

AGENDA

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

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Full Time and Part Time Undergraduate Enrolment by Faculty, Department and Level, as of November 1st.

FACULTY		2020/2021										2021/2022											
		Fall										Fall											
		Full Time							Part Time			Grand Total	Full Time							Part Time			Grand Total
		I	II	III	IV	V	OTHER	Total	Total	Total	I		II	III	IV	V	OTHER	Total	Total	Total			
BUSINESS		1067	930	824	851		2	3674	67	67	3741	1050	1022	914	810		11	3807	75	75	3882		
ENGINEERING	BACHELOR OF TECHNOLOGY	254	275	400	502			1431	265	265	1696	299	233	464	528			1524	314	314	1838		
	CHEMICAL ENGINEERING		90	79	88		37	294	9	9	303		76	74	86	32		268	11	11	279		
	CIVIL ENGINEERING		134	140	149	31		454	4	4	458		137	124	150	29		440	11	11	451		
	COMPUTING & SOFTWARE	132	262	260	299	36		989	37	37	1026	190	352	271	307	43		1163	39	39	1202		
	ELECTRICAL & COMPUTER ENGINEERING		239	277	293	33		842	30	30	872		279	211	292	39		821	45	45	866		
	ENGINEERING PHYSICS		62	64	49	6		181	6	6	187		70	51	59	11		191	9	9	200		
	FACULTY OF ENGINEERING	1079					1	1080	20	20	1100	958	1				1	960	22	22	982		
	IBEHS	190	127	109	65			491	1	1	492	173	149	121	103	38		584	6	6	590		
	MATERIAL SCIENCE & ENGINEERING			45	46	42	4		137	5	5	142		57	46	38	2		143	5	5	148	
	MECHANICAL ENGINEERING		179	150	184	48		561	19	19	580		163	173	171	38		545	17	17	562		
ENGINEERING TOTAL		1655	1413	1525	1671		1	6460	396	396	6856	1620	1517	1535	1734	232	1	6639	479	479	7118		
HEALTH SCIENCES	ANAESTHESIOLOGY						56	56		56							64	64			64		
	BACHELOR HEALTH SCIENCES	274	267	254	210			1005	6	6	1011	229	281	261	225		4	1000	3	3	1003		
	BIOCHEMISTRY & BIOMEDICAL SCI			57	56			113			113			58	59			117	2	2	119		
	COLLABORATIVE NURSING	246	409	350	297			1302	41	41	1343	243	361	349	355			1308	59	59	1367		
	FAMILY MEDICINE						222	222			222						215	215			215		
	HEALTH RESEARCH METHODS, EVIDENCE AND IMPACT						2	2			2						3	3			3		
	HONOURS BIOLOGY & PHARMACOLOGY (BIOPHARM)			16	5	13		34			34			19	3	20		42			42		
	IBEHS		21	34	24			79			79		36	18	32	18		104			104		
	MEDICINE						345	345			345						362	362			362		
	MIDWIFERY	31	31	27	26			115			115	41	45	37	35			158	1	1	159		
	MULTIPLE DEPARTMENTS						4	4			4						6	6			6		
	OBSTETRICS & GYNECOLOGY						45	45			45						49	49			49		
	ONCOLOGY						27	27			27						30	30			30		
	PATHOLOGY & MOLECULAR MEDICINE						24	24			24						31	31			31		
	PEDIATRICS						103	103			103						104	104			104		
	PHYSICIAN ASSISTANT EDUCATION PROGRAM	24	23					47			47	27	23					50			50		
	PSYCHIATRY & BEHAVIOURAL NEUROSCIENCES						52	52			52						54	54			54		
	RADIOLOGY						45	45			45						46	46			46		
	SCHOOL OF MEDICINE	204	205	213				622			622	203	205	208				616			616		
	SCHOOL OF NURSING	135	131	230	172		5	673	20	20	693	119	126	250	224		5	724	26	26	750		
	SURGERY						187	187			187						188	188			188		
HEALTH SCIENCES TOTAL		914	1087	1181	790	13	1117	5102	67	67	5169	862	1077	1200	933	38	1161	5271	91	91	5362		
HUMANITIES	ART	28	26	17	21			92	1	1	93	21	23	28	19			91	2	2	93		
	ART HISTORY		7	9	8			24	6	6	30		7	5	8			20	4	4	24		
	CLASSICS		15	9	12			36	7	7	43		15	12	12			39	6	6	45		
	COMMUNICATION STUDIES AND MEDIA ARTS		125	99	106			330	17	17	347		120	115	97			332	11	11	343		
	ENGLISH		64	70	49			183	28	28	211		79	52	55			186	22	22	208		
	FACULTY OF HUMANITIES	548	49	15			5	617	51	51	668	536	46	7			17	606	33	33	639		
	FRENCH		6	9	16			31	5	5	36		12	7	10			29	4	4	33		
	GLOBAL PEACE AND SOCIAL JUSTICE		4	10	6			20	3	3	23		14	2	9			25	1	1	26		
	HISTORY		75	47	49			171	23	23	194		53	72	29			154	23	23	177		
	LINGUISTICS		39	60	51			150	12	12	162		50	47	66			163	6	6	169		
	MUSIC	28	18	14	16			76	9	9	85	14	18	12	17			61	5	5	66		
	PHILOSOPHY		99	97	93			289	20	20	309		114	103	76			293	15	15	308		
	THEATRE & FILM STUDIES		28	14	10			52	3	3	55		23	24	4			51	4	4	55		
	HUMANITIES TOTAL		604	555	470	437	0	5	2071	185	185	2256	571	574	486	402	0	17	2050	136	136	2186	

FACULTY		2020/2021											2021/2022										
		Fall											Fall										
		Full Time							Part Time		Grand Total	Full Time							Part Time		Grand Total		
		I	II	III	IV	V	OTHER	Total	Total	Total		I	II	III	IV	V	OTHER	Total	Total	Total			
SCIENCE	BIOLOGY		295	205	278	2		780	13	13	793			324	278	225	3	830	19	19	849		
	CHEMISTRY AND CHEMICAL BIOLOGY		77	79	83	4		243	4	4	247			92	61	85	4	242	3	3	245		
	FACULTY OF SCIENCE	1996	232	129	88	2	54	2501	107	107	2608	1761	189	126	103	1	29	2209	112	112	2321		
	GEOGRAPHY & EARTH SCIENCES		60	62	58	2		182	15	15	197			52	64	66	2	184	6	6	190		
	HONOURS BIOLOGY & PHARMACOLOGY																				1		
	INTEGRATED SCIENCE (ISCI)		7	3	1			11	1	1	12			5	2	3		10			10		
	KINESIOLOGY	271	200	228	188			887	8	8	895	187	253	200	237			877	5	5	882		
	MATHEMATICS AND STATISTICS		357	247	215	10		829	30	30	859			377	323	237	8	945	37	37	982		
	PHYSICS & ASTRONOMY		58	45	50	6		159	5	5	164			43	57	45	2	147	6	6	153		
	PSYCHOLOGY NEUROSCIENCE & SCHOOL OF INTERDISCIPLINARY SCIENCE	163	693	527	557	7		1947	20	20	1967	165	815	643	539	2		2164	45	45	2209		
SCIENCE TOTAL		2430	2210	1744	1752	33	54	8223	221	221	8444	2113	2418	2020	1778	22	29	8380	244	244	8624		
SOCIAL SCIENCES	ANTHROPOLOGY		70	66	44			180	18	18	198			56	47	45		148	15	15	163		
	ECONOMICS	195	191	196	100			682	45	45	727	196	196	180	99			671	28	28	699		
	FACULTY OF SOCIAL SCIENCES	1083	99	23			10	1215	72	72	1287	1021	94	14			16	1145	71	71	1216		
	GEOGRAPHY & EARTH SCIENCES		6	33	25			64	5	5	69		1	5	17			23	4	4	27		
	HEALTH, AGING AND SOCIETY	78	94	88	81			341	11	11	352	59	111	98	71			339	12	12	351		
	INDIGENOUS STUDIES PROGRAM		7	14	8			29	4	4	33		7	9	12			28	4	4	32		
	LABOUR STUDIES		22	33	30			85	10	10	95		26	22	23			71	5	5	76		
	POLITICAL SCIENCE		220	200	152			572	23	23	595		203	201	154			558	38	38	596		
	PSYCHOLOGY NEUROSCIENCE & BEHAVIOUR																						
	RELIGIOUS STUDIES		120	88	33			241	31	31	272		121	99	36			256	17	17	273		
	SCHOOL OF EARTH, ENVIRONMENT AND SOCIETY		3	7	6			16	6	6	22		5	6	4			15	4	4	19		
	SCHOOL OF SOCIAL WORK		45	10	2			57	2	2	59		43	42	11			96	2	2	98		
	SOCIAL PSYCHOLOGY		60	58	34			152	22	22	174		55	60	39			154	36	36	190		
	SOCIOLOGY		113	107	93			313	13	13	326		118	108	107			333	11	11	344		
SOCIAL SCIENCES TOTAL			134	159	73			366	51	51	417		144	152	90			386	61	61	447		
ARTS & SCIENCE		1356	1184	1082	681	0	10	4313	313	313	4626	1276	1180	1043	708	0	16	4223	308	308	4531		
DIVINITY		90	60	65	59			5	279	4	283	66	84	57	71			278	10	10	288		
GRAND TOTAL		10	21	8				10	49	109	158	18	4	2			7	31	97	97	128		
		8126	7460	6899	6241	241	1204	30171	1362	1362	31533	7576	7876	7257	6436	292	1242	30679	1440	1440	32119		

Note 1: Undergraduate Headcount enrolment includes Fall as reported to MCU on each year.

Note 2: Headcount Total excludes students on Co-op work term.

Note 3: Faculty of Engineering Other includes: Continuing Student-Engineering, Exchange Student (Incoming)-EN, LOP (Incoming)-EN, LOP/Visiting (Incoming)-EN, Transition Student-Engineering.

Note 4: Effective Summer 2015, McMaster's definition of a part time student changed from 12 units to 9 units per four month term.

SOURCE: STUDENT RECORDS DATABASE (PeopleSoft Campus Solutions)
PREPARED BY THE OFFICE OF INSTITUTIONAL RESEARCH AND ANALYSIS

Enrolment Management Update
Headcounts of Level 1 students

FACULTY/PROGRAM			2020										2021										Grand Total - Target				
			Total Target	Full-Time	101 Part-Time	Total	105 Full-Time	105 Part-Time	Grand Total	RETURNING Full-Time	RETURNING Part-Time	Total	Grand Total - Target	Total Target	Full-Time	101 Part-Time	Total	105 Full-Time	105 Part-Time	Total	Grand Total - Target	RETURNING Full-Time		RETURNING Part-Time	Total		
ARTS & SCIENCE PROGRAM	Arts & Science 1 Transition Student-Arts&Sci	ASCIENCE1 TRANSAS	72	67		67	21		21	88			2	16	62	54		54	7		61	5		5	-1		
	Total		72	67		67	21		21	88	2		2	16	62	54		54	7		61	5		5	-1		
FACULTY OF BUSINESS	Business 1 Integrated Business&Humanities Transition Student-Business	BUSINESS1 HIBH	717	715		715	119	2	121	836	168	11	179	119	694	702	4	706	113	2	115	821	166	8	174	127	
	Total		61	48		48	5		5	53	2		2	-8	61	49		49	4		4	53	1		1	-8	
FACULTY OF ENGINEERING	B Tech 1 - BioTechnology CO-OP	BTECH_BIO1	43	27		27	14		14	41	5	1	6	-2	41	39		39	13		13	52	6		6	11	
	BTech1-Auto&Veh Eng Tech CO-OP	BTECH_AV1	74	74		74	16	1	17	91	9	1	10	17	73	90		90	20	1	21	111	11		11	38	
	BTech1-Automatn Eng Tech CO-OP	BTECH_PA1	87	73		73	14		14	87	22		22	0	84	91		91	13		13	104	16	3	19	20	
	Computer Science 1 Computer Science 1 CO-OP	COMPSCI1 COMPSCICO1	100	64		64	6		6	12	3	1	4	23	126	117		117	52		52	169	10	1	11	51	
	Engineering 1 Engineering 1 CO-OP	ENGINEER1 ENGINEERC1	827	106	1	107	36	1	37	144	21	1	22	192	808	79		79	24		24	103	19	6	25	69	
	Integr Biomed Eng&Hth SciCO-OP	IBEHSC1		146		146	13		13	159	1		1			141		141	9		9	150	2		2	27	
	Integrated Biomed Eng & HthSc1 Transition Student-Engineering	IBEHS1	144	22		22	8		8	30			1	45	144		19	19	2		2	21				0	
	Total		1275	1284	2	1286	261	3	264	1550	110	13	123	275	1276	1239	1	1240	250	2	252	1492	131	15	146	216	
	Bach. of Health Sciences Hon	BHSCH	250	231		231	39		39	270	4	1	5	20	246	206		206	21		21	227	2		2	-19	
	Total		250	231		231	39		39	270	4	1	5	20	246	206		206	21		21	227	2		2	-19	
	FACULTY OF HUMANITIES	Humanities 1 Music 1 Studio Art 1	HUM1 MUSIC1 STUDIOART1	441	350		350	110	7	117	467	88	9	97	26	437	345	3	348	101	1	102	450	90	13	97	13
		Total		22	19		19	5		5	24	4	2	6	2	22	9		9	2		2	11	3		3	-11
FACULTY OF SCIENCE	Chemical & Physical Sci Gateway	PHYSALSCI1	95	74		74	9		9	83	15	2	17	-12	86	92		92	11		11	103	6	1	7	17	
	Enviro & Earth Sci Gateway	ENVEARTH1	78	50	1	51	12		12	63	7		7	-15	65	62	1	63	10		10	73	6	1	7	8	
	Integrated Science	HINTEGSCI	60	49		49	4		4	53			-7	59	52		52	2		2	54	1		1	-5		
	Kinesiology	HKINESIOL	220	245	2	247	20		20	267	6		6	47	219	164		164	16		16	180	7		7	-39	
	Life Sciences Gateway	LIFESCI1	1059	1273	3	1276	132	2	134	1410	43	1	44	351	1037	1086	2	1088	83	1	84	1172	52	2	54	135	
	Math & Statistics Gateway	MATHSTAT1	225	198	1	199	74		74	273	109	6	115	48	208	207	1	208	58	2	60	268	88	5	93	60	
	Medical Radiation Sciences	MEDRADSCI	114	100		100	9		9	109	1		1	-5	111	90	1	91	13		13	104	7		7	-7	
	Total		1851	1989	7	1996	260	2	262	2258	181	9	190	407	1785	1753	5	1758	193	3	196	1954	167	9	176	169	
	Economics 1	ECONOMICS1	127	98		98	36	1	37	135	61	4	65	8	121	85		85	37		37	122	74	3	77	1	
	Health and Society 1	HHLTHSCTY1	53	65	1	66	7		7	73	6		6	20	52	44		44	8		8	52	7	2	9	0	
	Social Sciences 1	SOCSCI1	830	805	5	810	165	2	167	977	113	19	132	147	770	738	2	740	121	2	123	863	162	23	185	93	
	MIDWIFERY	Midwifery	MIDWIFERY	30	968	6	974	208	3	211	1185	180	23	203	175	843	867	2	869	166	2	168	1037	243	28	271	94
Total			30			26	26		26	26	5		5	-6	30	4		4	36		36	40	1		1	10	
SCHOOL OF NURSING	Nursing - McMaster	NURS_MCM	122	112		112	11	2	13	125	12	1	13	3	122	107		107	9		9	116	3	1	4	-6	
	Total		122	112		112	11	2	13	125	12	1	13	3	122	107		107	9		9	116	3	1	4	-6	
Grand Total			5877	5800	15	5815	1070	20	1090	6905	772	70	842	1028	5704	5345	16	5365	907	10	917	6282	829	70	899	570	

Note 1: 101 - students registered in previous academic year at Ontario Secondary School
Note 2: 105 - all other applicants including students that come 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 as of November 1 and as reported to MCUI
Note 5: Headcounts exclude Divinity, Mohawk & Conestoga Nursing
Source: Student Records Database
PREPARED BY THE OFFICE OF INSTITUTIONAL RESEARCH AND ANALYSIS
UPDATED ON: 08NOV2021

Total Graduate Headcount Enrolment by Faculty and Department, as of November 1, 2020-2021 to 2021-2022

FACULTY/DEPARTMENT		Full Time						Part Time						CO-OP Work Term			
		DOCTORAL		MASTERS		DIP/CERT		DOCTORAL		MASTERS		DIP/CERT		DOCTORAL		MASTERS	
		2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
BUSINESS	BUSINESS	83	95			2	8	6	8								
	EMBA			23	16												
	FINANCE			95	112												
	MBA			383	404					266	298					109	104
	TOTAL	83	95	501	532	2	8	6	8	266	298					109	104
ENGINEERING	BIOMEDICAL ENGINEERING	40	44	35	31					1							1
	CHEMICAL ENGINEERING	66	73	30	24												1
	CIVIL ENGINEERING	60	66	30	28			3	4	4	3			1	1		
	COMPUTING AND SOFTWARE	49	47	59	68			5	7	5	7					7	2
	ELECTRICAL AND COMPUTER ENGINEERING	109	102	65	72			2	3	9	8			1	5	7	5
	ENGINEERING PHYSICS	43	47	21	28			1	2	3	9		1			2	1
	ENGINEERING PRACTICE			126	269					20	22					5	19
	FACULTY OF ENGINEERING					10	7										
	MATERIAL SCIENCE & ENGINEERING	46	46	13	19					2	1						1
	MECHANICAL ENGINEERING	70	65	46	53			4	3	2	4				2	2	2
	TOTAL	483	490	425	592	10	7	15	19	46	54		1	2	8	23	32
	BIOCHEMISTRY	82	75	50	52						1						
HEALTH SCIENCES	BIOMEDICAL DISCOVERY AND COMMERCIALIZATION			33	34												
	CLINICAL BEHAVIOURAL SCIENCE						1					3	11				
	EHEALTH			64	56					28	30						
	FACULTY OF HEALTH SCIENCES					4	3					2					
	GLOBAL HEALTH	11	16	122	114												
	HEALTH MANAGEMENT			13	13						137	138					
	HEALTH POLICY	24	27														
	HEALTH RESEARCH METHODOLOGY	68	61	69	65			23	30	26	26	61	70				
	HEALTH SCIENCE EDUCATION			14	16					28	43						
	MEDICAL PHYSICS				1												
	MEDICAL SCIENCES	77	81	90	87					1	1						
	NEUROSCIENCE	38	33	25	23					2	1						
	NURSING	15	15	93	67	4	3	3	2	17	18						
	OCCUPATIONAL THERAPY			127	124												
	PEDIATRICS			31	30					9	8						
	PHYSIOTHERAPY			127	132												
	PSYCHIATRY & BEHAVIOURAL NEUROSCIENCES			16	35												
	PUBLIC HEALTH			52	51					5	7						
	REHABILITATION SCIENCE	34	27	78	74			10	10	58	46						
	SCHOOL OF MEDICINE	2	1														
	TOTAL	351	336	1004	974	8	7	36	42	311	319	66	81				
HUMANITIES	CLASSICS	11	10	13	11												
	COMMUNICATION MANAGEMENT			1	1					45	49						
	COMMUNICATION STUDIES & MULTIMEDIA	17	23	10	12												
	ENGLISH	48	45	27	24					1							
	FACULTY OF HUMANITIES					1											
	FRENCH	15	14	3	5												
	GENDER AND SOCIAL JUSTICE				11						1						
	HISTORY	30	22	17	18			1	1	1	1						
	INTERDISCIPLINARY STUDIES			8	1					2	2						
	LINGUISTICS AND LANGUAGES	9	11	9	15												
	PHILOSOPHY	29	31	18	25					2	1						
	TOTAL	159	156	106	123	1		1	1	51	54						
	BIOLOGY	36	36	38	44					1	1						
SCIENCE	CHEMICAL BIOLOGY	17	18	14	18												
	CHEMISTRY	48	45	23	21												
	COMPUTATIONAL SCIENCE AND ENGINEERING	17	17	14	16			5	6	1	1						
	FACULTY OF SCIENCE					4	6					1					
	GEOGRAPHY AND EARTH SCIENCES	38	44	36	42			4	2	3	1						
	KINESIOLOGY	23	25	28	23					1	1						
	MATH AND STATISTICS	35	34	43	45						2						
	MEDICAL PHYSICS	9	12	8	11			1	1	2	4						
	PHYSICS & ASTRONOMY	39	42	24	28												
	PSYCHOLOGY	75	75	26	32			1	1								
	TOTAL	337	348	254	280	4	6	11	10	8	10	1					

