial liabilities:

All financial liabilities are recognized initially on the trade date at which the Plan becomes a party to the contractual provisions of the instrument.

The Plan derecognizes a financial liability when its contractual obligations are discharged, cancelled or expired.

Financial assets and liabilities are offset and the net amount presented in the statement of net assets when, and only when, the Plan has a legal right to offset the amounts and it intends either to settle on a net basis or to realize the asset and settle the liability simultaneously.

The Plan considers its fees payable and accrued liabilities to be a non-derivative financial liability.

(iii) Derivative financial instruments:

Derivative financial instruments are recognized initially at fair value and attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred. Subsequent to initial recognition, derivatives are measured at fair value, and all changes are recognized immediately in the statement of changes in net assets available for benefits.

(e) Fair value measurement:

Fair value is the amount for which an asset could be exchanged, or a liability settled, between knowledgeable, willing parties in an arm’s length transaction on the measurement date.

In determining fair value, the Plan follows the guidance in IFRS 13, Fair Value Measurement (“IFRS 13”) in Part I of the CPA Canada Handbook. As allowed under IFRS 13, if an asset or a liability measured at fair value has a bid and an ask price, the price within the bid-ask spread that is the most representative of fair value in the circumstances shall be used to measure fair value. The Plan uses closing market price as a practical expedient for fair value measurement.
1. Significant accounting policies (continued):

(e) Fair value measurement (continued):

When available, the Plan measures the fair value of an instrument using quoted prices in an active market for that instrument. A market is regarded as active if quoted prices are readily and regularly available and represent actual and regularly occurring market transactions on an arm's length basis.

If a market for a financial instrument is not active, then the Plan establishes fair value using a valuation technique. Valuation techniques include using recent arm's length transactions between knowledgeable, willing parties (if available), reference to the current fair value of other instruments that are substantially the same, discounted cash flow analyses and option pricing models.

The best evidence of the fair value of a financial instrument at initial recognition is the transaction price, i.e. the fair value of the consideration given or received, unless the fair value of that instrument is evidenced by comparison with other observable current market transactions in the same instrument or based on a valuation technique whose variables include only data from observable markets. When transaction price provides the best evidence of fair value at initial recognition, the financial instrument is initially measured at the transaction price and any difference between this price and the value initially obtained from a valuation model is subsequently recognized in profit or loss on an appropriate basis over the life of the instrument but not later than when the valuation is supported wholly by observable market data or the transaction is closed out.

All changes in fair value, other than interest and dividend income are recognized in the statement of changes in net assets available for benefits as part of the change in net unrealized gains.

Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan's proportionate share of underlying net assets at fair value using closing market prices.

Investments are stated at fair value. Fair values of investments including those held within the Master Trust are determined as follows:

i) Bonds and equities are valued at year-end quoted closing prices where available. Where quoted prices are not available, estimated fair values are calculated using comparable securities.

ii) Short-term notes, treasury bills and term deposits maturing within a year are stated at cost, which together with accrued interest income approximates fair value given the short-term nature of these investments.

iii) Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan's proportionate share of underlying net assets at fair values determined using closing market prices.

iv) Investments in derivative financial instruments, including futures, forwards and option contracts, are valued at year-end quoted market prices where available. Where quoted prices are not available, values are determined using pricing models, which take into account current market and contractual prices of the underlying instruments, as well as time value and yield curve or volatility factors underlying the positions.

Unrealized gains and losses on derivative financial instruments, net of premiums paid or received on options contracts, are included in derivative contracts investments.

Investment transactions are accounted for on the trade date.
1. Significant accounting policies (continued):

   (f) Investment income:

   Investment income, which is recorded on the accrual basis, includes interest income, dividends and pooled fund distributions.

   (g) Change in net unrealized gain in investments:

   The change in net unrealized gain or loss in investments is the change in the difference between the fair value and cost of investments from the beginning to the end of the year.

   (h) Foreign currency:

   Transactions in foreign currencies are translated into Canadian dollars at the exchange rate at the dates of the transactions. Monetary assets and liabilities denominated in foreign currencies at the reporting date are retranslated into Canadian dollars at the exchange rate at the reporting date. The fair values of foreign currency denominated investments are translated into Canadian dollars at the reporting date rates of exchange. Gains and losses arising from transactions are included in investment income within the statement of changes in net assets available for benefits.

   (i) Net realized gain or loss on sales of investments:

   The net realized gain on sale of investments represents the difference between proceeds received and the average cost of investments sold.

   The net realized gain or loss on sale of units in the Master Trust Fund represents the difference between the proceeds received and the average cost of the units sold.

   (j) Income taxes:

   The Plan is a Registered Pension Trust as defined by the Income Tax Act (Canada) and, accordingly, is not subject to income taxes.

   (k) Use of estimates:

   The preparation of the fund financial statements requires management to make judgments, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets and liabilities at the date of the statement of net assets and the reported amounts of changes in net assets available for benefits during the year. Actual results may differ from those estimates.

   Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognized in the period in which the estimates are revised and in any future years affected.

   (l) Changes in accounting standards:

   In accordance with Canadian pension accounting standards, the Plan follows IFRS for certain aspects of its accounting, including the recognition of financial assets and financial liabilities. Effective July 1, 2018, the Plan adopted IFRS 9 for the recognition and de-recognition requirements for financial assets and financial liabilities. The adoption of this accounting standard did not have an impact on the Plan’s financial statements.
2. Investment in Master Trust:

Details of the Master Trust Fund investments are as follows:

<table>
<thead>
<tr>
<th>Cost</th>
<th>2019</th>
<th>Fair Value</th>
<th>Cost</th>
<th>2018</th>
<th>Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>$ 8,986</td>
<td>$ 8,986</td>
<td>$ 15,458</td>
<td>$ 15,458</td>
<td></td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>1,955</td>
<td>1,934</td>
<td>1,167</td>
<td>1,172</td>
<td></td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>146,283</td>
<td>221,740</td>
<td>133,056</td>
<td>207,436</td>
<td></td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>48,666</td>
<td>80,473</td>
<td>57,694</td>
<td>95,767</td>
<td></td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>150,013</td>
<td>154,811</td>
<td>143,060</td>
<td>143,091</td>
<td></td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>553,814</td>
<td>599,494</td>
<td>415,184</td>
<td>428,995</td>
<td></td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>21,517</td>
<td>22,920</td>
<td>20,750</td>
<td>21,260</td>
<td></td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>214,110</td>
<td>205,531</td>
<td>195,962</td>
<td>198,126</td>
<td></td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>562,991</td>
<td>859,316</td>
<td>612,036</td>
<td>945,567</td>
<td></td>
</tr>
<tr>
<td>Net foreign exchange contracts receivable (payable)</td>
<td>-</td>
<td>10,113</td>
<td>-</td>
<td>(9,024)</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1,708,335</strong></td>
<td><strong>2,165,318</strong></td>
<td><strong>1,594,367</strong></td>
<td><strong>2,047,848</strong></td>
<td></td>
</tr>
</tbody>
</table>

This allocation of the investment in the Master Trust Fund to the respective pension plans is as follows:

<table>
<thead>
<tr>
<th>Units</th>
<th>2019</th>
<th>Fair Value</th>
<th>Units</th>
<th>2018</th>
<th>Fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000</td>
<td>6,739,058</td>
<td>$ 2,163,777</td>
<td>6,790,270</td>
<td>$ 2,057,129</td>
<td></td>
</tr>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College</td>
<td>13,586</td>
<td>4,362</td>
<td>13,428</td>
<td>4,068</td>
<td></td>
</tr>
</tbody>
</table>

The cost of the units held in Master Trust Fund by the Plan at June 30, 2019 was $1,769,730 (2018 $1,659,904).
3. Statutory disclosures:

The following information is provided in respect of individual investments in the Master Trust Fund with a fair value in excess of 1% of the Master Trust Fund as at June 30, 2019 as required by the Pension Benefits Act (Ontario).

(a) Pooled fund investments:

<table>
<thead>
<tr>
<th>Fund name</th>
<th>Fund operator</th>
<th>Nature of investments held</th>
<th>Fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>BlackRock Long Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>$368,867</td>
</tr>
<tr>
<td>BlackRock Russell 1000 Alpha Tilts Fund B</td>
<td>BlackRock</td>
<td>U.S. equities</td>
<td>311,862</td>
</tr>
<tr>
<td>GE Asset Management Canada Fund Canadian Equity</td>
<td>GE Asset Management</td>
<td>Canadian equities</td>
<td>191,234</td>
</tr>
<tr>
<td>NCS Canadian Institutional Trusts</td>
<td>Walter Scott</td>
<td>Non-North American equities</td>
<td>184,429</td>
</tr>
<tr>
<td>BlackRock Universe Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>158,542</td>
</tr>
<tr>
<td>GMO International Opportunities Equity Allocation Fund</td>
<td>GMO</td>
<td>Non-North American equities</td>
<td>147,662</td>
</tr>
<tr>
<td>Templeton International Equity Trust</td>
<td>Franklin Templeton</td>
<td>Non-North American equities</td>
<td>126,435</td>
</tr>
<tr>
<td>T Rowe Price U.S. Large Cap Core Corp Growth Equity</td>
<td>T Rowe Price</td>
<td>US equities</td>
<td>91,400</td>
</tr>
<tr>
<td>BlackRock Real Return Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>72,086</td>
</tr>
<tr>
<td>Bentall Kennedy Prime Canadian Property Fund</td>
<td>Bentall Kennedy</td>
<td>Canadian real estate</td>
<td>22,920</td>
</tr>
</tbody>
</table>

(b) Canadian bonds and debentures:

<table>
<thead>
<tr>
<th>Issuer</th>
<th>Cost</th>
<th>Fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government of Canada</td>
<td>$22,907</td>
<td>$23,660</td>
</tr>
<tr>
<td>Provincials (Canadian)</td>
<td>54,934</td>
<td>57,688</td>
</tr>
<tr>
<td>Corporate</td>
<td>69,970</td>
<td>71,186</td>
</tr>
</tbody>
</table>
4. Investment income:

Details of the investment income earned by the Master Trust Fund are as follows:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short-term notes and treasury bills</td>
<td>$217</td>
<td>$48</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>12,816</td>
<td>7,450</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>14,829</td>
<td>6,818</td>
</tr>
<tr>
<td>Bonds and debentures</td>
<td>6,231</td>
<td>1,331</td>
</tr>
<tr>
<td>Pooled fund investments</td>
<td>107,346</td>
<td>97,567</td>
</tr>
<tr>
<td>Foreign exchange (losses) gains including derivatives</td>
<td>(17,866)</td>
<td>11,185</td>
</tr>
<tr>
<td></td>
<td>$123,573</td>
<td>$124,399</td>
</tr>
</tbody>
</table>

The allocation of the investment income to the respective pension plans is as follows:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000</td>
<td>$129,966</td>
<td>$123,426</td>
</tr>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College</td>
<td>268</td>
<td>218</td>
</tr>
<tr>
<td></td>
<td>$130,234</td>
<td>$123,644</td>
</tr>
</tbody>
</table>

Timing difference between the realization of investment income in the Master Trust Fund and its allocation to the participating Pension Trust Funds

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(6,661)</td>
<td>755</td>
</tr>
<tr>
<td></td>
<td>$123,573</td>
<td>$124,399</td>
</tr>
</tbody>
</table>

5. Related party transactions:

McMaster University provides certain administrative services to the Plan which is recorded at the amount agreed to by the parties. The cost for these services for the year ended June 30, 2019 was approximately $304 (2018 - $298), and is included in administrative expenses in the statement of changes in net assets available for benefits.
6. Financial instruments:

The investment objectives of the Plan are to efficiently fund the benefits of the participating plan members. As part of the risk management process, the Administrator has established a diversification policy, set rate of return objectives and developed specific investment guidelines.

(a) Fair value:

The fair value of investments is disclosed in note 2. The fair value of the Plan’s other financial assets and liabilities, being contributions receivable and fees payable and accrued liabilities, approximate their carrying values due to the short-term nature of these financial instruments.

Fair value measurements recognized in the statement of net assets available for benefits are categorized using a fair value hierarchy that reflects the significance of inputs used in determining the fair values.

- Level 1 - unadjusted quoted prices in active markets for identical assets or liabilities;
- Level 2 - inputs other than quoted prices included in Level 1 that are observable for the asset or liability, either directly or indirectly; and
- Level 3 - inputs for assets and liabilities that are not based on observable market data.

The Plan’s investment in Master Trust is classified as Level 2. The following table presents the classification of the investments held within the Master Trust as at June 30, 2019, using the fair value hierarchy:

<table>
<thead>
<tr>
<th>2019</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>$ -</td>
<td>$ 8,986</td>
<td>$ -</td>
<td>$ 8,986</td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>-</td>
<td>1,934</td>
<td>-</td>
<td>1,934</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>221,740</td>
<td>-</td>
<td>-</td>
<td>221,740</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>80,473</td>
<td>-</td>
<td>-</td>
<td>80,473</td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>-</td>
<td>154,811</td>
<td>-</td>
<td>154,811</td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>-</td>
<td>599,494</td>
<td>-</td>
<td>599,494</td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>-</td>
<td>22,920</td>
<td>-</td>
<td>22,920</td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>-</td>
<td>205,531</td>
<td>-</td>
<td>205,531</td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>-</td>
<td>859,316</td>
<td>-</td>
<td>859,316</td>
</tr>
<tr>
<td>Net foreign exchange contracts receivable</td>
<td>-</td>
<td>10,113</td>
<td>-</td>
<td>10,113</td>
</tr>
</tbody>
</table>

$ 302,213 $ 1,863,105 $ - $ 2,165,318
6. Financial instruments (continued):

(a) Fair value (continued):

<table>
<thead>
<tr>
<th>2018</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>$</td>
<td>$15,458</td>
<td>$</td>
<td>$15,458</td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>-</td>
<td>1,172</td>
<td>-</td>
<td>1,172</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>207,436</td>
<td>-</td>
<td>-</td>
<td>207,436</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>95,767</td>
<td>-</td>
<td>-</td>
<td>95,767</td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>-</td>
<td>143,091</td>
<td>-</td>
<td>143,091</td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>-</td>
<td>428,995</td>
<td>-</td>
<td>428,995</td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>-</td>
<td>21,260</td>
<td>-</td>
<td>21,260</td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>-</td>
<td>198,126</td>
<td>-</td>
<td>198,126</td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>-</td>
<td>945,567</td>
<td>-</td>
<td>945,567</td>
</tr>
<tr>
<td>Net foreign exchange contracts payable</td>
<td>-</td>
<td>(9,024)</td>
<td>-</td>
<td>(9,024)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$303,203</td>
<td>$1,744,645</td>
<td>$-</td>
<td>$2,047,848</td>
</tr>
</tbody>
</table>

(b) Associated risks:

(i) Market price risk:

Market price risk is the risk that the value of an instrument will fluctuate as a result of changes in market prices, whether those changes are caused by factors specific to an individual investment, its issuer or all other factors affecting all instruments traded in the market. As all of the Plan’s financial instruments are carried at fair value with fair value changes recognized in the statement of changes in net assets available for benefits, all changes in market conditions will directly affect the net increase (decrease) in net assets available for benefits. Market price risk is managed by the Administrator through construction of a diversified portfolio of instruments traded on various markets and across various industries.

As at June 30, 2019, had the unit prices of equity benchmarks increased or decreased by 10% and assuming there is a perfect positive correlation between the Plan’s equity and pooled fund securities with all other variables held constant, the value of the Plan’s total equities would have increased or decreased by approximately $139.0 million or 6.4% of total net assets available for benefits (2018 - $146.8 million or 7.1%). The unit price of the Plan’s equity and pooled fund securities are affected by changes in market values, foreign exchange rates and interest rates impacting the underlying equity and debt instruments held within the Plan.
6. Financial instruments (continued):

(b) Associated risks (continued):

(ii) Interest rate risk:

Interest rate risk is the risk that the market value of the Plan’s investments will fluctuate due to changes in market interest rates. The Plan is exposed to the risk that the fair value or future cash flows of an investment will fluctuate because of changes in the market interest rates. The Plan mitigates this risk by diversifying the maturity schedule of its fixed income securities.

As at June 30, 2019, had the prevailing interest rates increased or decreased by 1%, with all other variables held constant, the value of the debt securities component of the Plan would have increased or decreased, respectively, by approximately $126.2 million or 5.8% of total net assets available for benefits (2018 - $95.3 million or 4.6%).

(iii) Liquidity risk:

Liquidity risk is the risk that the Plan may be unable to meet pension payment obligations in a timely manner and at a reasonable cost. Management of liquidity seeks to ensure that even under adverse conditions, the Plan has access to immediate cash that is necessary to cover benefits payable, withdrawals and other liabilities. The Statement of Investment Policies and Procedures requires the Plan’s investments to be highly liquid, so they can be converted into cash on short notice. The Plan’s exposure to liquidity risk is considered negligible.

The accrued expenses of the Plan are all due within 90 days or less.

The following table summarizes the contractual maturities of all fixed income securities as at June 30th 2019 by the earlier of contractual repricing or maturity dates:

<table>
<thead>
<tr>
<th>Maturity range</th>
<th>2019 Fair value</th>
<th>2019 Percentage of fixed income</th>
<th>2018 Fair value</th>
<th>2018 Percentage of fixed income</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 to 5 years</td>
<td>$136,594</td>
<td>18.1%</td>
<td>$116,861</td>
<td>20.4%</td>
</tr>
<tr>
<td>5 to 10 years</td>
<td>111,308</td>
<td>14.7%</td>
<td>74,314</td>
<td>12.9%</td>
</tr>
<tr>
<td>Over 10 years</td>
<td>508,300</td>
<td>67.2%</td>
<td>383,491</td>
<td>66.7%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$756,202</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>$574,666</strong></td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>
6. Financial instruments (continued):

(b) Associated risks (continued):

(iv) Foreign currency risk:

Foreign currency risk is the risk that fair value or future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The Plan invests in financial instruments denominated in various foreign currencies, other than its measurement currency. Consequently, the Plan is exposed to risks that the exchange of the various currencies may change in a manner that has an adverse effect on the value of the portion of the Plan’s assets denominated in currencies other than the Canadian dollar. As at June 30, 2019 and June 30, 2018, the Plan held currency contracts which mitigated its exposure to currency risk. The Plan’s overall currency positions and exposures are monitored on a regular basis by the Administrator.

The Plan’s currency exposure of its investments as at June 30 is as follows:

<table>
<thead>
<tr>
<th>Currency</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian dollar equivalent</td>
<td>$ 947,718</td>
<td>$ 1,038,802</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>43.7%</td>
<td>50.3%</td>
</tr>
<tr>
<td>US dollar</td>
<td>$ 485,823</td>
<td>$ 551,237</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>22.4%</td>
<td>26.7%</td>
</tr>
<tr>
<td>Euro</td>
<td>146,112</td>
<td>138,772</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>6.7%</td>
<td>6.7%</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>93,517</td>
<td>112,471</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>4.3%</td>
<td>5.5%</td>
</tr>
<tr>
<td>Other</td>
<td>92,068</td>
<td>95,511</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>4.2%</td>
<td>4.6%</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>71,092</td>
<td>78,426</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>3.3%</td>
<td>3.8%</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>36,222</td>
<td>33,904</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>1.7%</td>
<td>1.6%</td>
</tr>
<tr>
<td>Hong Kong dollar</td>
<td>22,884</td>
<td>28,481</td>
</tr>
<tr>
<td>Percentage of total</td>
<td>1.1%</td>
<td>1.4%</td>
</tr>
<tr>
<td></td>
<td>$ 947,718</td>
<td>$ 1,038,802</td>
</tr>
</tbody>
</table>
6. Financial instruments (continued):

(b) Associated risks (continued):

(v) Credit risk:

Credit risk is the risk that an issuer or counterparty will be unable or unwilling to meet a commitment that it has entered into with the Plan. Credit risk is generally higher when a non-exchange traded financial instrument is involved because the counterparty for non-exchange traded financial instruments is not backed by an exchange clearing house. The Plan policy does not permit investments in below investment grade securities. The credit risk is minimized by dealing with borrowers considered to be of high quality and by monitoring their credit risk. The Plan records all investments at fair value and therefore the values reflected in the statement of net assets available for benefits represent the maximum credit exposure to the Plan.

The following is a summary of the June 30, 2019 weighted average of funds invested, and the respective allocation targets:

<table>
<thead>
<tr>
<th>Asset Mix</th>
<th>Minimum</th>
<th>Benchmark</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian equities</td>
<td>19.9</td>
<td>16.0</td>
<td>20.0</td>
</tr>
<tr>
<td>U.S. equities</td>
<td>22.4</td>
<td>17.0</td>
<td>22.0</td>
</tr>
<tr>
<td>International equities</td>
<td>21.5</td>
<td>17.0</td>
<td>22.0</td>
</tr>
<tr>
<td>Real assets</td>
<td>1.0</td>
<td>-</td>
<td>1.0</td>
</tr>
<tr>
<td>Total equities and real assets</td>
<td>64.8</td>
<td>-</td>
<td>65.0</td>
</tr>
<tr>
<td>Fixed income</td>
<td>34.9</td>
<td>20.0</td>
<td>35.0</td>
</tr>
<tr>
<td>Cash and short term investment</td>
<td>0.3</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total fixed income</td>
<td>35.2</td>
<td>-</td>
<td>35.0</td>
</tr>
<tr>
<td>Total</td>
<td>100.0</td>
<td>-</td>
<td>100.0</td>
</tr>
</tbody>
</table>

¹ Real assets includes real estate and infrastructure investments.

The Total Fund Benchmark Portfolio and Asset Mix guidelines states that a minimum of 50% to a maximum of 80% of the total fund's assets by market value can be invested in equities and real assets. The Total Fund Benchmark Portfolio and Asset Mix Policy also states a minimum of 20% to a maximum of 50% of the total fund's assets can be invested in fixed income which includes cash and short term investments.
6. Financial instruments (continued):

(b) Associated risks (continued):

(v) Credit risk (continued):

The following is a summary of the Plan’s investments in interest-bearing financial instruments and the Plan’s exposure to credit risk as at June 30, 2019:

<table>
<thead>
<tr>
<th>Credit rating</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Fair value</td>
<td>Fair value</td>
</tr>
<tr>
<td>AAA</td>
<td>$240,749</td>
<td>$194,868</td>
</tr>
<tr>
<td>AA</td>
<td>$319,225</td>
<td>$228,872</td>
</tr>
<tr>
<td>A</td>
<td>$131,876</td>
<td>$106,317</td>
</tr>
<tr>
<td>BBB</td>
<td>$64,352</td>
<td>$44,609</td>
</tr>
<tr>
<td>Lower than BBB</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>$756,202</td>
<td>$574,666</td>
</tr>
</tbody>
</table>

(c) Interest-bearing investments:

The following information is provided in respect of interest-bearing investments in the Master Trust Fund:

<table>
<thead>
<tr>
<th>Investment total</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Investment total</td>
<td>Investment total</td>
</tr>
<tr>
<td>Short-term notes</td>
<td>$10,920</td>
<td>$16,630</td>
</tr>
<tr>
<td>and treasury bills</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>$154,811</td>
<td>$143,091</td>
</tr>
</tbody>
</table>

The average effective yield is the rate at which the future cash flows of the instrument must be discounted to arrive at the fair value of the instrument.
7. Capital risk management:

The capital of the Plan is represented by the net assets available for benefits. The main objective of the defined benefit Plan is to ensure the security of the promised pension benefits under the Plan. The Plan fulfills its primary objective by adhering to specific investment policies outlined in its Statement of Investment Policies and Procedures (the "SIP&P"), which is reviewed annually by the Pension Committee. The Plan manages net assets available for benefits by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds (contributions) in accordance with the approved SIP&P. For the year ended June 30, 2019 the Plan followed the most recently effective SIP&P which was amended effective December 7, 2017. The latest amendment to the SIP&P included updates to align with industry practice and to reflect regulatory requirements, as well as updates to eligible investments, manager mandates, and investment mix.

Subsequent to the year end the SIP&P was amended on October 24, 2019.

The Plan's investment managers and other consultants as at June 30, 2019 are as follows:

<table>
<thead>
<tr>
<th>Services</th>
<th>Managers and Consultants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Consultant</td>
<td>Aon Hewitt Associates</td>
</tr>
<tr>
<td>Investment Manager</td>
<td>Bentall Kenedy</td>
</tr>
<tr>
<td></td>
<td>Beutel Goodman &amp; Company Ltd.</td>
</tr>
<tr>
<td></td>
<td>BlackRock Investment Management</td>
</tr>
<tr>
<td></td>
<td>Jarislowsky Fraser &amp; Company Limited</td>
</tr>
<tr>
<td></td>
<td>Grantham, Mayo, van Otterloo &amp; Company</td>
</tr>
<tr>
<td></td>
<td>Franklin Templeton Investment Corp</td>
</tr>
<tr>
<td></td>
<td>State Street Global Advisors Limited</td>
</tr>
<tr>
<td></td>
<td>Walter Scott &amp; Partners Limited</td>
</tr>
<tr>
<td>Actuary</td>
<td>Mercer Human Resources Consulting Ltd.</td>
</tr>
<tr>
<td>Custodian/ Trustee</td>
<td>CIBC Mellon Trust Company</td>
</tr>
</tbody>
</table>

Although there are no regulatory requirements relating to the level of net assets available for benefits, the funding to be maintained by the defined benefit Plan is determined through triennial actuarial valuations. No contributions remain past due as of June 30, 2019. The Pension Plan investments fell within the asset mix target ranges for the Plan as at June 30, 2019.

The Plan is required to file fund financial statements with the Financial Services Regulatory Authority (FSRA) of Ontario annually. FSRA replaced FSCO effective June 2019.
8. b. Financial Statements – Salaried Pension Plan (Original Plan)

Recommendation

That the Planning and Resources Committee approve the audited financial statements of Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College as at June 30, 2019.

Financial Implications: No immediate implications.

Description/Background: The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College (“Salaried Pension Plan (Original Plan)”) financial statements are prepared to comply with Financial Services Regulatory Authority (FSRA) of Ontario, the regulator of Ontario pension plans, requirements. More specifically, the financial statements are prepared in accordance with Section 76 of the Ontario Pension Benefits Act. The statements do not show the pension liabilities (which are obligations of the plan sponsor – McMaster University) and are prepared as at June 30th year-end.

Note: FSRA is formerly known as FSCO (Financial Services Commission of Ontario)

Alignment with university strategy: The preparation and filing of Salaried Pension Plan (Original Plan) annual financial statements is aligned with meeting regulatory requirements.

Important considerations: The Salaried Pension Plan (Original Plan) financial statements, once approved, will be filed with FSRA by December 31, 2019.

Major risks: Salaried Pension Plan (Original Plan) financial statements contain material misstatements.

Mitigating factors identified: KPMG has completed an audit of the Salaried Pension Plan (Original Plan) financial statements and has provided a clean audit opinion.

Prepared By: Steven Moore, Treasurer

Reviewed by: Deidre (Dee) Henne, AVP (Administration) & CFO
Fund Financial Statements of

THE CONTRIBUTORY PENSION PLAN
FOR SALARIED EMPLOYEES
OF McMaster University INCLUDING
McMaster Divinity College

Year ended June 30, 2019
Registration Number 0215400
INDEPENDENT AUDITORS' REPORT

To the Administrator of The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College.

Opinion

We have audited the accompanying fund financial statements of The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College (the "Plan"), which comprise:

- the statement of net assets available for benefits as at June 30, 2019
- the statement of changes in net assets available for benefits for the year then ended
- and notes to the fund financial statements, including a summary of significant accounting policies and other explanatory information.

(Hereinafter referred to as the “fund financial statements”).

In our opinion, the accompanying fund financial statements, present fairly, in all material respects, the net assets available for benefits of the Plan as at June 30, 2019, and its changes in net assets available for benefits for the year then ended in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario).

Basis for Opinion

We conducted our audit in accordance with Canadian generally accepted auditing standards. Our responsibilities under those standards are further described in the “Auditors’ Responsibilities for the Audit of the Financial Statements” section of our auditors’ report.

We are independent of the Plan in accordance with the ethical requirements that are relevant to our audit of the fund financial statements in Canada and we have fulfilled our other responsibilities in accordance with these requirements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion.
**Emphasis of Matter – Financial Reporting Framework**

We draw attention to Note 1(a) in the fund financial statements, which describes the applicable financial reporting framework and the purpose of the financial statements.

As a result, the fund financial statements may not be suitable for another purpose.

Our opinion is not modified in respect of this matter.

**Responsibilities of Management and Those Charged with Governance for the Financial Statements**

Management is responsible for the preparation and fair presentation of the fund financial statements in accordance with the financial reporting provisions of Section 76 of Regulation 909 of the Pension Benefits Act (Ontario), and for such internal control as management determines is necessary to enable the preparation of fund financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the fund financial statements, management is responsible for assessing the Plan’s ability to continue as a going concern, disclosing as applicable, matters related to going concern and using the going concern basis of accounting unless management either intends to liquidate the Plan or to cease operations, or has no realistic alternative but to do so.

Those charged with governance are responsible for overseeing the Plan’s financial reporting process.

**Auditors’ Responsibilities for the Audit of the Financial Statements**

Our objectives are to obtain reasonable assurance about whether the fund financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditors’ report that includes our opinion.

Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Canadian generally accepted auditing standards will always detect a material misstatement when it exists.

Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the fund financial statements.

As part of an audit in accordance with Canadian generally accepted auditing standards, we exercise professional judgment and maintain professional skepticism throughout the audit.
We also:

- Identify and assess the risks of material misstatement of the fund financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion.

  The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.

- Obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Plan's internal control.

- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.

- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to, events or conditions that may cast significant doubt on the Plan's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditors' report to the related disclosures in the fund financial statements or, if such disclosures are inadequate, to modify our opinion. Our conclusions are based on the audit evidence obtained up to the date of our auditors' report. However, future events or conditions may cause the Plan to cease to continue as a going concern.

- Evaluate the overall presentation, structure and content of the fund financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

- Communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that we identify during our audit.

Chartered Professional Accountants, Licensed Public Accountants

November 19, 2019
Hamilton, Canada
### Statement of Net Assets Available for Benefits

(in thousands of dollars)

June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assets</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employer contributions receivable</td>
<td>$ 6</td>
<td>$ -</td>
</tr>
<tr>
<td>Employee contributions receivable</td>
<td>2</td>
<td>4</td>
</tr>
<tr>
<td>Investment in Master Trust (note 2)</td>
<td>4,362</td>
<td>4,068</td>
</tr>
<tr>
<td><strong>Total assets</strong></td>
<td>4,370</td>
<td>4,072</td>
</tr>
<tr>
<td><strong>Liabilities</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fees payable and accrued liabilities</td>
<td>44</td>
<td>12</td>
</tr>
<tr>
<td><strong>Net assets available for benefits</strong></td>
<td>$ 4,326</td>
<td>$ 4,060</td>
</tr>
</tbody>
</table>

Subsequent event (note 7)

See accompanying notes to fund financial statements

On behalf of the Administrator:

Roger Couldrey  
Vice-President (Administration)  
McMaster University

Deidre Henne  
Assistant Vice-President (Administration) & CFO  
McMaster University
THE CONTRIBUTORY PENSION PLAN FOR 
SALARIED EMPLOYEES OF MCMASTER UNIVERSITY 
INCLUDING MCMASTER DIVINITY COLLEGE 

Statement of Changes in Net Assets Available for Benefits 
(in thousands of dollars) 

June 30, 2019, with comparative information for 2018

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>INCREASE IN NET ASSETS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income allocated by the Master Trust Fund (note 4):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment income</td>
<td>$102</td>
<td>$90</td>
</tr>
<tr>
<td>Net realized gain on sale of investments</td>
<td>127</td>
<td>120</td>
</tr>
<tr>
<td>Net realized gain on sale of units in the Master Trust Fund</td>
<td>39</td>
<td>8</td>
</tr>
<tr>
<td>Change in net unrealized gain in investments</td>
<td>268</td>
<td>218</td>
</tr>
<tr>
<td>Contributions:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employer current service</td>
<td>92</td>
<td>108</td>
</tr>
<tr>
<td>Employer past service</td>
<td>35</td>
<td>13</td>
</tr>
<tr>
<td>Employee required</td>
<td>33</td>
<td>38</td>
</tr>
<tr>
<td></td>
<td>160</td>
<td>159</td>
</tr>
<tr>
<td><strong>DECREASE IN NET ASSETS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change in net unrealized loss in investments</td>
<td>27</td>
<td>-</td>
</tr>
<tr>
<td>Payments to members:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pension benefits</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Termination benefits</td>
<td>7</td>
<td>-</td>
</tr>
<tr>
<td>Expenses:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment managers</td>
<td>9</td>
<td>10</td>
</tr>
<tr>
<td>Audit</td>
<td>8</td>
<td>8</td>
</tr>
<tr>
<td>Professional</td>
<td>104</td>
<td>33</td>
</tr>
<tr>
<td>Trustee and custodial</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Administrative</td>
<td>1</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>125</td>
<td>54</td>
</tr>
<tr>
<td></td>
<td>162</td>
<td>56</td>
</tr>
<tr>
<td>Net increase in net assets available for benefits</td>
<td>266</td>
<td>422</td>
</tr>
<tr>
<td>Net assets available for benefits, beginning of year</td>
<td>4,060</td>
<td>3,638</td>
</tr>
<tr>
<td>Net assets available for benefits, end of year</td>
<td>$4,326</td>
<td>$4,060</td>
</tr>
</tbody>
</table>

Subsequent event (note 7) 

See accompanying notes to fund financial statements.
The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College (the "Plan") is a defined benefit registered pension plan in the Province of Ontario under registration number 0215400, the Administrator of which is McMaster University.

McMaster University operates the Master Trust Fund to facilitate the collective management of the investment assets for pension plans of McMaster University and Divinity College. These fund financial statements reflect the consolidation of net assets held by the Plan directly and its share of the net assets of the Master Trust Fund.

The Plan is operated in accordance with the Trust and Custodial Services Agreement dated July 1, 2000, between McMaster University (the "Administrator") and CIBC Mellon Trust Company (the "Trustee").

1. Significant accounting policies:

   (a) Basis of presentation:

       As permitted by The Financial Services Commission of Ontario ("FSCO") under Section 76 of the Regulation 909 to the Pension Benefits Act (Ontario), the Plan has prepared fund financial statements in accordance with Canadian accounting standards for pension plans as outlined under CPA Canada Handbook Section 4600 excluding pension obligations and any resulting surplus or deficit.

       In selecting or changing accounting policies that do not relate to its investment portfolio or pension obligations, Section 4600 requires the Plan to comply (on a consistent basis) with either International Financial Reporting Standards (IFRS) - Part I of CPA Canada Handbook - Accounting or Canadian Accounting Standards for Private Enterprises - Part II of CPA Canada Handbook - Accounting. The plan has chosen to comply on a consistent basis with IFRS.

       These fund financial statements have been prepared to assist the Administrator of The Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College in meeting the requirements of the Financial Services Commission of Ontario. As a result, these fund financial statements may not be suitable for another purpose.

       These fund financial statements do not purport to show the adequacy of the Plan's assets to meet its pension obligation. Such an assessment requires additional information, such as the Plan's actuarial reports and information about McMaster University including McMaster Divinity College's financial health.

   (b) Basis of measurement:

       The fund financial statements have been prepared on the historical cost basis, except for investments and derivative financial instruments which are measured at fair value through the statement of changes in net assets available for benefits.

   (c) Functional and presentation currency:

       These fund financial statements are presented in Canadian dollars, which is the Plan's functional currency.
1. Significant accounting policies (continued):

   (d) Financial assets and financial liabilities:

   (i) Non-derivative financial assets:

      Financial assets are recognized initially on the trade date, which is the date that the Plan becomes a party to the contractual provisions of the instrument. Upon initial recognition, attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred.

      The Plan measures all of its investments at fair value through the statement of changes in net assets available for benefits.

      All other non-derivative financial assets including contributions receivable are measured at amortized cost.

      The Plan derecognizes a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred or in which the Plan neither transfers nor retains substantially all the risks and rewards of ownership and does not retain control of the financial asset.

      On de-recognition of a financial asset, the difference between the carrying amount of the asset and consideration received is recognized in the statement of changes in net assets available for benefits as a net realized gain (loss) on sale of investments.

   (ii) Non-derivative financial liabilities:

      All financial liabilities are recognized initially on the trade date at which the Plan becomes a party to the contractual provisions of the instrument.

      The Plan derecognizes a financial liability when its contractual obligations are discharged, cancelled or expired.

      Financial assets and liabilities are offset and the net amount presented in the statement of net assets when, and only when, the Plan has a legal right to offset the amounts and it intends either to settle on a net basis or to realize the asset and settle the liability simultaneously.

      The Plan considers its fees payable and accrued liabilities to be a non-derivative financial liability.

   (iii) Derivative financial instruments:

      Derivative financial instruments are recognized initially at fair value and attributable transaction costs are recognized in the statement of changes in net assets available for benefits as incurred. Subsequent to initial recognition, derivatives are measured at fair value, and all changes are recognized immediately in the statement of changes in net assets available for benefits.

   (e) Fair value measurement:

      Fair value is the amount for which an asset could be exchanged, or a liability settled, between knowledgeable, willing parties in an arm's length transaction on the measurement date.

      In determining fair value, the Plan follows the guidance in IFRS 13, Fair Value Measurement ("IFRS 13") in Part I of the CPA Canada Handbook. As allowed under IFRS 13, if an asset or a liability measured at fair value has a bid and an ask price, the price within the bid-ask spread that is the most representative of fair value in the circumstances shall be used to measure fair value. The Plan uses closing market price as a practical expedient for fair value measurement.
1. Significant accounting policies (continued): 
   (e) Fair value measurement (continued): 

   When available, the Plan measures the fair value of an instrument using quoted prices in an active market for that 
   instrument. A market is regarded as active if quoted prices are readily and regularly available and represent actual and 
   regularly occurring market transactions on an arm’s length basis.

   If a market for a financial instrument is not active, then the Plan establishes fair value using a valuation technique. 
   Valuation techniques include using recent arm’s length transactions between knowledgeable, willing parties (if available), 
   reference to the current fair value of other instruments that are substantially the same, discounted cash flow analyses 
   and option pricing models.

   The best evidence of the fair value of a financial instrument at initial recognition is the transaction price, i.e. the fair value 
   of the consideration given or received, unless the fair value of that instrument is evidenced by comparison with other 
   observable current market transactions in the same instrument or based on a valuation technique whose variables 
   include only data from observable markets. When transaction price provides the best evidence of fair value at initial 
   recognition, the financial instrument is initially measured at the transaction price and any difference between this price 
   and the value initially obtained from a valuation model is subsequently recognized in profit or loss on an appropriate 
   basis over the life of the instrument but not later than when the valuation is supported wholly by observable market data 
   or the transaction is closedout.

   All changes in fair value, other than interest and dividend income are recognized in the statement of changes in net 
   assets available for benefits as part of the change in unrealized gains.

   Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan’s 
   proportionate share of underlying net assets at fair value using closing market prices.

   Investments are stated at fair value. Fair values of investments including those held within the Master Trust are 
   determined as follows:

     i) Bonds and equities are valued at year-end quoted closing prices where available. Where quoted prices are not 
        available, estimated fair values are calculated using comparable securities.

     ii) Short-term notes, treasury bills and term deposits maturing within a year are stated at cost, which together with 
         accrued interest income approximates fair value given the short-term nature of these investments.

     iii) Pooled funds are valued at the unit values supplied by the pooled fund administrator, which represent the Plan’s 
          proportionate share of underlying net assets at fair values determined using closing market prices.

     iv) Investments in derivative financial instruments, including futures, forwards and option contracts, are valued at year-
         end quoted market prices where available. Where quoted prices are not available, values are determined using 
         pricing models, which take into account current market and contractual prices of the underlying instruments, as 
         well as time value and yield curve or volatility factors underlying the positions.

   Unrealized gains and losses on derivative financial instruments, net of premiums paid or received on options 
   contracts, are included in derivative contracts investments.

   Investment transactions are accounted for on the trade date.
1. Significant accounting policies (continued):

(f) Investment income:

Investment income, which is recorded on the accrual basis, includes interest income, dividends and pooled fund distributions.

(g) Change in net unrealized gain in investments:

The change in net unrealized gain or loss in investments is the change in the difference between the fair value and cost of investments from the beginning to the end of the year.

(h) Foreign currency:

Transactions in foreign currencies are translated into Canadian dollars at the exchange rate at the dates of the transactions. Monetary assets and liabilities denominated in foreign currencies at the reporting date are retranslated into Canadian dollars at the exchange rate at the reporting date.

The fair values of foreign currency denominated investments are translated into Canadian dollars at the reporting date rates of exchange. Gains and losses arising from transactions are included in investment income within the statement of changes in net assets available for benefits.

(i) Net realized gain or loss on sales of investments:

The net realized gain on sale of investments represents the difference between proceeds received and the average cost of investments sold.

The net realized gain or loss on sale of units in the Master Trust Fund represents the difference between the proceeds received and the average cost of the units sold.

(j) Income taxes:

The Plan is a Registered Pension Trust as defined by the Income Tax Act (Canada) and, accordingly, is not subject to income taxes.

(k) Use of estimates:

The preparation of the fund financial statements requires management to make judgments, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets and liabilities at the date of the statement of net assets and the reported amounts of changes in net assets available for benefits during the year. Actual results may differ from those estimates.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognized in the period in which the estimates are revised and in any future years affected.

(l) Changes in accounting standards:

In accordance with Canadian pension accounting standards, the Plan follows IFRS for certain aspects of its accounting, including the recognition of financial assets and financial liabilities. Effective July 1, 2018, the Plan adopted IFRS 9 for the recognition and de-recognition requirements for financial assets and financial liabilities. The adoption of this accounting standard did not have an impact on the Plan’s financial statements.
2. Investment in Master Trust:

Details of the Master Trust Fund investments are as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>2019 Cost</th>
<th>2019 Fair Value</th>
<th>2018 Cost</th>
<th>2018 Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>$8,986</td>
<td>$8,986</td>
<td>$15,458</td>
<td>$15,458</td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>1,955</td>
<td>1,934</td>
<td>1,167</td>
<td>1,172</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>146,283</td>
<td>221,740</td>
<td>133,056</td>
<td>207,436</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>48,666</td>
<td>40,673</td>
<td>57,694</td>
<td>95,767</td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>150,013</td>
<td>154,811</td>
<td>143,060</td>
<td>143,091</td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>553,814</td>
<td>599,494</td>
<td>415,184</td>
<td>428,995</td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>21,517</td>
<td>22,920</td>
<td>20,750</td>
<td>21,260</td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>214,110</td>
<td>205,531</td>
<td>195,962</td>
<td>198,126</td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>562,991</td>
<td>650,316</td>
<td>612,036</td>
<td>945,567</td>
</tr>
<tr>
<td>Net foreign exchange contracts of receivable/ payable</td>
<td>-</td>
<td>10,113</td>
<td>-</td>
<td>(9,024)</td>
</tr>
<tr>
<td></td>
<td>1,708,335</td>
<td>2,165,318</td>
<td>1,594,367</td>
<td>2,047,848</td>
</tr>
<tr>
<td>Cash</td>
<td>8,313</td>
<td>8,313</td>
<td>722</td>
<td>722</td>
</tr>
<tr>
<td>Receivables</td>
<td>10,791</td>
<td>10,791</td>
<td>11,382</td>
<td>11,382</td>
</tr>
<tr>
<td>Accrued investment income</td>
<td>1,414</td>
<td>1,412</td>
<td>1,496</td>
<td>1,495</td>
</tr>
<tr>
<td>Accounts payable</td>
<td>(17,695)</td>
<td>(17,695)</td>
<td>(250)</td>
<td>(250)</td>
</tr>
<tr>
<td></td>
<td>$1,711,158</td>
<td>$2,168,139</td>
<td>$1,607,717</td>
<td>$2,061,197</td>
</tr>
</tbody>
</table>

This allocation of the investment in the Master Trust Fund to the respective pension plans is as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>2019 Units</th>
<th>2019 Fair Value</th>
<th>2018 Units</th>
<th>2018 Fair Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000</td>
<td>6,739,058</td>
<td>$2,163,777</td>
<td>6,790,270</td>
<td>$2,057,129</td>
</tr>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College</td>
<td>13,586</td>
<td>4,362</td>
<td>13,428</td>
<td>4,068</td>
</tr>
<tr>
<td></td>
<td>$2,168,139</td>
<td></td>
<td>$2,061,197</td>
<td></td>
</tr>
</tbody>
</table>

The cost of the units held in Master Trust Fund by the Plan at June 30, 2019 was $3,611 (2018 - $3,337).
3. Statutory disclosures:

The following information is provided in respect of individual investments in the Master Trust Fund with a fair value in excess of 1% of the Master Trust Fund as at June 30, 2019 as required by the Pension Benefits Act (Ontario).

(a) Pooled fund investments:

<table>
<thead>
<tr>
<th>Fund name</th>
<th>Fund operator</th>
<th>Nature of investments held</th>
<th>Fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>BlackRock Long Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>$368,867</td>
</tr>
<tr>
<td>BlackRockRussell 1000 Alpha Tilts Fund B</td>
<td>BlackRock</td>
<td>US equities</td>
<td>311,862</td>
</tr>
<tr>
<td>GE Asset Management Canada Fund Canadian Equity</td>
<td>GE Asset Management</td>
<td>Canadian equities</td>
<td>191,234</td>
</tr>
<tr>
<td>NCS Canadian Institutional Trusts</td>
<td>Walter Scott</td>
<td>Non-North American equities</td>
<td>184,429</td>
</tr>
<tr>
<td>Black Rock Universe Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>158,542</td>
</tr>
<tr>
<td>GMO International Opportunities Equity Allocation Fund</td>
<td>GMO</td>
<td>Non-North American equities</td>
<td>147,662</td>
</tr>
<tr>
<td>Templeton International Equity Trust</td>
<td>Franklin Templeton</td>
<td>Non-North American equities</td>
<td>126,435</td>
</tr>
<tr>
<td>T Rowe Price US Large Cap Core Corp Growth Equity</td>
<td>T Rowe Price</td>
<td>US equities</td>
<td>91,400</td>
</tr>
<tr>
<td>BlackRock Real Return Bond Index Class A</td>
<td>BlackRock</td>
<td>Canadian bonds and debentures</td>
<td>72,086</td>
</tr>
<tr>
<td>Bentall Kennedy Prime Canadian Property Fund</td>
<td>Bentall Kennedy</td>
<td>Canadian real estate</td>
<td>22,920</td>
</tr>
</tbody>
</table>

(b) Canadian bonds and debentures:

<table>
<thead>
<tr>
<th>Issuer</th>
<th>Cost</th>
<th>Fair value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government of Canada</td>
<td>$22,907</td>
<td>$23,660</td>
</tr>
<tr>
<td>Provincials (Canadian)</td>
<td>54,934</td>
<td>57,688</td>
</tr>
<tr>
<td>Corporate</td>
<td>69,970</td>
<td>71,186</td>
</tr>
</tbody>
</table>
4. Investment income:

Details of the investment income earned by the Master Trust Fund are as follows:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short-term notes and treasury bills</td>
<td>$217</td>
<td>$48</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>12,816</td>
<td>7,450</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>14,829</td>
<td>6,818</td>
</tr>
<tr>
<td>Bonds and debentures</td>
<td>6,231</td>
<td>1,331</td>
</tr>
<tr>
<td>Pooled fund investments</td>
<td>107,346</td>
<td>97,567</td>
</tr>
<tr>
<td>Foreign exchange (losses) gains including derivatives</td>
<td>(17,866)</td>
<td>11,185</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$123,573</strong></td>
<td><strong>$124,399</strong></td>
</tr>
</tbody>
</table>

The allocation of the investment income to the respective pension plans is as follows:

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Contributory Pension Plan for Salaried Employees of McMaster University including McMaster Divinity College 2000</td>
<td>$129,966</td>
<td>$123,426</td>
</tr>
<tr>
<td>Timing difference between the realization of investment income in the Master Trust Fund and its allocation to the participating Pension Trust Funds</td>
<td>268</td>
<td>218</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$130,234</strong></td>
<td><strong>$123,644</strong></td>
</tr>
</tbody>
</table>

5. Related party transactions:

McMaster University provides certain administrative services to the Plan which is recorded at the amount agreed to by the parties. The cost for these services for the year ended June 30, 2019 was $1 (2018 - $1), and is included in professional fees in the statement of changes in net assets available for benefits.
6. Financial instruments:

The investment objectives of the Plan are to efficiently fund the benefits of the participating plan members. As part of the risk management process, the Administrator has established a diversification policy, set rate of return objectives and developed specific investment guidelines.

(a) Fair value:

The fair value of investments is disclosed in note 2. The fair value of the Plan’s other financial assets and liabilities, being contributions receivable and fees payable and accrued liabilities, approximate their carrying values due to the short-term nature of these financial instruments.

Fair value measurements recognized in the statement of net assets available for benefits are categorized using a fair value hierarchy that reflects the significance of inputs used in determining the fair values.

- Level 1 - unadjusted quoted prices in active markets for identical assets or liabilities;
- Level 2 - inputs other than quoted prices included in Level 1 that are observable for the asset or liability, either directly or indirectly; and
- Level 3 - inputs for assets and liabilities that are not based on observable market data.

The Plan’s investment in Master Trust is classified as Level 2. The following table presents the classification of the investments held within the Master Trust as at June 30, 2019, using the fair value hierarchy:

<table>
<thead>
<tr>
<th>2019</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>$</td>
<td>$ 8,986</td>
<td>$ -</td>
<td>$ 8,986</td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>-</td>
<td>1,934</td>
<td>-</td>
<td>1,934</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>221,740</td>
<td>-</td>
<td>-</td>
<td>221,740</td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>80,473</td>
<td>-</td>
<td>-</td>
<td>80,473</td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>-</td>
<td>154,811</td>
<td>-</td>
<td>154,811</td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>-</td>
<td>599,494</td>
<td>-</td>
<td>599,494</td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>-</td>
<td>22,920</td>
<td>-</td>
<td>22,920</td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>-</td>
<td>205,531</td>
<td>-</td>
<td>205,531</td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>-</td>
<td>859,316</td>
<td>-</td>
<td>859,316</td>
</tr>
<tr>
<td>Net foreign exchange contracts receivable</td>
<td>-</td>
<td>10,113</td>
<td>-</td>
<td>10,113</td>
</tr>
<tr>
<td></td>
<td>$ 302,213</td>
<td>$ 1,863,105</td>
<td>$ -</td>
<td>$ 2,165,318</td>
</tr>
</tbody>
</table>
### Financial instruments (continued):

(a) Fair value (continued):

<table>
<thead>
<tr>
<th>2018</th>
<th>Level 1</th>
<th>Level 2</th>
<th>Level 3</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian short-term notes and treasury bills</td>
<td>-</td>
<td>$15,458</td>
<td>-</td>
<td>$15,458</td>
</tr>
<tr>
<td>Foreign short-term notes and treasury bills</td>
<td>-</td>
<td>1,172</td>
<td>-</td>
<td>1,172</td>
</tr>
<tr>
<td>Canadian common and preferred equities</td>
<td>207,436</td>
<td>-</td>
<td>-207,436</td>
<td></td>
</tr>
<tr>
<td>Foreign common and preferred equities</td>
<td>95,767</td>
<td>-</td>
<td>-95,767</td>
<td></td>
</tr>
<tr>
<td>Canadian bonds and debentures</td>
<td>-</td>
<td>143,091</td>
<td>-</td>
<td>143,091</td>
</tr>
<tr>
<td>Canadian fixed income pool funds</td>
<td>-</td>
<td>428,995</td>
<td>-</td>
<td>428,995</td>
</tr>
<tr>
<td>Canadian real estate pooled fund investments</td>
<td>-</td>
<td>21,260</td>
<td>-</td>
<td>21,260</td>
</tr>
<tr>
<td>Canadian equity pool fund investments</td>
<td>-</td>
<td>168,126</td>
<td>-</td>
<td>168,126</td>
</tr>
<tr>
<td>Foreign equity pool fund investments</td>
<td>-</td>
<td>945,567</td>
<td>-</td>
<td>945,567</td>
</tr>
<tr>
<td>Net foreign exchange contracts payable</td>
<td>-</td>
<td>- (9,024)</td>
<td>-</td>
<td>(9,024)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$303,203</strong></td>
<td><strong>$1,744,645</strong></td>
<td><strong>-</strong></td>
<td><strong>$2,047,848</strong></td>
</tr>
</tbody>
</table>

(b) Associated risks:

(i) Market price risk:

Market price risk is the risk that the value of an instrument will fluctuate as a result of changes in market prices, whether those changes are caused by factors specific to an individual investment, its issuer or all other factors affecting all instruments traded in the market. As all of the Plan’s financial instruments are carried at fair value with fair value changes recognized in the statement of changes in net assets available for benefits, all changes in market conditions will directly affect the net increase (decrease) in net assets available for benefits. Market price risk is managed by the Administrator through construction of a diversified portfolio of instruments traded on various markets and across various industries.

As at June 30, 2019, had the unit prices of equity benchmarks increased or decreased by 10% and assuming there is a perfect positive correlation between the Plan’s equity and pooled fund securities with all other variables held constant, the value of the Plan’s total equities would have increased or decreased by approximately $278 or 6.4% of total net assets available for benefits (2018 - $294 or 7.2%). The unit price of the Plan’s equity and pooled fund securities are affected by changes in market values, foreign exchange rates and interest rates impacting the underlying equity and debt instruments held within the Plan.
6. Financial instruments (continued):

(b) Associated risks (continued):

(ii) Interest rate risk:

Interest rate risk is the risk that the market value of the Plan’s investments will fluctuate due to changes in market interest rates. The Plan is exposed to the risk that the fair value or future cash flows of an investment will fluctuate because of changes in the market interest rates. The Plan mitigates this risk by diversifying the maturity schedule of its fixed income securities.

As at June 30, 2019, had the prevailing interest rates increased or decreased by 1%, with all other variables held constant, the value of the debt securities component of the Plan would have increased or decreased, respectively, by approximately $259 or 6.0% of total net assets available for benefits (2018 - $191 or 4.7%).

(iii) Liquidity risk:

Liquidity risk is the risk that the Plan may be unable to meet pension payment obligations in a timely manner and at a reasonable cost. Management of liquidity seeks to ensure that even under adverse conditions, the Plan has access to immediate cash that is necessary to cover benefits payable, withdrawals and other liabilities. The Statement of Investment Policies and Procedures requires the Plan’s investments to be highly liquid so they can be converted into cash on short notice. The Plan’s exposure to liquidity risk is considered negligible.

The accrued expenses of the Plan are all due within 90 days or less.