FACULTY/DEPARTMENT		Full Time						Part Time						CO-OP Work Term			
		DOCTORAL		MASTERS		DIP/CERT		DOCTORAL		MASTERS		DIP/CERT		DOCTORAL		MASTERS	
		2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
SOCIAL SCIENCES	ANTHROPOLOGY	31	33	14	15			2	2								
	ECONOMICS	26	32	42	39			1	1							2	7
	FACULTY OF SOCIAL SCIENCES				18	1											
	GLOBALIZATION			18	15								1				
	HEALTH, AGING & SOCIETY	23	21	6	9					1							
	LABOUR STUDIES	9	11	13	13				1	1	1						
	POLITICAL SCIENCE	31	37	19	20					1							
	RELIGIOUS STUDIES	24	22	9	5				1								
	SOCIAL WORK	25	22	17	21		1			11	11	1	6				
	SOCIOLOGY	23	23	22	18												
	TOTAL	192	201	160	173	1	1	3	5	14	13	1	6			2	7
GRAND TOTAL		1605	1626	2450	2674	26	30	72	85	696	748	68	88	2	8	134	143

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.

SOURCE: STUDENT RECORDS DATABASE (PeopleSoft Campus Solutions)

PREPARED BY THE OFFICE OF INSTITUTIONAL RESEARCH AND ANALYSIS

UPDATED DATE:17NOV2021



2020 Student Census and Experience Survey Report

Prepared by:

Arig al Shaibah, Associate Vice President Equity and Inclusion
Institutional Research and Analysis Team

In consultation with:

Office of the Associate Vice-President (Student Learning) & Dean of Students
McMaster Student Union

November 29, 2021

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I. SUMMARY

Purpose

In the winter of 2021, the Equity and Inclusion Office (EIO), with the support of Institutional Research & Analysis (IRA) and after consultation with key community stakeholders, launched its first comprehensive [Student Census and Experience Survey](#) (SCES). The goal of this survey was two-fold: to understand the holistic student experience across dimensions of student wellness and success; and to reveal if there are thematic differences in student experience across diverse groups of students.

Methodology

The survey was launched on February 3, 2021. It was sent to all undergraduate, graduate, and medical students enrolled in the 2020 – 2021 year – the **total sample size was 37,860 students**. Three reminders were sent: February 9th – 11th, February 17th, and February 24th. The survey was closed on March 5th. Incentives were offered to survey participants. We held a draw and randomly selected winners for 24 prizes offered: four \$250 Amazon gift cards, ten \$100 amazon gift cards, and ten \$50 Amazon gift cards.

The Census portion of the survey asked student to self-identify across demographic dimensions of diversity. The Experience portion of the survey asked students to rate their experiences of the following student wellness and success areas: food security and financial health; personal security and physical safety; social connection and belonging; emotional and spiritual well-being; mental and physical health; career development; and academic success. In addition to asking students to rate their experiences on a Likert scale, open-ended questions were asked to enable students to comment more freely.

Data Analysis

IRA analyzed the quantitative responses, and the EIO hired a graduate research assistant to analyze the qualitative responses. IRA created a series of SCES Fact Booklets presenting disaggregated results by Faculty/School, degree type (UG/G), academic load (PT/FT), immigration status, income status, and some dimensions of demographic diversity (e.g., gender, disability, racialization). The Fact Booklets are located on the IRA Portal and available at the following link: <http://iraportal.mcmaster.ca>. A connection through VPN (Virtual Private Network) is required to receive a prompt for secure access. Authorized persons may access the Portal by MacID and password, selecting Survey Fact Sheets to see the full set of Fact Booklets. Requests for additional data analysis will be considered and may be made to ira@mcmaster.ca.

Insights and Actions

This survey was administered during the extraordinary Covid-19 pandemic, when the primary mode of instruction and service delivery was remote. With respect to making inferences, results must be interpreted cautiously given the response rate. With respect to questions about satisfaction with services, it is not possible to know whether responses are from students who have personally encountered and experienced direct services or if they are responding according to perceptions about the service. That said, the results reinforced the need to continue to enhance awareness of services and resources available and to enhance understanding of student experiences and satisfaction with those services and resources. The following is a list of university actions that have recently been or are being undertaken to improve the student experience among McMaster's diverse student body:

1. Recruited additional personnel to support the Equity & Inclusion Office mandate:
 - Hired: Web Accessibility Specialist, Senior Human Rights Officer, Coordinator Anti-Black Racism Initiatives, Coordinator Indigenous Education Initiatives, Coordinator Sexual Violence Prevention Education and 24 undergraduate and graduate student Sexual Violence Prevention Peer Educators.
 - Hiring: Director for the Sexual Violence Prevention and Response Office and Anti-Oppression Programs, and Case Manager for Sexual Violence Response.
2. Hired Senior Advisor Equity, Inclusion and Anti-Racism in Student Affairs and Manager, Black Student Services, to be located in the new Black Student Success Centre.
3. Established ex-officio roles for the Directors of the MSU Diversity Services, Pride Centre, Women & Gender Equity Network, and Maccess on the President's Advisory Committee on Building an Inclusive Community to centre student issues related to anti-racism, 2SLGBTQI+ inclusion, gender equity, and disability justice.
4. Launched the Spiritual Care and Learning Centre (SCLC) to foster interfaith collaboration and multifaith access and inclusion on campus.
5. In consultation with the IEC and ACFAM, Advancement and Student Affairs have established plans to increase scholarships and bursaries to support student access and success for Black and Indigenous students.
6. Work is underway to enhance communication, consultation, and collaboration with student leaders (within the MSU, GSA, Faculty Societies, and other Groups) about institutional EDI strategies.
7. Work is underway to imbed the new Student Diversity Census within Mosaic/Avenue to Learn, with plans to develop a communication strategy and campaign to increase the response rate.
8. Using an equity lens, the Student Standard Self-Assessment Committee will implement an audit of mental health support on campus, with a focus on psychological health, wellbeing, and safety among students.
9. The University will continue to examine and address perceptions and experiences of safety and security among minoritized students, and particularly Black, Indigenous, and racialized students, engaging Security Services to continue to enhance relevant protocols and personal competencies.
 - a) Security Services will work with the Equity and Inclusion Office to apply an equity lens to review the protocols it engages to administer the University's safety and security policies and priorities, and
 - b) Security Services continue to enhance annual and ongoing training for special constables, building on the slate of [training requirements](#) currently in place, with an emphasis on anti-oppressive approaches, trauma-informed investigation, and culturally conscious/responsive services. Included in the training are sessions on the following topics delivered by the Equity and Inclusion Office, in collaboration with campus partners as appropriate: trauma-informed sexual violence response, Indigenous cultural safety, 2SLGBTQI+ positive service delivery, race-consciousness/antiracism (including anti-Black racism), accessibility and mental health stigma reduction.

II. RESULTS

Below is a summary of what we learned from the SCES about the diversity of the student body and the extent to the student experience is perceived to be accessible, equitable, and inclusive.

The **response rate was 18.53%, with 7,014 completed surveys.**

Faculties were proportionately represented in the response rates.

Note: While 18% is not an atypical response rate for surveys, the response rate should be much higher if one is to make more accurate inferences about differential experiences across demographic groups.

1. Diversity Profile – Self-Identification

Of the total respondents*:

*Note that respondents had an option to “prefer not to answer” any of the demographic questions.

- 94% were full-time students and 6% part-time
- 14% were international students and 86% domestic
- 71% were undergraduate, 25% were graduate, and 4% were medical residents
- 1.1% identified as Indigenous and 97.4% as non-Indigenous
 - Among Indigenous students, 65.3% identified as First Nations, 26.4% as Métis, 8.3% another self-identifier)
- 48% identified as racialized and 48.7% indicated they do not identify as racialized
 - Among racialized students, 5.8% identified as Black
 - Among non-racialized students, 41.9% identified as White
 - All self-reported disaggregated ethno-racial identity data are in the [Overall Fact Book](#)
- 13.8% identified as persons with a disability and 82.6% indicated they do not identify as having a disability
 - Among students with a disability, 93.0% identified an invisible/non-evident disability
- 66.6% identified as female/woman, 31.3% male/men, 1.8% gender non-conforming, and 0.1% two-spirit
- 1.4% identified as transgender and 97.6% indicated they did not identify as transgender
- 25.9% identified as members of the diverse 2SLGBQI+ community, 77.1% identified as straight/heterosexual
- 61.4% said their personal household gross income was less than \$25,000
- 40.6% said their parental/guardian gross income was less than \$100,000, 29.9% said more than \$100,000
 - 8.1% > \$200K, 2.8% \$175-199K, 3.9% \$150-174K, 4.9% \$125-149K, 10.2% \$100-124K, 9.7% \$75-99K, 10.8% \$50-75K, 10.4% \$25-49K, 9.8% < \$25K
- 15.2% said their parent/guardian did not have a post-secondary education (PSE) credential (degree, diploma, certificate, or other) – this group would be referred to as “first generation or first in family” to attend PSE

2. Self-Reported Academic and Broader Education Experiences

To interpret the results of self-reported experiences, responses were converted to a Likert scale ranging from 1 – 5: 1 representing the most negative outcome (e.g., very dissatisfied), 3 being neutral, and 5 representing the most positive outcome (e.g., very satisfied).

To control for survey non-response and bias, a Raking Algorithm¹ was applied to weight observations across three categories: Gender, Immigration Status and Academic Career. Responses of no basis to judge or no response were removed from the significance tests. Significance tests across the groups of interest were conducted on the weighted sample.

Below are the findings that reflect a significant difference in the student experience across different dimensions of diversity where those differences are significant at the 1% level (e.g., $p < 0.01$). The group averages are provided in parentheses.

As mentioned, with respect to making inferences, results must be interpreted cautiously given the response rate.

a) Immigration Status

As compared to their domestic peers, on average, **graduate international** students report

- more agreement that McMaster is a place where they can achieve their full potential (3.83 vs. 3.70).
- more agreement that their experience at McMaster has positively contributed to their academic growth (3.99 vs. 3.89).

b) Racialized Students

As compared to their non-racialized peers, on average, racialized **undergraduate students** report

- less satisfaction with their instructors' ability to create an equitable and inclusive learning experience (3.74 vs 3.90).
- less satisfaction with their TAs' ability to create an equitable and inclusive learning experience (3.75 vs 3.88).
- less satisfaction with their undergraduate supervisor's ability to create an equitable and inclusive learning experience (3.63 vs 3.76).
- less agreement that McMaster has adequate programs and resources to support a diverse student body (3.29 vs. 3.40).
- less often feeling a sense of belonging at McMaster (3.35 vs. 3.44).
- less agreement that McMaster has a strong commitment to equity, diversity, and inclusion (3.58 vs. 3.69).

As compared to their non-racialized peers, on average, racialized **graduate** students report

- more often feeling that their emotional well-being is important at McMaster (3.42 vs 3.22).

¹ The Raking Algorithm and logic applied can be viewed here:
<https://support.sas.com/resources/papers/proceedings/proceedings/sugi25/25/st/25p258.pdf>

c) Students with a Disability

As compared to their able-bodied peers, on average, **undergraduate and graduate students** with a disability report

- less satisfaction with their instructors' ability to create an equitable and inclusive learning experience (3.64 vs. 3.85 and 3.64 vs. 3.97, respectively).
- less satisfaction with their instructors' ability to create an accessible learning experience (3.42 vs. 3.76 and 3.60 vs. 4.00, respectively).
- less agreement that McMaster has adequate programs and resources to support a diverse student body (3.05 vs. 3.62 and 3.84 vs. 4.10, respectively).
- less often feeling a sense of belonging at McMaster (3.19 vs. 3.44 and 2.98 vs. 3.39, respectively).
- less often feeling socially connected at McMaster (2.99 vs. 3.25 and 2.92 vs. 3.15, respectively).
- less often feeling that their emotional well-being is important at McMaster (2.89 vs. 3.20 and 2.98 vs. 3.37, respectively).
- less agreement that they feel valued as an individual at McMaster (2.99 vs. 3.40 and 3.19 vs. 3.63, respectively).
- less agreement that McMaster has a strong commitment to EDI (3.39 vs 3.69 and 3.49 vs. 3.77, respectively).

Additionally, as compared to their able-bodied peers, on average, **undergraduate** students with a disability report

- less satisfaction with their TAs' ability to create an equitable and inclusive learning experience (3.64 vs. 3.85).
- less satisfaction with their undergraduate supervisor's ability to create an accessible learning experience (3.49 vs. 3.68).
- Less agreement that they have communities or groups where they feel a sense of belonging at McMaster (3.39 vs. 3.69).

Additionally, as compared to their able-bodied peers, on average, **graduate** students with a disability report

- less satisfaction with their research supervisor's ability to create an accessible learning experience (3.84 vs. 4.10).

d) Income Status (parental/guardian family gross income)

As compared to their peers from higher income households, on average, **undergraduate students** from lower income households report

- less often feeling confident in their career development (3.26 vs. 3.40)
- less often feeling confident in their academic success (3.43 vs. 3.64)
- less agreement that McMaster is a place where they can achieve their full potential (3.60 vs. 3.70)
- less agreement that McMaster has positively contributed to their academic growth (3.69 vs. 3.80)
- less agreement that they have equal opportunities among peers to succeed academically at McMaster (3.60 vs. 3.80)
- less agreement that they have equal opportunities among peers to succeed in career after McMaster (3.38 vs. 3.60)

As compared to their peers from higher income households, on average, **graduate** students from lower income households report

- more satisfaction with their instructors' ability to create an accessible learning experience (3.99 vs. 3.83)
- more agreement that McMaster has adequate programs and resources to support the diverse student body (3.49 vs. 3.25)
- less agreement that they have equal opportunities among peers to succeed in career after McMaster (3.51 vs. 3.77)

e) Gender

As compared to their male-identified peers, on average, **female-identified** undergraduate students report

- less satisfaction with their instructors' ability to create equitable and inclusive learning experiences (3.75 vs. 3.90)
- less satisfaction with TA's abilities to create equitable and inclusive learning experiences (3.78 vs. 3.86)
- less satisfaction with instructor's ability to create an accessible learning experience (3.63 vs. 3.77)
- less agreement that McMaster has adequate programs and resources to support the diverse student body (3.28 vs. 3.45)
- less often feeling that their emotional well-being is important at McMaster (3.10 vs. 3.20)
- less agreement that McMaster has a strong commitment to EDI (3.60 vs. 3.68)
- less confident in their career development (3.21 vs. 3.41)
- less confident in their academic success (3.45 vs. 3.62)
- less agreement that they have equal opportunities among peers to succeed academically (3.64 vs. 3.80)
- less agreement that they have equal opportunities among peers to succeed in their career after McMaster (3.44 vs. 3.54)

As compared to their male-identified peers, on average, **female-identified** graduate students report

- less satisfaction with their research supervisor's ability to create equitable and inclusive learning experiences (4.01 vs 4.19)
- less satisfaction with instructor's ability to create an accessible learning experience (3.81 vs. 4.06)
- less satisfaction with research supervisor's ability to create an accessible learning experience (3.95 vs. 3.53)
- less agreement that McMaster has adequate programs and resources to support the diverse student body (3.27 vs. 3.53)
- less often feeling a sense of belonging at McMaster (3.42 vs. 3.25)
- less often feeling valued as an individual at McMaster (3.49 vs. 3.67)
- less agreement that McMaster has a strong commitment to EDI (3.62 vs. 3.82)
- less agreement that they have equal opportunities among peers to succeed academically (3.74 vs. 3.89)

3. Self-Reported Satisfaction with Services

On the question of satisfaction with services they used, among the forty one student facing services provided by the University and the McMaster Student Union – and after removing neutral responses – two services (Libraries and Facilities Services) received a satisfactory rating by over 90% of respondents, twenty five services received a satisfactory rating by 80 to 89% of respondents, twelve services received a satisfactory rating by 70 to 79% of respondents, and two services received a satisfactory rating between 65 to 69% of respondents (Wellness Services and Hospitality Food Services).

Students were provided an opportunity to provide further qualitative comments about their experiences with student-facing services. There were **2,103 unique students** who provided comments.

Below is a list of highlights from these comments:

- increase diversity of faculty/professors
- expand beyond emphasis on “traditional” white, CIS-male authors to include BIPOC authors in readings
- improve capacity of professor to address accommodations for students with disabilities
- improve physical accessibility of buildings on campus
- improve teaching tools and technologies for professors (e.g., microphones for recorded lectures)
- continue support for recorded lectures when in-person teaching resumes
- increase resources for mental health/counselling to reduce wait time and increase appointment frequency
- enhance services for reporting and managing sexual harassment and assault complaints
- enhance culture of non-tolerance of discrimination, sexual harassment and assault
- more EDI training for teaching assistants and instructors
- more EDI training for campus security
- more staff in the Equity and Inclusion Office
- more resources for graduate students to discuss potential issues with their supervisors
- improved funding for graduate students
- more opportunities for student support groups
- more access to support services for “mature” students with families or full-time jobs
- more opportunities for undergraduates to receive mentorship
- better promotion of student services during welcome week
- more emphasis on career opportunities after universities (e.g., job fairs, job talks, etc).
- more affordable and healthy food options on campus
- online library is not user-friendly

4. Safety and Security

Further examining responses related to the sense of personal security on campus, physical safety on campus, and satisfaction with Security Services, the data suggest that:

- Black (2.01), racialized students (1.97) and Indigenous (1.94) students are more likely to report a sense of personal insecurity on campus than non-racialized students (1.79).
- Indigenous (1.71) and racialized (1.58) students are more likely to report feeling more unsafe on campus relative to Black (1.52) and non-racialized (1.52) students.
- Non-Black non-Indigenous racialized students (3.26) are more likely to report the same level of satisfaction with security services as non-racialized students (3.27).
- Black (3.10) and Indigenous (3.08) students are more likely than non-Black non-Indigenous racialized (3.26) and non-racialized students (3.27) to report dissatisfaction with Security Services.