The following table summarizes the contractual maturities of all fixed income securities as at June 30th by the earlier of contractual repricing or maturity dates:

<table>
<thead>
<tr>
<th>Maturity range</th>
<th>2019</th>
<th>Percentage of fixed income</th>
<th>2018</th>
<th>Percentage of fixed income</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 to 5 years</td>
<td>$ 272</td>
<td>18.1%</td>
<td>$ 234</td>
<td>20.3%</td>
</tr>
<tr>
<td>5 to 10 years</td>
<td>223</td>
<td>14.7%</td>
<td>149</td>
<td>12.9%</td>
</tr>
<tr>
<td>Over 10 years</td>
<td>1,017</td>
<td>67.2%</td>
<td>767</td>
<td>66.8%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$ 1,512</td>
<td><strong>100.0%</strong></td>
<td>$ 1,150</td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>
6. Financial instruments (continued):

(b) Associated risks (continued):

(iv) Foreign currency risk:

Foreign currency risk is the risk that fair value or future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The Plan invests in financial instruments denominated in various foreign currencies, other than its measurement currency. Consequently, the Plan is exposed to risks that the exchange of the various currencies may change in a manner that has an adverse effect on the value of the portion of the Plan’s assets denominated in currencies other than the Canadian dollar. As at June 30, 2019 and June 30, 2018, the Plan held currency contracts which mitigated its exposure to currency risk. The Plan’s overall currency positions and exposures are monitored on a regular basis by the Administrator.

The Plan’s currency exposure of its investments as at June 30 is as follows:

<table>
<thead>
<tr>
<th>Currency</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Canadian dollar equivalent</td>
<td>Percentage of total</td>
</tr>
<tr>
<td>US dollar</td>
<td>$972</td>
<td>22.4%</td>
</tr>
<tr>
<td>Euro</td>
<td>282</td>
<td>6.7%</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>187</td>
<td>4.3%</td>
</tr>
<tr>
<td>Other</td>
<td>184</td>
<td>4.2%</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>142</td>
<td>3.3%</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>72</td>
<td>1.7%</td>
</tr>
<tr>
<td>Hong Kong dollar</td>
<td>46</td>
<td>1.1%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,895</strong></td>
<td><strong>43.7%</strong></td>
</tr>
</tbody>
</table>

As at June 30, 2019, if the Canadian dollar strengthened or weakened by 5% in each respective foreign currency, with all other factors remaining constant, the following table summarizes the estimated impacts:

<table>
<thead>
<tr>
<th>Currency</th>
<th>2019</th>
<th>Estimated impact</th>
<th>2018</th>
<th>Estimated impact</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Net exposure</td>
<td></td>
<td>Net exposure</td>
<td></td>
</tr>
<tr>
<td>US dollar</td>
<td>$972</td>
<td>$49</td>
<td>$1,102</td>
<td>$55</td>
</tr>
<tr>
<td>Euro</td>
<td>292</td>
<td>15</td>
<td>278</td>
<td>14</td>
</tr>
<tr>
<td>Japanese Yen</td>
<td>187</td>
<td>9</td>
<td>225</td>
<td>11</td>
</tr>
<tr>
<td>Other</td>
<td>184</td>
<td>9</td>
<td>191</td>
<td>10</td>
</tr>
<tr>
<td>Pound Sterling</td>
<td>142</td>
<td>7</td>
<td>157</td>
<td>8</td>
</tr>
<tr>
<td>Swiss Franc</td>
<td>72</td>
<td>4</td>
<td>68</td>
<td>3</td>
</tr>
<tr>
<td>Hong Kong dollar</td>
<td>46</td>
<td>2</td>
<td>57</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,895</strong></td>
<td><strong>$95</strong></td>
<td><strong>$2,078</strong></td>
<td><strong>$104</strong></td>
</tr>
</tbody>
</table>
6. Financial instruments (continued):

(b) Associated risks (continued):

(v) Credit risk:

Credit risk is the risk that an issuer or counterparty will be unable or unwilling to meet a commitment that it has entered into with the Plan. Credit risk is generally higher when a non-exchange traded financial instrument is involved because the counterparty for non-exchange traded financial instruments is not backed by an exchange clearing house. The Plan policy does not permit investments in below investment grade securities. The credit risk is minimized by dealing with borrowers considered to be of high quality and by monitoring their credit risk. The Plan records all investments at fair value and therefore the values reflected in the statement of net assets available for benefits represent the maximum credit exposure to the Plan. The following is a summary of the June 30, 2019 weighted average of funds invested, and the respective allocation targets:

<table>
<thead>
<tr>
<th>Asset Mix %</th>
<th>Minimum</th>
<th>Benchmark</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian equities</td>
<td>19.9</td>
<td>16.0</td>
<td>20.0</td>
</tr>
<tr>
<td>U.S. equities</td>
<td>22.4</td>
<td>17.0</td>
<td>22.0</td>
</tr>
<tr>
<td>International equities</td>
<td>21.5</td>
<td>17.0</td>
<td>22.0</td>
</tr>
<tr>
<td>Real assets¹</td>
<td>1.0</td>
<td>-</td>
<td>1.0</td>
</tr>
<tr>
<td>Total equities and real assets</td>
<td>64.8</td>
<td>-</td>
<td>65.0</td>
</tr>
<tr>
<td>Fixed income</td>
<td>34.9</td>
<td>20.0</td>
<td>35.0</td>
</tr>
<tr>
<td>Cash and short term investment</td>
<td>0.3</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total fixed income</td>
<td>35.2</td>
<td>-</td>
<td>35.0</td>
</tr>
<tr>
<td>Total</td>
<td>100.0</td>
<td>-</td>
<td>100.0</td>
</tr>
</tbody>
</table>

¹ Real assets includes real estate and infrastructure investments.

The Total Fund Benchmark Portfolio and Asset Mix guidelines states that a minimum of 50% to a maximum of 80% of the total fund's assets by market value can be invested in equities and real assets. The Total Fund Benchmark Portfolio and Asset Mix Policy also states a minimum of 20% to a maximum of 50% of the total fund's assets can be invested in fixed income which includes cash and short term investments.
The following is a summary of the Plan's investments in interest-bearing financial instruments and the Plan's exposure to credit risk as at June 30, 2019:

<table>
<thead>
<tr>
<th>Credit rating</th>
<th>2019 Fair value</th>
<th>2018 Fair value</th>
<th>Percentage of portfolio</th>
<th>Percentage of portfolio</th>
</tr>
</thead>
<tbody>
<tr>
<td>AAA</td>
<td>$481</td>
<td>$390</td>
<td>31.8</td>
<td>33.9</td>
</tr>
<tr>
<td>AA</td>
<td>638</td>
<td>458</td>
<td>42.3</td>
<td>39.8</td>
</tr>
<tr>
<td>A</td>
<td>264</td>
<td>213</td>
<td>17.4</td>
<td>18.5</td>
</tr>
<tr>
<td>BBB</td>
<td>129</td>
<td>89</td>
<td>8.5</td>
<td>7.8</td>
</tr>
<tr>
<td>Lower than BBB</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total</td>
<td>$1,512</td>
<td>$1,150</td>
<td>100.0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

The average effective yield is the rate at which the future cash flows of the instrument must be discounted to arrive at the fair value of the instrument.
7. Capital risk management:

The capital of the Plan is represented by the net assets available for benefits. The main objective of the defined benefit Plan is to ensure the security of the promised pension benefits under the Plan. The Plan fulfills its primary objective by adhering to specific investment policies outlined in its Statement of Investment Policies and Procedures (the “SIP&P”), which is reviewed annually by the Pension Committee. The Plan manages net assets available for benefits by engaging knowledgeable investment managers who are charged with the responsibility of investing existing funds and new funds (contributions) in accordance with the approved SIP&P. For the year ended June 30, 2019 the Plan followed the most recently effective SIP&P which was amended effective December 7, 2017. The latest amendment to the SIP&P included updates to align with industry practice and to reflect regulatory requirements, as well as updates to eligible investments, manager mandates, and investment mix.

Subsequent to the year end the SIP&P was amended on October 24, 2019.

The Plan’s investment managers and other consultants as at June 30, 2019 are as follows:

<table>
<thead>
<tr>
<th>Services</th>
<th>Managers and Consultants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investment Consultant</td>
<td>Aon Hewitt Associates</td>
</tr>
<tr>
<td>Investment Manager</td>
<td>Bentall Kennedy</td>
</tr>
<tr>
<td></td>
<td>Beutel Goodman &amp; Company Ltd.</td>
</tr>
<tr>
<td></td>
<td>BlackRock Investment Management</td>
</tr>
<tr>
<td></td>
<td>Jarislowsky Fraser &amp; Company Limited</td>
</tr>
<tr>
<td></td>
<td>Grantham, Mayo, van Otterloo &amp; Company</td>
</tr>
<tr>
<td></td>
<td>Franklin Templeton Investment Corp</td>
</tr>
<tr>
<td></td>
<td>State Street Global Advisors Limited</td>
</tr>
<tr>
<td></td>
<td>Walter Scott &amp; Partners Limited</td>
</tr>
<tr>
<td>Actuary</td>
<td>Mercer Human Resources Consulting Ltd.</td>
</tr>
<tr>
<td>Custodian/ Trustee</td>
<td>CIBC Mellon Trust Company</td>
</tr>
</tbody>
</table>

Although there are no regulatory requirements relating to the level of net assets available for benefits, the funding to be maintained by the defined benefit Plan is determined through triennial actuarial valuations. No contributions remain past due as of June 30, 2019. The Pension Plan investments fell within the asset mix target ranges for the Plan as at June 30, 2019.

The Plan is required to file fund financial statements with the Financial Services Regulatory Authority (FSRA) of Ontario annually. FSRA replaced FSCO effective June 2019.
RESOLUTION OF THE BOARD OF GOVERNORS OF
McMASTER UNIVERSITY

WHEREAS McMaster University (“University”) established and maintains the Contributory Pension Plan for Salaried Employees of McMaster University Including McMaster Divinity College 2000 as amended and restated effective January 1, 2019 (“Plan 2000”);

AND WHEREAS pursuant to Section 15.01 of Plan 2000, the University may, by resolution of the Board of Governors, modify Plan 2000 at any time;

AND WHEREAS, effective December 15, 2019, a decrease in employee contribution rates for certain Members of Plan 2000 has been negotiated under a collective bargaining agreement between the University and Unifor and its Local Union No. 5555 with respect to Non-Academic Administrative, Professional, and Technical Employees (Unit 1);

AND WHEREAS, effective December 15, 2019, the University has decreased employee contribution rates for Members of Plan 2000 who are subject to a collective agreement between the University and Unifor and its Local Union No. 5555 with respect to Regional Medical Associates (Unit 2);

AND WHEREAS the University wishes to amend Plan 2000 effective December 15, 2019 to decrease employee contribution rates for Unit 1 and Unit 2 Members to reflect the foregoing;

NOW THEREFORE the text of Plan 2000 (as amended and restated effective January 1, 2019 and incorporating the amendment approved on April 18, 2019) is amended effective December 15, 2019 as follows:

1. The two rows in the table that appear in Section 7.01(a)(i)(A) that set out the member contribution rate for “Class C” (Unifor Local 5555 Members hired by the University on or before April 30, 2010) and “Class C” (Unifor Local 5555 Members hired by the University on or after May 1, 2010) are deleted in their entirety and replaced with the following:

<table>
<thead>
<tr>
<th>Class of Member</th>
<th>Period</th>
<th>Employee Contribution Rate on Regular Annual Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Up To YMPE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8.646%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8.423%</td>
</tr>
<tr>
<td>C. Unifor Local 5555 Members hired by the University on or before April 30, 2010</td>
<td>May 1, 2018 to December 14, 2019 December 15, 2019 onwards</td>
<td>8.646%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>8.423%</td>
</tr>
<tr>
<td>Unifor Local 5555 Members hired by the University on or after May 1, 2010</td>
<td>January 14, 2018 to December 14, 2019 December 15, 2019 onwards</td>
<td>7.646%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>7.423%</td>
</tr>
</tbody>
</table>
2. The row in the table that appears in Section 7.01(a)(i)(A) that sets out the member contribution rate for “Class E” (Members who are union employees of Regional Medical Associates of Hamilton) is deleted in its entirety and replaced with the following:

<table>
<thead>
<tr>
<th>Class of Member</th>
<th>Period</th>
<th>Employee Contribution Rate on Regular Annual Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Up To YMPE</td>
</tr>
<tr>
<td>E. Members who are union employees of Regional Medical Associates of Hamilton</td>
<td>May 1, 2018 to December 14, 2019 December 15, 2019 onwards</td>
<td>8.646%</td>
</tr>
<tr>
<td></td>
<td></td>
<td>11.646%</td>
</tr>
</tbody>
</table>

CERTIFIED to be a true and correct copy of a Resolution of the Board of Governors of McMaster University passed at a meeting held on the _____ day of ________________, 2019.

McMASTER UNIVERSITY

_____________________
University Secretary
REPORT TO THE BOARD OF GOVERNORS
from the
REMUNERATIONS COMMITTEE

i. Ratification of Tentative Agreement – CUPE Local 3906, Unit 1 (Teaching Assistants)

At its meeting on December 6, 2019, the Remunerations Committee reviewed and approved, the tentative agreement between McMaster University and CUPE Local 3609, Unit 1 (Teaching Assistants). Details of the agreement are provided in Attachment I of the circulated report.

The Remunerations Committee now recommends,

that the Board of Governors approve the tentative agreement between McMaster University and CUPE Local 3906, Unit 1 (Teaching Assistants) for a 3-year term effective December 12, 2019, and expiring August 31, 2022, with terms outlined in the circulated report.

ii. Ratification of Tentative Agreement – CUPE Local 3906, Unit 3 (Postdoctoral Fellows)

At its meeting on December 6, 2019, the Remunerations Committee reviewed and approved, the tentative agreement between McMaster University and CUPE Local 3609, Unit 3 (Postdoctoral Fellows). Details of the agreement are provided in Attachment II of the circulated report.

The Remunerations Committee now recommends,

that the Board of Governors approve the tentative agreement between McMaster University and CUPE Local 3906, Unit 3 (Postdoctoral Fellows) for a 3-year term effective December 12, 2019, and expiring August 31, 2022, with terms outlined in the circulated report.

Board of Governors: FOR APPROVAL
December 12, 2019
Board of Governors Decision Summary
December 12, 2019

Recommendation
The Board of Governors ratify the tentative agreement reached with CUPE Local 3906, Unit 1 (Teaching Assistants) for the period effective the Date of Ratification (December 12, 2019), to August 31, 2022.

Prior Committee Review
Remuneration Committee: Pending approval on December 6, 2019.

Description
Renewal of the collective bargaining agreement with CUPE Local 3906, Unit 1, (approximately 2,925 Teaching Assistants) negotiated within mandate.

Financial Implications
Baseline Total Compensation: approximately $23,300,000 per annum

<table>
<thead>
<tr>
<th>Year 1 (Effective Date of Ratification)</th>
<th>Across the Board (“ATB”) Increases</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1.0%</td>
</tr>
<tr>
<td>Year 2</td>
<td>1.0%</td>
</tr>
<tr>
<td>Year 3</td>
<td>1.0%</td>
</tr>
</tbody>
</table>

Alignment with University Strategy

<table>
<thead>
<tr>
<th>Institutional Alignment</th>
<th>Reduced administrative complexity (e.g. included 6% vacation pay in wages).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fiscal Responsibility</td>
<td>Financial outcomes within mandate and in compliance with Bill 124.</td>
</tr>
<tr>
<td>Inclusive Excellence</td>
<td>Affirmed the union’s commitment to Employment Equity and embedded employment equity as an express consideration in the hiring process; incorporated gender-neutral language; addressed human rights issue with pregnancy and parental leave SUB benefits.</td>
</tr>
<tr>
<td>Labour Relations Stability</td>
<td>Agreed to establish a training program for Teaching Assistants through a joint committee, with recognition that this is a valuable item for CUPE and an opportunity to build the University-Union relationship away from the bargaining table.</td>
</tr>
</tbody>
</table>

Important Considerations
The parties agreed to 5 hours of paid training for Teaching Assistants’ participation in a new training program, which is to be jointly established no later than September 2021.

Major Risks and Mitigating Factors Identified

| Risk of non-compliance with new legislation (Bill 124) | Agreed to increases in compliance with Bill 124. Cost of the training program and adjustments to pregnancy/parental leave SUB benefits is excluded from the restrictions under Bill 124. |

Prepared By: Wanda McKenna, AVP & Chief Human Resources Officer
Reviewed by: Roger Couldrey, Vice President (Administration)
Request for Ratification of Tentative Agreement

between

McMaster University

and

CUPE Local 3906, Unit 1
Representing Teaching Assistants

Prepared for: Board of Governors

December 12, 2019
Background

On November 19, 2019, the University’s Bargaining Team reached a tentative agreement with CUPE Local 3906, Unit 1, representing Teaching Assistants. The bargaining unit includes 2,925 employees, with a total compensation cost of approximately $23,300,000 per year.

The Remuneration Committee approved the mandate for this round of collective bargaining in May 2019. Subsequently, on June 5, 2019, the provincial government tabled Bill 124: An Act to implement moderation measures in respect of compensation in Ontario’s public sector, which received Royal Assent on November 7, 2019. The legislation restricts annual wage increases to 1%, and further restricts incremental increases to existing compensation entitlements to 1% (inclusive of wage increases).

The University and the Union agreed to recommend the ratification of the tentative agreement to their respective principals. On November 27, 2019, CUPE confirmed its membership ratified the tentative agreement. A summary of the tentative agreement is provided below.

**SUMMARY OF TERMS OF TENTATIVE AGREEMENT**

**Term:**
- 3 years, effective Date of Ratification, and expiring August 31, 2022

**Wages:**
The parties negotiated the following increases and agreed that wages are inclusive of 6% vacation pay (previously, were only inclusive of 4% vacation pay):

<table>
<thead>
<tr>
<th>Year 1 (Date of Ratification)</th>
<th>1.0%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 2 (September 1, 2020)</td>
<td>1.0%</td>
</tr>
<tr>
<td>Year 3 (September 1, 2021)</td>
<td>1.0%</td>
</tr>
</tbody>
</table>

**Benefits Improvements:**
- Provided the following benefit improvements:
  - Increased annual contribution to Family Dental Fund from $24,000 to $30,000
  - Increased annual contribution to Health Benefits Fund from $232,700 to $237,000
  - Introduced an annual contribution of $10,000 to a Supplemental Health Fund
  - Agreed to a one-time lump sum payment of $100,000 to CUPE Benefits Fund, in lieu of retroactive wages to September 1, 2019

**Leave Provisions:**
- Resolved the potential human rights issue with existing pregnancy and parental leave supplemental benefit provisions by introduction a Pregnancy Leave SUB benefit of up to 17 weeks and reducing Parental Leave SUB benefit to 13 weeks, for a combined total of 30 weeks.
- Introduced a Family Medical Leave SUB benefit for up to 8 weeks.
- Enhanced domestic and sexual violence leave to provide for additional 5 paid days.

**Operational and Other Highlights:**
- Agreed to a joint committee to establish an institution-wide or Faculty-specific training program for Teaching Assistants, by September 2021, which will be mandatory and paid (5-hours one time for all members of the bargaining unit).
- Agreed that only specific articles will apply, all of which are non-monetary, in the event the resolution of current scope grievances CUPE has filed results in the inclusion of new positions in the bargaining unit.
Board of Governors Decision Summary

Recommendation

The Board of Governors ratify the tentative agreement reached with CUPE Local 3906, Unit 3 (Postdoctoral Fellows) for the period effective the Date of Ratification (December 12, 2019), to August 31, 2022.

Prior Committee Review

Remunerations Committee: Pending approval on December 6, 2019.

Description

Renewal of the collective bargaining agreement with CUPE Local 3906, Unit 3, (approximately 173 Postdoctoral Fellows) negotiated within mandate.

Financial Implications

Baseline Total Compensation: approximately $9,600,000 per annum

<table>
<thead>
<tr>
<th>On Employee’s Anniversary Date:</th>
<th>% Salary Increases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year 1 (Date of Ratification – August 31, 2020)</td>
<td>1.0%</td>
</tr>
<tr>
<td>Year 2 (September 1, 2020 – August 31, 2021)</td>
<td>1.0%</td>
</tr>
<tr>
<td>Year 3 (September 1, 2021 – August 31, 2022)</td>
<td>1.0%</td>
</tr>
</tbody>
</table>

Alignment with University Strategy

- **Institutional Alignment**: Reduced burden on researchers by agreeing that wage increases occur on individual anniversary dates, rather than across the board on annual dates.
- **Fiscal Responsibility**: Financial outcomes within mandate and in compliance with Bill 124.
- **Inclusive Excellence**: Affirmed the union’s commitment to Employment Equity and embedded employment equity as an express consideration in the hiring process; incorporated gender-neutral language; addressed human rights issue with pregnancy and parental leave SUB benefits.
- **Labour Relations Stability**: Agreed to a term consistent with Teaching Assistants and off-cycle with Sessional Faculty.

Major Risks and Mitigating Factors Identified

| Risk of non-compliance with new legislation (Bill 124) | Agreed to increases in compliance with Bill 124. Cost of adjustments to pregnancy/parental leave SUB benefits is excluded from the restrictions under Bill 124. |

Prepared By: Wanda McKenna, AVP & Chief Human Resources Officer

Reviewed by: Roger Couldrey, Vice President (Administration)
Request for Ratification of Tentative Agreement

between

McMaster University

and

CUPE Local 3906, Unit 3
Representing Postdoctoral Fellows

Prepared for: Board of Governors

December 12, 2019
Background

On November 28, 2019, the University’s Bargaining Team reached a tentative agreement with CUPE Local 3906, Unit 3, representing Postdoctoral Fellows. The bargaining unit includes 173 employees, with a total compensation cost of approximately $9,600,000 per year.

The Remuneration Committee approved the mandate for this round of collective bargaining in May 2019. Subsequently, on June 5, 2019, the provincial government tabled Bill 124: An Act to implement moderation measures in respect of compensation in Ontario’s public sector, which received Royal Assent on November 7, 2019. The legislation restricts annual wage increases to 1%, and further restricts incremental increases to existing compensation entitlements to 1% (inclusive of wage increases).

The University and the Union agreed to recommend the ratification of the tentative agreement to their respective principals.

A summary of the tentative agreement is provided below.

**SUMMARY OF TERMS OF TENTATIVE AGREEMENT**

**Term:**
- 3 years, effective Date of Ratification, and expiring August 31, 2022

**Wages:**
- **Minimum Salary Level:** will increase from $31,717.41, as follows:
  - Date of Ratification ("DOR"): $34,200
  - September 1, 2020: $35,200
  - September 1, 2021: $36,200
- **Salary Increases:** will take place on each anniversary date of the commencement of an employee’s appointment, in accordance with the following table:

<table>
<thead>
<tr>
<th>Year</th>
<th>Period</th>
<th>% Increase</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>DOR – Aug 31, 2020</td>
<td>1.00%</td>
</tr>
<tr>
<td>2</td>
<td>Sept 1, 2020 – Aug 31, 2021</td>
<td>1.00%</td>
</tr>
<tr>
<td>3</td>
<td>Sept 1, 2021 – Aug 31, 2022</td>
<td>1.00%</td>
</tr>
</tbody>
</table>

**One-Time Lump Sum Payment:**
- A one-time lump sum payment of $300.00 will be paid to employees who had an anniversary date between September 1, 2019, and the Date of Ratification ("DOR"), in lieu of retroactive increase to salaries.
Benefits Improvements:

- Provided the following benefit improvements:
  - Increased annual contribution to *Family Dental Benefits* from $5,000 to $20,000;
  - Increased contribution to *Supplementary Health Fund* from $25,000 to: Year 1 - $30,000; Year 2 - $40,000, and Year 3 - $47,500;
  - Increased annual contribution to *Postdoctoral Fellow Support Fund* from $20,000 to $40,000 (effective Year 2);
  - Increased *Professional Development Fund* from $15,000 to: Year 1 - $20,000; Year 2 - $32,000; Year 3 - $47,500.

Leave Provisions:

- Resolved a human rights issue with existing pregnancy and parental leave supplemental benefit provisions by introducing a Pregnancy Leave SUB benefit of up to 17 weeks and reducing Parental Leave SUB benefit to 13 weeks, for a combined total of 30 weeks.
- Introduced a Family Medical Leave SUB benefit for up to 8 weeks.
- Reduced the amount of paid vacation employees earn while on leaves of absence.
- Resolved a dispute regarding vacation obtaining agreement that vacation is accrued based on service.
- Agreed to provide partial reimbursement for medical notes when requested, consistent with other collective agreements.

Operational and Other Highlights:

- Aligned language regarding harassment, sexual violence, health and safety, return to work, accommodation and employee files with other collective agreements.
- Enhanced language regarding union membership.
- Agreed to providing transparency in expectations for employees to act as mentors.
- Adjusted the Postdoctoral Fellow Support Fund to be jointly adjudicated with CUPE.
Health, Safety and Risk Management
Report to the Board of Governors

Report 2019-5 for the period September 21, 2019 – November 18, 2019

The Health, Safety and Risk Management (HSRM) unit of Human Resources Services incorporates Environmental and Occupational Health Support Services (EOHSS), Employee Health Services (EHS) and works in cooperation with many partners from across the University. Together, we strive to promote the health, safety, wellness and engagement of all McMaster employees.

Executive Summary

- The Hamilton Fire Department issued Fire Code orders to the University related to 1) the fire safety plan for the new daycare facility at the recently completed Peter George Living and Learning centre (PGCLL) and 2) a kitchen renovation within one of the Hospitality Services locations.
- McMaster has received notification that it’s in a WSIB surcharge position in the amount of $104,409 based on our NEER performance from 2015-2018.

1. Training and Loss Prevention Initiatives

- The annual compliance review of the Violence in the Workplace Policy as required under the Occupational Health and Safety Act, was completed.

- On November 6, over 135 Grade 9 students came to McMaster to learn about the University as part of the national Take Our Kids to Work Day program. All participants in the Take Our Kids to Work Day were required to complete the Ministry of Labour, Training and Skills Development (MOLTSD) Health and Safety Orientation training in advance of the day in order to minimize risk while spending time in the workplace with a parent or guardian.

- McMaster provides an International SOS service to all employees and students travelling for McMaster-sanctioned business. To increase awareness of this service, a seminar was recently held as part of International Education Week. This travel service includes pre-departure information for the destination along with safety risk information. Most importantly, it provides international travellers with a 24-hour hotline for safety and security emergencies. [https://hr.mcmaster.ca/employees/health_safety_well-being/our-safety/travel-safety-and-planning/](https://hr.mcmaster.ca/employees/health_safety_well-being/our-safety/travel-safety-and-planning/)

- The December edition of the Workplace Wellbeing Newsletter was released and included articles on health and safety training; slip, trips and falls prevention; holiday safety; designated substances regulation; home safety; and a new ergonomic champions’ initiative.

2. Government Relations and External Inspections/Audits

- An employee fractured an ankle while walking in a non-McMaster parking lot during their workday. The investigation conducted by McMaster indicated a need for this separate entity to inspect and correct areas in their parking lot. MOLSTD was advised as required and no further action was necessary by McMaster.
MOLSTD visited an area in Athletics as a result of an online article providing incorrect information to suggest that hazards are not being managed in an appropriate manner. No contraventions were observed, and no orders issued.

The Hamilton Fire Department visited McMaster as a result of an anonymous call regarding a recent change in food stations reconfiguration that affected the ventilation exhaust and controls within La Piazza. The issue is being corrected by Facilities Services and Hospitality Services. A process has been developed between the two departments to ensure there is no reoccurrence.

The Hamilton Fire Department visited the new PGCLL as part of an inspection requested by the McMaster Children’s Centre (a separate entity) for their new location. The fire department issued orders are specific to the fire safety plan and fire drills that will be required for this new Children’s Centre location. The Centre is currently in a portable location on campus and will be relocated into the PGCLL in January. Facilities Services and EOHSS worked with the daycare to comply with the order.