Note: The numbers in parentheses reflect the weighted response. As mentioned above, it is not possible to know whether responses are from students who have personally encountered and experienced direct services or if they are responding according to perceptions about service.

Significance testing follows from the analyses of differences among the four groups of Black, Indigenous, racialized, and non-racialized students.

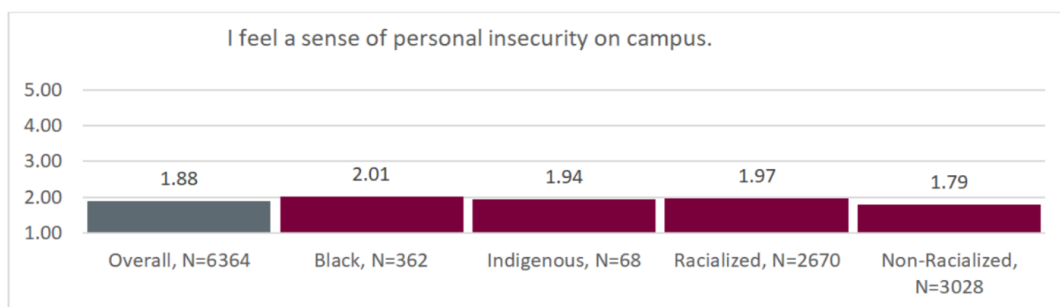
As shown in the figures below for the three questions of interest, non-Indigenous or non-Black responses are not homogenous and vary by question. Thus, aggregating them and comparing to a single identity (e.g., comparing non-Indigenous to Indigenous, or non-Black to Black) can result in misleading conclusions.

With respect to the question of “I feel a sense of personal insecurity on campus.”, the responses of Black, Indigenous, and racialized students are more alike and consequently a natural group for comparison to non-racialized students. Tests of significance of differences for Black, Indigenous, and racialized in aggregate against non-racialized support this assertion. Similarly, the responses to the question about satisfaction with “Security Services (Special Constables) safety planning, resource referral, emergency response, building access, protecting persons/property” suggest that a test for differences between Black/Indigenous versus racialized/non-racialized would be more appropriate. Significance testing between Black and Indigenous in aggregate against racialized and non-racialized in aggregate revealed that Black and Indigenous students are less satisfied with Security Services than their peer racialized and non-racialized students. A test for differences in responses for two of the four identities, racialized (non-Indigenous/non-Black) and non-racialized (non-Indigenous/non-Black) did show significant differences for the questions: “I feel a sense of personal insecurity on campus” (significant at 1%) and “I feel physically unsafe on campus” significant at 5%. Differences between the two groups for responses to the question: “Security Services (Special Constables) safety planning, resource referral, emergency response, building access, protecting persons/property” were not observed.

a) Sense of Personal Safety On-Campus

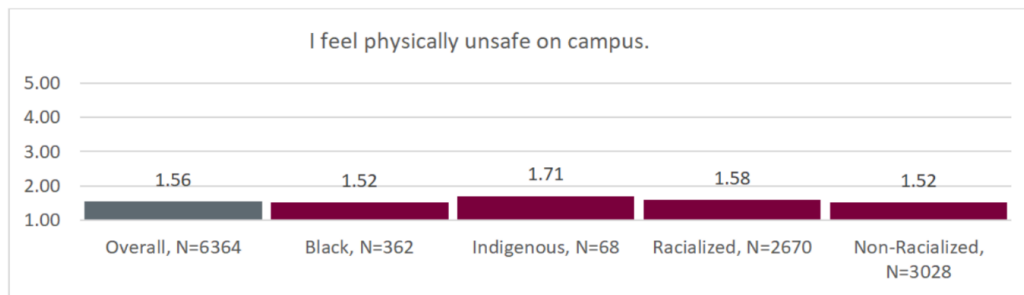
The Likert scale for the question “I feel a sense of personal insecurity on campus” is Never (1), Seldom/Rarely (2), Sometimes (3), Often (4), and Very Often (5). On average, non-racialized students feel more secure on campus than do Black, racialized and Indigenous students. There is a strong trend for Black (2.01) students and racialized (1.97) students to feel a higher sense of personal insecurity on campus than do non-racialized students (1.79).

When comparing the Black, Indigenous and Racialized students in aggregate to non-racialized students, non-racialized students feel more secure on campus on average (1.97 vs 1.79; significant at 1%).



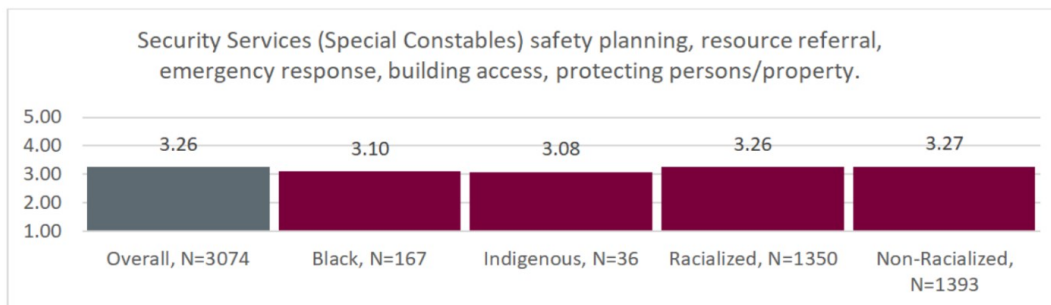
b) Feeling Physically Unsafe on Campus

The Likert scale for the question “I feel physically unsafe on campus.” is Never (1), Seldom/Rarely (2), Sometimes (3), Often (4), and Very Often (5). On average, Indigenous (1.71) and racialized (1.58) students feel more physically unsafe on campus than Black (1.52) and non-racialized students (1.52).



c) Satisfaction with Security Services

The Likert scale for the question “Security Services (Special Constables) safety planning, resource referral, emergency response, building access, protecting persons/property.” is very dissatisfied (1), dissatisfied (2), neither satisfied nor dissatisfied (3), satisfied (4), and very satisfied (5). On average, Indigenous (3.08) and Black (3.10) students report less satisfaction with Security Services than racialized (3.26) and non-racialized students (3.27). Comparisons between Black and Indigenous students in aggregate (3.09) and racialized and non-racialized students in aggregate (3.26) show significant differences (significant at 5%).



There were four comments submitted by students which referenced safety and security:

- “Improve the security services on campus.”
- “I am not terribly fond of security services. In my experience, they don't investigate the situation before they ruin a person's life.”
- “In terms of safety, I personally wasn't immediately able to locate where campus security is. Perhaps a more central/accessible location.”
- “The security services on campus have racially profiled friends of mine and have generally made many marginalized students feel less safe on campus.”

REPORT TO SENATE
from the
UNDERGRADUATE COUNCIL

FOR INFORMATION

I Final Report on Implementing Micro-Credentials at McMaster University

An ad hoc committee, governed by McMaster's Undergraduate and Graduate Councils, with the participation of McMaster's Centre for Continuing Education and overseen by the University Secretariat was tasked with considering how micro credentials should be used on campus and to make recommendations for changes to the Senate Policy on Diplomas and Certificates and other policies as required to facilitate implementation.

At its meeting on December 7th, 2021, the Undergraduate Council will receive and review, for information, the final report on 'Implementing Micro-Credentials at McMaster University'.

The final report is being provided to Senate for information.

Senate: December 8, 2021



Implementing Micro-credentials at McMaster University

Key findings and recommendations prepared by
McMaster's Ad-Hoc Committee on Micro-credentials

JULY 2021

Executive Summary

While micro-credentials are new to the university post-secondary landscape, some of the largest global companies are using them to train current and future employees. The Province of Ontario has identified the development of micro-credentials as a priority, investing millions of dollars to increase the number and types of micro-credentials available in the province. Their goal is for micro-credentials to respond to regional labour market needs and dynamic career trajectories while increasing collaboration between the private and public sectors through formal partnerships among postsecondary institutions and employers.

Considering these developments, an Ad Hoc Committee was established by McMaster's Undergraduate and Graduate Councils with representation from McMaster Continuing Education and the University Secretariat. The Ad Hoc Committee was charged with defining and considering how micro-credentials should be used on campus. Micro-credentials could be leveraged at McMaster to:

- Create a new pathway to certificate or degree programs for a learner.
- Support students and non-traditional learners.
- Develop connections with industry and provide support for skills they need to succeed.
- Communicate and verify skills and competencies that students are gaining/learning outside of traditional modes.
- Create more flexibility/nimbleness in our learning environment while maintaining standards of rigor and quality.

This report outlines the Committee's key findings and recommendations for implementing micro-credentials at McMaster. They include:

- A proposed definition for micro-credentials at McMaster.
- Proposed revisions to the Certificates and Diplomas policy for micro-credentials to be considered Fall 2021, involving a subset of the committee to draft a new version for review, discussion and possible acceptance by Undergraduate Council and Graduate Council.
- Administration and oversight of micro-credentials should initially be handled by the new INSPIRE Office for Flexible Learning.
- A Director of Micro-credentials position should be created, reporting to the Vice-Provost (Faculty).
- Recommendations regarding the assignment, approval and administration of fees.
- Recommendations regarding the appeals process for micro-credential offerings.

Membership of the Ad-Hoc Committee on Micro-Credentials

Appointment	Title	Name
Members		
Co-Chair	Acting Vice-Provost (Faculty)	Dr. Kim Dej
Co-Chair	Vice-Provost and Dean of Graduate Studies	Dr. Doug Welch
UGC Appointed Member	Associate Dean (Academic), Faculty of Social Sciences	Dr. Tracy Prowse
UGC Appointed Member	Associate Dean (Academic), Faculty of Business	Dr. Sue McCracken
GC Appointed Member	Associate Dean of Graduate Studies (Engineering)	Dr. Michael Thompson
GC Appointed Member	Associate Dean of Graduate Studies (Health Sciences)	Dr. Steve Hanna
MCE Director	Assistant Director, Centre for Continuing Education	Mr. Dan Piedra
Undergraduate Student	Arts & Science Program	Mr. Faris Mechlai
Graduate Student	PhD Student, Medical Sciences: Physiology and Pharmacology	Ms. Caroline Seiler
University Registrar	University Registrar	Ms. Melissa Pool
MCE Adult Learner/Appointed Member	Adult Learner (MCE Appointed)	Mr. Adam Smoluk
Consultants		
	Assistant Dean (Academic), Faculty of Engineering	Ms. Maria White
	Associate Professor & Assistant Dean, Bachelor of Health Sciences (Honours) Program	Dr. Stacey Ritz
	Associate Registrar and Graduate Secretary	Ms. Stephanie Baschiera
	Associate Dean of Graduate Studies	Dr. Bhagwati Gupta
	Associate Dean (Graduate Studies and Research), Faculty of Humanities	Dr. Martin Horn
University Secretariat		
	Policy Advisor and Projects Officer	Mr. Mark Downard

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Introduction

With new credentialing approaches gaining acceptance in academic and public spaces, McMaster has an opportunity to help its students demonstrate the different forms of knowledge and skills that they are acquiring as undergraduate students, graduate students and adult learners. A more modular learning approach has emerged known as micro-credentials, sometimes referred to as open digital badges, which some of the largest global companies are using to train potential and current employees. We are also seeing an increase in micro-credential offerings at post-secondary institutions around the world.

Micro-credentials offer McMaster the ability to provide competency based, skills-focused training that aligns with the priorities of the Provincial Government and prepares our students for diverse careers. As labour markets and industries evolve, there is a need for short-duration educational offerings that promote life-long learning and skill re-development. By building and developing high-quality micro-credentials, McMaster also has the capacity to develop stronger connections with industry partners and communicate the skills that such offerings provide to learners.

An Ad Hoc Committee was established by McMaster's Undergraduate and Graduate Councils with representation from McMaster Continuing Education, the Registrar's Office and the University Secretariat. The Ad Hoc Committee was tasked with defining and considering how micro-credentials should be deployed on campus. Within this mandate, it was also asked to make recommendations on administrative structures, policy, and the impact of these different credentials on institutional quality assurance, accreditation, and governmental regulations, including financial aid implications.

Post-secondary institutions around the world, including colleges, have begun developing micro-credential offerings to meet the growing demand for competency-based training. It should be noted that the micro-credential environment is still developing, and there are distinct differences across institutions and geographies in their attributes, delivery, and terminology. In this context, the Ad Hoc Committee on Micro-credentials has undertaken to make a number of recommendations related the administrative structures and processes to develop a nimble, robust and rigorous micro-credential landscape at McMaster. As the micro-credential landscape evolves, McMaster will further refine its processes and governance.

This report outlines the key findings and recommendations from the Committee for the future of micro-credentials at McMaster.

Definition

The following definitions of micro-credentials drawn from eCampusOntario and the Higher Education Quality Council of Ontario (HEQCO) were considered by the committee:

eCampusOntario definition: A micro-credential is a certification of assessed learning associated with a specific and relevant skill or competency. Micro-credentials enable rapid retraining and augment traditional education through pathways into regular postsecondary programming.

HEQCO definition: A micro-credential is a representation of learning, awarded for completion of a short program that is focused on a discrete set of competencies (i.e., skills, knowledge, attributes), and is sometimes related to other credentials.

Following a review and discussion, the Committee's proposed definition is:

A micro-credential is a designation of achievement of a coherent set of skills, competencies, or knowledge, specified by a statement of purpose, learning outcomes, and potential need by employers and/or in the community.

A micro-credential may be academic and/or non-academic. All micro-credentials must involve an evaluation of learning. Academic micro-credentials must also meet the standards for academic coursework, but there are no minimum number of credit hours to complete the work. Micro-credentials may be within a program, separate from a program, or they could sit simultaneously in both places.

A micro-credential has fewer requirements and credit hours than traditional academic qualifications and focuses on competencies that are: (1) not defined in existing programs (for non-academic micro-credentials only), (2) not accessible outside of limited enrolment programs, (3) complementary to existing programs, and/or (4) available as optionally stackable modules.

Policy Modifications

The focus of this section is concerned with the policy to accommodate the introduction of micro-credentials into McMaster's learning framework. New learning elements, such as micro-credentials, rely upon McMaster's reputation to demonstrate their value to the public. It is necessary to introduce policy that differentiates micro-credentials from other credentials. Furthermore, minimum institutional expectations for their scope, content and evaluation, and means of recognizing the final developed competency of the learner should be defined for knowledge creators. The McMaster Act limits our issuing of credentials to degrees, diplomas and certificates. Therefore, the Senate Policy on Certificates and Diplomas is the most appropriate home for micro-credentials. Below, we outline proposed modifications to this policy necessary to integrate micro-credentials into McMaster's requirements and procedures, ultimately providing oversight of these new learning activities.

Revision of Certificates and Diplomas Policy (July 8, 2020)

The committee believes that the evaluation, approval and monitoring of micro-credentials, similar to certificates and diplomas, should be the responsibility of the University's governing councils, namely Graduate Council and Undergraduate Council. Academic micro-credentials should be subject to normal academic regulations as outlined in the Undergraduate Calendar or Graduate Calendar, but both academic and non-academic micro-credentials are recommended to be approved and administered by a separate office from the Registrar. This administrative home would provide the nimbleness sought by Faculties and MCE to create micro-credentials and would be in a better position to handle these learning activities that will encompass undergraduate, graduate or general university level comprehension. The modifications to the policy for micro-credentials should describe the minimum expectations in admissions, breadth of content, and standards in evaluation. The committee was unified in its belief that any micro-credential must include an evaluation of competency with sufficient rigor corresponding to university level scholarly content.

We recommend that revisions to the Certificates and Diplomas policy for micro-credentials occur during Fall 2021, involving a subset of the committee to draft a new version for review and discussion by the two Councils. Guided by the Vice-Provost and Dean of Graduate Studies and Vice-Provost (Faculty), a small group of writers should adopt the vision of the committee. The revised policy should go to Senate for approval by December 2021.

Corresponding to the sections and layout of the Policy, the following modifications are recommended:

- Section II: *Procedural Requirements – Management of Academic Certificate and Diploma Programs* - Clarification that academic and non-academic micro-credentials will not be maintained by the Registrar but rather by a new administrative home. Micro-credentials that count towards degree completion will need to be maintained by the Registrar's Office. Subsequent sections of this

report will clarify the function of this newly-conceived home. On the academic side, this will develop akin to how MCE manages certificates and diplomas (non-degree) academic programming; the office as the administrative home but Point 7 of the current policy still applies to those students. This means the university will keep these records and attest to the issuance of credentials. At this point in time, unless it is a degree requirement, we recommend that micro-credentials do not appear on the transcript managed by the Registrar's Office but rather be recorded and available in a digital wallet. The availability of the digital infrastructure to implement this is a key condition for the success of micro-credential initiatives at McMaster.

- Section II: *Transfer between Credentials* –Stackability of academic credit for academic micro-credentials should be discussed specifically in a new section of the policy for micro-credentials (the [My OWN](#) degree might be used as a model). The learning activity for a micro-credential may generate its own credential (unlike certificates and diplomas which require multiple courses) and it may be combined with a corresponding diploma or certificate, as described in the appropriate section of this policy. Outside of the allowances for certificates and diplomas, academic micro-credentials may also be counted towards a degree, but should be specifically approved passing through the usual curriculum change procedures.
- Sections III to VI - Modify certificate and diploma sections, for academic credentials, to include the counting of academic micro-credentials. Typical limitations should be highlighted where an academic micro-credential may be used towards a degree and certificate simultaneously, or diploma and certificate simultaneously, but may not be counted towards two diplomas, or a degree and diploma simultaneously.
- Section VII: *Other Certificates* - Inclusion of non-academic micro-credentials into a stackable Certificate of Completion. There is no equivalency with Certificates of Attendance since micro-credentials will require an evaluation.
- New Section VIII (moving old section down to Section IX) - Include the definition for micro-credentials, as above. Academic micro-credentials should be declared as undergraduate or graduate, while non-academic micro-credentials should have no distinction, but normally involve competencies corresponding to university level studies. A description of stackability for micro-credentials towards another credential (both academic and non-academic) should be re-iterated in this section. Additional information in this section should include:
 - Setting admission requirements, ensuring it encompasses the university and MCE.
 - Defining credit units based on contact hours for academic micro-credentials. The definition should consider lower and upper limits on the duration of micro-credentials so that they are meaningful in scope but also well-differentiated from courses.
 - Inserting digital credentialing since it is not presently discussed in the policy. There should be consideration of credential mobility and the ability to give students and learners access to proof of completed requirements for specific micro-credentials (i.e., to be consistent with the

idea that micro-credentials are 'portable', and that students and learners can show them to potential employers to demonstrate skills and abilities). All micro-credentials should have a corresponding digital credential but only academic micro-credentials corresponding with degree requirements may appear on a university transcript. The Section II.8 clause may be expanded for micro-credentials to reflect the administrative home duty, with examples of the suggested credential appended at the end of the policy.

- New Section IX (old Section VIII): *Procedures for Approval* - Academic micro-credentials should be approved by their corresponding council, undergraduate or graduate. Non-academic micro-credentials should be approved by a Faculty standing committee, documented by the new administrative home, and should be reported to Undergraduate and Graduate Councils on an annual basis. Procedure for setting new fees may require deviation from the procedures for certificates.

Ceremonials

There is no current policy associated with digital credentials (confirmed by the Secretariat). A few universities have standardized appearances for micro-credentials but we were unable to identify an existing ceremonials policy at another institution that would provide guidance. This may be an opportunity to state some minimum expectations concerning the appearance of digital credentials so that Faculties can engage creatively in this area. We recommend that the Senate Committee on University Ceremonials and Insignia be tasked with recommending requirements for "visual" aspects of digital credentials.

Administrative “Home”

The idea of an administrative home is meant to provide a sustainable entity to oversee all micro-credential activity at McMaster. The creation of micro-credentials can happen organically in many areas of the university: within Faculties, Schools or program areas, by McMaster Continuing Education (MCE), Executive Education, the University Library, etc. Providing an administrative framework for micro-credentials facilitates program launches, supports micro-credential students and learners, and provides a strategic advantage to McMaster. Micro-credentials may be non-academic or academic, but do not generally count toward degrees or graduate diplomas. If specific micro-credentials become approved components of other credentials, the administrative oversight of such will need to be outlined more specifically as it will involve program-specific parameters. Learners will include currently enrolled undergraduate and graduate students, non-traditional learners registering through MCE, alumni engaging in up-skilling or re-skilling, and non-McMaster enrolled students and learners from other universities.

The issuance of micro-credentials requires a substantial administrative infrastructure - one capable of performing logistical functions such as:

- Setting-up and issuing micro-credentials;
- Maintaining a record of micro-credentials created and issued;
- Engaging in marketing and advocacy including recruiting individuals and employers for micro-credential service; and
- Registration of and collection of fees for all students and learners into all micro-credential offerings.

Key to the success of the micro-credential infrastructure is the choice of a single source for the creation and maintenance of the repository of micro-credentials issued so that individual micro-credential holders can claim the micro-credentials and post them where they want. This decision may be adjusted over time, but the University should reach a decision on a common platform within its first year of operation to avoid a variety of platforms issuing McMaster micro-credentials.

While McMaster may decide to develop its own infrastructure in the future, at present the issuance of micro-credentials may depend on using commercially available utilities such as BCdiploma (currently funded through eCampus Ontario). McMaster Continuing Education has already leveraged the use of BCdiploma in rolling out its Data Analytics program – an eCampus Ontario micro-credential pilot which involved a collaboration with the National Institutes of Health Informatics (NIHI). It is recommended that this platform be used in the interim.

McMaster, as part of its mission, will establish the McMaster INSPIRE Office of Flexible Learning. We recommend that the INSPIRE Office advocate, create, issue, maintain, market and promote the responsible issuance of micro-credentials certifying competencies in the short-term in coordination with MCE.

Logistical Functions

These functions are associated with the actual creation and issuance of a credential through a vendor platform (such as BCdiploma) that performs the essential functions of creating a credential in a secure repository. They include:

- Designing the credential on the vendor platform (including helping digital credential issuers fulfill the requirements for initiating a credential).
- Issuing a credential to the repository and to the recipient.
- Reviewing the credential design and metadata for compliance with published criteria.
- Referring issues or questions to a micro-credentials advisory committee.
- Responding to questions and concerns of students, learners and employers.
- Reviewing submitted credentials for duplication or confusion with other McMaster credentials.

Administrative Functions

These functions are those business operations associated with the logistical nature of any centre, but also include special record keeping and reporting tasks:

- Managing financial aspects of the centre, including paying for costs and receiving and accounting for income and financial support.
- Maintaining records of approval and supporting documentation regarding the establishment of individual credentials.
- Maintaining a central record of credentials issued.
- Maintaining relations with the vendor platform including contracts and payments.
- Generating and distributing reports on credential issuance, sharing, and other aspects of the operations of the center.
- Hiring the Director/Manager and support staff to assist in the operations of the INSPIRE Office of Flexible Learning (<https://intersession.mcmaster.ca>).
- Responding to student and learner inquiries.

Marketing and Advocacy Functions

Communicating the competitive advantage of micro-credentials to individuals as they seek jobs and promotions and the benefits of talent access to employers should be prominent features of a multi-pronged marketing approach. Marketing and advocacy functions will include:

- Publicizing McMaster's capacity for digital credentialing.
- Marketing specific digital credentials.
- Creating and responding to media coverage opportunities.
- Engaging in information campaigns to increase the general use and recognition of McMaster credentials.

Development Functions

These functions include the development of clients for digital credentials such as regional businesses that want industry-specific credentials to be created and issued, internal McMaster departments and units that see opportunities for their students and learners to gain a competitive advantage in the marketplace, and professional associations seeking to advance professional competencies. Among the activities that the centre would provide are:

- Networking and consultation to identify internal and external clients for the services of the centre.
- Responding to requests for services.
- Identifying internal McMaster units that can respond to external requests for micro-credentials.
- Seeking external funding for deserving micro-credentialing projects.

Registration of Students and Learners into all Micro-credential Offerings

These functions encompass the aspect of registering undergraduate and graduate students and learners into the various micro-credential offerings at the University:

- Enabling registration of all micro-credential courses (credit and non-credit) through a single self-serve system; currently, MCE's registration system is best positioned to provide this service with additional technical and human resources required; as MCE explores and plans to implement a new registration system in 2021-2022, how the new system can/will support registration and payment for micro-credentials will be an important consideration; costs incurred by MCE for micro-credential activity related to the larger university will require appropriate resourcing. As such, we recommend that micro-credentials appear in the student record in the new student administration and registration system.
- Collecting fees for all registrations into any micro-credential offering.
- Coordinating the production of T2202 slips with Financial Affairs, where applicable.
- Coordinating with the Aid and Awards Office for OSAP-eligible programming.

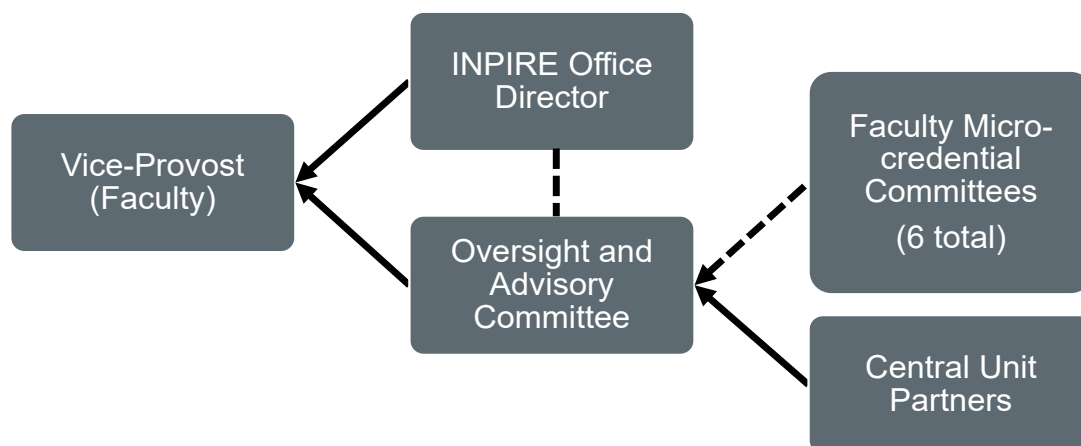
Quality Assurance

There are on-going conversations on the role of external and internal bodies in quality assurance processes in Ontario. We would like to make the following recommendations:

- That McMaster commit to internal quality oversight in partnership with the IQAP team (Educational Developer and IQAP Team at the MacPherson Institute) that provides guidelines on micro-credential delivery and assessment.
- That the Oversight and Advisory Committee is informed by the internal IQAP team and that the team lead (Educational Developer) is a consulting member.
- That the Quality Council (QC) does not oversee quality assurance processes of micro-credentials. This would run contrary to the nimbleness and market responsiveness that micro-credential development requires.
- That where Quality Council (QC) sees a role, it is in providing guidelines for internal quality assurance processes.
- In instances where there are external constraints from Quality Council that these apply only to OSAP-eligible micro-credentials.

Reporting Structure

The recommended reporting structure for micro-credentials at McMaster is outlined in the figure below. All implementation committees and roles will ultimately fall under the Vice-Provost (Faculty) portfolio.



The roles and responsibilities for the implementation of micro-credentials are outlined in the table below.

Role/Committee	Description of Responsibilities
INSPIRE Office Director (short-term)	As mentioned in the Administrative “Home” section of this report, we recommend that the administration of micro-credentials occurs within the mandate of the new INSPIRE Office for Flexible Learning for the short-term. The Director of the Office will be responsible for managing the implementation of micro-credentials at McMaster. We imagine this occurring in collaboration with an Implementation Team, and with advisement from an Oversight and Advisory Committee. This role may transition out of the INSPIRE Office Director role in the future, but in either case, this person will report to the Vice-Provost (Faculty).
Faculty Micro-credential Committees	Similar to how curriculum is currently developed at McMaster, we recommend that the design and development of individual micro-credential offerings take place within each of the Faculties through a Micro-credential Committee. How these groups operate may vary across Faculties and will be determined internally. One representative from each Faculty’s Committee (i.e., the Chair) will be a member of the Oversight and Advisory Committee.
Oversight and Advisory Committee	The mandate of the Oversight and Advisory Committee will be to set the strategic direction for micro-credentials at McMaster and align or complement micro-credential offerings across the University. The Committee will be comprised of key stakeholders and senior leadership who will be informed of the evolving landscape of micro-credentials and offer advice on the strategic direction for McMaster University. This Committee will oversee the institutional implementation of micro-credentials at the University. It is recommended that this group is established in the Winter of 2022, meeting 2-3 times per year.
Central Unit Partners	Those involved in the day-to-day implementation and management of micro-credentials at McMaster, outside of the faculties that will inform the Oversight Committee. (i.e. Secretariat, Registrar’s Office, INSPIRE Office, School of Graduate Studies, Provost’s Office, etc.). The role of this group is to provide consultation to avoid duplication and pass along lessons learned and best practices.

Fees

It is understood that, for the purpose of setting fees, micro-credentials are not “courses”. *Academic* micro-credentials may be “stackable”, meaning that they are designed according to academic standards that make them suitable to be combined as requirements for academic courses, diplomas, or certificates, but neither *academic* nor *non-academic* micro-credentials are themselves courses whether or not they are so bundled. This section outlines the committee’s recommendations regarding the assignment, approval and administration of fees.

- As non-course learning elements, fees for micro-credentials are to be charged without regard to the participant's undergraduate, graduate, or non-student status.
- Fees for *standalone academic* micro-credentials will be approved in accordance with the standard governance of university tuition and fees. A Faculty will recommend micro-credential fees to the University Student Fees Committee (USFC), and the USFC recommendation for approval is subsequently considered by Budget Committee, Planning and Resource Committee and the Board of Governors.
- Where micro-credentials are part of an undergraduate or graduate degree program, fees are charged on a per unit basis, so that micro-credentials must be assigned a unit weight and charged the appropriate per unit cost.
- Fees for *non-academic* micro-credentials are approved by each Faculty. No further approval is required. Certain micro-credentials may be approved for OSAP funding by MCU. The management of OSAP eligibility at McMaster currently resides in the Registrar's Office. The extent to which another office (i.e. the INSPIRE office or MCE) can participate in managing micro-credential OSAP issues is currently unknown.
- Once fees are paid for participation in a micro-credential, no further course tuition is charged for a subsequent academic course composed entirely of bundled micro-credentials. An incidental fee may be charged for transferring micro-credentials to program courses from the Registrar's Office.
- If a student or learner who is not already enrolled at McMaster wished to enrol in *academic* micro-credentials, they shall be charged McMaster Association of Part-time Students (MAPS) ancillary fees. Consistent with the practices at McMaster Continuing Education, other incidental fees may be charged as approved by USFC, for example, application or transfer fees. This will be an ongoing discussion for the implementation team.

Appeals

The following recommendations pertain to how appeals will be administered and managed as part of micro-credential offerings at McMaster:

- Students and learners registered in a degree, diploma or certificate program at McMaster who are enrolled in academic and non-academic micro-credentials will have access to existing student appeal procedures as well as relevant University policies.
- Students and learners who are not registered in a degree, diploma or certificate program at McMaster (termed 'Non-McMaster' students) but enrolled in academic micro-credentials will also have access to existing student appeal procedures as well as relevant University policies.
- Non-McMaster students and learners enrolled in non-academic micro-credentials may appeal their evaluation to the Faculty Standing Committee on Micro-credentials within 4 weeks of the submission of their final grade. Students and learners in this category will not have access to existing student appeal

procedures beyond the Faculty Standing Committee. The student or learner must be informed of the decision within 3 weeks from the date of the appeal. The decision made by the Faculty Standing Committee will be final without right of appeal.

- In all cases, the first step for a student or learner who alleges error, injustice, or unfair treatment in a micro-credential is to attempt to resolve the issue on an informal basis, by reaching out the instructor, coordinator, or Unit offering the micro-credential.

Next Steps

The management of micro-credentials at McMaster will evolve over time. We are grateful for the existing experience brought to us in this area by the Faculty of Engineering. The recommendations outlined in this report will serve as a foundation to extend that exploratory work. Nonetheless, we expect that the implementation will evolve with time as greater clarity emerges from MCU and our counterparts at other institutions.

In the short term, we recommend the following next steps for action:

- Striking a writing group guided by the Dean of Graduate Studies and Vice-Provost (Faculty) to revise the Certificates and Diplomas policy for micro-credentials occur over the Fall of 2021, involving a subset of the committee to draft a new version for review and discussion by the two Councils.
- Bringing the proposed revisions to the Certificates and Diplomas policy to Senate for approval by December 2021.
- Establishing the INSPIRE Office for Flexible Learning.
- Establishing an Implementation Committee tasked with defining terms of reference for the Director, Oversight and Advisory Committee structure, and division of roles and responsibilities between the INSPIRE Office of Flexible Learning and MCE.
 - The Implementation Committee will be comprised of key stakeholders across campus, including but not limited to representatives from each Faculty, the Secretariat, Registrar's Office, Continuing Education and the Vice-Provost (Faculty) and Dean of Graduate Studies. This Committee will collaborate with the INSPIRE Office Director to implement of micro-credentials. It is recommended that this group is established in the summer of 2021 and meets monthly for the 2021-2022 academic year.
- Establishing a handover date for existing micro-credential management to the new structure.
- Considering operational aspects of appeal mechanisms for micro-credentials.

Additional items that still need to be resolved prior to the implementation of micro-credentials at McMaster include (this list is not exhaustive):

- Reviewing the definitions of “undergraduate student”, “graduate student”, and “student” at McMaster to ensure they account for all types of learners enrolled in micro-credentials.
- Determining a management approach to provide flexibility for the completion of micro-credentials.
- Further determining/defining the differences between academic and non-academic micro-credentials.
- Exploring how micro-credentials may be transferred between post-secondary institutions, when appropriate.
- Drafting and proposing a financial model for the administration of micro-credentials that fits into the university budget model.
- Consulting with Faculties and MCE to avoid duplication.
- Determining how T2202 slips will be issued.

The situation in Ontario with respect to micro-credential policy remains dynamic. It is likely that a number of announcements will be made over the implementation period which will require reflection on our planning recommendations and will clarify our next steps.

Appendix A

Ad-Hoc Committee Terms of Reference

AD HOC COMMITTEE ON CERTIFICATES, DIPLOMAS AND MICROCREDENTIALS
(Undergraduate Council/Graduate Council)

TERMS OF REFERENCE

Mandate

With new credentialing approaches gaining acceptance in academic and public spaces, McMaster has an opportunity to help its students effectively demonstrate the different forms of knowledge they are acquiring as undergraduate students, graduate students and adult learners.

A more modular learning approach has emerged in the digital space known as micro credentials, sometimes referred to as badges, which some of the largest global companies are using to train potential employees. Various universities such as the University of Calgary and Université de Montréal are also involved in the development, delivery and recognition of micro-credentials. The current Senate Policy on Diplomas and Certificates provides some unique modes of acknowledging and packaging academic and non-academic learning activities in ways that help our students verify their knowledge, skills and competencies to an employer. But it lacks adequate modularity, stackability and portability to fully cover all the learning offered through McMaster University, which a badging strategy could help.

Based on the above, an ad hoc committee, governed by McMaster's Undergraduate and Graduate Councils, with the participation of McMaster's Centre for Continuing Education and overseen by the University Secretariat is tasked with considering how micro credentials should be used on campus and to make recommendations for changes to the Senate Policy on Diplomas and Certificates and other policies as required to facilitate implementation.

Requirements of the committee

The Ad Hoc Committee formed will be asked to:

- Undertake an environmental scan to identify practices by other universities and consult relevant literature on badging and micro credentials
- Make recommendations as to whether McMaster should offer micro credentials as a form of recognition for learning activities that alone are insufficient to merit the issuance of a certificate or diploma as currently defined
- Define a micro credential(or credentials) in terms of academic and non-academic learning activities, and recommend how it may be considered to be modular, stackable, and portable.
- Consider the impact of these different credentials on institutional quality assurance, accreditation, and MTCU regulations including financial aid implications
- Recommend the appropriate level of records administration and the responsibility for credential production and verification.

- Define the scope and measure of academic and non-academic learning constituting a micro credential
- Recommend revisions to the appropriate sections of the current Policy on Certificates and Diplomas
- Recommend regulations on the appearance of McMaster's name and logo/crest in relation to micro credentials for consideration by the Senate Committee on University Ceremonials and Insignia

Proposed Membership

- Vice-Provost (Faculty) or designate (Co-chair)
- Vice-Provost and Dean of Graduate Studies or designate (Co-chair)
- Two members appointed by and from Undergraduate Council
- Two members appointed by and from Graduate Council
- Director, CCE, or designate
- University Registrar or designate
- One undergraduate student
- One graduate student
- One adult learner
- University Secretary or designate (non-voting, consultant)

The Committee has the authority to appoint consultants when required.