3. Employee Health Services Summary

3.1 Critical Injuries

- There was one critical injury during this period as noted above.

3.2 Lost Time Update

- The Employee Health Team (EHS) actively manages WSIB as well as salary continuance, sick leave, employee accommodation requests and long-term disability claims. EHS collaborates on a regular basis with departments and faculties to develop and maintain proactive strategies with the goal of helping employees stay at work and reduce lost time. The table below summarizes total lost time claims and days lost in each of 2017, 2018 and 2019.

<table>
<thead>
<tr>
<th>Year</th>
<th># of Lost Time Days</th>
<th>Total # Approved Lost Time Claims</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan. 1- Dec. 31</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2015</td>
<td>194</td>
<td>25</td>
</tr>
<tr>
<td>2016</td>
<td>272</td>
<td>19</td>
</tr>
<tr>
<td>2017</td>
<td>400</td>
<td>20</td>
</tr>
<tr>
<td>2018</td>
<td>292*</td>
<td>20</td>
</tr>
<tr>
<td>2019 (January 1-October 31)</td>
<td>252</td>
<td>26</td>
</tr>
</tbody>
</table>

*In 2018, workplace injuries at McMaster resulted in 157 lost time days. One employee held a concurrent job with another employer and lost 135 days there. WSIB has assigned these lost time days and claim costs to McMaster.

- Lost time claims are generally of a very short duration, however, each year a small number of complex claims incur the majority of lost time days:
  - 2015: 3 claims accounted for 60% of total lost time days
  - 2016: 2 claims accounted for 74% of total lost time days
  - 2017: 2 claims accounted for 76% of the total lost time days
  - 2018: 2 claims accounted for 56% of the total lost time days
  - 2019: To date one claim accounts for 50% of total lost time days
- Injured workers are provided with early and safe return to work opportunities, including modified duties or other accommodations. Each WSIB claim is actively managed to mitigate costs assigned to McMaster.
- Each workplace accident is investigated to determine opportunities for prevention. The annual report on incident trends will be included in the March report.

3.3 WSIB Rating and Regulatory Changes

The New Experimental Experience Rating (NEER) Status report for 2019 from the Workplace Safety and Insurance Board has been received. This report assesses McMaster University’s performance based on our lost time and healthcare claim costs from 2018, 2017, 2016, and 2015. McMaster has a surcharge payment of $104,409.

<table>
<thead>
<tr>
<th>Year</th>
<th>WSIB Premium</th>
<th>Surcharge</th>
<th>Rebate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$1,388,765</td>
<td>$656,681</td>
<td></td>
</tr>
<tr>
<td>2016</td>
<td>$1,419,103</td>
<td>$251,463</td>
<td></td>
</tr>
<tr>
<td>2017</td>
<td>$1,471,554</td>
<td>$99,219</td>
<td></td>
</tr>
<tr>
<td>2018</td>
<td>$1,589,015</td>
<td>$39,275</td>
<td></td>
</tr>
<tr>
<td>2019</td>
<td>$1,388,765</td>
<td>$104,409</td>
<td></td>
</tr>
</tbody>
</table>

- WSIB has announced changes to its Rate Framework which will fundamentally change the way the WSIB classifies Schedule 1 employers and sets its premium rates. This reform is effective January 2020. The new model will eliminate the NEER program and create a new two-step approach to set and adjust premium rates for businesses.
  - Step one involves setting an average rate for each industry class based on their risk profile and share of responsibility to maintain the insurance fund.
  - Step two considers how the individual claim history compares to the rest of the businesses in the class. This means that the overall rate under the new model will reflect our individual claims experience and risk.
Factors that determine premium rates under the new model include insurable earnings, number of claims and claim costs. A rolling six-year period is used to calculate the premium rate, e.g. in 2019, the years 2013-2018 determine the 2020 premium rate.

WSIB will be using insurable earnings, claims costs and the number of allowed claims over a six-year period to set premium rates. Our current premium rate for 2019 is 0.29 cents. Our premium rate for 2020 will be 0.24 cents.

4. Workplace Wellness Initiatives

McMaster offers a number of initiatives to promote employee wellbeing, utilizing the 13 psychosocial factors related to the National Standard of Canada for Psychological Health and Safety in the Workplace, to shape the foundation of our programming. Recent activities include:

- In partnership with the Healthy Workplace Committee, we developed and hosted programming for Canada's annual Healthy Workplace Month in October. Activities included: a walk/run club, walking tours of McMaster's architecture, flora and fauna, a healthy cooking demonstration and the annual bus pull in support of United Way. Sessions were well-attended and have become an annual celebration of workplace health.
- In support of National Financial Literacy Month in November, webinars, in-person workshops and weekly newsletters were provided relating to budgeting, borrowing, retirement, and financial wellness.
- Canada Career Month was also celebrated in November with a variety of career-related workshops to help employees gain self-awareness about their career journey and promote skills development for the future.
- HR supported or delivered workshops for various departments across the University as follows:.
  o Continued delivery of Mental Health First Aid training to McMaster leaders and employees.
  o Hosted four departmental workshops in partnership with our employee and family assistance provider on topics related to Mental Health.
  o Delivered Psychological Health and Safety Training in two departments.
  o Consulted on, and organized, critical incident counselling for one department.
  o Provided consultation to leaders regarding mental health training.
  o Developed and hosted customized wellness-related teambuilding retreats and sessions for multiple teams and departments across the University.
  o Developed and launched a new resilience building training program.
- Facilitated a training session at the Strategic Leaders Program regarding workplace accommodations and psychological health and safety. Feedback has been positive and this topic will continue to be part of this program.
Glossary:

**New Experimental Experience Rating (NEER):** The Workplace Safety & Insurance Board’s NEER plan recognizes an organization’s health and safety performance (based on its accident cost experience) and adjusts premiums accordingly through refunds and surcharges. When determining claims costs for the refund or surcharge calculation, NEER takes into account overhead costs and the future costs of benefits relating to the claim. The University’s status is determined by comparing its performance to other organizations in the same industry.
Negotiation of SMA3: Update on Process and Key Issues

As mentioned in my last report, this Fall we began the negotiations with the Ministry of Colleges and Universities for our third Strategic Mandate Agreement (SMA3). Running from 2020-2025, this document is essentially the funding contract that the provincial government will enter into with each University and College. The document outlines agreed areas of program focus and includes a range of metrics by which institutions will be measured. SMA3 is different to previous iterations of the SMA process in that it is much more focused on performance and outcomes, and includes significant adverse funding consequences for institutions that do not meet the agreed performance metrics.

The negotiations are being led from the Provost’s office, in close collaboration with the Deans, and supported by the President’s Office, Institutional Research and Analysis, and Communications and Public Affairs. To date we have had one meeting with the Ministry, which enabled us to raise a number of questions and concerns about the metrics being used, and also allowed us to seek clarification on areas that were unclear. We are required to submit an initial draft document to the Ministry by December 17 and work on this is well underway.

The performance metrics focus on two key areas: Skills and Job Outcomes, which includes graduation rates, experiential learning, skills and competencies, and graduate employment and earnings; and Community and Economic Impact, which includes local community impact, economic impact, federal tri-council research funding, and research revenue from private sources. The measures to be used for each of these areas have been specified by the Ministry and pre-populated workbooks have been provided to us, which are being reviewed and verified by the Office of Institutional Research and Analysis. This means that in most cases there is no opportunity to influence the areas of focus, or the data that will be used.

There is just one institution specific metric, relating to economic impact, where the University is able to determine the actual measure to be used. Following discussions between the Vice-President (Research), the Provost’s Office, McMaster Industry Liaison Office and others, McMaster is proposing invention and copyright disclosures as the basis for this metric. In our meeting with the Ministry we also explored the possibility of using co-op placement numbers, or even a blend of two or three economic impact measures. The Office of Institutional Research and Analysis is reviewing historic data for these areas to calculate the most beneficial and stable figure to use and we also expect to receive further guidance from the Ministry on this issue.

The most problematic area for McMaster is the requirement to define a limited number of areas of institutional program strength, based on student enrolment, and linked to areas of growth. With only six Faculties, McMaster is already highly focused in terms of our areas of program strength. Our focus on collaboration between Faculties and the interdisciplinarity of our programming also sets us apart. Given that we are already uniquely differentiated, we made the case in our first meeting with the Ministry that everything we do can be considered an institutional strength and that our longstanding commitment to interdisciplinarity makes it impossible to isolate specific areas of our campus.
Although the Ministry has an appreciation of our position, they are insisting on a much more focused approach than that taken in relation to SMA2. For SMA3 they are looking for us to define areas of strength and growth that relate to no more than fifty per cent of our student enrolment (and ideally less than that, it seems). The Provost’s Office is working through this with the Deans to identify areas of program growth, as well as those areas in which each Faculty can contribute to interdisciplinary programming, which we also plan to identify as an area of strength and growth. Even though we are not able to reference every program area directly in this metric, we will make use of the explanatory narrative to make the case for our interdisciplinary and interconnected approach, and emphasize the excellence of programming across the entire campus.

In considering potential growth it is also important to be aware that, while we are being asked to define areas of growth, the fixed enrolment and funding corridor that we are held to severely restricts our ability to grow within the current model. A relaxation of the enrolment corridor would provide some much-needed flexibility, and this is a case we have made to the Ministry.

The other challenge we face relates to our ability to demonstrate continuous improvement in those areas where we are already performing at an extremely high level. Throughout the first round of meetings with universities the Ministry received consistent feedback on this theme, and a range of alternatives have been proposed. We are waiting for the outcome of those discussions but will have to be very thoughtful in the way we assign weightings to the different metrics. In these discussions we are cognizant that, while poor performance can have adverse funding consequences, no additional funding is being made available to reward excellence.

It is important to recognize that although the SMA discussions and agreement play a crucial role in terms of our funding model and relationship with government, the SMA document does not establish or vary the University’s mission and vision, nor does it constitute our strategic plan. As indicated previously, my expectation is that once the University is through this current period of Presidential transition we will move into a more intense period of strategic planning. This is likely to include some of the broader conversations I alluded to at the Board Retreat around overall enrolment numbers and demographics, the development of a dedicated international strategy, an enhanced focus on commercialization and entrepreneurship across our campus, and the launch of our research-focused revenue-generation initiative, the Brighter World Research Initiative.

Next Steps
The government has indicated that the SMA3 process will be complete by March 31, 2020, and I plan to keep Board Members, as well as the broader campus community, updated and engaged in conversations as it unfolds.

**CAMPUS UPDATE**

**Santee Smith Installed as McMaster’s 19th Chancellor**
Santee Smith, an internationally recognized artist, dancer and choreographer, was installed as McMaster’s new Chancellor on November 21, at the first fall convocation ceremony. Ms. Smith, who is from the Kahnyen’kehá:ka (Mohawk) Nation, Turtle Clan from Six Nations of the Grand
River, is a two-time McMaster graduate, holding degrees in Physical Education and Psychology, along with a Master of Arts in Dance from York University.

“As a proud Onkwehon:we – Mohawk woman – and a proud McMaster alumna, I couldn’t be more thrilled to offer my insights,” said Ms. Smith in her convocation address. “It’s a privilege to be in service to McMaster – upholding the mission and values of the university, and expanding upon the principles of understanding and cooperation of the Haudenosaunee and Mississaugas, on whose land we now stand, work, play, learn and share.”

**McMaster recognizes two Honorary Degree recipients at Fall Convocation**

McMaster recognized Eva Egron-Polak, a global leader in postsecondary education policy, and Mary Law, former Director of McMaster’s School of Rehabilitation Sciences, with honorary doctorates at the recent fall convocation ceremonies. Honorary degrees are awarded to recognize individuals who are distinguished scholars, have made outstanding contributions to the arts, have distinguished reputations in public service or have made important contributions to McMaster.

**Times Higher Education Rankings on Employability**

McMaster ranked 5th in Canada and 78th in the world overall in the 2019 Times Higher Education Global Employability Rankings. The international ranking is based on the responses of 6,000 firms from 22 countries about which universities produce the “best graduates in terms of employability” in their own countries and abroad.

**Research**

**Fourteen McMaster Researchers included on 2019 list of Highly Cited Researchers**

The list, compiled by Clarivate Analytics, recognizes researchers whose papers rank in the top one per cent of citations in *Web of Science*, a citation index. More than 6,000 researchers were named to the 2019 list: almost 4,000 in specific fields and more than 2,000 for interdisciplinary work. This year, 183 Canadian researchers were named to the list, making Canada sixth in the world for research influence.

**Researchers discover Antimicrobial that shows promise in fighting Staph Infections**

Research led by McMaster scientists has yielded a potent antimicrobial that works against *staphyloccous aureus* diseases, which are the leading cause of antibiotic-resistant infections. “Although it will be a long road between this discovery and clinical use, we feel we’re expanding our arsenal for combating drug-resistant staph infections,” says first author Omar El-Halfawy, a Postdoctoral Fellow who worked with senior author Eric Brown, a Professor of Biochemistry and Biomedical Sciences.

**High Intensity Exercise improves Memory and wards off Dementia**

Research by Kinesiologist, Jennifer Heisz, has suggested that physical inactivity contributes to dementia risk as much as genetics, and that higher intensity exercise produced better results for sedentary seniors who embarked on a new exercise program.
Student Success

McMaster Medical Student named a 2020 Rhodes Scholar
Nina Acharya, a first-year medical student, has been awarded a Rhodes Scholarship to Oxford University. Originally from Ottawa, Ms. Acharya completed her undergraduate degree at Cornell University where she was named one of its most outstanding graduates. She hopes to complete a Master of Philosophy in International Development with an emphasis on childhood nutrition.

Engineering Student’s Project in Global Competition
Lianna Genovese, a third-year Biomedical and Mechanical Engineering student, has developed a device to help those with limited hand function draw, paint and use a tablet. Now, her product has been entered in the Universitas 21’s international RISE Showcase and Awards.

DeGroote School of Business Students win first place in Ted Rogers Ethical Leadership Competition
Out of eight teams from across Canada, a team of undergraduate DeGroote students won first place and the $4,000 grand prize in the fourth annual Ted Rogers Ethical Leadership Case Competition. The competing teams from business schools across Canada had one week to analyse the case and present their findings to a jury, with four teams advancing to the finals.

Community Engagement

Hamilton’s Postsecondary Institutions reaffirm commitment to Principles of Cooperation
Representatives from the City of Hamilton’s three postsecondary institutions – McMaster, Mohawk College and Redeemer University College – have re-signed the Postsecondary Principles of Cooperation with the new city manager, Janette Smith. The principles, originally signed in 2016, lay out “a vision for a long-term relationship that promotes and supports cooperation for the benefit of our citizens and broader society.”

Additional Space for The Forge and Innovation Factory
The Forge, McMaster’s startup incubator, and Innovation Factory, Hamilton’s business accelerator, welcomed Filomena Tassi, MP for Hamilton West-Ancaster-Dundas, as they opened their new co-located space at the McMaster Innovation Park. The space is home to 25 start-ups as well as Innovation Factory’s Centre for Integrated Transportation and Mobility.

McMaster contributing to a new direction for the Hamilton Anti-Racism Resource Centre
McMaster is working with city and community partners to help set a renewed vision and direction for the Hamilton Anti-Racism Resource Centre. The Centre, which was opened in April 2018 by the City of Hamilton, McMaster and the Hamilton Centre for Civic Inclusion had been paused by the three partners this February to review and improve its structure and governance.

Students collecting used University Computers to Donate to the Community
Students in the Sustainable Future program are aiming to provide 100 children in Hamilton with a refurbished computer – by asking faculty and staff to donate their department’s used computers for a second life. greenBYTE, a Hamilton-based social enterprise, will refurbish the computers and distribute them to children in need.
a. Sexual Violence Policy

At its meeting on December 11, 2019, the Senate will review for approval, the proposed revisions to the University’s Sexual Violence Policy. Details regarding the proposed revisions are contained within the circulated memo from the University Secretary.

It is now recommended,

that the Board of Governors approve revisions to the Sexual Violence Policy, as circulated.

b. Discrimination and Harassment Policy

At the same meeting, the Senate will review for approval, the proposed revisions to the University’s Discrimination and Harassment Policy. Details regarding the proposed revisions are contained within the circulated memo from the University Secretary.

It is now recommended,

that the Board of Governors approve revisions to the Discrimination and Harassment Policy, as circulated.

c. Centre for Research in Empirical Social Sciences (CRESS)

At the same meeting, the Senate will review for approval, the establishment of the Centre for Research in Empirical Social Sciences (CRESS). The objective of the Centre is to support the production of leading-edge empirical social science research, to advance methodological innovation, and to foster research collaborations, networks, and partnerships within and beyond McMaster University. Details of the proposed Centre are contained in Attachment III of the report from Senate.

It is now recommended,

that the Board of Governors approve the establishment of the Centre for Research in Empirical Social Sciences (CRESS), as recommended by Senate.
December 4, 2019

TO:  Board of Governors

FROM:  Andrea Thyret-Kidd
        University Secretary

SUBJECT:  Review of updated Sexual Violence Policy and Policy on Discrimination and Harassment

On December 11, 2019, Senate will review revisions to the Sexual Violence Policy and the Discrimination and Harassment Policy. Anticipating that Senate will approve and recommend both policies to the Board for approval, a summary of the revisions and the policies are attached.

The University's Sexual Violence Policy and Policy on Discrimination and Harassment both include provisions for regular review to ensure that they remain up to date and reflective of best practice. With regard to the Sexual Violence Policy, the provincial government also announced that all universities and colleges are required to undertake a review of their policies during 2019.

Arig al Shaibah, Associate Vice-President (Equity and Inclusion) chaired a group of individuals from key offices to lead the review of the Sexual Violence Policy and develop a broad consultation process. Proposed changes to the policy were posted online and feedback was gathered through an online survey and at ten consultation sessions. In addition, the policy was shared directly with key stakeholders and offices for their review and feedback. The responses gathered through the consultation process were incorporated into the draft and a summary of the changes was documented.

Since the Sexual Violence Policy and the Policy on Discrimination and Harassment operate as companion policies, adjustments have been made to the Policy on Discrimination and Harassment to ensure consistency.

Subject to the approval of Senate and the Board of Governors, the updated policies will become effective on January 1, 2020.

Attachments:
Summary of Revisions to the Sexual Violence Policy
Updated draft Sexual Violence Policy
Updated draft Discrimination and Harassment Policy
### Summary of Revisions to the Sexual Violence Policy

<table>
<thead>
<tr>
<th>Section</th>
<th>Change and Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overall</strong></td>
<td></td>
</tr>
<tr>
<td>Formatting</td>
<td>- Reordered and retitled sections for better flow and clarity</td>
</tr>
<tr>
<td>Responsibility</td>
<td>- Responsible Executive changed from University Secretariat to Associate Vice-President, Equity and Inclusion (inaugural role) – to reflect the oversight of the sexual violence prevention and response portfolio</td>
</tr>
<tr>
<td></td>
<td>- Policy-specific enquiries to be directed to Equity and Inclusion Office</td>
</tr>
<tr>
<td>I - Introduction</td>
<td></td>
</tr>
<tr>
<td>Scope</td>
<td>- Fore-fronted definition of sexual violence, consistent with Ontario sexual violence and harassment action plan act</td>
</tr>
<tr>
<td></td>
<td>- Better articulated that sexual harassment, which is in violation of the Human Rights Code, may be dealt with under the Policy on Discrimination and Harassment; this improves clarity on the practical application of and procedural intersections between the Sexual Violence Policy and the Policy on Discrimination and Harassment</td>
</tr>
<tr>
<td>Commitment</td>
<td>- Clarified commitment to confidentiality, timeliness, procedural fairness, thoroughness</td>
</tr>
<tr>
<td></td>
<td>- Clarified commitments that describe trauma-informed, inclusive and culturally relevant principles and practices</td>
</tr>
<tr>
<td>Review</td>
<td>- Regularized Policy review timeline (aligned with expectations for such policy reviews), now that Policy has been in place for a couple of years and initial short-term review period complete</td>
</tr>
<tr>
<td></td>
<td>- Added consultation with Graduate Student Association in addition to MSU</td>
</tr>
<tr>
<td>Terms and Definitions</td>
<td>- Moved all definitions to an appendix, except left definition of sexual violence at the fore, so as not to be encumbered with a lot of information at the outset</td>
</tr>
<tr>
<td>II – Options and Supports</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Fore-fronted reference to confidentiality and its limits</td>
</tr>
<tr>
<td></td>
<td>- Clarified when University may be obliged to act (and how)</td>
</tr>
<tr>
<td></td>
<td>- Clarified difference between disclosing and reporting</td>
</tr>
<tr>
<td></td>
<td>- Clarified difference between forms of reporting: submitting a complaint to the University under the Policy and making a criminal report to the Police</td>
</tr>
<tr>
<td></td>
<td>- Improved clarity regarding confidentiality and risk assessment that may lead to limits; and what can or cannot be done without an official report</td>
</tr>
<tr>
<td></td>
<td>- Better explained voluntary resolution (when and how it may be engaged)</td>
</tr>
<tr>
<td>Section</td>
<td>Change and Rationale</td>
</tr>
<tr>
<td>---------</td>
<td>----------------------</td>
</tr>
</tbody>
</table>
| III - Confidentiality | - Further clarified limits to confidentiality  
- Clarified protocol for sharing identity of respondents with Police where there is future risk of violence or concerns for safety of broader community  
- Clarified commitment to protect identity of complainant, unless consent is provided or circumstances relating to risk mitigation oblige the University to share this information with Police, and clarified the way such decisions are made |
| IV – Procedural Guidelines | Advisor/Support  
Self-Incrimination  
Interim Measures | - Clarified who can accompany parties throughout the process  
- Removed section on self-incrimination as it was being read as caution/warning about self-incrimination, and therefore acting as a deterrent to disclosure, as opposed to an assurance that the university would aim to provide “amnesty” against self-incrimination wherever possible; agreed that the concept of self-incrimination/amnesty would be detailed in resources that could explain this in more detail with examples  
- Clarified when and how interim measures will be implemented  
- Codified the practice of reviewing interim measures throughout the investigation process |
| V – Roles and Responsibilities | AVP, Equity and Inclusion  
Directors and Intake Offices | - Inaugural role of the Associate Vice-President, Equity and Inclusion and their responsibilities have been written into the Policy: oversight of Equity and Inclusion Office, and strategic campus sexual violence prevention and response efforts  
- Established Sexual Violence Prevention and Response Office as central University resource with new intake function in addition to four other Intake Offices (Human Rights, Employee/Labour Relations, FHS Professionalism Office, Student Support and Case Management Office)  
- Updated the Policy to include the proposed new role of Director, Sexual Violence Prevention and Response Office (SVPRO) in place of the references to the Coordinator, Sexual Violence Response, and included the Director’s responsibilities, including: specialized advising; complaint intake services; consultation to Directors and Decision-Makers; involvement in case management as part of their inclusive trauma-informed response and support responsibilities; and oversight of prevention education and response training programs  
- Updated Policy to reflect interaction between Director, Human Rights & Dispute Resolution (HRDR), Directors of Intake Offices, and new Director, SVPRO (which has new intake functions) |
<table>
<thead>
<tr>
<th>Section</th>
<th>Change and Rationale</th>
</tr>
</thead>
<tbody>
<tr>
<td>Response Team</td>
<td>- Renamed and clarified functions of former Assessment Team, now called Response Team and convened by the Director of HRDR, who will make preliminary assessment of complaint (consulting with partners as needed) to determine if Policy applies, if prima facie case exists, and if Response Team needs to be convened where a situation warrants a coordinated response involving multiple partners. This is consistent with recommendations in the Gender-Based Violence Framework for Post-Secondary Institutions: “When an incident of GBV becomes known of through a report, known within the public realm whether through social media, a news report, or when the violence is determined by the PSI to be a community safety risk, key stakeholders should be brought together to provide a coordinated response. This will help streamline services while avoiding duplication, service gaps and allowing for a proactive response.”</td>
</tr>
<tr>
<td>Security Services</td>
<td>- Security Services roles written into Policy to clarify and codify their responsibilities when receiving disclosures, complaints using the Sexual Violence Policy, and criminal reports, as well as when University is obligated to make a report to Police Services</td>
</tr>
<tr>
<td>Supervisors</td>
<td>- Added and clarified types of supervisors and their responsibilities</td>
</tr>
<tr>
<td>Employees</td>
<td>- Clarified and codified obligations of all employees in accordance with Occupational Health and Safety Act</td>
</tr>
<tr>
<td>Community Members</td>
<td>- Clarified responsibilities of Community Members and appropriately articulated these in the Sexual Violence Response Protocol – these responsibilities require education/training to develop knowledge and skills that supervisors expected to monitor through performance management</td>
</tr>
<tr>
<td>VI – Investigations</td>
<td>- Clarified when a University-initiated investigation would be warranted</td>
</tr>
<tr>
<td></td>
<td>- Clarified that scope/parameters of the investigation are to be determined by the Decision-Maker</td>
</tr>
<tr>
<td>VII – Adjudication and Decisions</td>
<td>- Clarified what information about outcomes is provided to Respondents and Complainants</td>
</tr>
<tr>
<td></td>
<td>- Clarified that 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) more than one Decision-Maker may be involved and sanctions and remedies may be administered under one or both of the processes relevant to the Respondent’s status</td>
</tr>
<tr>
<td>Section</td>
<td>Change and Rationale</td>
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</tbody>
</table>
| VII - Sanctions and Remedies | - Removed request for impact statement since the Complainant has an opportunity to describe impact in their written statement of complaint at the outset of the process, then again during the investigation process; requesting another written impact statement is additionally burdensome and potentially re-traumatizing to the Complainant and, therefore, not consistent with survivor-centric principles and practices
- Clarified types of remedies possible (as examples)
- Clarified who can recommend preventative systemic interventions where there may be broader organizational issues |

- Added and clarified the term Poisoned Environment |

Appendix B - Resources | - Updated names of personnel and offices |

Appendix C - Jurisdiction | - Added the language of “affiliate” to more clearly capture all types of organizational relationships associated with the University to which the Policy should apply and for which there may be an agreed upon joint investigation process and/or sharing of findings or relevant outcomes (e.g., this could apply to affiliated hospitals or other third party organizations, or to bodies such as the MSU) |

Appendix E – Flow Charts | - Updated to reflect changes in Procedures and embedded within the Policy for ease of reference, rather than being a standalone section |

Note:

The Discrimination and Harassment Policy has been updated to bring it into alignment with the format of the Sexual Violence Policy, as well as to streamline and clarify the language describing procedures. The only substantive addition to the text is the clarification that the Discrimination and Harassment Policy addresses all types of harassment, including claims of harassment on the basis of protected human rights grounds as well as claims that are not grounds-based.
Complete Policy Title: Sexual Violence Policy

Policy Number (if applicable): 

Approved by: Senate / Board of Governors

Date of Most Recent Approval: Xxxxx, 2019 / xxxx, 2019 effective January 1, 2020

Date of Original Approval(s): December 14, 2016 / December 15, 2016 effective January 1, 2017

Supersedes/Amends Policy dated: December 14, 2016 / December 15, 2016 effective January 1, 2017

Responsible Executive: Associate Vice-President, Equity and Inclusion

Policy Specific Enquiries: Equity and Inclusion Office

Reviewed for Compliance (OHSA): December 2019

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
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SECTION I: INTRODUCTION

PURPOSE

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 Sexual Violence.

2. The purpose of this Policy is to:
   a) articulate McMaster University's commitment to Sexual Violence prevention and response;
   b) identify services and resources related to Sexual Violence 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 Sexual Violence.