Appendix B

eCampusOntario Micro Credentials OCGS Briefing
Presentation

MICRO-CREDENTIALS

OCGS Briefing + Discussion

Robert Luke, CEO

Lena Patterson, Senior Director,
Programs and Stakeholder Relations



MICRO-CREDENTIALS

Thank you for having us!

→ Overview of eCampusOntario Work

→ Micro-credentials, Research and Graduate Learning

→ Questions and Discussion

For more information, visit:

<https://micro.ecampusontario.ca>

Overview of eCampusOntario Work

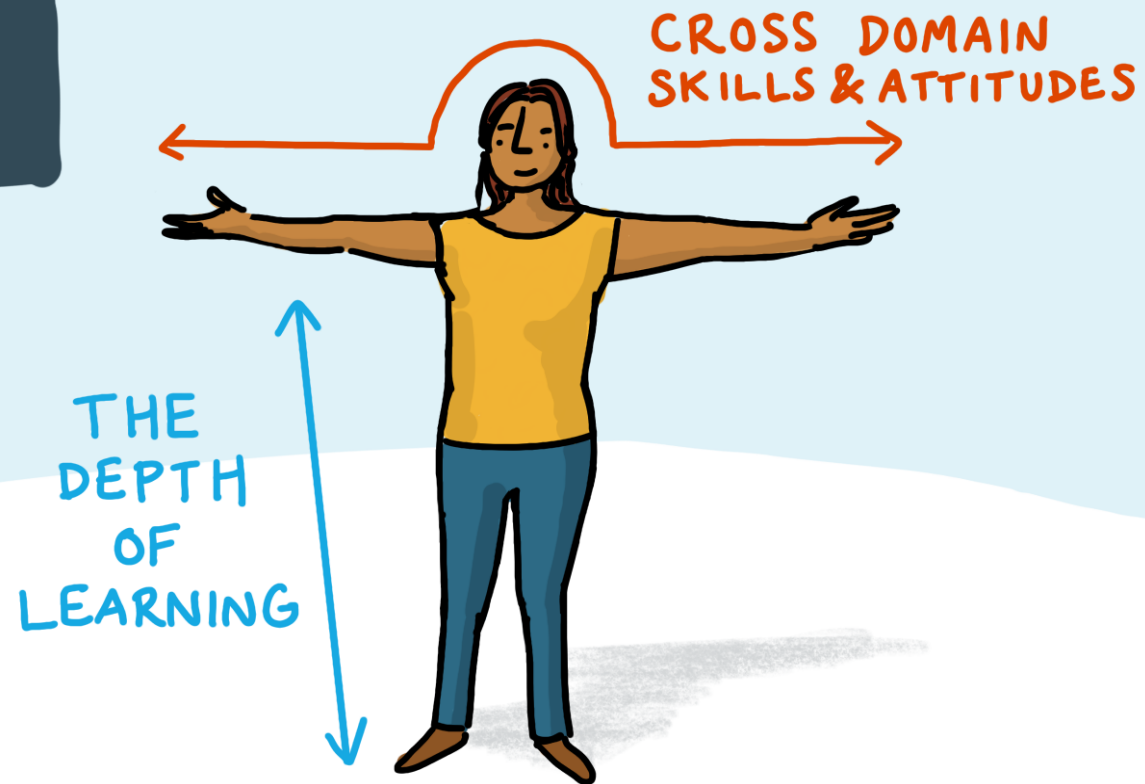
- > **Working definition**
- > **Framework**
- > **Pilot Project Funding**
- > **Research**

MICRO-CREDENTIALS

Working Definition

A micro-credential is a certification of **assessed learning** associated with a **specific and relevant skill or competency**. Micro-credentials enable rapid retraining and augment traditional education through pathways into regular postsecondary programming.

THE T-SHAPED GRADUATE



@bryanMMathers



MICRO-CREDENTIALS

Framework

---> Issuing Body

---> Competency / Skills Targeted

---> Outcomes

---> Summative Assessment

---> Transcriptable

---> Partner Endorsement



Issuing Body

Micro-credentials will be issued by an established agency, organization, institution, or employer.



Competency/Skills targeted

Micro-credentials will adhere to harmonized skills and competency language and will be aligned with a common competency framework such as ESCO1.



Outcomes

Micro-credentials will recognize performance competencies explicitly aligned to underlying knowledge, attitudes and skills.



Summative Assessment

Micro-credentials will require evidence of achievement of outcomes. Evidence will be embedded and visible to employers.



Transcriptable

Micro-credentials will be compatible with traditional transcripts, where possible.



Partner Endorsement

Micro-credentials will be validated by industry partners/external bodies, where possible. This validation will confirm 1) the competency is in demand by industry and; 2) the established assessment is reflective of job performance in that industry.

MICRO-CREDENTIALS

Pilot Project Funding

2

Years of pilot
project funding to
date

36

Total pilots funded

18

University pilots
funded.

18

College pilots
funded.

5

Focus areas

- Human Skills; Technology;
Health and Human Services;
Manufacturing; Natural
Resources

6

More pilot information:

<https://micro.ecampusontario.ca>

MICRO-CREDENTIALS

Publications

- Is the Future Micro? Unbundling Learning for Flexibility and Access
- Micro-credential Business Models in Higher Education
- Micro-credentials: Policy and Regulatory Context in Ontario

All reports are available in both English and French: <https://micro.ecampusontario.ca>

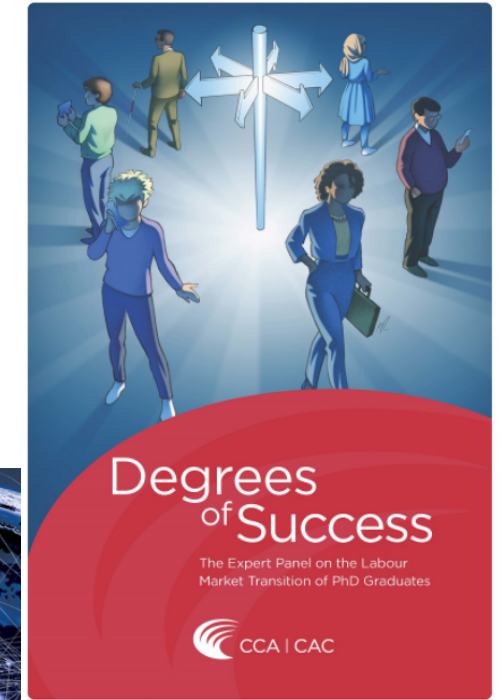
Areas of Future Inquiry?

Micro-credentials, Research, and Graduate Learning

MICRO-CREDENTIALS

Skills and Competencies for Graduate Students

- Recent CCA reports outline the need for increasing industry receptivity for PhD graduates, ensuring graduates understand the skills and competencies they acquire in their programs and can articulate these to potential employers
- This is key to increasing innovation and productivity in Canada



COMPETING IN A GLOBAL INNOVATION ECONOMY: THE CURRENT STATE OF R&D IN CANADA

Expert Panel on the State of Science and
Technology and Industrial Research
and Development in Canada



Council of Canadian Academies
Conseil des académies canadiennes

Science Advice in the Public Interest

The Ontario Collaborative Innovation Platform (OCIP)

- + Projects sourced from the private or public sector to leverage consortium for coordinated R&D
- + Will use common tools and templates for scoping projects at any SRL/TRL
- + Turn key support: standard NDAs, Contracts, IP agreements, Project Plans and Statements of Work
- + Conducting partnered R&D activities to support IP mobilization and industry R&D partnerships
- + Students receive micro-credentials for project work



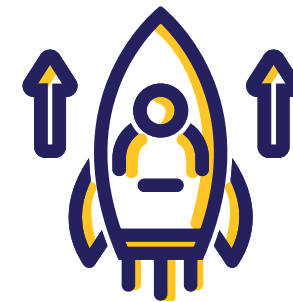
Projects/ideas are posted to the system



Academics from across institutions identify interests, expertise and equipment

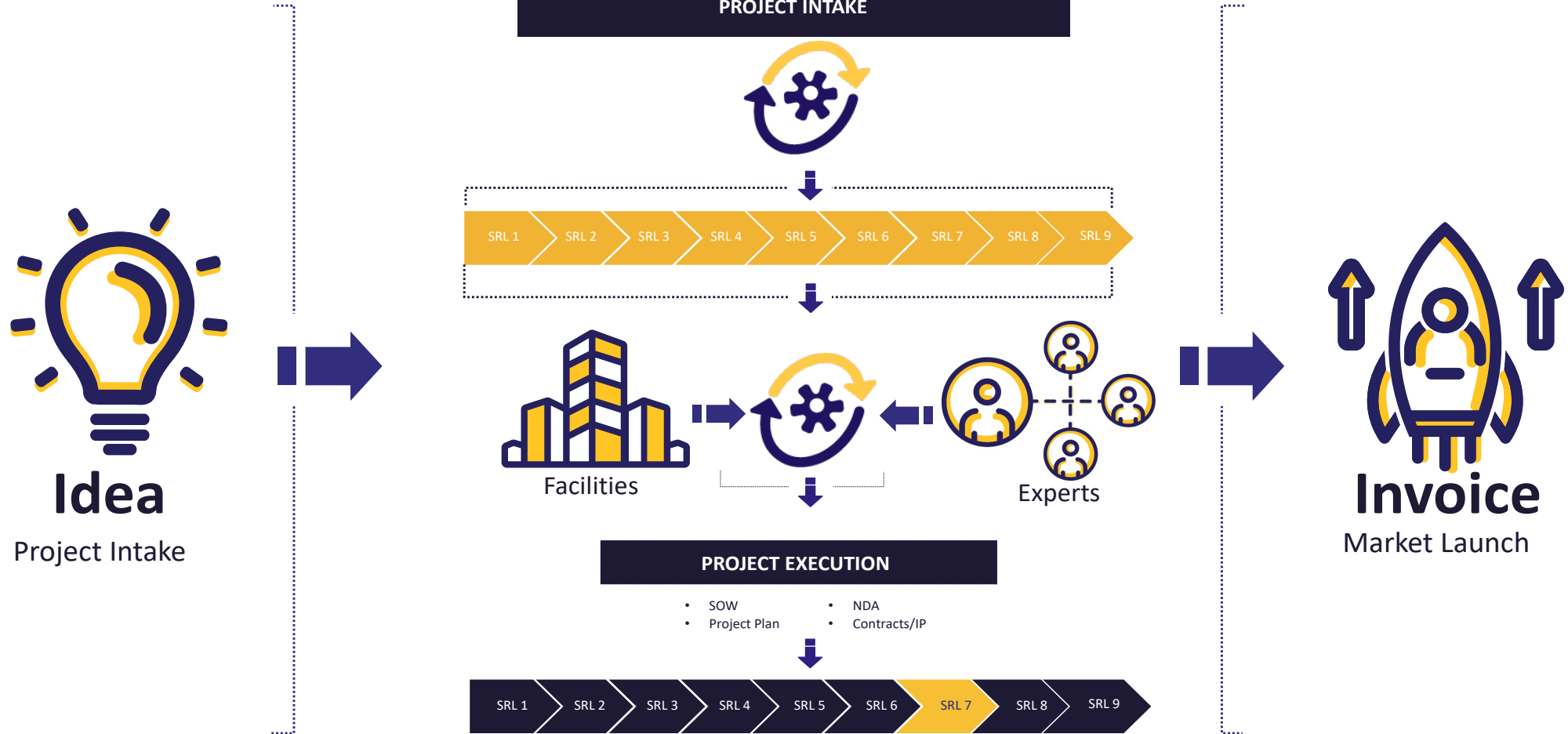


Matching projects and partners, with turn key support:



Market Launch

THE OCIP ENGINE



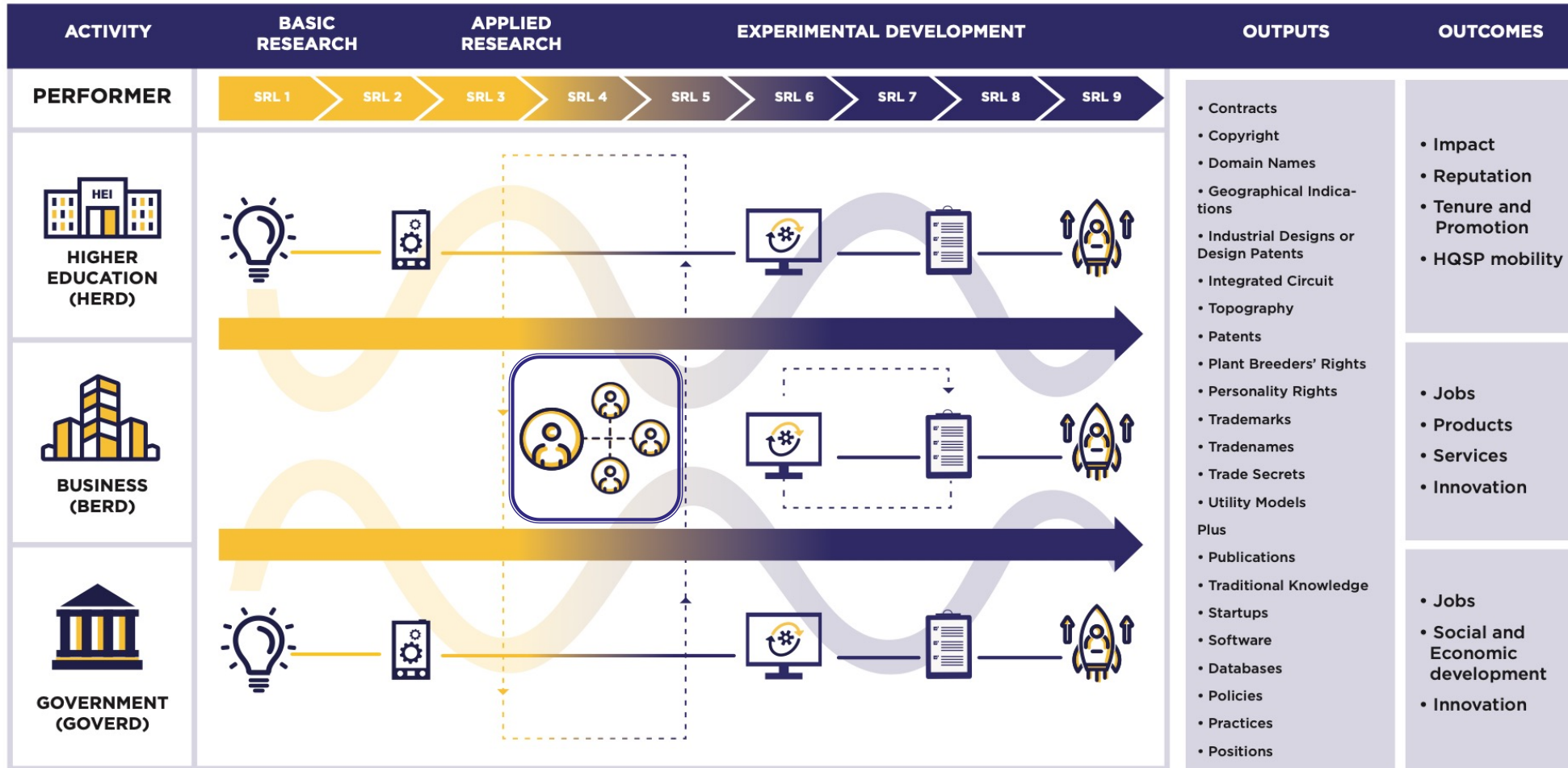
Innovation Skills

- Students
 - Participate in all aspects of projects as paid research assistants
 - Perform a range of duties, from conducting the R&D activities under the supervision of expert faculty, to project management, teamwork and communications
 - Gain valuable innovation literacy skills, work experience and jobs
- Micro-credentials validate activities and skills
 - Innovation Literacy micro-credentials in OCIP come from project participation, coupled with access to just-in-time online learning about Intellectual Property (IP)
 - Personal portfolios to document project work
 - Project sponsors to co-brand badges and micro-credentials



Team-based Innovation: We find the right people, for the right project at the right time

Integrated approach to innovation

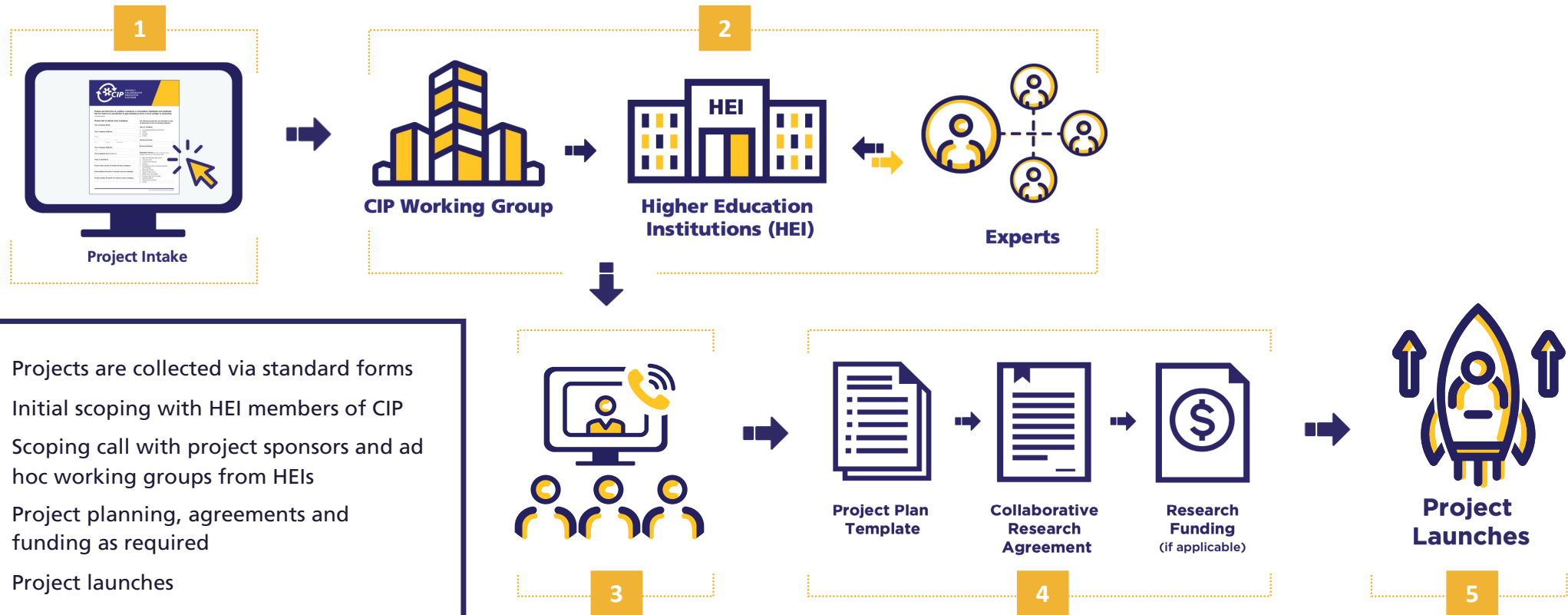


GTA COVID-19

Collaboration Innovation Platform

Pilot Implementation

CITY OF TORONTO RESEARCH PROJECTS

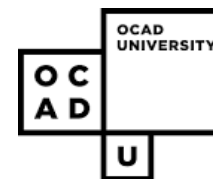




GTA COVID-19

Collaboration Innovation Platform

- **Pilot Partners and Collaborators**



Appendix C

HEQCO Making Sense of Microcredentials: Summary of
Research Findings Presentation

Making sense of Microcredentials

**Summary of research findings
March, 2021**

[Read the full report here.](#)

Higher Education
Quality Council
of Ontario

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Conseil ontarien
de la qualité de
l'enseignement supérieur

Un organisme du gouvernement de l'Ontario

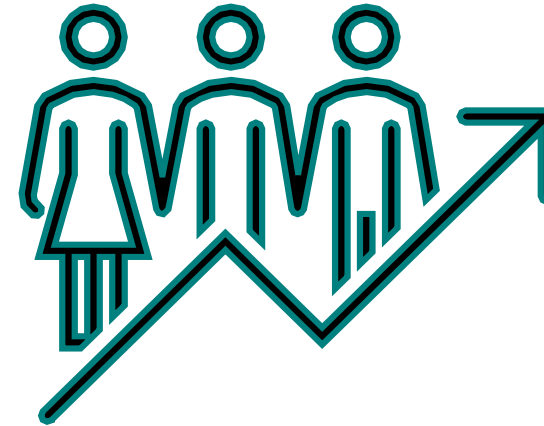
Project Goals



1. Facilitate a common understanding



2. Provide evidence / insights in perceptions of end-users



Higher Education
Quality Council
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HEQCO's definition

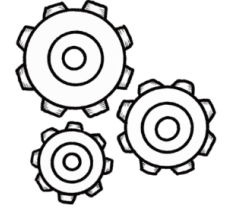


“A microcredential is a representation of learning, awarded for completion of a short program that is focused on a discrete set of competencies (i.e., skills, knowledge, attributes), and is sometimes related to other credentials.”