SCOPE

3. Sexual Violence 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 the person's Consent, and includes Sexual Assault, Sexual Harassment, stalking, indecent exposure, voyeurism and sexual exploitation.

4. This Policy prohibits all forms of Sexual Violence:
   a) acts of Sexual Assault, which fall under the broad definition of Sexual Violence, are considered a violation of this Policy and its procedures below shall apply; and
   b) acts of Sexual Harassment, which fall under the broad definition of Sexual Violence, may be considered violations of the Discrimination & Harassment Policy and its procedures may apply.

5. 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).

6. When allegations of Sexual Harassment are to be processed under the Discrimination & Harassment Policy, there may be circumstances where the allegations in a Complaint necessitate following the procedures under both this Policy and the Discrimination & Harassment Policy.

7. Where a Complaint is filed that involves behaviour prohibited by this Policy, as well as behaviour more appropriately dealt with under the Discrimination & Harassment Policy, the Complaint may be processed under the Discrimination & Harassment Policy, without compromising the Complainant's right to access the specialized supports available through the Sexual Violence Prevention and Response Office. However, any proceedings related to the Complaint will determine if there has been a violation of the Discrimination &

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1 Ministry of Training, Colleges and Universities Act, R.S.O. 1990, c. M.19
Harassment 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.

8. 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

9. Notwithstanding the limits of confidentiality, described below, the University recognizes that enabling confidential disclosures of experiences of Sexual Violence enhances individual and community safety. The University is committed to creating an environment in which Community Members feel able to disclose experiences of Sexual Violence and access support, accommodations and information on complaint and reporting options under the Sexual Violence Response Protocol.

10. The University recognizes that making a Disclosure, filing a Complaint, or being the focus of allegations of Sexual Violence may be difficult. The University is committed to ensuring that all individuals making disclosures or who are parties to a complaint, be they Complainants or Respondents, will be treated with dignity and respect, will be guaranteed due process and procedural fairness, will be afforded privacy and confidentiality within its reasonable limits, and will have access to appropriate support and assistance throughout.

11. When a University complaint process is initiated, the University is committed to providing an intake, investigation, and adjudication process that is trauma-informed, timely, and follows the principles of procedural fairness.

12. The University is committed to addressing Sexual Violence in a manner that is informed by current knowledge, scholarship and best practices in understanding how Sexual Violence intersects with other forms of violence and social inequities.

13. The University recognizes that the experience of Sexual Violence can be traumatic, having negative immediate and/or longer-term effects on an individual’s physical, mental, emotional, spiritual, and social health and wellbeing. The University is committed to providing appropriate trauma-informed support, accommodations, resources and referrals.

14. The University recognizes that socially marginalized individuals (on the basis of factors such as race, disability, Indigeneity, sexual orientation, gender identity and gender expression, religion, spirituality, age, citizenship and socio-economic status) experience disproportionately higher incidences of sexual and other forms of violence. The University is committed to ensuring culturally respectful and relevant supports and services that are attuned to systemic social inequities. The University recognizes that individuals from diverse communities who face systemic barriers and discrimination may be reluctant to disclose Sexual Violence to institutional authorities. The University is committed to examining and eliminating individual bias and institutional barriers in the organization and delivery of its services and supports.

POLICY REVIEW

15. The Policy will be reviewed annually for compliance with the Occupational Health & Safety Act. The Policy will be reviewed every three years in accordance with the Sexual Violence and Harassment Plan Act in a process inclusive of input from students, key University constituencies, women’s organizations and other community partners with expertise in Sexual Violence.
16. Student participation in the three-yearly policy review process will be coordinated by the Equity and Inclusion Office in collaboration with the McMaster Student Union, and the McMaster Graduate Student Association, and will include a diverse cross-section of campus partners with experience and expertise related to Sexual Violence prevention and response.

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 McMaster University Security and Parking Services.
SECTION II: OPTIONS AND SUPPORTS

OPTIONS

19. Community Members who believe there has been a violation of the Policy have a number of options available to them: Disclosure, 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. Individuals are encouraged to consult with the Director (SVPRO), who will provide holistic support for disclosures, assistance with requests for accommodation, and advice on options, at any point in time, regardless of how the individual chooses to proceed.

22. While encouraged to contact the Director (SVPRO) for disclosure support, complaint intake, and reporting options, Community Members who experience Sexual Violence may choose to contact any one of the Intake Offices to make a Complaint pursuant to the Sexual Violence Policy.

23. Disclosing an experience of Sexual Violence is a separate decision from making a report. Each decision will result in different levels of University involvement and action.

DISCLOSURE

24. A Disclosure is made when an individual informs a Community Member about an experience of Sexual Violence because they wish to access support, accommodations and/or information about their options, under the Sexual Violence Response Protocol.

REPORTING

25. 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.

26. 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.
Complaint

27. A Complaint is made when an individual submits an Incident Report to their Supervisor, or a written statement of Complaint to the Director (SVPRO) or an Intake Office making an allegation of Sexual Violence 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 Sexual Violence 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).
Central Sexual Violence Complaint Intake Office

Sexual Violence Prevention and Response Office, Equity and Inclusion Office (All Community Members)

Additional 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)

DISCLOSURE

Informing someone in the University community about an experience of Sexual Violence because they wish to access support, accommodations and/or information about their options.

CRIMINAL REPORT

When an individual files a report of Sexual Assault with a police service or with Security Services. Filing a report with Security Services will result in a report to Hamilton Police Service.

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)

COMPLAINT

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

VOLUNTARY RESOLUTION

Attempting a resolution of a Complaint at any time before the completion of an investigation.
SECTION III: CONFIDENTIALITY

CONFIDENTIALITY (LIMITATIONS)

34. The University recognizes the importance of confidentiality both for individuals coming forward to Disclose or Report an experience of Sexual Violence 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 Disclosure or Report to any University office, individuals shall receive clear and transparent information about the level of, and limits to, confidentiality that apply.

37. The University recognizes that confidentiality is a crucial consideration in creating an environment in which individuals feel able to Disclose incidents of Sexual Violence and to access Support, Accommodations, and information. 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 legislation, such as 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) 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.

40. As part of the University’s responsibility to maintain an environment free from Sexual Violence, information may 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 (Administration), 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, a Support Person or legal counsel at any stage of any of the procedures outlined in this Policy. Any costs of accompaniment or representation are to be borne by the individual.

TIME LIMITATIONS FOR BRINGING FORWARD A COMPLAINT

44. There are no time limitations on bringing forward a Complaint. However, individuals are encouraged to report a Complaint at the earliest opportunity, as the longer the time lapse between the incident and the Complaint, the more difficult it becomes to investigate effectively. Once a Complaint is received, it will be dealt with as expeditiously as possible.

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, Discrimination & Harassment 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 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), issuance 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, to consider fairness to all parties, thoroughness, timeliness, and confidentiality, and to consider any necessary next steps.

DATA GATHERING & RECORD KEEPING

52. The Director (SVPRO) is responsible for: maintaining and reporting data relating to Sexual Violence consultations and disclosures as well as prevention education and response training initiatives and programs.

53. The Equity and Inclusion Office is responsible for collecting and reporting annual anonymized, aggregate data on Consultations, Disclosures, Complaints, Investigations, and all Outcomes and Sanctions, to the Senate and the Board of Governors.

54. Data for the annual report is collected and maintained by the Equity and Inclusion Office 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, the Faculty of Health Sciences Professionalism Office, and Security Services. The purpose of the annual report is to inform education and training initiatives.

55. 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.

56. 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

57. The Senior Administration has overarching responsibility for maintaining a University environment in which Sexual Violence is 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.

58. 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 Sexual Violence.

ASSOCIATE VICE-PRESIDENT, EQUITY AND INCLUSION

59. The AVP Equity and Inclusion oversees the Equity and Inclusion Office, which houses the Sexual Violence Prevention and Response Program and the Human Rights and Dispute Resolution Program, both of which play roles in campus sexual violence prevention and response.

60. The AVP Equity and Inclusion is accountable for leading a coordinated campus sexual violence prevention and response effort in collaboration with campus partners, including convening a working group, representative of McMaster’s diverse student, faculty and staff populations, to advise on the effectiveness of campus sexual violence prevention and response efforts.

DIRECTOR, SEXUAL VIOLENCE PREVENTION AND RESPONSE OFFICE

61. The Director (SVPRO), is responsible for establishing the Office as a central University resource for any Community Member who has experienced any form of Sexual Violence, including sexual assault, sexual harassment, and intimate partner violence, or any Community Member seeking information or consultation on issues related to trauma-informed response and support or prevention education and response training.

Inclusive, Trauma-Informed Response and Support

62. Community Members who Disclose an experience of Sexual Violence to a member of the Sexual Violence Prevention and Response Office, can expect that the Office will:
   a) provide trauma-informed response and support;
   b) consider safety measures that may be necessary;
   c) make a referral for medical services as needed;
   d) actively and empathically listen to individual needs and concerns without judgment;
   e) share reporting options available;
   f) clarify commitments to Confidentiality and its Limits;
   g) explain the difference between Disclosure and Reporting;
   h) make a referral to police if the individual chooses that option;
   i) conduct a Complaint intake if the individual chooses that option;
   j) assist the individual to navigate any relevant University systems and procedures;
63. The Director (SVPRO) is responsible for providing guidance to Community Members who consult on Disclosures they receive, providing information on how to support the individual and facilitate a referral, and assessing whether the limits of confidentiality apply.

**Prevention Education and Response Training**

64. The Director (SVPRO) is responsible for overseeing a prevention education and training response program, including:

   a) promoting the Health & Safety Training Program’s Violence & Harassment Prevention training that is coordinated by Environmental & Occupational Health Support Services;

   b) educational initiatives for the campus community that are attuned to the broader social context in which Sexual Violence occurs and includes topics such as: addressing sexual violence myths and misconceptions, promoting healthy masculinity, creating a culture of consent; and

   c) training initiatives for frontline campus community and student-facing service providers, and for those with particular responsibilities related to this Policy, that integrate an intersectional anti-oppressive trauma-informed analysis of Sexual Violence. Training will include skill-building related to receiving Disclosures and providing appropriate support and referral to University and external resources for community members.

65. The University Secretary, in consultation with the Director (SVPRO) will ensure that the members of the Board-Senate Hearing Panel for Discrimination, Harassment, and Sexual Violence receive appropriate education and training on Sexual Violence.

**INTAKE OFFICES**

66. While encouraged to contact the Director (SVPRO) for disclosure support, complaint intake, and reporting options, Community Members who experience Sexual Violence may alternatively choose to file an incident report with their Supervisor (in the case of staff) or make a Complaint to one of the following 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 and Staff members)

   d) Faculty of Health Sciences (FHS) Professionalism Office (FHS Community Members)

67. 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, and for consulting with the Director (SVPRO) to ensure a trauma-informed and intersectional approach.
68. The statement of Complaint will be reviewed by the respective Intake Office Director, in consultation with the Director (HRDR), to determine the applicability of this Policy, the Discrimination & Harassment Policy, and/or other University policies.

69. 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.

DIRECTOR, HUMAN RIGHTS & DISPUTE RESOLUTION

70. The Director (HRDR) is responsible for assessing every Complaint received and making a determination as to the applicability of the Sexual Violence Policy, the Discrimination & Harassment Policy, or other University policies, in consultation with the Director (SVPRO) and with the respective Director(s) of the relevant Intake Offices(s). The Director (HRDR) is responsible for activating the Response Team, as required.

71. The Director (HRDR) is responsible for working in close partnership with individuals and offices involved in administering this Policy, 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 Discrimination & Harassment Policy.

72. The Director (HRDR) will, in collaboration with the Director (SVPRO) and other relevant Intake Office Directors, consider Interim Measures as they relate to the parties involved in the matter and recommend them to the relevant Decision-Maker; recommend and/or facilitate any further safety planning and accommodations; and consider other University responses that may be necessary.

RESPONSE TEAM

73. The Response Team is activated by the Director (HRDR), where a case potentially presents community risk and/or requires consultation with multiple partners for a coordinated response.

74. The Response Team will be chaired by the Director (HRDR) and will include the Director (SVPRO), as a consultant, and, as appropriate in the circumstances, the Directors of other relevant campus partners.

75. As necessary the Director (HRDR) 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.

76. When the allegations include the potential for an ongoing/further risk of violence, the Director (HRDR) may, on behalf of the Response Team, consult with the Director of Security Services, disclosing identities on a need-to-know basis.

INVESTIGATORS

77. All Investigators, whether internal or external to the University, will have training and expertise in the area of Sexual Violence and in using an intersectional, anti-oppressive, 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

78. 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.

79. 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).

80. 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.

81. Decision-Makers are responsible for reviewing and responding to Investigation Reports (see Investigation Procedures), and authorizing appropriate Interim Measures.

82. When the line of authority is unclear, the Provost or the Vice-President (Administration), as appropriate, will determine the appropriate individual in the line of authority.

83. Should there be a conflict of interest with a Decision-Maker, the appropriate Vice-President shall assume the responsibilities of the Decision-Maker. Similarly, if that Vice-President is in a conflict then another Vice-President or the President shall act.

84. Decision-Makers are responsible for determining whether Hamilton Police Services need to be notified and for authorizing that notification, as specified in clauses 38 - 39.

SECURITY SERVICES SPECIAL CONSTABLES

85. All Special Constables will receive training on intersectional, anti-oppressive, and trauma-informed response to Disclosures and Reports of Sexual Violence.

86. Security Services will respond to Community Member Disclosures and Reports, as follows:
   a) if the Community Member elects only to make a Disclosure or a Complaint under this Policy, Security Services will record the matter in their internal reports, refer the person to the Director (SVPRO) and will then take no further action (subject to clause 39);
   b) if the 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 Director (SVPRO) for ongoing support, accommodations that may be required, and for assessing whether the limits of confidentiality apply and a response may be required by the University.

87. Security Services will investigate all reports of Sexual Assault that:
   a) originate from a call received by a Special Constable to attend the scene of a reported Sexual Assault;
b) result from a Complainant electing to make a Criminal Report of Sexual Assault to a Special Constable; and/or

c) arise from a Special Constable observing, disrupting or arresting an individual in the act of committing a Sexual Assault.

SUPERVISORS

88. 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:

a) modeling acceptable standards of behavior;

b) supporting any employee or student who, in good faith, reports a potential violation of the Policy;

c) 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; and

d) 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.

EMPLOYEES

89. Employees are required to complete initial and periodic refresher training in Violence and Harassment Prevention, in accordance with the Health & Safety Training Program.

90. Employees have additional legal obligations when they become aware of incidents of Workplace Harassment and Workplace Violence as follows:

a) 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, which includes Sexual Violence, to their Supervisor or to an Intake Office. Any immediate or urgent incidents should also be reported to Security Services.

b) Workplace Supervisors must take every reasonable precaution to protect the safety of an employee. Supervisors are expected to follow the Sexual Violence Response Protocol, and to consult with either the Director (SVPRO) or Employee and Labour Relations (ELR) office when they receive a Disclosure, receive an incident report of Sexual Violence, or otherwise become aware of an incident of Sexual Violence in the workplace. Any immediate or urgent incidents should be reported to Security Services.

COMMUNITY MEMBERS

91. All Community Members are responsible for contributing to an environment that is free of Sexual Violence, and for participating in relevant education and training programs.

92. All Community Members are expected to be familiar with the Sexual Violence Response Protocol, and to act in accordance with the guidelines provided for supporting an individual who makes a Disclosure.
SECTION VI: INVESTIGATIONS

INTAKE AND INITIATION OF COMPLAINTS

93. If an individual wishes to file a Complaint of Sexual Violence for the University to address, they are encouraged to contact the Director (SVPRO) in the central Sexual Violence Prevention and Response Office for disclosure support, complaint intake, and reporting options; however, individuals may alternatively choose to file an Incident Report with their Supervisor or contact an Intake Coordinator in any one of the Intake Offices (refer to page 6).

94. Any Community Member who is the subject of an allegation under the Policy will be assisted by the Director (SVPRO) or another 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.

95. The Director (SVPRO) and all 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 Sexual Violence;
   d) individuals who contact an Intake Office and wish to file a Criminal Report will be assisted with contacting Security Services in order to file the report.

96. All Complaint Intake Forms are sent to the Director (HRDR), who will review and assess the Complaint, in consultation with the Director (SVPRO) and relevant Intake Office Director(s) 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) consider whether the parties are interested in voluntary resolution, and whether it is feasible/appropriate in the circumstances;
   d) 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);
   e) convene, at their discretion, the Response Team, to provide consultation;
   f) consider and coordinate appropriate Accommodations and/or Interim Measures as they relate to all parties involved in the matter; and
   g) as necessary, draw upon representatives of relevant services or departments in order to appropriately respond to the matter.

97. 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

98. 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

99. 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 Sexual Violence 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 Sexual Violence; and/or
   e) situations reveal broader issues to be addressed, including concerns for a Poisoned Environment.

100. The Director (HRDR), in collaboration with the appropriate Intake Office Director(s), 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.

101. Individuals have the right not to participate as a Complainant in any University-Initiated Investigation that may occur.

INVESTIGATION PROCEDURES

102. 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.

103. 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.

104. All Community Members are expected to meet with the Investigator if requested to do so and to participate in good faith.

105. Complainants and Respondents have the option of being accompanied by a Support Person or Advisor.

106. 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.

107. 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.
COMPLAINT

Written Complaint with the Sexual Violence Prevention and Response Office, through one of the Intake Offices or incident report filed with a Supervisor, making an allegation of Sexual Violence because they wish to initiate a University process, which may require an investigation and finding of facts.

DIRECTOR, HUMAN RIGHTS & DISPUTE RESOLUTION (HRDR)

The Director (HRDR) will review and assess the Complaint, in consultation with the Director (SVPRO) and relevant Intake Office Director(s). Director (HRDR) may convene, at their discretion, the Response Team, to provide consultation.

DECISION TO NOT INVESTIGATE

APPEAL

Complainant may make a written appeal to the appropriate VP to review the decision.

DECISION TO INVESTIGATE

STUDENT RESPONDENT INVESTIGATION & ADJUDICATION

FACULTY RESPONDENT INVESTIGATION & ADJUDICATION

STAFF RESPONDENT INVESTIGATION & ADJUDICATION

VOLUNTARY RESOLUTION

Attempting a resolution of a Complaint at any time before the completion of an Investigation.
SECTION VII: ADJUDICATION AND DECISIONS

ADJUDICATION

108. Decision-Makers shall decide, on a balance of probabilities, whether the alleged Violation of the Policy has occurred.

109. 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

110. 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.

111. Sanctions and remedies will be processed in accordance with the procedures in the Code of Student Rights and Responsibilities ("the Code").

112. 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.

113. 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).

STUDENT RESPONDENT INVESTIGATION AND ADJUDICATION under the Code of Student Rights and Responsibilities

- **FINDING OF NO VIOLATION**
  - Sanctions Do Not Include Suspension, Expulsion, or Withdrawal
    - **APPEAL**
      - to the Dean of Students

- **FINDING OF VIOLATION**
  - Sanctions Include Suspension, Expulsion, or Withdrawal
    - **APPEAL**
      - Hearing Before a DHSV Tribunal
FACULTY RESPONDENT

114. 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.

115. 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.

116. If the Decision-Maker makes a finding of violation of the Policy, the Decision-Maker will recommend the appropriate sanctions and/or remedies.

117. 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

118. 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.

119. 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

120. The Investigation Report will be provided to the Chief Human Resources Officer to consider the findings and recommendations contained in the report.

121. 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.

122. 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.

123. 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.

124. 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 (Administration).
COMMUNITY MEMBER RESPONDENT

125. 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 findings and recommendations contained in the report.

126. 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

127. 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

128. If the matter has been referred to a Hearing the Complainant will be informed of the referral.

129. Within the constraints of relevant legislation, the Complainant will be informed of the findings and reasons that are directly related to their complaint.

130. In all cases, information about any sanctions/remedies that have direct relevance to the Complainant will be provided to them.

Regulatory / Professional Licensing Bodies

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

Affected parties

132. 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

133. 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 Sexual Violence. 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

134. 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 Discrimination & Harassment 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.

135. 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, 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 may 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 Sexual Violence, 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/or
   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

136. Remedies may include but are not limited to:
   a) mandated counselling;
   b) training or coaching; and/or
   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. Confidentiality differs from anonymity in that the identity of the person making the Disclosure is known to the person receiving the Disclosure.

Consent\(^2\) in the context of sexual activity, is 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 person 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

\(^2\) Source: Criminal Code of Canada
• the individual is under the age of consent.

**Criminal Report**: Occurs when a person reports an experience of Sexual Violence to the police or to McMaster Security Services. Filing a report with Security Services will result in a report to Hamilton Police Service.

**Disclosure**: 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.

**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.

**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).

**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.

**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 individuals disclosing Sexual Violence and of individuals whose conduct is being questioned. Interim measures shall not be construed as evidence of either guilt or a finding of Sexual Violence, or as an affirmation of innocence or finding that no Sexual Violence 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 an individual issued a PNG is 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 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 (Administration).

Sexual Assault 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 Harassment 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.

Sexual Violence 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 the person's consent, and includes sexual assault, sexual harassment, stalking, indecent exposure, voyeurism, and sexual exploitation.

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3 Source: Criminal Code of Canada
5 Source: *Ministry of Training, Colleges and Universities Act, R.S.O. 1990, c. M.19*
Staff: Employees of the University including, but not limited to: The Management Group (TMG), unionized employees, temporary employees, casual employees, non-teaching staff, 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.

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.

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6 "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
Workplace Harassment\textsuperscript{7} 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 Harassment\textsuperscript{8} 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 Violence\textsuperscript{9} 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: 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.

\textsuperscript{7} Occupational Health and Safety Act
\textsuperscript{8} Government of Canada \url{Restoring The Workplace Following A Harassment Complaint: A Manager's Guide}
\textsuperscript{9} Occupational Health and Safety Act
APPENDIX B: RESOURCES

The Sexual Violence Response Protocol is an information resource for all Community Members making or receiving Disclosures of Sexual Violence. Additional resources include, but are not limited to:

Support for the University Community
- Sexual Violence Prevention and Response Office, Equity and Inclusion Office
- 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 Health Services
- 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 Centre Hamilton & Area (SACHA) (24/7 phone support, counselling, accompaniment)
- 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 Discrimination & Harassment 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 Discrimination & Harassment 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 (Administration), 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 Sexual Violence 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
- Discrimination & Harassment Policy
- 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
- 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
Complete Policy Title: Discrimination & Harassment Policy

Approved by:
Senate / Board of Governors

Date of Most Recent Approval:
xxx, 2019 / xxxx, 2019
effective January 1, 2020

Date of Original Approval(s):
May 13, 2015 / June 4, 2015
effective July 1, 2015

Supersedes/Amends Policy dated:
May 17, 2017 / June 8, 2017
effective June 8, 2017

Responsible Executive:
Associate Vice-President, Equity and Inclusion

Policy Specific Enquiries:
Equity and Inclusion Office

Reviewed for Compliance (OHSA):
December xx 2019

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
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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 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 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)

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.

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

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 Service.

COMMITTEE
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.

OTHER EXTERNAL OPTIONS

Discrimination & Harassment Policy

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 (Administration), 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 (Administration), 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:
   a) modeling acceptable standards of behavior;
   b) supporting any employee or student who, in good faith, reports a potential violation of the Policy;
   c) 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;
   d) 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
   e) 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:
   a) 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.
   b) 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 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.
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.
COMPLAINT
Written Complaint through one of the Intake Offices 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.

REVIEW AND CONSULTATION
Complaint Intake Forms will be reviewed by the relevant Intake Office Director who may consult with the Director (HRDR), on an immediate and priority basis to assess the Complaint. Intake Office Directors may convene, in consultation with the Director (HRDR), the Response Team, to provide consultation.

DECISION TO NOT INVESTIGATE

APPEAL
Complainant may make a written appeal to the appropriate VP to decide.

DECISION TO INVESTIGATE

STUDENT RESPONDENT INVESTIGATION & ADJUDICATION

FACULTY RESPONDENT INVESTIGATION & ADJUDICATION

STAFF RESPONDENT INVESTIGATION & ADJUDICATION

VOLUNTARY RESOLUTION
Attempting a resolution of a Complaint at any time before the completion of an Investigation.
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 the 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).

STUDENT RESPONDENT INVESTIGATION AND ADJUDICATION under the Code of Student Rights and Responsibilities

- Finding of no violation
  - Sanctions do not include suspension, expulsion, or withdrawal
    - Appeal to the Dean of Students

- Finding of violation
  - Sanctions include suspension, expulsion, or withdrawal
    - Appeal to Hearing Before a DHSV Tribunal
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*.
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 (Administration).
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 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.
   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.

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 (Administration).
Sexual Harassment 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 staff, 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.

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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.

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⁴ Occupational Health and Safety Act
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 (Administration), 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
October 8, 2019

TO: University Planning Committee

FROM: Dr. Jim Dunn, Acting Vice-President, Research

RE: Centre for Research on Empirical Social Sciences (CRESS)

The Committee on Research Institutes and Centres has reviewed the attached Proposal for Centre for Research on Empirical Social Sciences, as per the policies and guidelines, and has been unanimously approved.

Please include this as an agenda item for the next University Planning Committee Meeting on October 16, 2019.

JD:jt

Attach.

cc: Susan Sears-Giroux
    Doug Welch
    Andrea Thyret-Kidd
    Jeremiah Hurley
Proposal to create Centre for Research in Empirical Social Sciences (CRESS)

1. Objectives and activities
   1.1 Name
   1.2 Objectives
   1.2 Activities

2. Rationale

3. Participants and membership
   3.1 Affiliated labs
   3.2 Individual members

4. CRESS Business plan
   4.1 Space and research infrastructure
   4.2 Human resources
   4.3 Financial resources

5. CRESS’s organizational structure and relationships
   5.1 CRESS’s organizational structure
   5.2 CRESS’s relationships
1. Objectives and activities

1.1 Name
Centre for Research in Empirical Social Sciences (CRESS)

1.2 Objectives
Many of today’s most pressing challenges, including population health and aging, diminished confidence in core institutions of democracy, climate change, unequal economic growth, and global security, are fundamentally complex, dynamic, and inter-related. This creates both immense opportunity and real challenges for socially relevant research. Interdisciplinarity, dynamic/responsive research designs, transparency, and careful layering of methods that reveal different dimensions of a challenge are all critical to modern, leading-edge social science research.

Advances in digital technologies support modern social science research methods. These advances, and the associated computational power and proliferation of new data types and sources, both require social scientists to develop new methods for analyzing such data, and enable them to analyze old data with new methods. Taking advantages of these advances requires both new physical infrastructure—data labs and related facilities—and new research networks: the complexity of the social challenges, the data, and the methods needed to study them means that no one scientist can master all the domains needed to address them.

McMaster needs a research Centre that brings together researchers across disciplines to understand and work with new or less-familiar research methods, while teaching the software and related skills needed to conduct rigorous social science research. CRESS will support research and stimulate collaborations focused on social science topics and rooted in the social sciences, but which embrace an array of methods and complementary research agendas. CRESS aims to serve as both a beacon and bridge to the future of social science research and become an international leader in empirical social science addressing pressing social challenges.

CRESS’s mission is to support the production of leading-edge empirical social science research, to advance methodological innovation, and to foster research collaborations, networks, and partnerships within and beyond McMaster University.