Purpose	Pathway to a formal qualification  <i>e.g., a bridging program</i>	Update previous qualifications  <i>i.e., incorporating emerging research/best practice</i>	Gain technical skills  <i>e.g., learn a software program</i>	Develop transferable skills  <i>e.g., critical thinking</i>
Mode of Delivery	In-person 	Hybrid <i>A microcredential could be a hybrid of online and in-person delivery.</i>	Online 	
Flexibility	Fixed pace 	Hybrid <i>A microcredential could be a hybrid of fixed pace and self-paced learning.</i>	Self-paced 	
Student/Instructor Interaction	Cohort learning 	Both <i>A microcredential could include both cohort learning and independent learning.</i>	Independent learning 	
Credential Form	Paper credential 	Both <i>A microcredential could be issued as both paper and digital credentials</i>	Digital credential 	
Indicator of Achievement	Participation 	Demonstrated competence 	Demonstrated mastery 	

Quality Markers



Relevant



Consulted or involved
industry/community

Accredited



Recognized or issued
by a professional
accrediting body

Standardized



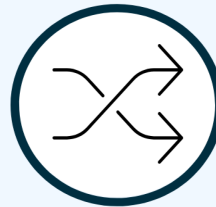
Meets a government-
set quality standard

Assessed



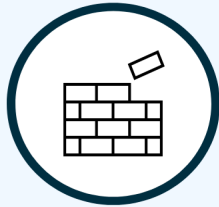
The learner must
demonstrate
skills/knowledge to
earn the credential

Flexible



The pace and/or
structure of learning
can be personalized

Stackable

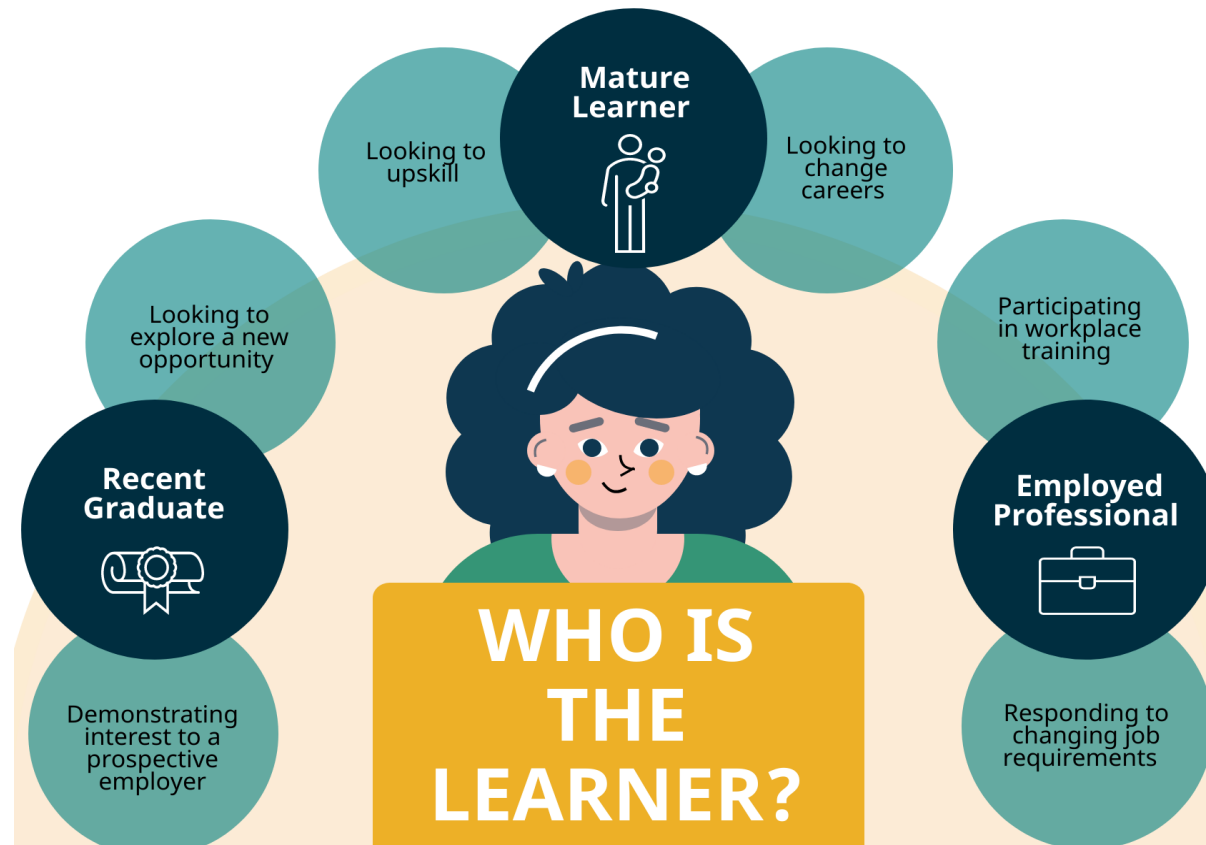


Can be "stacked" or
combined toward a
larger credential, e.g.
a diploma or degree

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REPORT TO THE SENATE
FROM THE
COMMITTEE ON APPOINTMENTS

Open Session (Regular)

On November 15, 2021, the Committee on Appointments approved the following recommendation and now recommends it to Senate for approval:

1. Terms of Reference

a. ToR – Establishment of the Douglas Family Chair in Nutrition Research

It is now recommended,

that Senate approve the establishment of the Douglas Family Chair in Nutrition Research.

SENATE: FOR APPROVAL
December 8, 2021

November 4, 2021

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

Re: Establishment of the Douglas Family Chair in Nutrition Research

On behalf of the Faculty of Health Sciences, I would like to recommend the establishment of the Douglas Family Chair in Nutrition Research.

Paul and Susan Douglas have very generously provided funding to create a permanent endowment for this Chair. In addition, this endowment is being supplemented with matching funds from the Department of Medicine. The Chair will support establishing and maintaining a world-class research program that integrates gastroenterological and nutrition sciences.

The terms of reference for the Chair are attached.

Yours sincerely,



Paul M. O'Byrne, MB, FRCP(C), FRSC
Dean and Vice-President
Faculty of Health Sciences

Encl.

PO/bvd

TERMS OF REFERENCE

Douglas Family Chair in Nutrition Research

General

A gift has been directed to the Faculty of Health Sciences to provide support for the *Douglas Family Chair in Nutrition Research*. The incumbent will have demonstrated excellence in the area of nutrition.

Details and Duties

The holder of the Chair will be a senior clinical investigator with a deep understanding of the importance of nutrition.

Specifically, the Chairholder will:

- Hold an appointment in the Faculty of Health Sciences at McMaster University;
- Be an integral part of the institutional vision towards establishing and maintaining a world-class research program that integrates gastroenterological and nutritional sciences which exemplifies the central values of the University, the Department of Medicine and the Farncombe Family Digestive Health Research Institute;
- Establish community links and oversee clinical research projects in the area of nutrition;
- Contribute significantly to the body of scholarship in the area of nutrition through teaching, research, and/or clinical work at McMaster University;
- Provide mentoring and leadership to future generations of nutrition-trained gastroenterologists in the Faculty of Health Sciences, including mentoring a junior clinical investigator;
- Undertake the normal duties of a faculty member in the Faculty of Health Sciences and the Department of Medicine, including participation in the education programs of the Department;
- In the first five years, as Chairholder, develop a needs assessment protocol in nutrition and develop technology to help monitor dietary habits.

Selection Process

The selection and designation of the Chairholder will be determined as follows:

- The Dean and Vice-President of the Faculty of Health Sciences will appoint an appropriate selection committee, which shall include, at a minimum, the Vice-Dean, Research, Chair of the

Department of Medicine, and Director of the Farncombe Family Digestive Health Research Institute.

- The selection committee will invite and receive nominations for the Chair and make recommendations for the appointment to the Dean and Vice-President of the Faculty of Health Sciences for approval.
- Once approved, the Dean and Vice-President will forward the selection committee's recommendation to the Senate Committee on Appointments.

Term

An appointment to the Chair shall be for up to five (5) years, with the understanding that renewal for additional terms is possible based on satisfactory reviews.

Acknowledgement

The incumbent will acknowledge that they hold the *Douglas Family Chair in Nutrition Research* in all publications, lectures and any other activities supported through the fund.

June 2021

REPORT TO THE SENATE
FROM THE
COMMITTEE ON APPOINTMENTS

Open Session (Regular)

On December 6, 2021, the Committee on Appointments approved the following recommendation and now recommends it to Senate for approval:

1. Faculty Grievance Policy

a. Revised and Name Change – Faculty General Grievance Procedure

It is now recommended,

that Senate approve, for recommendation to the Board of Governors, the amendments and name change to the Faculty General Grievance Procedure, as circulated, effective December 9, 2021.

b. New – Faculty Respondent Option for External Recommendation of Sanctions Policy

It is now recommended,

that Senate approve, for recommendation to the Board of Governors, the establishment of the Faculty Respondent Option for External Recommendation of Sanctions Policy, effective December 9, 2021.

c. Faculty General Grievance Procedure (Information)

d. Faculty Grievance Procedure Hearing Guidelines (Information)

SENATE: FOR APPROVAL
December 8, 2021



Rafael Kleiman
Professor and Chair

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Canada

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<https://www.eng.mcmaster.ca/engphys>

TO: Senate Committee on Appointments

FROM: Rafael Kleiman, Chair of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure

DATE: November 29, 2021

RE: Revised faculty grievance policy

Rafael D. Kleiman

On behalf of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure (FGGP), I am pleased to submit a revised Faculty Grievance Policy to supersede both the Faculty General Grievance Procedure, approved by Senate on May 26, 1999 and the Faculty Grievance Review Panel Guidelines for Hearing Committees, approved on September 28, 1993.

Terms of Reference for the Drafting Committee and its work were struck in the Fall of 2017 and are attached. As stated in the Terms of Reference, “In recognition that the University landscape has evolved considerably since then (1999), the McMaster University Faculty Association (MUFA) has expressed interest in updating the Procedure.” Due to the complexity of the issues at hand, the large number of stakeholders, and the high level of consultation required, this process took several years to converge to its present state.

The 1999 Procedure and the 1993 Guidelines are attached for reference. Due to the extensive nature of the changes and their merger, a track changes version was not practical and has not been provided.

The highlights of the new Policy and its changes with respect to the previous version are summarized here:

1. Modernization of the policy structure and alignment of language with other more recently approved policies. Flowcharts were added to the Policy for greater clarity. The Procedural Rules for Hearings were embedded in the Policy, providing a more self-contained policy.
2. Extensive use of formal mediation, facilitated by the University, as the preferred method for formal resolution of grievances.
3. A clear distinction is made in the revised Policy between the Initial Decision-Maker who made the initial decision that is the subject of the grievance and the Respondent, who is generally “one-up” in an administrative sense from said decision-maker.
4. The scope of the Policy and matters either within or outside its jurisdiction was further clarified. While implicit in the FGGP, the revised Policy is explicit that disciplinary measures imposed under the Code of Conduct for Faculty and Procedures for Taking Disciplinary Action at Stages 1, 2 and 3 are within the jurisdiction of the Policy.
5. Timelines were reviewed and revised with the objective of balancing a timely resolution with the time required to complete steps prescribed under the Policy.

6. Separate self-contained sections are provided for situations where the Initial Decision-Maker is a Chair (A), Dean (B), Vice-Provost or Vice-President (C), or President (D), leading to a more accessible document.
7. Likely the most common grievance (Type A) has many fewer procedural steps prior to a Hearing in the revised Policy as compared to the corresponding process in the FGGP, even when including mediation between the Grievor and the Initial Decision-Maker. The revised process flow is illustrated in the following diagram:



Rafael Kleiman, on behalf of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure, whose members were

Carlos Filipe
Vickie Galea, replaced by Michelle Dion
Nicholas Kevlahan
Rafael Kleiman (Chair)
Carl Richards
John Weaver

Complete Policy Title

Faculty Grievance Policy

Policy Number (if applicable):

DRAFT 13 (for Senate & Board)

Approved by

**Senate /
Board of Governors**

Date of Most Recent Approval

**TBD/
TBD**

Date of Original Approval(s)

May 26, 1999 / June 10, 1999

Supersedes/Amends Policy dated

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

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

Responsible Executive

Provost and Vice-President (Academic)

Policy Specific Enquiries

Provost and Vice-President (Academic)

General Policy Enquiries

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

DISCLAIMER:

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

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SECTION I: INTRODUCTION

PREAMBLE

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

TERMS AND DEFINITIONS

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

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

SCOPE

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

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

- g) policies enacted and decisions made by University (the Senate and the Board of Governors) and Faculty governance bodies.

8. Grievances about disciplinary measures imposed under the Code of Conduct for Faculty and Procedures for Taking Disciplinary Action at Stages 1, 2 and 3 are within the jurisdiction of this policy.

8. Grievances about the following matters **are** within the jurisdiction of this Policy:

a) disciplinary measures imposed under the *Code of Conduct for Faculty and Procedures for Taking Disciplinary Action* at Stages 1, 2 and 3; and

a) disciplinary measures imposed outside of the context of a University policy.

9. Disciplinary measures shall be imposed only in accordance with University policy.

- 10. For example, and for greater clarity, while it may be perceived as such, an administrative decision affecting a faculty member is not in itself harassment. Under the *Discrimination and Harassment Policy* harassment means engagement in a course of *vexatious* comment or conduct that is known or ought reasonably to be known to be unwelcome. "Vexatious" comment or conduct is comment or conduct made without reasonable cause or excuse.

ADVICE AND GUIDANCE

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

SECTION II: PROCEDURAL GUIDELINES

TIME LIMITS

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

CONFLICTS OF INTEREST

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

CONFIDENTIALITY

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

PROTECTION FROM REPRISAL

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

ADVISOR / REPRESENTATION

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

UNIVERSITY SECRETARIAT

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

DATA GATHERING & RECORD KEEPING

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

POLICY REVISIONS

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

SECTION III: GRIEVANCE PROCEDURES

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

Mediation

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

Respondent

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

Deadline to Initiate a Grievance

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

TYPE A GRIEVANCE

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

Informal Resolution with Initial Decision-Maker

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

Informal Resolution with Respondent

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

Mediation with Initial Decision-Maker

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

Written Decision from Respondent

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

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

Request for Hearing

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



TYPE B GRIEVANCE

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

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

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

Informal Resolution with Initial Decision-Maker

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

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

Informal Resolution with Respondent

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

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

Mediation with Initial Decision-Maker

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

Written Decision from Respondent

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

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

Request for Hearing

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



TYPE C GRIEVANCE

63. A Type C Grievance is when the Initial Decision-Maker is a Vice-Provost or Vice-President.

64. The Respondent is the President.

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

Informal Resolution with Initial Decision-Maker

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

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

Informal Resolution with Respondent

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

69. The President shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation with Initial Decision-Maker

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

Written Decision from Respondent

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

a) presented in writing to the President:

(i) the written grievance shall specify the nature of the grievance; and

(ii) the remedy sought; and

b) at the Grievor's discretion, a copy may be provided to MUFA.

72. The President shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance.

Request for Hearing

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



TYPE D GRIEVANCE

74. A Type D Grievance is when the Initial Decision-Maker is the President, they shall be referred to as the Respondent.

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

Informal Resolution with Respondent

76. The Grievor shall request to meet with the Respondent to informally discuss a resolution to the grievance.

77. The President shall arrange a meeting **within 14 business days of receipt** of the request.

Mediation

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

Written Decision from Respondent

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

a) presented in writing to the Respondent:

(i) the written grievance shall specify the nature of the grievance; and

(ii) the remedy sought; and

b) at the Grievor's discretion, a copy may be provided to MUFA.

80. The Respondent shall respond to the Grievor in writing **within 14 business days** following receipt of the written grievance.

Request for Hearing

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



SECTION IV: WRITTEN REQUEST FOR A HEARING

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

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

SECTION V: PROCEDURAL RULES FOR HEARINGS

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

Settlement

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

Submissions and Disclosure

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

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

Evidence

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

Witnesses

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

Closed Hearings

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

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

Parties

111. Parties to a Hearing shall include:

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

Onus, Burden of Proof and Basis of Decision

112. The **balance of probabilities** is the test to be met to show, by the weight of the evidence presented, that all of the facts necessary to make a determination that an injustice or error have occurred, have a greater likelihood of being true than not.

113. The Grievor normally has the onus to present evidence to satisfy the Tribunal that, on a balance of probabilities, the interpretation or application of a duly enacted policy or established practice of the University by the initial Decision-Maker has not been fair, just or reasonable to the Grievor; however, for grievances related to disciplinary measures (section 8), the onus is on the Respondent to show that discipline is just, fair and reasonable to the Grievor.

~~113. The Grievor has the onus to present evidence to satisfy the Tribunal that, on a balance of probabilities, the interpretation or application of a duly enacted policy or established practice of the University by the initial Decision-Maker has not been fair, just or reasonable to the Grievor.~~

114. The principles and procedures described in this section shall apply to all proceedings before the Tribunal. Tribunals shall not be charged with investigative duties.