To these ends, CRESS’s activities will fall into three broad areas: facilities, programs, and networks.
1. Research Facilities. CRESS will work with individual research labs to coordinate policies, share resources as appropriate, and promote the labs to users internal and external to McMaster. The objective is to create sustainable models for these facilities that will ensure they are available to support leading-edge social science research.
2. Research and Training Programming. CRESS will develop programming to enhance social science research expertise and capacity, including training opportunities for trainees, research staff and faculty; a research consultations desk; and related initiatives.
3. Research Networks. CRESS will develop and sustain networks and partnerships with both academic (internal and external to McMaster) and external communities (e.g. governments and municipalities, non-profits and social services, NGO’s, industry).

With sufficient focus and investment, CRESS aims to achieve clear national leadership and international profile. This will require strategic, multi-stage investment in personnel and facilities, and a strong business plan for sustaining infrastructure and recovering costs. CRESS will operate in coordination with the broader university initiative regarding research platforms.

1.2 Activities
In order to achieve its strategic goals outlined above, CRESS will engage in several key activities under the guidance of its advisory and governance committees, and in coordination with other research and IT Support teams and University Centres and Institutes.

CRESS will be a shared institutional resource comprising both physical and human infrastructure. CRESS will include a number of affiliated labs. CRESS will have a particular focus on social science research facilities concentrated on the 5th floor of Wilson Hall—home to confidential data labs, an experimental decision-making lab, a new digital democracy data lab, a classroom for teaching research methods, trainee space, and administrative office space, and three meeting rooms—but that focus is not exclusive. Social science labs located elsewhere on and off (e.g., MIP) the main campus will participate in CRESS.

CRESS will respond to faculty researchers’ needs for support in research, methods and software training, and collaboration. CRESS will not have a specific subject or sector focus. Rather, its orientation to advanced empirical methods makes it usable, and useful, to a broad cross-section of McMaster researchers (e.g., Social Sciences, Health Sciences, Science, Business) applying social science methods.

Support the development and sustainability of social science research platforms.
- Support the development of standardized policies (e.g., cost-recovery fee policies, data sharing policies, etc.) as appropriate
- Support cross-lab learning
- Support the coordination and sharing of staffing, software and hardware to reduce duplication
- Support the promotion of the platforms and the development of user communities
- Collaborate in the development of, and provide relevant research support services and/or training to, the Community Research Platform currently being developed through a strategic grant from the Provost’s office to the Faculty of Social Sciences
- Assist in building and innovating information technology (IT) infrastructure and tools

Develop programs to enhance expertise and build capacity to conduct leading-edge social science research.
- Sponsor events and programming to build an intellectual community of social science researchers
- Develop a consultations desk to advise researchers on data, methods and research design, including when appropriate connecting them with others on campus who have the requisite expertise.
- Offer training opportunities in relevant research methods, software, tools, from the beginner level through advanced training.
- Support or coordinate extra-curricular or curricular (in coordination with departments) programs that provide trainees opportunities to acquire and demonstrate competence in applied research methodologies.

Develop and sustain networks and partnerships with both academic and external communities.

- Engage with other empirical social science research centres and platforms, either directly or through networks such as the Inter-university Consortium for Political and Social Research (ICPSR).
- Liaise with government agencies, not-for-profit, and community groups engaged in social science research or economic and social policy.
- Build relationships with relevant Centres, Institutes, and data facilities at McMaster (e.g., MacData, Library, ICES, CEN) to facilitate the sharing of expertise and infrastructure and to collaborate on programming and related activities as appropriate.
- Facilitate international contacts for visiting research placements, etc.

1.2.1 Pilot Activities to Date

Approximately three years ago the Dean asked Michelle Dion, a faculty member in Social Sciences, to take the lead in developing CRESS. In that role, and informally under the label “CRESS,” she has undertaken activities on a limited basis to gauge interest in and gain experience with some of the kinds of activities envisioned for CRESS.

- In Winter 2018, CRESS organized a weekly series of lunchtime talks on topics such as Research Dataset Collections, Limesurvey, MacDrive, Research Ethics for Community-Based Research, Research Data Management, Media Relations 101, by representatives from Mills Library Data Service, Faculty of Social Sciences, RHPCS, MREB, and Public Relations. Attendees included graduate students, faculty, and research support staff from Social Sciences, Health Sciences, and Business.
- CRESS piloted a graduate research fellows program that provided space for selected graduate student fellows with the aim in encouraging interaction among students from different programs.
- Working with the Associate Dean Academic, CRESS developed an undergraduate Concurrent Certificate in Applied Social Sciences Research, which has been approved by Undergraduate Council and Senate.
- For 2019-20, CRESS is holding a monthly speaker series entitled, “Transparent Research” with leaders in research reproducibility and transparency from around the world leading day-long workshops, including developing reproducible workflows in R, Python and Stata, and discussing transparency and collaboration, and Indigenous data sovereignty.
Dr. Dion completed a background and business case analysis for extra-curricular training in the use of popular social science or statistics research tools for internal (e.g., research assistants, research coordinators, students) and external community members (community-partners, local workforce) working in (or aspiring to work in) applied social research fields. The Faculty appointed a full-time, permanent Executive Director of CRESS on July 1, 2019, a significant step toward consolidating the capacity of CRESS to develop the requisite policies and programming to meet its objectives.

2. Rationale

The development of CRESS responds to at least two needs of the Faculty of Social Sciences and its researchers.

First, social science research designs and methodologies have become increasingly specialized and technical, whether qualitative, quantitative, or text-based. New and exciting types of data relevant to social science research are becoming available at a startling rate, and these new data are already shaping the future of social science. Meanwhile, two of the main barriers to advancement in research in social statistics identified by a SSHRC/Statistics Canada working group in 2002 remain: “sheer lack of trained researchers” outside of economics prepared to analyze multilevel and complex datasets; and “very weak links between the work of social scientists and the potential users of the knowledge they generate” (Bernard et al. 2002, np). CRESS will respond to these gaps by creating training opportunities for trainees, research staff and faculty, and by developing and supporting networks of researchers and those interested in social science research, including potential users.

Second, the Faculty of Social Sciences is home to several CFI-funded and other research labs. To be sustainable in the long-run, this research infrastructure needs to attract and support empirical research projects by a diverse and broad group of users (trainees students, faculty, and external partners) that use a range of research methodologies. By helping to coordinate services and promote use of the labs, CRESS will expand access, use, and sustainability of this research infrastructure.

CRESS directly addresses those barriers and responds to the articulated interests and needs of McMaster University social science faculty members. It will support the development of research expertise in leading edge methodologies, particular for methods that depend on specialized research infrastructure.

This proposal for the formal establishment of CRESS reflects extensive consultations with Faculty stakeholders, including the Dean, Associate Dean for Graduate Studies and Research, research and IT staff members of the Faculty, and Academic Directors and/or staff of data collection and/or analysis labs supported by the Faculty, and faculty.
3. Participants and membership

3.1 Affiliated labs
The Faculty is home to and/or provides support to several research labs that are directly relevant to the goals of CRESS. These include:

- Secure Empirical Analysis Lab (SEAL; formerly PEDAL). SEAL is a high security data lab to host diverse third-party data that must be placed in a secure facility, with the ability to also host medium and lower security data as needed. SEAL is located on the 5th floor of Wilson Hall and includes workstations as well as infrastructure to support remote secure data access.
- McMaster Decision Science Laboratory (McDSL; formally the McMaster Experimental Economics Laboratory). McDSL includes a suite of experimental and qualitative data collection facilities, including an experimental lab equipped with virtual reality capabilities, two interview rooms, and a focus group interview suite with digital video recording capacity. It is located on the 5th floor of Wilson Hall.
- Collaboratory for Research on Urban Neighbourhoods, Community Health and Housing (CRUNCH). CRUNCH has facilities for 360-degree digital mobile video recording and 360-degree viewing room. CRUNCH is located on the 3rd floor of Wilson Hall.
- Digital Democracy Lab. This new lab leverages AI and machine learning tools to enhance democratic engagement. It is located on the 5th floor of Wilson Hall, housed alongside the social enterprise, VoxPop Labs.
- Sustainable Archaeology Lab. This lab is a collaborative effort with University of Western Ontario. The McMaster lab includes a large state-of-the-art storage area with research focused on materials analysis, including chemical and histological studies of Indigenous artefacts. It is located in the McMaster Innovation Park.
- Sensory Ethnography Research Lab at McMaster Innovation Park. This research lab has state-of-the-art digital film equipment and accessories for making professional quality documentaries or other research creation products. It is located in the McMaster Innovation Park.

3.2 Individual members
CRESS will not have formal membership for individual researchers. CRESS is designed to be available to all researchers at McMaster whose research can be advanced by use of affiliated labs or participation in CRESS-sponsored activities. Users of the facilities will be expected to pay cost-recovery fees, and some program activities (e.g., training workshops) may also charge fees, but the goal is to be broadly accessible to McMaster trainees (students, post-doctoral fellows).

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1 Although it formally reports to the VPR and therefore not included below, the McMaster’s Statistics Canada Research Data Centre is located on the 5th floor of Wilson Hall so as to foster collaboration with other social science labs to take advantage of shared infrastructure (e.g., secure data-conferencing capabilities). This RDC is partially funded by the Statistics Canada Research Data Centre Network, which is also hosted at McMaster University. The Vice-President Research provides cash support, while FSS staff members provide some in-kind administrative and space support. CRESS will further support collaboration between the RDC and other social science lab, and help promote the RDC to users as appropriate.
research staff, faculty and, as appropriate, members of government and private and non-profit organizations.

**Research Faculty.** Some of the faculty members who have participated in pilot programming for CRESS or provided input on the design of CRESS include the following:

- Stephanie Baker Collins, Social Work
- Karen Bird, Political Science
- Aubrey Cannon, Anthropology
- Phillipa Chong, Sociology
- Michelle Dion, Political Science
- James Dunn, Health, Aging & Society
- Tina Fetner, Sociology
- Ann Fudge Schormans, Social Work
- Judy Fudge, Labour Studies
- Chelsea Gabel, Health, Aging & Society
- Amanda Grenier, Health, Aging & Society
- Melanie Heath, Sociology
- Gregory Hooks, Sociology
- Jeremiah Hurley, Economics/Dean
- Lisa Kaida, Sociology
- Suzanne Mills, Labour Studies
- Tony Porter, Political Science
- Jeffrey Racine, Economics
- Petra Rethmann, Anthropology
- Stephanie Ross, Labour Studies
- Bradley Ruffle, Economics
- Arthur Sweetman, Economics
- Netina Tan, Political Science
- Cliff van der Linden, Political Science
- Mike Veall, Economics
- Marisa Young, Sociology

**Visiting Fellows.** Researchers from external organizations, including other post-secondary institutions and government, non-profit or corporate organizations, may become Visiting Fellows of CRESS if they are using affiliated lab facilities or are sponsored by Research Faculty due to their participation in research programs at CRESS.

**Doctoral and Post-doctoral Research Fellows.** Building on the pilot program, CRESS will explore options for Fellow programs targeted at doctoral students and post-doctoral fellows that will support their development as scholars and researchers.
4. CRESS Business plan

4.1 Space and research infrastructure
CRESS will be located on the 5th floor of Wilson Hall, which also houses many of the research labs that will be affiliated with CRESS. The CRESS space includes offices for the Executive Director and staff, and an open, multi-use space for events and for affiliated trainees, staff, and faculty. The 5th floor of Wilson Hall also includes a teaching computer lab, seminar room, and three meeting rooms that CRESS will share with other users.

4.2. Human resources
A full-time permanent Executive Director was hired on July 1, 2019. The Executive Director will be the primary staff member to develop and oversee the activities of CRESS. The Executive Director will bring on additional staff and work with the lab managers of affiliated labs and Faculty of Social Sciences research support and information technology staff as need to carry out the CRESS mandate.

4.3. Financial resources
The Faculty of Social Sciences will support the costs of the Executive Director for the near term, in part through support from a strategic grant from the Provost’s office, until CRESS can become financially sustainable through user fees and other sources of revenue. Anticipated sources of sustainable revenue include the development of training programs on research methodologies methodological consulting to internal and external users, and a portion of the cost recovery from fee-for-service use of lab spaces, technologies, and expertise. See Table 1 for details.

5. CRESS’s organizational structure and relationships

5.1. CRESS’s organizational structure
As a research centre affiliated primarily with a single Faculty, CRESS will report directly to the Dean of the Faculty of Social Science. Its governance structure will comply with the requirements of the McMaster Guidelines for the Governance and Review of Research Institutes, Centres and Groups. The governance will also reflect the objective of fostering collaboration and coordination among existing research laboratories and facilities within the Faculty, and in collaboration with other units at McMaster as appropriate.

Academic Director. The Academic Director (AD) shall be a tenured faculty member of the Faculty of Social Sciences. The AD will report directly to the Dean of the Faculty of Social Sciences and will be appointed for a five-year (once renewable) appointment, and will work in collaboration with the Associate Dean Graduate Studies and Research for the Faculty. The selection and appointment of the AD will follow University policies and procedures for the appointment of administrative directors, including recommendation of the Academic Director by a selection committee appointed by the Dean of the Faculty of Social Sciences. The Academic Director will report annually to the Governing Board, and the Dean (who normally chairs the Governing Board), will provide relevant information to the Vice-President (Research).
Michelle Dion, who has led all of CRESS’s pilot activities, has been identified as the inaugural Academic Director of CRESS. Dr. Dion is Associate Professor of Political Science at McMaster University. She specializes in comparative political economy, comparative political behaviour, and research design and methodology. Dr. Dion was a member of a working group that first set out the vision for CRESS. She has been functioning as the Academic Director the efforts to implement that vision by pilot testing aspects of the program, building support within the Faculty, leasing the hire of the Executive Director, and related activities. Dr. Dion is an exceptional methodologist who uses quantitative and qualitative methods in her own research, is well integrated within social science research networks of Centres akin to CRESS. Her expertise was recently recognized by her appointment to the editorial board of the American Political Science Review, the leading journal internationally in political science, with a specific mandate for methodological aspects of the peer-review process.

**Executive Director.** This full-time staff position will report to CRESS’s Academic Director and work closely with the Directors and staff of affiliated research labs and the Faculty’s research and IT support teams to develop and implement training, promotional, consultation, and technology development activities, and develop sustainable programming and funding streams to support CRESS and its affiliated laboratories.

**Advisory Committee:** The Advisory Committee will provide input regarding CRESS’s scientific and scholarly priorities and strategic directions. The Advisory Committee will comprise a mix of internal members and external international leaders in relevant areas of social science research. Members are nominated by the Academic Director and approved by the Steering Committee. The Advisory Board must be formally consulted at least every two years.

**Steering Committee:** The Steering Committee is an internal governance committee that will advise on priorities and programming for the coming year and review the preliminary report of Centre activities and budget before submission to the Governing Board. Members of the Steering Committee may also be consulted more frequently as needed to execute Centre programming and activities. It will meet at least once a year. The Steering Committee will include the Academic Director, Executive Director, normally include the Directors of Centre-affiliated research labs plus two additional full-time faculty members from the Faculty of Social Sciences. The members of the Steering Committee will be appointed by the Academic Director in consultation with the Dean of Social Sciences.

**Governing Board.** As required by University policy, the CRESS’s Academic Director will provide an annual report of its financial and programmatic activities to CRESS’s Governing Board. The Governing Board will also appoint the External Review Board to review the Centre’s progress. The Governing Board will include the Dean, Faculty of Social Sciences; the Associate Dean (Graduate Studies and Research), Faculty of Social Sciences; and Chairs of up to two departments in the Faculty of Social Sciences.

**External Review Board.** The External Review Board (ERB) will be appointed by the Governing Board every five years (or sooner as appropriate) to review the Centre’s activities. Normally, the
ERB will include 3 high-caliber scholars with an international perspective who are arm’s length from the Centre. The ERB will use measures of performance such as knowledge production and impact to assess the Centre’s performance. The ERB will be provided with the University’s Guidelines for the Governance and Review of Research Institutes, Centres and Groups and copies of previous reviews (if applicable).
5.2 CRESS’s relationships
Although CRESS will be an interdisciplinary research Centre of the Faculty of Social Sciences, it will be essential that it develop strong relationships with a range of other units at McMaster and with external partners, including those identified below.

5.2.1 Faculty context
- **Associate Dean of Graduate Studies and Research and the FSS Research Support Team.** The FSS Research Support team supports the development and review of grant applications and budgets, event organization, and related knowledge mobilization activities. The Research Support team will continue to lead in providing support in the development of external funding applications in the Faculty. CRESS will work with the Research Support Team by providing advice and expertise, as appropriate, regarding research design, data, data analysis methodologies, and related issues that require specialized research expertise.
- **FSS Information Technology (IT) Support Team.** The FSS IT support team provides advice and technical support regarding IT, including research IT and instructional IT. CRESS will work with IT support to coordinate the IT needs of CRESS-affiliated research labs.
- **FSS Communications.** The FSS communications provides communications support for social media, research websites, and related communication strategies. CRESS will work with the Communications team to further the promotion and development of CRESS and its affiliated research labs.

5.2.2 University context
- **University Library.** The Maps/Data/GIS unit of Mills Library offers four main types of empirical social science research support: subscriptions and research consultations for quantitative datasets and collections; DASH, a support service for undergraduate students using statistical software for their coursework; instructional support for some social science undergraduate courses; and Research Data Management resources, advice, and open-source (non-secure) data hosting services. CRESS will coordinate its activities with the Library and promote awareness of these research and teaching supports.
- **MacDATA.** MacDATA is a University-wide Institute to coordinate data-driven research and training at McMaster. MacData offers graduate student fellowships for data-driven research and a data science certificate offered by Centre for Continuing Education. CRESS will coordinate its activities with MacDATA, and ensure that the FSS is positioned to be an effective MacDATA partner.
- **Sherman Centre for Digital Scholarship.** The Sherman Centre is supported by the University Library and Faculty of Humanities. Though its current strengths are in digital humanities and media studies, it offers graduate fellowships to students from multiple faculties and many workshops and projects intersect with those in the Faculty of Social Science. CRESS will collaborate with the Sherman Centre where mutually beneficial.
- **Research and High Performance Computing Support (RHPCS).** A number of FSS-based research labs contract with RHPCS for technical support. CRESS will work with the labs, the FSS, and RHPCS to ensure optimal use is made of such support and to collaborate with RHPCS on projects as appropriate.
• *Institute for Clinical Evaluative Sciences* (ICES) ICES is a university-wide high-security data and research lab (located in FHS) providing access to secure health data other administrative data from the Government of Ontario. CRESS will work with ICES as appropriate on matters of mutual interest.

• *Community Engagement Network*. The office for Community Engagement is an important partner for developing programming that supports community-engaged research and the methodological needs of our community-based research partners.

### 5.2.3 Regional and national context

Southwestern Ontario has a high concentration of post-secondary educational institutions as well as public, private, and non-profit sector organizations, many of which are engaged in social or policy research. CRESS aims to become a central node in a network that will connect some of these research organizations to expand and multiply research capacity and methodological innovation in the social sciences.
Figure 1: CRESS Organizational Chart

VP Research

Dean FSS

Governing Board (GB)

External Review Board (ERB)

Advisory Committee (AC)

Academic Director

Steering Committee (SC)

Executive Director
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**REVENUE - indicate whether secured or anticipated**

Non-FSS Revenue:
- Cost-recovery fees: $ -
- MdCSL: $1,250, $1,875, $2,813, $4,219, $6,328, $16,485
- SEAL: $6,250, $9,375, $14,063, $21,094, $31,641, $82,423
- CRUNCH: $500, $750, $1,000, $1,000, $1,000, $4,250
- SSHRC Grant - Transparent Research: $22,794
- Strategic Alignment Fund: $140,000, $140,000, $280,000
- External Program Revenue: $5,000, $15,000, $30,000, $60,000, $90,000, $200,000

Total Non-FSS Revenue: $175,794, $167,000, $47,876, $86,313, $128,969, $605,952

FSS Contribution: $ -
- Cash: $118,215, $115,553, $238,125, $203,716, $168,167, $843,776
- In-kind support (FSS IT, Web, and Communications support): $15,000, $11,000, $11,000, $11,000, $11,000, $59,000

Total FSS Contribution: $133,215, $126,553, $249,125, $214,716, $179,167, $902,776

**TOTAL REVENUE**
- $309,009, $293,553, $297,001, $301,029, $308,136, $1,508,728, $1,205,570, $303,158

**EXPENSES**

Administrative Expenses: (add rows as required)

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Office Supplies: $500, $500, $500, $500, $500, $2,500

Printing: $1,000, $1,000, $1,000, $1,000, $1,000, $5,000

Computer Equipment: $4,000, $1,000, $1,000, $1,000, $1,000, $11,000

Software: $800, $800, $300, $300, $300, $2,500

Phone rentals: $228, $228, $228, $228, $228, $1,140

Cell phone: $600, $600, $600, $600, $600, $3,000

Travel: $1,000, $1,000, $1,000, $1,000, $1,000, $5,000

Website Development/Maintenance: $5,000, $1,000, $1,000, $1,000, $1,000, $9,000

Program Development: $62,327, $50,000, $50,000, $50,000, $50,000, $262,327

Ongoing costs for space (3 offices): $10,000, $10,000, $10,000, $10,000, $10,000, $50,000

Total Administrative Expenses: $264,735, $248,994, $252,151, $255,881, $262,686, $1,284,447, $1,284,447, $ -
## Research Expenses: (add rows as required)

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Enrolment Management Update  
Headcounts of Level 1 students

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Note 1: 101 - students registered in previous academic year at Ontario Secondary School.
Note 2: 105 - all other applicants including students who came indirectly from an Ontario Secondary School.
Note 3: Returning - internal transfers, students repeating Level 1, students readmitted, and students with course deficiency.
Note 4: Headcounts of November 1 as reported to MCU.
Note 5: Headcounts exclude Divinity, Mohawk & Conestoga Nursing.

Updated on: 03DEC2019

Source: Student Records Database.
Note 5: Headcounts exclude Divinity, Mohawk & Conestoga Nursing.
## Enrolment Management Update

### Headcounts of Level 1 Domestic students

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### Note

1. **Total** - 105 RETURNING
2. **Total** - 105 RETURNING
3. **Total** - 105 RETURNING
4. **Total** - 105 RETURNING
5. **Total** - 105 RETURNING

**Updated on:** 03 Dec 2019

Note 5: Headcounts exclude Divinity, Mohawk & Conestoga Nursing.

Note 4: Headcounts as of November 1 and as reported to MCU.

Note 2: 105 - all other applicants including students that came indirectly from an Ontario Secondary School.
## FACULTY PROGRAM

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### Total Graduate Headcount Enrolment by associated Faculty and Department, as of November 1, 2018-2019 to 2019-2020

| ASSOCIATED FACULTY/DEPARTMENT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT | DOCTORAL | MASTER'S | DIP/CERT |
|-------------------------------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|----------|
| **BUSINESS**                  |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| MBA                           |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **ENGINEERING**               |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| BIOENGINEERING               |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| CHEMICAL ENGINEERING         |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| MECHANICAL ENGINEERING       |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **HEALTH SCIENCES**           |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| BIOCHEMISTRY                 |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| BIOMEDICAL DISCOVERY & COMMERCIALIZATION |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **HUMANITIES**                |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| CLASSICS                      |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| COMMUNICATION MANAGEMENT      |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| COMMUNICATION STUDIES & MULTIMEDIA |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **INTERDISCIPLINARY**         |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **INTERDISCIPLINARY (RESEARCH)** |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **SCIENCE**                   |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| BIOLOGY                       |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| CHEMICAL BIOLOGY              |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
| **TOTAL**                     |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |          |
|-------------------------------|---------------------|---------------------|-------------------|-------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| SOC SCIENCES                  |                     |                     |                   |                   |                     |                     |                     |                     |                     |                     |
| ANTHROPOLOGY                  | 27                  | 27                  | 27                | 27                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| ECONOMICS                     | 27                  | 27                  | 27                | 27                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| FACULTY OF SOCIAL SCIENCES    | 16                  | 16                  | 16                | 16                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| HEALTH AGING & SOCIETY        | 16                  | 16                  | 16                | 16                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| ASIAN STUDIES                 | 9                   | 9                   | 9                 | 9                 | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| POLITICAL SCIENCE             | 27                  | 27                  | 27                | 27                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| RELIGIOUS STUDIES             | 27                  | 27                  | 27                | 27                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| SOCIAL WORK                   | 20                  | 20                  | 20                | 20                | 2                   | 2                   | 2                   | 2                   | 2                   | 2                   |
| SOCIOLOGY                     | 27                  | 27                  | 27                | 27                | 1                   | 1                   | 1                   | 1                   | 1                   | 1                   |
| TOTAL                         | 168                 | 168                 | 168               | 168               | 16                  | 16                  | 16                  | 16                  | 16                  | 16                  |

Note 1: Headcount is as of November 1st of each year and as reported to MCU.

Note 2: Headcount enrolment of McMaster interdisciplinary programs is counted under their designated associated Faculty.

Note 3: Interdisciplinary (No Faculty) contains students in Academic Plans - Interdisciplinary (Post Degr) and Interdisciplinary (Research) who take courses from any Faculty and have not been associated with a specific Faculty.

SOURCE: STUDENT RECORDS DATABASE (PeopleSoft Campus Solutions)
PREPARED BY THE OFFICE OF INSTITUTIONAL RESEARCH AND ANALYSIS
UPDATED DATE: 04DEC2019
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Total Domestic Graduate Headcount Enrolment by associated Faculty and Department, as of November 1, 2018-2019 to 2019-2020
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Note 1: Headcount is as of November 1st of each year and as reported to MCU.
Note 2: Headcount enrolment of McMaster interdisciplinary programs is counted under their designated associated Faculty.
Note 3: Interdisciplinary (No Faculty) contains students in Academic Plans - Interdisciplinary (Post Deg) and Interdisciplinary (Research) who take courses from any Faculty and have not been associated with a specific Faculty.

SOURCE: STUDENT RECORDS DATABASE (PeopleSoft Campus Solutions)
PREPARED BY THE OFFICE OF INSTITUTIONAL RESEARCH AND ANALYSIS
UPDTE DATE: 04DEC2019
### Total International Graduate Headcount Enrolment by associated Faculty and Department, as of November 1, 2018-2019 to 2019-2020

| ASSOCIATED FACULTY/DEPARTMENT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT | DOCTORAL | MASTERS | DIP/CERT |
|-------------------------------|----------|---------|----------|----------|---------|----------|----------|---------|----------|----------|---------|----------|----------|---------|----------|----------|---------|----------|----------|---------|----------|----------|---------|
| **BUSINESS**                  |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| BUSINESS                      | 33       |         | 39       |          |         | 24       |          |         | 17       |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| **ENGINEERING**               |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| BIOMEDICAL ENGINEERING       | 10       | 15      | 9        | 9        | 2       | 1        |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| CHEMICAL ENGINEERING         | 20       | 30      | 14       |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| ELECTRICAL AND COMPUTER ENGINEERING | 13      | 17      | 41       | 36       | 2       | 2        |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| ENGINEERING PHYSICS          | 13       | 17      | 4        | 12       |          |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| ENGINEERING PRACTICE         | 18       | 25      | 5        | 14       |          |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| FACULTY OF ENGINEERING       | 10       | 15      | 7        | 6        | 4       | 4        |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| MECHANICAL ENGINEERING       | 18       | 25      | 5        | 14       |          |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| **HEALTH SCIENCES**          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| BIOPHARMACEUTICAL SCIENCES   | 2        | 3       | 2        | 2        | 3       | 3        |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| HUMANITIES                   |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| ANTHROPOLOGY                 | 2        | 3       | 2        | 2        | 3       | 3        |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| **INTERDISCIPLINARY (RESEARCH)** | 4       | 1       |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |
| **TOTAL**                    | 33       | 39      | 24       | 17       | 10      | 33       |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |          |         |          |         |          |
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<td>RELIGIOUS STUDIES</td>
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<td>GRAND TOTAL</td>
<td>477</td>
<td>550</td>
<td>745</td>
<td>245</td>
<td>58</td>
<td>3</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>70</td>
<td>14</td>
<td>14</td>
<td>15</td>
<td>55</td>
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</table>

**Note 1:** Headcount is as of November 1st of each year and as reported to MCU.

**Note 2:** Headcount enrolment of McMaster interdisciplinary programs is counted under their designated associated faculty.

**Note 3:** Interdisciplinary (No Faculty) contains students in Academic Plans - Interdisciplinary (Post-Deg) and Interdisciplinary (Research) who take courses from any faculty and have not been associated with a specific faculty.

**Source:** Student Records Database (PeopleSoft Campus Solutions)

**Prepared by the Office of Institutional Research and Analysis**

**Updated Date:** 04DEC2019
REPORT TO THE BOARD OF GOVERNORS
from the EXECUTIVE AND GOVERNANCE COMMITTEE

i. Revisions to Board By-Laws
   a. Request for Observer Status
      On October 24, 2019, the Board of Governors approved in principle, on the recommendation of the Executive and Governance Committee, a request to add the position of Assistant Vice-President (Communications and Public Affairs) to the list of observers outlined in By-Law 12. (1). Details of the rationale for the request are contained in the attached report.

      It is now recommended, that the Board of Governors approve, the attached revision to By-Law 12. (1) within the Board of Governors By-Laws, as circulated.

   b. Appendix E - Execution of Instruments
      On October 24, 2019, the Board of Governors approved in principle, on the recommendation of the Executive and Governance Committee, updates to Appendix E - Resolution Respecting the Execution of Instruments. The proposed revision aims to remedy an oversight which left the Vice-President (Administration) off the list of approvers within charts A.3 and A.4.

      It is now recommended, that the Board of Governors approve, the attached revisions to Appendix E - Resolution Respecting the Execution of Instruments By McMaster University, as circulated.
October 21, 2019

TO: Members of the Executive and Governance Committee, Board of Governors

FROM: David Farrar, Acting President and Vice-Chancellor

RE: REQUEST FOR OBSERVER STATUS, BOARD OF GOVERNORS

In addition to the thirty-seven members of the Board of Governors, the Board has accorded Observer status to a number of key individuals within the University, including the Vice-Presidents, the Chief Internal Auditor, and representatives of certain student and employee associations. As specified in section 12, By-law No. 1 of the Board By-laws, Observers receive notices and other materials distributed to members of the Board and are invited to attend meetings of the Board. Although Observers attend the closed session portion of Board meetings, they are not entitled to attend “Members Only” discussions, unless specifically invited.

Having reviewed the current list of Observers, I would like to recommend that the Assistant Vice-President (Communications and Public Affairs), be added as an Observer. This position plays a critically important role in managing the communication of decisions made by the University and the Board, providing advice and overseeing the management of issues and relationships, and supporting the University’s positive external profile and broader communications. The position is held by Ms. Andrea Farquhar; currently Ms. Farquhar attends the majority of Board meetings and is frequently invited to stay for closed session. According to Observer status would formalize this arrangement and also allow for the provision of Board materials to Ms. Farquhar in advance of meetings.

I would ask that the Committee consider this recommendation and I look forward to discussing it at our meeting on October 22.

Thank you.
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 she or he (a) is 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
- Assistant Vice-President (Communications and Public Affairs)
- Chief Internal Auditor
- The Senior Advisor to the President
- 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 her or his 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 555

(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:

(a) if he or she 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
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;
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 (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)

<table>
<thead>
<tr>
<th>Department and/or Project Holder (Account Holder)</th>
<th>Only for Technology –Chief Technology Officer (Hardware or software related goods or services)</th>
<th>One of area: AVP^, Dean, VP</th>
<th>Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, VP(Administration), Provost, President</th>
<th>Following Board of Governors Approval: One of: VP(Administration), Provost, President, Board Secretary, Board Chair</th>
</tr>
</thead>
<tbody>
<tr>
<td>$&lt; 100,000</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
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<tr>
<td>$100,000 up to $1,999,999</td>
<td>X</td>
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<tr>
<td>$2,000,000 up to $9,999,999</td>
<td>X</td>
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<tr>
<td>Over $10,000,000</td>
<td>X</td>
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<td>X</td>
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</table>

Additional Signature must be at least one level up from 1st

The individual approving signs to confirm Board/Committee approval.

AVP\(^\wedge\) 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

<table>
<thead>
<tr>
<th>Project Holder (Account Holder)</th>
<th>Secondary Research Office (Central/FHS-HRS)</th>
<th>Only for Technology – Chief Technology Officer (Hardware or software related goods or services)</th>
<th>One of: AVP*, VP</th>
<th>Following Planning and Resources Committee Approval: One of: AVP(Administration) and Chief Financial Officer, Area VP, VP(Administration), Provost, President</th>
<th>Following Board of Governors Approval: One of: VP(Administration), Provost, President, Board Secretary, Board Chair</th>
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<tbody>
<tr>
<td>&lt; $100,000</td>
<td>X</td>
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<td>Additional Signature must be at least one level up from 1st</td>
<td>The individual approving signs to confirm Board/Committee approval.</td>
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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)

<table>
<thead>
<tr>
<th>Budget Range</th>
<th>AVP (Facilities Services) or Director, Design and Construction</th>
<th>VP (Administration) or AVP (Administration) and Chief Financial Officer</th>
<th>Following Planning and Resources Committee Approval:</th>
<th>Following Board of Governors Approval:</th>
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<tbody>
<tr>
<td>&lt; $100,000</td>
<td>X</td>
<td></td>
<td></td>
<td>One of: AVP(Administration) and Chief Financial Officer, VP (Administration) Provost, or President.</td>
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<tr>
<td>$100,000 up to $499,999</td>
<td>X X</td>
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<td>One of: Provost, President, Board Secretary, Board Chair</td>
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<tr>
<td>$500,000 up to $1,999,999</td>
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<td>Over $10,000,000</td>
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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.

*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.
### Appendix E – Resolution Respecting the Executive of Instruments by McMaster University

#### A.4 Capital Fund (Award of Purchase Orders/Contracts) including Professional Consultants

<table>
<thead>
<tr>
<th></th>
<th>One of, Director of Design and Construction, or, Director of Maintenance</th>
<th>AVP (Facilities Services) or Director, Design and Construction</th>
<th>VP (Administration) or AVP (Administration) and Chief Financial Officer</th>
<th>Following Planning and Resources Committee Approval:</th>
<th>Following Board of Governors Approval:</th>
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<td>One of: AVP/Administration and Chief Financial Officer, <strong>VP (Administration)</strong> Provost, or President.</td>
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<td>$100,000 up to $499,999</td>
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<td></td>
<td>One of: Provost, President, Board Secretary, Board Chair</td>
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<tr>
<td>$500,000 up to $1,999,999</td>
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<tr>
<td>$2,000,000 up to $9,999,999</td>
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<td>Over $10,000,000</td>
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</table>

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.

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.

* Includes Architects, Engineers, Design Consultants and Construction Managers.
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. Under $2,000,000.00 or 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. 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.

iii. $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.


• 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**

**Internal Audit Department Policy Statement**

**Construction And Maintenance Projects Policy**

**Statement of Ethics for Senior Executive Officers**

**Statement on Conflict of Interest in Research**

**Conflict of Interest Policy for Employees**

**Gift Acceptance Policy**

**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
April 18, 2019
December 12, 2019
i. Centre for Continuing Education Fees

On November 28, 2019, the Planning and Resources Committee reviewed and approved, for recommendation to the Board, the proposed Centre for Continuing Education Fees. The material was also approved by the Budget Committee and Student Fees Committee. Details of the proposed fees are contained in Attachment I of the circulated report.

It is now recommended,

that the Board of Governors approve the Centre for Continuing Education proposed tuition fees for 2020-2021, as circulated.
November 13, 2019

To: Planning and Resources Committee

From: Jacy Lee, AVP, Institutional Research and Analysis
       Chair, University Student Fees Committee

Subject: Approval of 2020/21 Centre for Continuing Education Fees

The Centre for Continuing Education (CCE) fees (attached memo dated September 16, 2019 and the Proposed Tuition Fee Schedule for 2020/21) are submitted for your approval.

Following a presentation by CCE to the University Student Fees Committee (USFC) on October 1, 2019, the USFC recommended approval of CCE proposed fees to the Budget Committee.

On November 4, 2019, the Budget Committee approved the proposed 2020/21 CCE fees.

Please note that all CCE students pay MAPS fee on a slip year basis and this request for approval relates only to the proposed CCE fees.
Date:     September 16, 2019  
To:       McMaster University Student Fees Committee  
From:     Lorraine Carter, Director, Continuing Education  
Re:       Fees Submission for 2020-2021  

Context  

Continuing education at McMaster University is different from undergraduate education in several ways: the learner group served, kinds of programs offered, a need for flexibility to meet emerging market needs, and the ancillary status of the Centre for Continuing Education.

Continuing Education continually explores and launches new programs based on market demand and trends. Given this goal, CCE offers two main kinds of programs: i) academic programs that lead to certificates and diplomas that are reviewed and approved by Senate; and ii) not-for-credit professional development programs.

The fees information provided here is strictly for courses and programs that lead to academic certificates and diplomas.

Pricing Strategy for Certificate and Diploma Courses  

When determining fees, CCE considers the following:

- University-level programs are generally more highly valued than programs offered by colleges and private education providers.
- Colleges offer options for those pursuing select professional certifications at significantly lower tuition fees than universities.
- Increases in earning potential for graduates vary by program.
- Higher demand courses can support higher fees.
- Niche or unique programs can support higher fees.
- Different course formats may warrant different fees.
- Affordability and accessibility for adult learners is a consideration.
- Employer tuition assistance is more common for some programs than others. Financial support by employers depends on diverse economic factors.
• There is almost no government funding for continuing education students.
• The cost of running the program is always a major consideration.
• The cost of programs offered by our most direct competitors (e.g., University of Toronto, Ryerson University, and York University) is always considered.

MAPS Fees

CCE always considers fees levied by the McMaster Association of Part-Time Students (MAPS) when establishing fees for CCE courses. MAPS fees are included in the published fees for courses and are, therefore, considered to be part of tuition when market comparators are examined. Because CCE’s fees become effective on May 1st each year, they are approved by the Board before MAPS fees are approved. As a result, CCE uses the MAPS fee on a slip year basis.

The MAPS fee approved for 2019/20 is $7.24 per unit. Given the recent changes implemented by the Ontario government, the “essential” portion of the fee is $3.64 per unit, and the “non-essential” portion is $3.60 per unit. It was agreed by MAPS, that CCE students would automatically default out of the non-essential” portion of the fee, and therefore not be charged for it.

MAPS fees, however, are not presented for approval. They are included strictly for information purposes.

This Submission, 2020-2021

Please note that the fees for two new academic programs and increases for a number of existing programs are presented here. Information about programs where no changes are requested follows.

Fees for New Programs

1. The Associateship in Canadian Surety Bonding Certificate is a new program offered in collaboration with the Surety Association of Canada. Previously offered by the School of Continuing Studies at the University of Toronto, the courses will be priced at $795.00 inclusive of MAPS fee ($784.08 plus $10.92).

2. Professional Communication in the Canadian Workplace is a new program supporting the communication development of persons whose first language may not be English. The purpose of the program is to support all learners in their development of communication competence and confidence in the Canadian workplace. The proposed price for the courses is $698.92 inclusive of MAPS fee ($688.00 plus $10.92).

Increases for Existing Programs

1. CCE is requesting a 5% increase for its courses in the Applied Clinical Research program. This adjustment would mean a course fee of $879.92 inclusive of MAPS fee ($869.00 plus $10.92). Full-time programs at other institutions charge program fees in the range of $6,600-$7,000. As an example, Western’s program includes ten courses at $680.00 per course. Continuing Education’s certificate program includes five courses for a total investment of $4,300.60. Based on this comparator, CCE’s course fee is of good value to students.
2. An increase of 2.2% is requested for the Preparatory Accounting courses for a fee of $473.96 inclusive of MAPS fee ($468.50 plus $5.46). Keeping the cost under $500 is important since the cost for these courses is minimal or free at other post-secondary institutions.

3. An increase of 4% for Accounting courses is recommended for a fee of $726.44 inclusive of MAPS fee ($715.52 plus $10.92). This adjustment still keeps the cost below those of York University, the University of Toronto, and Ryerson University.

4. A 2% increase is recommended for the Risk Management courses. Continuing Education recently made a significant investment to re-develop these courses. The requested fee is $753.48 inclusive of the MAPS fee ($742.56 plus $10.92).

5. A 2% increase is recommended for the courses in the Business Administration program. The requested fee is $712.68 inclusive of the MAPS fee ($701.76 plus $10.92).

6. A 5% increase is recommended for the courses that comprise the Canadian Payroll Management program. The course fee would be $607.32 inclusive of the MAPS fee ($596.40 plus $10.92).

7. A 5% increase is recommended for the Payroll Compliance Practitioner program. Initially, the courses in the program were priced lower than similar courses offered by Continuing Education. The increase would mean a cost of $607.32 inclusive of MAPS fee ($596.40 plus $10.92).

8. A 4.5% increase is recommended for courses in the Digital Marketing program. This is the first increase since the program launched. The recommended fee is $749.92 inclusive of the MAPS fee ($739.00 plus $10.92).

9. A 3% increase is recommended for the courses in the Web Design program. The requested fee is $852.43 inclusive of the MAPS fee ($841.51 plus $10.92). This fee is competitive with what Ryerson University charges for a comparable program.

10. An increase of 2.8% is requested for the courses in the Human Resources Management program. This fee positions the cost of the courses a little under what University of Toronto and York University charge. By comparison, Ryerson University and the colleges charge less. The investment that Continuing Education has made in program recently (e.g., experiential learning opportunities, webinar sessions, and new courses) has been favourably received. The requested cost for courses with the increase would be $738.92 inclusive of MAPS fee ($728 plus $10.92).

11. An increase of 2% is requested for Marketing courses. These courses have recently been re-developed to include an experiential learning component and thus offer greater value to students than previously. The adjusted cost of a course is $712.68 inclusive of the MAPS fee ($701.76 plus $10.92).

12. Working collaboratively with the Peter Boris Centre for Addictions Research and the Michael D. DeGroote Medicinal Cannabis Research Institute, Continuing Education launched the Science of Cannabis program is Spring 2019. Based on how well the program is being received but aware that
the cannabis education marketplace is becoming more crowded, a modest 3% increase is requested for each course. The proposed course fee is $863.76 inclusive of the MAPS fee ($852.84 plus $10.92).

No Increases for Existing Programs

1. Continuing Education’s Addictions program is now formally closed. The one fee that remains pertains to a practicum course which some students are completing. The fee for this course will not be increased and is $677.28 inclusive of the MAPS fee ($670.00 plus $7.28).

2. Fee changes are not recommended for the Preparatory Courses for the Big Data Analytics program nor for the courses in the Big Data Analytics program itself. Regarding the preparatory courses, McMaster’s course fee exceeds that of the competitors with college courses offered at rates of $310-$450. The cost of the preparatory courses will be $718.92 inclusive of the MAPS fee ($708.00 plus $10.92).

3. Course fees in McMaster’s Big Data Analytics program are the highest among our competitors with the exception of Ryerson’s course fee which is $98 higher. The cost of these courses will be $1051.92 inclusive of the MAPS fee ($1041.00 plus $10.92).

4. No increase is recommended for courses in the Business of Golf and Resort Management program. While enrolments are steady, it is a small program. The fee for 2020-2021 inclusive of the MAPS fee is $698.92 ($688.00 plus $10.92).

5. No increase is recommended for courses in the Creative, Critical, and Design Thinking program. At present, enrolments are low and an increase would not be appropriate. The fee for 2020-2021 inclusive of the MAPS fee is $698.92 ($688.00 plus $10.92).

6. Fees for both the Health Informatics and Health Informatics Management programs should remain the same. CCE does not wish to set course fees any higher given competitors’ fees. At present, Continuing Education’s fees are at the high end. Also, the Health Informatics program is undergoing a review. An adjustment of course fees may be appropriate after the review has been completed. The fee per course for both programs is $858.92 inclusive of the MAPS fee ($848 plus $10.92).

7. Course fees for the Metallurgy program should not be increased. This is a low enrolment-low interest program. The fee per course is $888.92 inclusive of the MAPS fee ($878 plus $10.92).

8. A fee increase is not recommended for courses in the Professional Addiction Studies program. The fees for this program were set only last year and are substantially higher than course fees in the previous addiction program. They are also higher than those of our main competitors. The course fee for 2020-2021 would, therefore, be $838.92 inclusive of the MAPS fee ($828.00 plus $10.92).
Other Information

The Leadership in Community Engagement is paused for the time being due to low enrolments.

While fees for the Opioid Treatment Management; Understanding, Gathering and Using Evidence; and Academic Writing programs were approved in 2018, these programs have not yet been offered. No increases are proposed for 2019-2020. As such, the involved course fees are as follows:

- **Opioid Treatment Management**: $838.92 inclusive of the MAPS fee ($828.00 plus $10.92)
- **Understanding, Gathering and Using Evidence**: $698.92 inclusive of the MAPS fee ($688.00 plus $10.92)
- **Academic Writing**: $698.92 inclusive of the MAPS fee ($688.00 plus $10.92)

**Other Fees Paid by Continuing Education Students**

<table>
<thead>
<tr>
<th>Fee</th>
<th>2020-2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Student</td>
<td>$39</td>
</tr>
<tr>
<td>Application (for programs with an application process)</td>
<td>$59</td>
</tr>
<tr>
<td>Transfer of Credit Fee</td>
<td>$59</td>
</tr>
<tr>
<td>Deferred Exam</td>
<td>$79</td>
</tr>
<tr>
<td>Transfer to 2nd Credential</td>
<td>$79</td>
</tr>
<tr>
<td>Pre-admission Test</td>
<td>$99</td>
</tr>
<tr>
<td>Request for Duplicate Parchment (Certificate or Diploma)</td>
<td>$49</td>
</tr>
</tbody>
</table>

Regarding the above, we are proposing increases to the following:

- The transfer of credit fee is being reduced from $99 to $59.
- An increase in deferred exam fee reflects the resources required to prepare materials for requesting students and to make relevant arrangements.
- Students are permitted to use courses completed for one credential for a second one as per McMaster University policy. The slight increase reflects the time and systemic work required to make changes in McMaster systems.
- In some instances, a pre-admission test is required for select programs.
- From time to time, graduates request a second copy of a credential.
CCE’s Refund Policy

For all in-person, online and online self-study courses:

- Full refund of fee up until day before (i.e., 11:59 the day before class starts) and 100% MAPS fee refund
- A 70% refund from the day of class start (12:01 am on start date) for a period of 0-14 days and 0% MAPS fee refund

Illustrative Market Survey Data

Although few competitors offer exact duplicates of McMaster’s CCE programs, we do assess the offerings of other universities, colleges, and professional associations. We also consider undergraduate courses as comparators and assess criteria including the following: length/number of hours, equivalency against external standards, program type, relative value of the credential, and the cost of living in the community in which the program is provided.

Overall, fees continue to be comparable to McMaster’s undergraduate course fees, they are less than Business courses ($935.49 for three-unit course, level 3). CCE’s fees are also similar to those of other university continuing education courses, and more expensive than those of colleges and professional association providers.

Tables 1 and 2 below provide current market comparators for select CCE programs and courses.

Table 1. Business and Accounting

<table>
<thead>
<tr>
<th>CCE Program</th>
<th>Comparator</th>
<th>Comparator Fees as per Fall 2019</th>
<th>Proposed CCE Fee 2020-2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Admin/ Business of Golf &amp; Resort Mgmt.</td>
<td>U of Toronto</td>
<td>$795</td>
<td>$712.68 incl. MAPS fee for Business Admin courses; $698.92 incl. MAPS fee for Business of Golf and Resort Management courses</td>
</tr>
<tr>
<td></td>
<td>Conestoga College</td>
<td>$386-588</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Mohawk College</td>
<td>$388-478</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Ryerson</td>
<td>$571-618</td>
<td></td>
</tr>
<tr>
<td>Human Resources Mgmt.</td>
<td>Ryerson</td>
<td>$642-795</td>
<td>$738.92 incl. MAPS fee for HRM courses</td>
</tr>
<tr>
<td></td>
<td>HRPA (Human Resources Professional Association)</td>
<td>$415 (non-member)</td>
<td></td>
</tr>
<tr>
<td>Digital Marketing</td>
<td>Athabasca</td>
<td>$847.25</td>
<td>749.92 incl. MAPS for Digital Marketing courses</td>
</tr>
<tr>
<td>Creative, Critical and Design Thinking</td>
<td>Queens</td>
<td>$695.00</td>
<td>$698.92 incl. MAPS fee for CCDT courses</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>-----------------</td>
<td>---------</td>
<td>----------------------------------------</td>
</tr>
<tr>
<td>Accounting</td>
<td>CPA Ontario</td>
<td>$500-$700</td>
<td>$726.44 incl. MAPS fee for 3.0 unit course</td>
</tr>
<tr>
<td></td>
<td>Guelph</td>
<td>$750</td>
<td>$726.44 incl. MAPS fee for 3.0 unit course</td>
</tr>
<tr>
<td></td>
<td>York</td>
<td>$725-$774</td>
<td>$726.44 incl. MAPS fee for 3.0 unit course</td>
</tr>
<tr>
<td></td>
<td>Sheridan College</td>
<td>$699</td>
<td>$726.44 incl. MAPS fee for 3.0 unit course</td>
</tr>
</tbody>
</table>

Table 2. Health and Social Sciences

<table>
<thead>
<tr>
<th>CCE Program</th>
<th>Comparator</th>
<th>Comparator Fees as per Fall 2019</th>
<th>Proposed CCE Fee 2020-2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional Addiction Studies</td>
<td>Ryerson</td>
<td>$559.09 per term course $2200 for term of six courses or $372 per course $2500 for term of seven courses or $357 per course</td>
<td>$838.92 incl. MAPS fee</td>
</tr>
<tr>
<td></td>
<td>Humber College</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Durham College</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Science of Cannabis</td>
<td>Ryerson School</td>
<td>$945.90 for course called Trends in Cannabis Science</td>
<td>$863.76 incl. MAPS fee</td>
</tr>
<tr>
<td>Applied Clinical Research</td>
<td>Western</td>
<td>$6,800 for certificate program (10 courses x $680 per course) $7,154 for program (12 courses x $596 per course) $7429 for program (domestic fee) (12 courses x $619 per course)</td>
<td>$879.92 incl. MAPS fee</td>
</tr>
<tr>
<td></td>
<td>Humber College</td>
<td>$7,154 for program (12 courses x $596 per course)</td>
<td>($4,399.60 for program of five courses)</td>
</tr>
<tr>
<td></td>
<td>Seneca College</td>
<td>$7429 for program (domestic fee) (12 courses x $619 per course)</td>
<td></td>
</tr>
<tr>
<td>Health Informatics</td>
<td>Ryerson (Chang School)</td>
<td>$800-900 range per course</td>
<td>$858.92 incl. MAPS fee</td>
</tr>
<tr>
<td>College</td>
<td>Fee</td>
<td></td>
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<td>-------------------------</td>
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<td></td>
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<tr>
<td>CD-ED College (A private college)</td>
<td>$558.00 term per course</td>
<td></td>
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<tr>
<td>CHA Learning</td>
<td>$548.00 per course</td>
<td></td>
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<tr>
<td>George Brown</td>
<td>$402.00 per course</td>
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<tr>
<td>Conestoga</td>
<td>$661.43 per course</td>
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<td></td>
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<tr>
<td>SAIT</td>
<td>$353.00 per course</td>
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</tbody>
</table>
## CCE Tuition Fee Schedule

**2020-2021**

### 2018/2019 Fiscal Year

<table>
<thead>
<tr>
<th>Units</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>CCE Programs:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applied Clinical Research: online</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Accounting: Preparatory</td>
</tr>
<tr>
<td>1.5</td>
</tr>
<tr>
<td>Accounting: online</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Addictions: in-class (weekly or block)</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Addictions: in-class (weekly or block)</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>Addictions: Practicum</td>
</tr>
<tr>
<td>2</td>
</tr>
<tr>
<td>Addictions: SelfStudy</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Addictions: SelfStudy</td>
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<tr>
<td>2</td>
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</tbody>
</table>

### 2019/20 Fiscal Year

<table>
<thead>
<tr>
<th>Units</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
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<tbody>
<tr>
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</tbody>
</table>

| The Associateship in Canadian Surety Bonding Certificate |
| 3 | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | $784.08 | 0.0% | $10.92 | $794.92 |

### 2020/21 Fiscal Year

<table>
<thead>
<tr>
<th>Units</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>CCE Programs:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resources Management: in-class</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Marketing: in-class</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Marketing: online</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Metallurgy: online</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Web Design: Online</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Payroll/Compliance Practitioner</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Professional Addiction Studies</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Upward Treatment Management</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Professional Communication in the Cdn Workplace</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Underwriting, Gathering, and Using</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Academic Writing</td>
</tr>
<tr>
<td>3</td>
</tr>
</tbody>
</table>

### MAPs Essential Fees: 3.64 per unit

### CCE Administered Programs

<table>
<thead>
<tr>
<th>Units</th>
<th>Tuition</th>
<th>% Increase</th>
<th>MAPs Fee</th>
<th>Total Fee</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CCE Administered Programs:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Research Associate: in-class: Intro Course only</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Clinical Research Associate: in-class: Other Courses</td>
</tr>
<tr>
<td>3</td>
</tr>
<tr>
<td>Ogweh:weh Six Nations Language Program</td>
</tr>
<tr>
<td>6</td>
</tr>
</tbody>
</table>
McMaster Innovation Park - Strategy Map

July 30, 2019

Vision
To be internationally recognized as a thriving hub for innovation, commercialization and entrepreneurship aligned with the research strengths and priorities of McMaster University.

Mission
To be a bridge between research and industry - to leverage the resources and capabilities of McMaster University and the community to foster and accelerate the innovator's journey from ideation to business reality.

Financial Perspective
Support economic growth of our community via the success and expansion of our companies.

Economic Growth
Company Growth
Build profitable and high-growth companies (MIP), including MIP-10.

Portfolio Growth
Develop an asset portfolio that maximizes MP shareholder value.

Customer Perspective
Provide solutions and a new environment for our companies, partners and ecosystem to our customers.

The Innovator's Journey

Process Perspective
MIP delivers all of our services through the lens of the MIP Experience where MIP is the trailhead, your compass, your guide, your partner, and the one-stop-shop for the resources and tools necessary to start and successfully complete the innovation journey.

Attract New Companies
- MIP is the Innovation Trailhead - the journey starts @MIP.
- A strong destination brand that is part of a network of research parks.
- MIP has an awareness of emerging opportunities.
- Outside world needs awareness of MIP & its offerings.
- Selection criteria for achieving broad appeal.
- Identify and select partners.
- Available spaces for new tenants completed.

Support Existing Companies
- MIP is a Guide: a Trusted and a Safety Business - a one-stop shop for resources and support necessary to grow including amenities, facilities, and services.
- Provide Class A facilities and associated services.
- When possible, we buy or lease our products and services for our tenants.
- The MIP brand plan cache to our tenant companies.
- Critical to success of tenant companies.
- MIP is a place to live, work, play, network, learn and pursue businesses objectives.