Advisor / Representation

115. Parties have the right to be advised or represented by an Advisor or legal counsel. The costs of any representation are to be borne by the party retaining such representation.

116. An Advisor is a person of the individual's choice who acts in an advisory role (e.g., friend, family member, legal counsel), but is not a witness or potential witness in the matter.

Administrative and Legal Support

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

Other Parties

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

Recess or Adjournment

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

Recording

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

Similar Questions of Fact or Policy

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

WRITTEN HEARINGS**Notice of Written Hearing**

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

HEARINGS

Notice of Hearing

126. A Hearing shall be commenced as soon as possible following the appointment of the Tribunal.
127. An attempt shall be made to schedule the Hearing at a time and place convenient for the Tribunal and for the parties to the Hearing. However, any party whose reasons for absence are not considered valid by the Tribunal's Chair, or whose absence may cause unreasonable delay, shall be notified that the Tribunal will proceed in that party's absence.
128. The parties shall be given reasonable, written notice of the Hearing.

ORDER OF THE HEARING

129. The first item of business for the Tribunal shall be to confirm the Hearing shall be closed, in accordance with the procedure set out above, or to hear and rule upon representations in favour of an open Hearing.
130. At the outset of the Hearing, the Chair shall:
- a) identify the nature of the case;
 - b) review the order of the Hearing;
 - c) note for the record the documentary information submitted by the parties to the Hearing, including any preliminary or procedural orders;
 - d) note the names of the witnesses for each party;
 - e) confirm the likely dates for sitting and the projected length of the Hearing;
 - f) raise, or request the parties to raise, any and all preliminary issues concerning composition of the Tribunal and other unaddressed procedural matters; and
 - g) proceed to deal with any matters raised in (f) above before the commencement of the substantive portion of the Hearing, by either proceeding directly to the Hearing or considering and rendering a decision on matters raised in (f) above.
131. The Grievor is the first party heard.
- a) Grievor's opening statement shall contain:
 - (i) a brief description of the grievance including what interpretation or application of a duly enacted policy or established practice of the University by the Respondent they believe was not fair, just or reasonable to the Grievor; and
 - (ii) what remedy they are seeking.
 - b) Grievor's case provides factual support to show why their grievance should be remedied and may include any or all of the following:

- (i) Grievor's oral testimony;
 - (ii) oral testimony of Grievor's witnesses; and
 - (iii) documents or other written evidence in support of this testimony.
 - c) Questioning of the Grievor and their witnesses by the Respondent and/or by the Tribunal occurs at the close of each person's testimony.
132. Following the completion of the Grievor's case, the Respondent presents their case.
- a) Respondent's opening statement shall contain:
 - (i) a brief reply to the Grievor's claims; and
 - (ii) the main arguments of their defence.
 - b) Respondent's case presents the evidence to support their defense, which may include any or all of the following:
 - (i) Respondent's oral testimony;
 - (ii) oral testimony of Respondent's witnesses; and
 - (iii) documents or other written evidence in support of this testimony.
 - c) Questioning of the Respondent and their witnesses by the Grievor and/or by the Tribunal occurs at the close of each person's testimony.
133. Grievor's Reply: The Grievor and their witnesses have the right to offer testimony or other evidence in reply to the issues raised in the Respondent's case.
134. After the testimony of each witness, the Tribunal may, in addition to asking questions of the witness, request copies of such documents mentioned in testimony as the Tribunal in its discretion sees fit.
135. **After this point in the Hearing, no new evidence or witnesses may be introduced.**
136. The parties are entitled to make closing arguments, and to summarize briefly the main points of their cases, in the following order:
- a) Grievor;
 - b) Respondent; and
 - c) Grievor's reply, if necessary.
137. The Tribunal may alter the order described above in the interest of fairness to any or all of the parties.

138. While procedural fairness is essential, the Tribunal reserves its right to direct, curtail or encourage the organisation of witnesses, testimony and evidence in the interests of enhancing the clarity, relevance, and efficiency of the proceedings.
139. The Tribunal shall first warn, then caution, and may prohibit from continuing in such a manner, any party presenting testimony, evidence, argument or materials which are, in the reasonable opinion of the Tribunal, irrelevant, unprovable, defamatory, vexatious or specious, or which impede or prevent the Tribunal from conducting the Hearing or reaching a decision.

DELIBERATIONS

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

DECISION

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

- f) any ordered remedies and/or recommendations.
- 146. The President shall implement the decision promptly and shall notify all those eligible to receive the Tribunal's report, of the implementation of the decision.
- 147. The Tribunal shall not have jurisdiction to change any of the provisions of a duly enacted policy or established practice of the University.

OTHER RECOMMENDATIONS

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

APPENDIX A: GRIEVANCE REVIEW PANEL

GRIEVANCE REVIEW PANEL MEMBERSHIP

1. The President of the University and the President of the Faculty Association shall jointly appoint a full-time tenured/CAWAR faculty member as Chair of a Grievance Review Panel for a two-year term. The two Presidents, in consultation with the Chair, shall appoint 8 full-time, tenured, CAWAR or permanent faculty members, with at least one chosen from each Faculty, to a Grievance Review Panel for staggered three-year terms and shall appoint one or more of the members as Vice-Chair(s). The Chair shall have the authority to delegate to the Vice-Chair(s).

TRIBUNAL SELECTION

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

APPENDIX B: FACULTY ASSOCIATION OBSERVERS AT HEARINGS

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

APPENDIX C: RELATED POLICIES

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

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



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TO: Senate Committee on Appointments

FROM: Rafael Kleiman, Chair of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure

DATE: November 30, 2021

RE: Faculty Respondent Option for External Recommendation of Sanctions Policy

Rafael D. Kleiman

On behalf of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure (FGGP), I am pleased to submit the new policy, titled **Faculty Respondent Option for External Recommendation of Sanctions Policy**, for approval. The development of this policy emerged from work done by the Drafting Committee in the revision of the FGGP and is being brought forward for approval in conjunction with the new Faculty Grievance Policy. The draft versions of this policy were circulated in tandem with drafts of the Faculty Grievance Policy and received the same level of scrutiny and consultation.

Sanctions imposed by a Tribunal under the Sexual Violence Policy, the Discrimination and Harassment Policy, the Research Integrity Policy, and the Faculty Code of Conduct are outside the jurisdiction of the Faculty Grievance Policy. Nevertheless, the Drafting Committee felt strongly that inclusion of legal precedent from an External Reviewer would be beneficial to both faculty members and the University in determining an appropriate sanction.

The highlights of the new policy are summarized here:

1. This Option applies to sanctions arising from Tribunals of the Sexual Violence Policy, the Discrimination and Harassment Policy, the Research Integrity Policy, or the Faculty Code of Conduct.
2. Sanctions recommended by a Tribunal at a Removal Hearing, a T&P Appeal Hearing, or a Grievance Hearing are not within the jurisdiction of this policy.
3. For sanctions recommended by a Tribunal, an External Review of the sanction may be requested by a faculty member respondent. The Review is to be conducted by an external arbitrator with experience in Ontario higher-education labour law. The Reviewer provides a sanction recommendation to the Tribunal for consideration.
4. A 'severity bar' is applied so that only the most serious sanctions may go to External Review.
5. Half the costs associated with the External Review are to be borne by the University.

Rafael Kleiman, on behalf of the Joint MUFA-SCA ad hoc Drafting Committee to Revise the Faculty General Grievance Procedure, whose members were

Carlos Filipe
Vickie Galea, replaced by Michelle Dion
Nicholas Kevlahan

Rafael Kleiman (Chair)
Carl Richards
John Weaver

Complete Policy Title

**Faculty Respondent Option for External
Recommendation of Sanctions Policy**

Policy Number (if applicable):

DRAFT 07

Approved by

**Senate /
Board of Governors**

Date of Most Recent Approval

Date 2021

Date of Original Approval(s)

Supersedes/Amends Policy dated

Responsible Executive

Provost and Vice-President (Academic)

Policy Specific Enquiries

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

General Policy Enquiries

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

DISCLAIMER:

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

INTRODUCTION AND SCOPE

1. The option for an External Recommendation of sanctions (External Review) is only available to faculty member Respondents in hearings conducted under the jurisdiction of the:
 - a) *Code of Conduct for Faculty and Procedures for Taking Disciplinary Action*;
 - b) *Discrimination and Harassment Policy*;
 - c) *Research Integrity Policy*; and
 - d) *Sexual Violence Policy*.
2. External Reviews shall be limited to a hearing where one or more of the recommended sanctions are of greater severity, which shall include all forms of discipline, up to and including termination, that:
 - a) withhold remuneration from the faculty member;
 - b) restrict access to University resources (including office/laboratory space and interaction with individuals);
 - c) restrict access to University services (including computing, communication, and finances); and/or
 - d) alter normal job duties (research, teaching and service).
3. For the purpose of interpreting this document:
 - a) words in the singular may include the plural and words in the plural may include the singular;
 - b) **MUFA** means the McMaster University Faculty Association; and
 - c) **Tribunal** means a duly constituted Tribunal or Hearings Committee.

EXTERNAL REVIEW REQUEST

4. The request for an External Review must be made, in writing, to the Tribunal when the Respondent makes their closing arguments.
5. The University Secretariat, on behalf of the Tribunal, shall forward the request to the relevant faculty association (MUFA or the Clinical Faculty Association).
6. The faculty association shall have **10 business days** from receipt to submit their response to the University Secretariat, either their agreement to bear half the costs associated with the External Review or declining to bear the costs.
7. The University Secretariat shall forward the response to the Tribunal and the parties to the hearing. If the faculty association declined to bear the costs, the Respondent shall have **10 business days** from receipt to respond with either their agreement to bear half the costs associated with the External Review or declining to bear the costs.

Costs

8. In order for an External Review to proceed, either the relevant faculty association and/or the Respondent must agree to bear half the costs associated with the External Review.
9. Contingent upon the agreement of the faculty association and/or the Respondent, half the costs associated with the External Review will be borne by the University.

EXTERNAL REVIEWERS

10. Each year the President of the University and the President of MUFA shall jointly establish a list of six (6) External Reviewers. In addition, the two Presidents may identify, on an *ad hoc* basis, additional individuals to be included on the list of External Reviewers.
11. External Reviewers will normally be individuals who demonstrate active involvement in labour arbitration in the higher education sector in Ontario as a consensually appointed neutral single arbitrator or chair of boards of arbitration.
12. External Reviewers must have the appropriate background/training to be able to review the case. Cases under the *Discrimination and Harassment Policy* or the *Sexual Violence Policy*, require appropriate background/training in the area of discrimination and harassment as identified under those policies.

Selection of an External Reviewer

13. Selection of the External Reviewer will be based on availability to conduct the review within **60 business days**.

Confidentiality

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

Review Process

16. The External Reviewer shall be provided with:
 - a) the Tribunal's findings;
 - b) the sanction submissions from both parties to the Hearing (if submitted); and
 - c) any previous findings of violation by the Respondent of the relevant Policy.
17. The University Secretariat shall provide the External Reviewer with additional documents upon request

pertaining to University policies and processes.

18. The External Reviewer cannot review or retry the facts and findings of a Tribunal. The External Reviewer may ask clarifying questions.
19. The External Reviewer may consider the severity of the offence, previous findings of violations of the relevant policy, precedent in case law, and any other relevant legal principles.
20. The External Reviewer will provide to the Tribunal a sanction recommendation based on relevant precedent in the (Ontario) post-secondary landscape. The External Reviewer sanction recommendation will be shared with both parties to the Hearing.

Tribunal

21. The Tribunal will consider the recommendations from the External Reviewer in their deliberations regarding sanctions.

Complete Policy Title:
Faculty General Grievance Procedure

Policy Number (if applicable):
n/a

Approved by:
Senate / Board of Governors

Date of Most Recent Approval:
May 26, 1999 / June 10, 1999

Date of Original Approval(s):

Supersedes/Amends Policy dated:

Responsible Executive :
University Secretariat

Enquiries:
[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.*

1. OBJECTIVE

This Procedure is designed to provide McMaster faculty members with prompt and impartial adjudication of grievances arising from their employment relationship with McMaster and which are not covered by existing, specific review procedures. It is intended to facilitate and promote informal resolution of grievances, and to furnish a formal mechanism of grievance resolution when informal means are unsuccessful. ¹

2. APPLICATION

This Procedure is open to all full-time and part-time members of the teaching staff as defined under the McMaster University Act (1976), i.e. those “employees of the University or of a college affiliated with the University who hold the academic rank of professor, associate professor, assistant professor or lecturer”; except that any such member of the teaching staff who is covered by a collective agreement of a certified union shall not be eligible to use this procedure.

The parties to a grievance shall be the Grievor and the University. The Grievor may be an individual member of the teaching staff or a group of such members.

¹ Information about using the Grievance Procedure can be obtained from the Secretary of the Senate (Gilmour Hall 210, ext. 24337) or the Faculty Association (Hamilton Hall 103A, ext. 24682).

3. SCOPE

Subject to clauses 3.1 and 3.2 below, a general grievance is a complaint that the interpretation or application of a duly enacted policy or established practice of McMaster University by any person with administrative authority (such officers as the President, a vice-president, dean, associate dean, department chair, director of a programme, institute or centre, or research project director), or by a committee with administrative authority, has not been fair, just or reasonable. Hence, a grievance must be a complaint which can be remedied by such an officer, or by the committee.

3.1 An established practice is a practice which is identifiable, certain, known and in force as of the date of the decision or action that is the subject of the complaint at Stage 1 (as described in clause 5.1 below). The onus to show that such a practice exists rests upon the party who seeks to rely upon it.

3.2 Excluded from this general Grievance Procedure are the following:

- a) complaints for which specific review or appeal procedures exist (such as the denial of tenure or promotion, suspension or removal, merit pay awards, research misconduct, sexual harassment, violation of human rights, or other such complaints for which procedures may be established from time to time);
- b) complaints about remuneration.²

4. GRIEVANCE REVIEW PANEL

The President of the University and the President of the Faculty Association shall jointly appoint a full-time tenured faculty member as Chair of a Grievance Review Panel for a two-year term. The two Presidents, in consultation with the Chair, shall appoint eight full-time, tenured faculty members, with at least one chosen from each Faculty, to a Grievance Review Panel for staggered three-year terms and shall appoint one or more of the members as Vice-Chair(s). The Chair shall have the authority to delegate to the Vice-Chair(s).

5. PROCEDURE

In keeping with the stated objective to facilitate and promote informal resolution of grievances, the parties are encouraged to exhaust all the opportunities afforded by Stages 1 to 3 (including mediation) to the fullest extent consistent with a prompt and fair resolution, before resorting to Stage 4.

ADVICE TO GRIEVORS: A person who wishes to pursue a complaint may contact the Chair of the Special Enquiries and Grievances Committee of the Faculty Association for

² Nothing in clause 3.2(b) is intended to affect adversely the rights of persons to take complaints about their remuneration to the Provincial Pay Equity Commission if they have been unable to resolve them to their satisfaction within the University.

advice regarding this Procedure and for assistance in formulating and pursuing the complaint.^{***} The Chair of that Committee may nominate a member of the Committee or some other faculty member from McMaster to advise the Grievor and if the latter so wishes, to accompany him or her in any meetings with administrative officers under this Procedure.

MEDIATION: At any stage in the Procedure, the parties by mutual agreement may request mediation. If they cannot then agree on the choice of a mediator, the Chair of the Grievance Review Panel shall be asked to designate a member of the Panel or some other McMaster faculty member to mediate informally and in confidence. The mediator, who must have had no previous involvement in the case, shall hear both sides of the dispute and shall remain impartial. He or she shall hold all information in strict confidence and shall issue no public report or statements on the mediation. The mediator may not subsequently be a member of the tribunal which hears the case if it proceeds to stage 4, nor may he or she be called as a witness before any such tribunal. Mediation may extend the duration of the stage at which it occurs by fourteen days.

5.1 STAGE 1

The Grievor shall discuss the grievance initially at the first administrative level having the authority to dispose of it. Usually this will be the Grievor's department chair, institute or centre director, or research project director.³ This person will be referred to as the "primary Respondent".⁴ The grievance must be presented in writing within twenty-eight days after the Grievor knows, or ought reasonably to have known, the grounds for the grievance. The primary Respondent shall respond to the Grievor in writing within fourteen days following presentation of the grievance.

5.2 STAGE 2

If the grievance is not resolved under Stage 1 to the Grievor's satisfaction, the Grievor may within fourteen days of the expiration of the time limit in Stage 1, present the same grievance in writing, along with the written response from stage 1, to the person at the next administrative level having the authority to dispose of it, normally the Faculty Dean, or a person designated by the Dean, who becomes the "current Respondent". (If the current Respondent is a Vice-President, the grievance will proceed directly to stage 3.) The written grievance shall specify the decision or omission complained of, and the remedy sought. The current Respondent shall respond to the Grievor in writing within fourteen days of receipt of the written grievance.

^{***} Clinical faculty members who are not members of the McMaster Faculty Association should consult with the Clinical Faculty Association for such advice.

³ In the case of a committee decision the primary Respondent will be the administrative officer at the level to which the committee reports, i.e., in the case of a Departmental Committee it will be the Chair of the Department, of a Faculty Committee it will be the Dean, of a University Committee the appropriate Vice-President or the President.

⁴ If the primary Respondent is a Dean or equivalent, the grievance will proceed directly to stage 2. If the primary Respondent is a Vice-President or the President the grievance will proceed directly to stage 3

5.3 STAGE 3

If the grievance is not resolved under an earlier Stage to the Grievor's satisfaction, the Grievor may, within fourteen days of expiration of the time limit of the previous stage, present the same grievance in writing, along with the written responses from all previous stages, to the Provost and Vice-President (Academic), who shall either respond to it or refer it to the appropriate Vice-President (the "current Respondent"). If the grievance is against the President of the University the President is deemed to be the current Respondent. The current Respondent shall respond to the Grievor in writing within twenty-one days of receipt of the written grievance.

If the grievance is against a vice-president, and if the grievance is not resolved to the Grievor's satisfaction at this stage, the Grievor may, within fourteen days of receipt of the response, present the grievance to the President of the University under the terms and conditions set out in the paragraph above.

5.4 STAGE 4

If the grievance is not resolved under an earlier Stage to the Grievor's satisfaction, the Grievor may within twenty-one days of the expiry of the time limit of the previous stage, file with the Chair of the Grievance Review Panel, through the Secretary of Senate and using the appropriate forms, a written request for a formal hearing. The request shall contain the details of the grievance, a statement of the issue or issues in dispute, a statement of the remedy sought, and documentation, including the written responses from all previous stages of the grievance.

6. TIME LIMITS

A Grievor who fails to meet a time limit loses the right to proceed to the next stage. If a Respondent fails to meet a time limit, the Grievor shall have the right to proceed to the next stage. Time limits, including those which apply to mediation, may be extended by mutual agreement between the Grievor and the current Respondent.