Build Business Partnerships
- MIP is a Business Partner - a recognized asset to the community and industry.
- MIP is a part of a network of research parks.
- MIP is a part of a network of research parks.
- MIP is a trusted advisor to its partners.
- MIP is a place to live, work, play, network, learn and pursue business objectives.

Foster an Innovation Culture
- MIP is a Leader - a hub/center of the innovation culture in the city, region, and the world.
- MIP is a showcase for creators and innovators of all ages.
- MIP operates on a collaborative and open platform.
- MIP is a showcase for creators and innovators of all ages.
- MIP is a showcase for creators and innovators of all ages.

Practice Good Governance
- MIP is part of McMaster University - a showcase for how collaborative interactions between academic and business can create a better world.
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Learning and Growth Perspective
Our people and our partnerships, empowered by knowledge, data and passion, are the building blocks of MIP.

Human Capital
Enhance Skills, training, and knowledge to:
- Make our company the cutting-edge company around the innovator's journey.
- Enhance our efficiency and effectiveness.
- After receiving patents or other intellectual property, they can be used to advantage.
- Foster a culture of learning.
- Foster a culture of learning.
- Foster a culture of learning.

Intellectual Capital
Leverage MIP and McMaster's Intellectual Capital to:
- Solve industry's biggest problems.
- Learn what industry's biggest challenges.
- Leverage intellectual property to advantage.
- Identify and leverage intellectual property for commercialization.
- Identify and leverage intellectual property for commercialization.
- Identify and leverage intellectual property for commercialization.

Information Capital
Utilize Data, Analytics, and Systems to:
- Make data-driven decisions easier.
- Better communicate within the team and with the world.
- Better understand our customers through data.
- Enhance our strategic relationships to:
- Leverage data-driven decisions to make different decisions.
- Better understand our customers.
- Better understand our customers.
- Better understand our customers.

Social Capital
Enhance Strategic Relationships to:
- Leverage data-driven decisions to make different decisions.
- Better understand our customers.
- Better understand our customers.
- Better understand our customers.

Financial Capital
Enhance our Financial Literacy to:
- Leverage data-driven decisions to make different decisions.
- Better understand our customers.
- Better understand our customers.
- Better understand our customers.
## McMaster Innovation Park - Balanced Scorecard

**August 22, 2019**

### Vision
To be internationally recognized as a thriving hub for innovation, commercialization and entrepreneurship aligned with the research strengths and priorities of McMaster University.

### Mission
To be a bridge between research and industry - to leverage the resources and capabilities of McMaster University and the community to foster and accelerate the innovator’s journey from ideation to business reality.

<table>
<thead>
<tr>
<th>Strategic Priorities</th>
<th>Measures</th>
<th>Targets</th>
<th>Projects/Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increase MIP’s Density &amp; Diversity</td>
<td>- EBITDA</td>
<td>- $500M</td>
<td>CBRE has been engaged to conduct a market evaluation of the buildings and land</td>
</tr>
<tr>
<td>Promote &amp; Animate the Innovation Ecosystem</td>
<td>- Asset Value of Buildings</td>
<td>- $101,120M</td>
<td>Sarah L. from CBRE has been engaged to conduct a MIP economic impact analysis</td>
</tr>
<tr>
<td>Attract Growth Capital</td>
<td>- Asset Value of Land</td>
<td>- $52,508M</td>
<td></td>
</tr>
<tr>
<td>- Jobs created</td>
<td>- Approx 120 additional jobs</td>
<td>- 80 Companies</td>
<td></td>
</tr>
<tr>
<td>- Tenant Population</td>
<td>- 100% occupancy</td>
<td>- 50% anchor, 40% scallop,</td>
<td></td>
</tr>
<tr>
<td>- # Visitors</td>
<td>- 100 active tenants</td>
<td>- 100% startup</td>
<td></td>
</tr>
<tr>
<td>- Square Feet</td>
<td>- 40,000 annual visitors</td>
<td>- 500 active tenants</td>
<td></td>
</tr>
<tr>
<td>- Occupancy Rates</td>
<td>- 532,000 square feet</td>
<td>- 40,000 annual visitors</td>
<td></td>
</tr>
<tr>
<td>- 29% space occupied</td>
<td></td>
<td>- 92,000 square feet</td>
<td></td>
</tr>
</tbody>
</table>

### Strategic Objectives

#### Financial
- Economic Growth
- Company Growth
- Portfolio Growth

#### Customer
- Co-Locate (provide space)
- Connect (promote visibility)
- Commercialize (impact business)

#### Process
- Support Existing Companies
- Build Business Partnerships
- Foster Innovation Culture
- Practice Good Governance
- Leasing Pipeline
- # Events Held
- # MIP@ Locations
- # of Colleagues Processed
- Lean Variance to Budget

#### Learning & Growth
- Enhance Skills, Training & Knowledge
- Leverage Intellectual Capital
- Utilize Data, Analytics and Systems
- Enhance Strategic Relationships
- Enhance our Financial Literacy
- Staff Training
- # of McMaster interactions
- Measure of dashboard integration
- # Industry related events
- 100% staff complete one conversation/interaction related to their position or for growth
- 5 total introductions to industry with or without outcomes - 2 positive outcomes
- Initial dashboard in place with training complete
- 12 events in the Conference Facility related to MIP tenant or McMaster strengths

#### Our people and our partnerships, empowered by knowledge, data and passion are the building blocks of MIP.
Strategic Priorities & Action Plans

1. Increase MIP’s Density & Diversity
   - Enable spatial alchemy @MIP by developing the park and attracting more types and sizes of the companies.

2. Promote & Animate the Innovation Ecosystem
   - Position MIP and the broader Hamilton area as a global leader of research and innovation.

3. Attract Growth Capital
   - Fuel the growth of MIP and companies @MIP by attracting commercial and non-dilutive capital.

Events:

- Engaged McCallum Sather to develop a revised Master Plan for the park
- Goal is to develop a financeable plan that meets stakeholder needs
- Engaged The Laundry to develop a refreshed brand
- More modern brand that is connected with but separate from McMaster
- Engaged KMPG as an investment bank to raise the capital to build out the park
- More fully engaged investment community for our ventures
REPORT TO THE BOARD OF GOVERNORS
from the
REMUNERATIONS COMMITTEE

i. Tuition Bursary Policy

At its meeting on December 6, 2019, the Remunerations Committee reviewed and approved, proposed revisions to the Tuition Bursary Program for Dependents and Spouses Policy. Details of the proposed revisions are contained within Attachment I of the circulated report.

The Remunerations Committee now recommends,

that the Board of Governors approve revisions to the Tuition Bursary Program for Dependents and Spouses Policy, as set out in the attached.
1. INTENT

McMaster University is dedicated to the pursuit of lifelong learning and skill development. The Tuition Bursary Program for Dependents and Spouses (the “Program”) offers tuition reimbursement to eligible dependents and spouses of Employees, under the terms and conditions below, to assist in furthering the education of eligible dependents and spouses.

2. DEFINITIONS

For the purpose of this Policy the following definitions shall apply:

- **An Employee** is an individual who:
  - is employed on a full-time continuing basis or on a contractually limited basis and who works at least one-half the normal full-time hours; and
  - has completed at least 3 years of continuous service with the University by the first day of the Academic Session for which the bursary is being applied.

- **An Eligible Dependant** is an Employee’s unmarried Child who:
  - is not an Employee of the University; and
  - is under the age of 21; or
  - is under the age of 25, a Full-time Student, and wholly dependent upon the Employee for support; or
  - is under the age of 25, a Part-time Student due to an academic accommodation, and wholly dependent on the Employee for support; or
  - is over the age of 25 but for reasons of disability is chiefly dependent on the Employee for Support and maintenance, provided satisfactory supporting documentation is submitted to Human Resources Services.

- **A Child** is a person for whom the Employee has custody or legal financial responsibility.
• An **Eligible Spouse** is a person who:
  o is not an Employee of the University; and
  o is an Employee’s spouse by marriage or under any other formal union recognized by law, or an Employee’s partner who has been publicly represented as the Employee’s spouse for at least the last 12 months.

• An **Eligible Institution** is an accredited institution in Canada that is:
  o an undergraduate and/or graduate degree granting university; or
  o a diploma granting community college.

• An **Academic Year** is the period from September 1 to August 31.

• An **Academic Session** is a period of study within a Term. Each term may have multiple sessions. For example, the Summer session runs from June to August within the Spring/Summer term.

• A **Term** is a period within the Academic Year. The Academic Year will have three Terms that may have multiple Sessions within them. For example: Fall Term (September-December), Winter Term (January-April), and Spring/Summer Term (May-August).

• A **Full-time Student**, for academic purposes, is an undergraduate student who is registered in at least 9 units in a term, including extra courses. Full-time status for students in the Faculty of Science and Engineering Co-op programs is granted to those students registered in at least 9 units in a term.

• A **Part-time Student**, for academic purposes, is an undergraduate student who is registered in fewer than 9 units in a term, including extra courses.

• An **External Bursary Eligible Employee Group** is:
  o McMaster University Faculty Association (MUFA), provided the Employee is eligible to participate in the Career Progress / Merit program;
  o Senior Administrative Leaders (SAL); or
  o The Management Group (TMG)

3. **ELIGIBILITY**

The Program is available to each Eligible Dependant and Eligible Spouse of:

a. an Employee as defined by this Policy; and

b. a Retired Employee as defined in the Definition of Retirement for Determination of Eligibility for Supplemental Benefits for Retirees of McMaster University or deceased employee who met the definition of Employee as set out in this Policy at the time of their retirement or death.

4. **COURSES AND PROGRAMMES COVERED**

a. **McMaster University Courses**

The Program applies only to those courses taken as required to support the completion of an undergraduate or graduate degree offered by McMaster University for which the Board of Governors sets the fees. From time to time, upon approval from Provost, specific non-degree programmes may become eligible for this Program.
b. **Courses External to McMaster University (only applicable to External Bursary Eligible Employee Groups)**

Notwithstanding 4(a) above, for an Employee who is also a member of an External Bursary Eligible Employee Group, the Program extends to include those courses taken by an Eligible Dependant or Eligible Spouse as required to support their completion of a college diploma program (of 2 or 3 years in duration), undergraduate or graduate degree at an Eligible Institution, other than McMaster.

5. **INELIGIBLE EXPENSES**

The following are not eligible for reimbursement under the Program:

a) The cost of certificate courses, exam preparation courses, McMaster University’s Centre for Continuing Education courses, conferences, seminars, webinars and workshops.

b) The cost of books, instructional materials and supplies; courses cancelled or withdrawn by the student; late registration; supplemental fees; tax, administrative charges; travel; accommodation, or other incidental expenses.

c) Courses taken prior to the current Academic Year.

6. **VALUE**

a. **McMaster University Courses**

The maximum value of the tuition bursary benefit for McMaster courses is reviewed annually. Current year benefit amounts are provided online at hr.mcmaster.ca/tuitionbenefit

b. **Non-McMaster University Courses (only applicable to External Bursary Eligible Employee Groups)**

i. The annual bursary pool for each of the MUFA, SAL and TMG employee group and maximum bursary per Eligible Dependant and Eligible Spouse is reviewed each July and can be found at:

https://hr.mcmaster.ca/tuitionbenefit

ii. There is no carry forward of unused bursary pool funds to the subsequent Academic Year.

iii. Each Eligible Dependant and Eligible Spouse is eligible for one bursary payment each Academic Year. For clarity, if two Employees have the same Eligible Dependant, the Eligible Dependant will only be eligible for one bursary under the Program.

iv. An Eligible Dependant or Eligible Spouse who receives a bursary benefit for McMaster University courses will not be eligible to receive a bursary benefit for non-McMaster University courses in the same Academic Year for which a bursary for McMaster University courses was received.

7. **CESSATION OF EMPLOYMENT**

Except as provided by 3(a) above or where provided by a collective agreement, an Employee must be employed at the time the bursary benefit is issued in order for the Employee’s Eligible Dependant and/or Eligible Spouse to receive the bursary benefit.
Should an Employee’s employment cease with the University for reasons other than retirement or death, the recipient will retain the bursary to the first of the following dates coincident with or immediately following the end of employment: December 31, April 30, or August 31.

8. TAX IMPLICATIONS

McMaster University will report bursary amounts received by an Eligible Dependant or Eligible Spouse to that individual on a T4A slip by the last day of February of the calendar year following the calendar year in which the bursary amount is issued. The Eligible Dependant or Eligible Spouse will be responsible for paying any applicable income tax and should consult their personal income tax advisor for guidance accordingly.

9. PROCEDURE

Tuition Bursary Procedure for McMaster University Courses

- A completed application form for the Tuition Bursary for Dependents and Spouses must be completed by the Employee and submitted to Human Resources Services within 30 days of course/programme registration.

- Human Resources Services will review all completed applications and calculate the bursary amount for each Eligible Dependant and Spouse. Reimbursements will be applied to the student account of each Eligible Dependant and Spouse.

Tuition Bursary Procedure for Courses External to McMaster University (only applicable to External Bursary Eligible Employee Groups)

- A completed application form for the Tuition Bursary for Dependents and Spouses and the supporting documents listed below must be received by Human Resources Services by no later than the earliest of August 31, December 31, or April 30, following course and/or programme registration.

- The following supporting documents must be submitted along with the completed application form:
  - Proof of enrolment of the Eligible Dependant or Spouse at an Eligible Institution; and
  - Proof that the courses are required to support the Eligible Dependant or Eligible Spouse in their completion of an undergraduate or graduate degree, or a college diploma program (of 2 or 3 years in duration).

- Human Resources Services will review all completed applications and confirm eligibility for the bursary benefit for each Eligible Dependant and Eligible Spouse.

- By no later than September 30 following the Academic Year ending August 31, the following supporting documents must be received by Human Resources Services:
  - Proof of payment of tuition for the courses and/or programmes submitted for reimbursement; and
  - Proof of completion of the courses and/or programmes.

- Following September 30, Human Resources Services will review submissions and will confirm the bursary benefit amount to be issued. The bursary benefit will be issued directly to Eligible Dependents and Eligible Spouses.
Related Procedures or Documents

- Collective Agreements
- Definition of Retirement for Determination of Eligibility for Supplemental Benefits for Retirees of McMaster University
- Tuition Bursary Procedure Guide
- Tuition Bursary Application Form
- Income Tax Act
McMaster University Nuclear Reactor

MNR Risk Management Overview
Overview

• McMaster Nuclear Reactor is Canada’s largest research reactor supporting Researchers, Students, Industries and Patients around the world
• Nuclear Risk Management approach similar to risk management in other industries
• MNR follows National and International Standards and Regulations to manage risk to acceptable levels
• Emergency Management used to mitigate “Beyond Design Basis Accidents”
• Like all Risk Management cycles, continuous improvement is embedded in the strategy used at MNR
McMaster Nuclear Reactor

- Only *self-funded* research reactor in the world
- *Researchers & students* are our *shareholders*
- 5 MW *licenced* power
- Currently 3MW 16x5
- Full containment building for *safety* and *security*
- *Flexible* research and education tool
- Current *ten year* Operating Licence (2024)
- Operating *efficiency* = 80%
McMaster’s Nuclear Reactor – Safety Risk

Over 25 different irradiations can take place simultaneously

- Neutron Activation Analysis, Dry Tube Irradiation, RIFLS Irradiations
- BP 1 & 2 Neutron Radiography Commercial: NRay
- BP 3 Prompt Gamma
- BP 4 SANS facility
- BP 5 MIPBF facility
- BP 6 Condensed Science Research
- Medical Isotope Production Sites: 7A, 7D, 7F, 5C, 3D, 2A

Research
Revenue generating
Research and revenue generating
McMaster Nuclear Reactor
2018 Quick Facts

- 7,000 Research hours
- 60,000 Patients treated
- 25 Universities supported
- 40 Countries supplied
- 100,000 Aircraft parts qualified
- 6 Emerging medical technologies
- 3,500 Visitors
- 16,000 Mining assays
Risk Management is Similar in many Industry

Safety Mandate:
Protect Workers
Protect the Public
Protect the Environment
Risk Management applied at MNR

Identify Risk

While all conventional safety risks are evaluated at MNR, the primary focus of this review is the protection of workers, the public and the environment from the effects of ionizing radiation (primarily from fission products).
MNR Core Inventory

- MNR small reactor small fission product inventory

Risk we need to manage

**Linear Scale**
Ring areas are proportional to radioactivity of fission product groups

Whole area is proportional to total radioactivity of volatile fission products

- Short Lived Noble Gases
- Short Lived Iodine & Caesium
- Long Lived Caesium
- Long Lived Noble Gases

Risk we need to manage

MNR

Pickering B
Risk Management applied at MNR

**Analyse Risk**

National & International Regulations used for Safety Analysis and Defence-In-Depth Analysis

SAR - looks at frequency of events, mitigating factors, design, automatic systems, climatology... to determine impacts

DID – Barrier review of physical and administrative features

Risk Goal based on safety to members of the public
SAR results in Design Basis

<table>
<thead>
<tr>
<th>Frequency- Occurrences per reactor-year</th>
<th>Individual Limit milli-sievert</th>
</tr>
</thead>
<tbody>
<tr>
<td>$F \leq 3 \times 10^1$</td>
<td>0</td>
</tr>
<tr>
<td>$3 \times 10^1 &gt; F \leq 1 \times 10^2$</td>
<td>1</td>
</tr>
<tr>
<td>$1 \times 10^2 &gt; F \leq 1 \times 10^4$</td>
<td>10</td>
</tr>
<tr>
<td>$1 \times 10^4 &gt; F \leq 1 \times 10^6$</td>
<td>100</td>
</tr>
</tbody>
</table>

Events resulting in an individual dose exceeding the accepted threshold below which there are no health effects cannot exceed one event per one million years.

*MNR analysis puts the frequency of such an event - orders of magnitude higher (> 10E+8)*
Risk Management applied at MNR

Plan Action

Starts with Facility Design

Implemented through Conduct of Operations

Backed up by Emergency Planning
Design Features

**Fail-Safe Philosophy**

- Every contact in every relay designed to fail-safe (shutdown the reactor, seal the building, sound an alarm, etc. . . .)
- Loss of power – shutoff rods drop by gravity into the core to shutdown reactor
- Subcooled pool water flows by gravity through reactor core
  - Downward flow is passive
Design Features

**Fail-Safe Philosophy**

- Full Containment Building (not required for research reactors)
- Negative temperature reactivity coefficient (as temperature (power) rises reactor becomes less reactive (shuts down))
- No electrical power required to maintain the reactor in a safe shutdown state
- Benign temperature, pressure and chemical conditions

*MNR buildings and structures effectively shield against radiation*
Risk Management applied at MNR

Implement Risk Management Strategy

Align operations with safe work practises to manage and mitigate risks

Develop Staff for success

Maintain systems to meet design goals
Risk Management Implementation

- 2 Internal Oversight Committees
- 30 Automatic reactor shutdowns
- 2,500 Training hours to become a Reactor Operator
- 15 Safety and Regulatory KPIs for 2019
- 11 Safe Operating Policies
- 350 Approved Operating Procedures
- 500 Hours of training delivered each year
- 20M Safety checks annually
Risk Management applied at MNR

Monitor & Control

- 6 Internal Audits annually
- 3 External Inspections
- ~50 Reports annually
- Weekly Management Meetings
- 15 Oversight Meetings
- Active Operational Experience program (looks at internal and external events for lessons learned)
- Quality Management System for document control, non-conformance reporting, corrective action planning, training
- Numerous drills, exercises, table top reviews completed
Risk Management applied at MNR

- Results from Monitoring & Controls
- Opportunity for improvement
- Corrective Actions Developed
- CAPs tracked to completion

MNR Practices on-going continuous improvement
Summary

- McMaster Nuclear Reactor is an important Canadian Asset
- The Risk Management approach at MNR is similar to other industries, employing national and international standards to identify, assess and manage risk
- Continuous Improvement is a key strategy for success
- Emergency Preparedness used to manage the unforeseen (Beyond Design Based Incidents)
Dr. Karen Mossman
Acting Vice-President, Research
McMaster University
Student Mental Health
Sean Van Koughnett
Associate Vice-President (Students and Learning) & Dean of Students
Board of Governors
December 12, 2019
Major Themes

- Mental health is a complex, multi-faceted, sectoral and societal issue.
- De-stigmatization and access to PSE has impacted demand for services.
- Pre-existing conditions impact demand and student success.
- Gaps in the health care system for “emerging adults”.
- The role and responsibility of PSE in delivering health care is an evolving discussion.
National College Health Assessment (NCHA)
2019 Survey results for McMaster University

In the last two weeks:

- 27.0% felt things were hopeless
  - (36.1% “never” or not in past year)
- 33.9% felt very lonely
  - (28.9% “never” or not in past year)
- 36.4% felt very sad
  - (24% “never” or not in past year)
- 19.1% felt so depressed it was very difficult to function
  - (50% “never” or not in past year)
Counselling and Psychiatry Visits
McMaster Student Wellness Centre

<table>
<thead>
<tr>
<th>Year</th>
<th>Appointments</th>
<th>Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012-13</td>
<td>8000</td>
<td>2000</td>
</tr>
<tr>
<td>2013-14</td>
<td>9000</td>
<td>2500</td>
</tr>
<tr>
<td>2014-15</td>
<td>10000</td>
<td>2000</td>
</tr>
<tr>
<td>2015-16</td>
<td>9500</td>
<td>1500</td>
</tr>
<tr>
<td>2016-17</td>
<td>10500</td>
<td>1800</td>
</tr>
<tr>
<td>2017-18</td>
<td>13000</td>
<td>2500</td>
</tr>
<tr>
<td>2018-19</td>
<td>16000</td>
<td>3000</td>
</tr>
</tbody>
</table>
Building capacity

- New Student Wellness Centre in Peter George Centre (2019)
- Established Student Support and Case Management Office (2016)
- 136% increase in the operating fund allocation to Student Accessibility Services (2017-2021)
- Expanded accommodated test/exam centre (2020)
- Mental health education for front line staff, instructors and students
- Student Navigator pilot program (2019)
Systemic and holistic approach to health and well-being

- Minimize social isolation
  - Expand and strengthen residence communities
  - Expand student community spaces
- Promote physical health and expand space for physical activity
- Improve financial literacy and support
- Focus on the learning environment
  - curriculum design, teaching, assessment
McMaster University is committed to creativity, innovation and excellence. We value integrity, quality, inclusiveness and teamwork in everything we do. We believe that our people are our most valuable resource and aim to support and enable a safe, engaging and rewarding work culture – one that enables every person to bring their best to the workplace everyday. At McMaster, we take an integrated approach to health and wellbeing, with various campus and community support available to help faculty and staff flourish in their personal and professional lives.

Human Resources takes a systemic, preventative and holistic approach to overall employee well-being, including numerous mental health initiatives.

**Promotion**
- Okanagan Charter - confirms and promotes McMaster’s commitment to health and well-being
- Numerous policies, programs and initiatives to enable a positive workplace culture, including McMaster’s Health and Safety policy
- Comprehensive approach to employment equity – Canada’s Top Diversity Employer in 2019
- Healthy Workplace Committee established in 2002
- Mental health education programs, including Mental Health First Aid targeted for supervisors and employees who may work with students (approximately 500 trained to date)
- New Employee Resiliency Training; Online self-care tools

**Prevention**
- Psychological Health and Safety National Standard (13 factors) adopted into programming
- Significant enhancements to mental health benefits provided to employees for treatment received from psychologists, psychotherapist and social workers
- Employee & Family Assistance Program delivered through Homewood
- Collaborating with campus partners to build a healthy campus, e.g. Thrive Week
- Employee engagement programming and initiatives within faculties and departments
- Opportunities for community involvement (Office of Community Engagement; TMG Day of Service, etc.)

**Intervention**
- Workplace restoration and reintegration support routinely provided
- Supporting employees in distress: Responding with Respect (3Rs)
- Coordinated crisis response between Employee Health, Employee/Labour Relations, Security Services, employee groups and our EFAP provider.
- Partnership with Student Affairs on complex matters where students are also employees
- Increasing numbers of requests for medical accommodations, leaves and return to work support
- Recent increased number and complexity of workplace investigations – requiring thoughtful, holistic approach to support individuals, and impact on the work environment
McMaster has a variety of employee groups, with eligibility for salary continuance, long term disability, Employee and Family Assistance Program (EFAP), and extended health benefits, all varying by group. Generally, the information below is based on an employee population of approximately 8000. Human Resources partners with Student Affairs on many matters where students also have an employment relationship. (These individuals would not be captured in the data below but in Student Affairs data).

**Salary Continuance**

<table>
<thead>
<tr>
<th>Year</th>
<th>Salary Continuance Claims</th>
<th>Percentage of Mental Health Claims</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019 (Q1 and Q2 only)</td>
<td>108</td>
<td>30% or 32 claims</td>
</tr>
<tr>
<td>2018</td>
<td>193</td>
<td>28% or 54 claims</td>
</tr>
<tr>
<td>2017</td>
<td>208</td>
<td>* 27%</td>
</tr>
<tr>
<td>2016</td>
<td>180</td>
<td>* 28%</td>
</tr>
</tbody>
</table>

* For 2016 & 2017 tracking was by diagnosis, not by number of claims, there can be multiple diagnosis for 1 claim

**Long Term Disability**

<table>
<thead>
<tr>
<th>Year</th>
<th>Approved Sun Life LTD Claims</th>
<th>Percentage of Mental Health Claims</th>
</tr>
</thead>
<tbody>
<tr>
<td>2019 (Q1 and Q2 only)</td>
<td>11</td>
<td>not yet available</td>
</tr>
<tr>
<td>2018</td>
<td>21</td>
<td>33% or 7 claims</td>
</tr>
<tr>
<td>2017</td>
<td>24</td>
<td>33% or 8 claims</td>
</tr>
<tr>
<td>2016</td>
<td>27</td>
<td>37% or 10 claims</td>
</tr>
</tbody>
</table>

**Employee and Family Assistance Program Utilization**

<table>
<thead>
<tr>
<th>Year over Year</th>
<th>Service Utilization</th>
<th>Counselling Services Cases (May-June)</th>
<th>Coaching Cases (May-June)</th>
<th>Crisis Cases (May-June)</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 2019 - June 2019</td>
<td>10.75%</td>
<td>127</td>
<td>36</td>
<td>6</td>
</tr>
<tr>
<td>May 2018 - April 2019</td>
<td>11.40%</td>
<td>499</td>
<td>183</td>
<td>26</td>
</tr>
<tr>
<td>May 2017 - April 2019</td>
<td>12.66%</td>
<td>566</td>
<td>186</td>
<td>10</td>
</tr>
<tr>
<td>May 2016 - April 2019</td>
<td>12.25%</td>
<td>467</td>
<td>128</td>
<td>8</td>
</tr>
</tbody>
</table>

**Absence Management and Accommodation Requests**

<table>
<thead>
<tr>
<th>Year</th>
<th>Salary Continuance Claims</th>
<th>Sick Leave Claims</th>
<th>WSIB Claims</th>
<th>Accommodation Requests</th>
<th>Total Workplace Accommodation/ RTW Facilitated by HR</th>
</tr>
</thead>
<tbody>
<tr>
<td>to Sept 30, 2019</td>
<td>172</td>
<td>62</td>
<td>90</td>
<td>33</td>
<td>357</td>
</tr>
<tr>
<td>2018</td>
<td>193</td>
<td>85</td>
<td>126</td>
<td>83</td>
<td>488</td>
</tr>
<tr>
<td>2017</td>
<td>208</td>
<td>82</td>
<td>99</td>
<td>45</td>
<td>434</td>
</tr>
<tr>
<td>2016</td>
<td>180</td>
<td>76</td>
<td>107</td>
<td>73</td>
<td>436</td>
</tr>
</tbody>
</table>