Disputes about time limits (e.g., when the Grievor ought reasonably to have known the decision or action that is the subject of the grievance) shall be adjudicated by the Chair of the Grievance Review Panel.

7. RULES OF PROCEDURE IN STAGE 4

The Grievance Review Panel shall establish guidelines for the conduct of hearings by Hearing Committees. These guidelines shall conform to the principles of natural justice and to the provisions of The Statutory Powers Procedure Act. The Grievance Review Panel shall be responsible for periodically reviewing these guidelines.



7.1 HEARING

Within fourteen days of receipt of the written grievance, the Chair of the Grievance Review Panel (or Vice-Chair in case of conflict of interest or absence), shall establish a Hearing Committee. The Committee shall consist of the Chair or a Vice-Chair of the Grievance Review Panel, who shall act as Chair of the Hearing Committee, and two other members of the Grievance Review Panel. The Chair shall select members of the Hearing Committee who have no conflict of interest; for example, they shall not be members of the same department as the Grievor, nor shall they have made a substantive contribution to the decision being grieved.

The Respondent for the hearing shall be the primary Respondent, the person to whom the grievance was originally addressed. As stated in Section 5.1, this is the person at the first administrative level having the authority to dispose of the grievance. The Chair of the Grievance Review Panel shall give both parties the opportunity to object, with reasons, to the proposed membership of the Hearing Committee. The Chair of the Grievance Review Panel shall rule on any such objection before the Hearing Committee begins its work.

The first task of the Hearing Committee shall be to decide, after giving the parties an opportunity to speak to the issue, whether the hearing shall be open or closed, in conformity with section 9(1) of The Statutory Powers Procedure Act. The Hearing Committee shall also decide whether the grievance falls within the scope of the General Grievance Procedure (see clause 3 above), after giving the parties an opportunity to speak to the issue of jurisdiction. If the Hearing Committee decides that it has jurisdiction, the hearing shall then proceed under the rules established by the Grievance Review Panel.

7.2 ACCESS TO INFORMATION

The Grievor shall have the right to request information to be placed before the Hearing Committee. The Hearing Committee must make a preliminary determination that the information so requested is relevant to the grievance in question. Once that determination has been made the Grievor may request the information in question from the person or body who holds that information. The person or body holding the information shall release it to the Hearing Committee unless that person or body holding the information is otherwise precluded by law from divulging it. If the information is denied on the basis that the person or body holding it is precluded by law from releasing it, then the Grievor may exercise his or her rights at law to compel the delivery of that information to the Hearing Committee.

Both parties shall be provided copies of all written information presented to the Hearing Committee.

7.3 REPRESENTATION

These procedures will normally be followed without recourse to legal counsel. Both the Grievor and the Respondent may be accompanied at any Stage by a colleague of their choice. At Stage 4 either party may be represented by a colleague or by legal counsel.



7.4 FACULTY ASSOCIATION OBSERVER

With the consent of the Grievor the Faculty Association shall be entitled to have an observer at any formal hearing under this procedure. The function of the observer shall be to monitor the conduct of the formal hearing, in accordance with the Senate "Guidelines Concerning the Appointment of Faculty Association Members as Observers and Concerning the Role of Observers at Review Hearings".

8. DECISIONS

The decision of the Hearing Committee shall be by majority vote, and shall be binding. The Hearing Committee shall send a report of its decision to the Grievor, the Respondent, the President of the University and such other parties as it deems appropriate. The report shall include a summary of the issues, the factual findings, the conclusions, and the decision with reasons.

The report shall be issued within three months from the last day of the hearing, whether that day of hearing is "in person" or by means of "written submissions".

Reports of hearings held in open session will be available on request from the office of the President.

The President shall implement the decision promptly, and shall notify all those eligible to receive the Hearing Committee's report of the implementation of the decision.

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

The Hearing Committee may make recommendations to the President of the University regarding policies, procedures and practices.

9. MONITORING

The Chair of the Grievance Review Panel shall submit an annual report to the Chairs of the Senate and the Board of Governors and the President of the Faculty Association on the year's experience with the Procedure. This report may include recommendations for clarification of or changes to University policies, practices or procedures. The Special Enquiries and Grievances Committee of the Faculty Association shall submit to the Chair of the Grievance Review Panel a summary of the Committee's activities for the year. This information shall form a part of the annual report of the Chair of the Grievance Review Panel.

10. ADMINISTRATIVE SUPPORT

The Grievance Review Panel shall be entitled to receive support services from the University.



11. RETENTION OF DOCUMENTATION

Documentation submitted to any Hearing Committee will be retained by the University for a period of seven years after the Hearing Committee has submitted the report containing its decision. It will then be destroyed, unless required for any legal proceedings external to the University which have been initiated during the seven-year period, in which case the material will be destroyed immediately after all legal processes have been exhausted.

12. REVISION OF THIS PROCEDURE

Proposals for amending this procedure may be made by the Chair of the Grievance Panel, the administration, the Senate or the Faculty Association. When such proposals are made, there shall be consultation among these parties and, if appropriate, an *ad hoc* drafting committee shall be established. The drafting committee, which shall consist of members named by the Senate Committee on Appointments and by the Faculty Association, shall review the proposed amendments and formulate revisions for submission to the Senate and the Board of Governors for approval. During the course of its work, the drafting committee shall ensure that the parties mentioned in the first sentence are kept fully informed of any proposed revisions and that their views on any such changes are properly considered.

File No.: _____
(For Office Use)

FACULTY GRIEVANCE REVIEW PANEL

McMASTER UNIVERSITY

Request for a Formal Hearing

If you have questions about the grievance procedure or about completing this form, please contact the University Secretariat, Room 210, Gilmour Hall, Extension 24337, E-mail univsec@mcmaster.ca

Name: _____

Department: _____

University
Address: _____

E-mail: _____ Extension: _____

I confirm that I have completed the initial stages of the grievance procedure described in Sections 5.1 to 5.3 of the Faculty General Grievance Procedure. (Please attach a copy of your written grievance presented at all previous stages, together with the written responses you received)

Signature

Date

Notice of Collection of Personal Information

The information gathered on this form is collected under the authority of *The McMaster University Act, 1976*. The information is used only for the purposes of administering the Faculty General Grievance Procedures and for statistical purposes. Personal information provided on this form will not be used for any unrelated purpose without the consent of the faculty member. This information is protected and is being collected pursuant to section 39(2) and section 42 of the *Freedom of Information and Protection of Privacy Act* of Ontario (RSO 1990). Questions regarding the collection or use of this personal information should be directed to the University Secretary, Gilmour Hall, Room 210, McMaster University

1. **Please state *briefly* your grievance or allegation of injustice** (i.e., the decision, ruling or action you are grieving against and the person(s) or committee who mad the decision or ruling or who took that action).

Person(s) or committee: _____

Grievance or allegation of injustice:

2. **You are required to submit a written statement describing the grounds for your grievance. Please use the space below for that purpose. If this space is insufficient, additional pages may be appended. You should also attach any written documents that you want to submit to the Panel as evidence in support of your grievance.**

3. **What relief do you seek (i.e. what do you want the Panel to do for you)?**
(If this space is insufficient, additional pages may be added.)

4. **In certain circumstances, the Hearing Committee may decide to conduct the hearing of your grievance in closed session. Are any of the details of your grievance of a sufficiently confidential nature to make a closed hearing desirable?**

No Yes (explain):

5. **Will you be represented by counsel (i.e. a faculty colleague, friend, or lawyer)?**

No

Yes If yes, please indicate who your counsel will be:

Colleague Lawyer Friend Other

If Other, please specify: _____

Name: _____

Address: _____
No. Street City Province Postal Code

OR
University
Address: _____

Telephone: _____ Fax: _____

E-mail: _____

6. Do you intend to call any witnesses?

No

Yes **Please list witnesses below**

Name: _____ Title /
Position: _____

Name: _____ Title /
Position: _____

Name: _____ Title /
Position: _____

Name: _____ Title /
Position: _____

Name: _____ Title /
Position: _____

Please note: You are responsible for contacting your witnesses and making all arrangements for them to attend the hearing.

7. Are you agreeable to having a Faculty Association Observer present during the grievance hearings and to all documentation being provided to the Observer, in accordance with the Senate policy?

Yes No

Please return your completed form to:

**Chair of the Grievance Review Panel
c/o University Secretariat
Gilmour Hall, Room 210**

A copy of this application, together with any attachments, will be forwarded for reply to the respondent(s), i.e., the person(s) or committee whose decision or ruling you are grieving against. When that reply is received by the University Secretariat, you will be provided with a copy.

You and the respondent will then be contacted by the University Secretariat to make arrangements for the hearing.

Complete Policy Title:
**Faculty Grievance Review Panel Guidelines
for Hearing Committees**

Approved by:
Faculty Grievance Review Panel

Date of Original Approval(s):

Policy Number (if applicable):
n/a

Date of Most Recent Approval:
September 28, 1993

Supersedes/Amends Policy dated:

Responsible Executive :
Faculty Grievance Review Panel

Enquiries:
[University Secretariat](#)

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I PROCEDURE LEADING TO ESTABLISHMENT OF HEARING COMMITTEE

1. Within twenty-one days of the expiry of the time limit of Stage 3 of the Faculty General Grievance procedure, the aggrieved faculty member (the Grievor) files a written Request for a Formal Hearing, with supporting documentation, with the Secretary of the Senate (copies of the Request form are available from the Senate Office).
2. The Secretary of the Senate acknowledges receipt of the grievance, informs the Chair of the Grievance Review Panel (or Vice-Chair in case of absence), forwards a copy of the Request for a Formal Hearing and supporting documentation to the Primary Respondent, the person to whom the grievance was originally addressed, who is the person at the first administrative level having authority to dispose of the grievance, and asks the Primary Respondent for a written response.
3. The Secretary of the Senate also informs the President of the Faculty Association that there is to be a formal hearing under the Faculty General Grievance procedure, and invites the Faculty Association to send an observer.
4. Within fourteen days of receipt of the request for a written response, the Primary Respondent shall deliver to the Secretary of Senate a written reply to items (1) to (3) of the Grievor's Request for a Formal Hearing and shall submit the following information: preference for open or closed hearing; opinion on whether the grievance falls within the scope of the General Grievance Procedure; names of witnesses to be called; and name of Primary Respondent's counsel, if any. The Secretary of the Senate shall forward a copy of this reply to the Grievor.

5. Within fourteen days of the receipt of the written grievance, the Chair of the Grievance Review Panel (or Vice-Chair in case of conflict of interest or absence) nominates a Hearing Committee. The Committee shall consist of the Chair or Vice-Chair of the Grievance Review Panel, who shall act as Chair of the Hearing Committee, and two other members of the Grievance Review Panel. The Chair of the Grievance Review Panel shall select members of the Hearing Committee who have no conflict of interest; for example, they shall not be members of the same department as the Grievor, nor shall they have made a substantive contribution to the decision being grieved. The Chair of the Grievance Review Panel informs the Grievor and the Primary Respondent of the proposed members of the Hearing Committee and gives them an opportunity to object, with reasons, to the proposed membership. The Chair of the Grievance Review Panel shall rule on any such objection before the Hearing Committee begins its work.
6. The Secretary of the Senate arranges a convenient time and place for the first hearing. Once this has been decided a formal Notice of Hearing is sent to the parties to the grievance and to the Hearing Committee members. In addition, copies of the Request for a Formal Hearing and the written response from the Primary Respondent shall be forwarded to the Hearing Committee members.

II PURPOSE OF A HEARING

The purpose of a hearing is to provide the aggrieved faculty member, within the institutional framework of the university, with an impartial adjudication of her or his grievance. The Hearing Committee, composed of three members of faculty who have not been previously involved in the decision being grieved against, is empowered to review the evidence, both written and oral, upon which the former decision was based. The members of the committee shall be the sole judges of the facts and shall render that decision which, in their judgement, is fair and just in the circumstances.

The decision of the Hearing Committee is binding, and is reported to the President for implementation.

III PROCEDURES FOR GRIEVANCE HEARINGS

Hearings are conducted in accordance with the principles of natural justice and the provisions of *The Statutory Powers Procedure Act (S.P.P.A.)*. Requirements of the *S.P.P.A.*, termed "minimal rules", do not set out explicit procedures regarding the conduct of meetings or hearings, but rather leave much to the discretion of the Hearing Committee. The main purpose of the "minimal rules" is to ensure that the Grievor receives a fair hearing and all parties have appropriate notice of hearing and opportunity to participate. The parties to the hearing may, by agreement, waive any of the requirements of the *S.P.P.A.* (Section 4, *S.P.P.A.*).



The onus is on the Grievor to make his or her case, i.e., why the interpretation or application of a duly enacted University policy or established practice was unfair, unjust or unreasonable. The Hearing Committee will decide on the order of presentation of testimony and evidence.

The following is a natural sequence, which any Hearing Committee may vary at its discretion.

- 1. FACULTY ASSOCIATION OBSERVER.** If a Faculty Association observer is present, the Hearing Committee shall satisfy itself that the Grievor consents to this observer's presence and also to her or his receipt of all the documentation submitted by either party to the Hearing Committee. This documentation shall be considered confidential and submitted to the Chair of the Hearing Committee at the close of the hearing.
- 2. COUNSEL.** Parties to the grievance should identify who if anyone will be acting as their counsel. Both parties may be represented by counsel -- a lawyer, colleague, friend, etc. (Section 10 (a), *S.P.P.A.* and clause 7.3 of the Faculty General Grievance Procedure). Counsel does not have to be limited to one person.
- 3. OPEN OR CLOSED HEARING.** The Hearing Committee shall decide, after giving the parties an opportunity to speak to the issue, whether the hearing shall be open or closed. The *S.P.P.A.* requires that all hearings be open (Section 9), except that a hearing may be closed when the Hearing Committee is of the opinion that intimate financial or personal matters would be disclosed (Section 9, 1[b] of the *S.P.P.A.*).
- 4. JURISDICTION.** The Hearing Committee shall decide, after giving the parties an opportunity to speak to the issue, whether the grievance falls within the scope of the General Grievance procedure, as that scope is defined within clause 3 of the Procedure.
- 5. ACCESS TO INFORMATION.** The Grievor has the right to request information to be placed before the Hearing Committee. The Hearing Committee must make a preliminary determination, after giving the parties an opportunity to speak to the issue, that the information so requested is relevant to the grievance in question. Once that determination has been made the Grievor may request the information in question from the person or body who holds it. The person or body holding the information shall release it to the Hearing Committee unless that person or body is otherwise precluded by law from divulging it. If the information is denied on the basis that the person or body holding it is precluded by law from releasing it, then the Grievor may exercise her or his rights at law to compel the delivery of that information to the Hearing Committee.
- 6. WITNESSES.** Each party should provide a list of witnesses to be called, if they have not already done so. Both parties have the right to call, examine and cross-examine witnesses. The Hearing Committee may, however, limit the cross-examination of witnesses beyond that necessary to elicit a full disclosure of the facts (Section 10, 11 and 12, *S.P.P.A.*). If, during the course of the hearings, either party wishes to call additional

witnesses, they should inform the Hearing Committee and the other party prior to the hearing at which the additional witness or witnesses are to appear.

7. HEARING COMMITTEE'S ROLE. The Hearing Committee may examine and cross-examine witnesses called by either party. It may request copies of documents mentioned in testimony.

8. PROCEDURE FOR PRESENTING EVIDENCE. The Hearing Committee should determine the procedure to be followed for the presentation of evidence. Either party has the right to present evidence and both parties must see any written evidence which is presented. (Section 10 and 15, *S.P.A.*). The following procedure is a natural sequence, which the Hearing Committee may vary at its discretion:

8.1 The Grievor presents the reasons for grieving and gives evidence in support of those reasons. In addition to the submission of documents, this would entail the calling of witnesses, and the examination and cross-examination of the witnesses by the Primary Respondent and the Hearing Committee. The Hearing Committee should feel free to ask questions at any time although it is probably best if it asks its questions at the end of the questioning of each witness by both parties.

8.2 The Primary Respondent answers the allegations by way of an opening statement and then calls witnesses, if any, and/or submits written evidence to show the Hearing Committee why the previous decision was made and, in effect, to defend the previous decision. The Grievor and the Hearing Committee have the right to cross-examine the witnesses called by the Primary Respondent.

8.3 The Grievor then has the opportunity to reply to the Primary Respondent's Evidence.

8.4 The hearing(s) then conclude with summation and argument by each party; first the Grievor and then the Respondent, with the Grievor having the right to again reply in argument, if necessary.

IV RECORD OF PROCEEDINGS

All hearings of Hearing Committees are recorded on tape. The Secretary of the Senate (or delegate) maintains a record of what is on the tape, corresponding to the digital counter, so that if any Hearing Committee member or party to the grievance wishes to locate certain testimony on the tape, this information can be located relatively quickly and easily. Hearing Committee members must, however, keep their own notes of the hearings if they wish to have a record of the testimony other than the tape recording.

Documentation submitted to a Hearing Committee will be retained by the University for a period of seven years after the Hearing Committee has submitted the report containing its decision. It will then be destroyed, unless required for any legal proceedings external to the

University which have been initiated during the seven-year period, in which case the material will be destroyed immediately after all legal processes have been exhausted.

V FACULTY ASSOCIATION OBSERVER

With the consent of the Grievor the Faculty Association shall be entitled to have an observer at any formal hearing under the Faculty General Grievance Procedure. The function of the observer shall be to monitor the conduct of the formal hearing, in accordance with the Senate "Guidelines Concerning the Appointment of Faculty Association Members as Observers and Concerning the Role of Observers at Appeal Hearings".

The Faculty Association observer also receives a copy of the document in which the Hearing Committee reports its decision to the Grievor, the Respondent and the President.

VI FORMAT AND CONTENT OF REPORTS FROM HEARING COMMITTEES

At the conclusion of the hearing, the Hearing Committee must decide by majority vote whether or not the original decision is to be upheld. The Committee reports its decision in writing to the Grievor, the Respondent, the President of the University, and the Faculty Association observer. The report shall include a summary of the issues, the factual findings, the conclusions, and the decision with reasons.

The President shall implement the decision promptly, and shall notify all those eligible to receive the Hearing Committee's report of the implementation of the decision. Reports of hearings held in open session will be available on request from the Office of the President.

The Hearing Committee shall not have jurisdiction to change any provision of a duly enacted policy or established practice of the University. The Hearing Committee may, however, make recommendations to the President of the University regarding policies, procedures and practices.

VII DOCUMENTS GOVERNING HEARING PROCEDURES

The following documents set out the basic procedures and principles which must govern all formal hearings under the Grievance Procedure:

1. *The Statutory Powers Procedure Act*
2. *Manual of Practice on Administrative Law and Procedure in Ontario under The Statutory Powers Procedure Act*
3. McMaster University Faculty General Grievance Procedure
4. Guidelines Concerning the Appointment of Faculty Association Members as Observers and Concerning the Role of Observers at Appeal Hearings.

