

**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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**REPORT TO SENATE**  
**FROM THE**  
**EXECUTIVE COMMITTEE**  
**Open Session (Consent Agenda)**

**a. Winter Term 2020 Grade Procedure for Undergraduate Students Policy**

On March 30, 2020, the Executive Committee approved, on behalf of Senate, the Winter Term 2020 Grade Procedure for Undergraduate Students Policy, effective March 30, 2020.

**Senate: FOR INFORMATION**  
**April 8, 2020**



## Policies, Procedures and Guidelines

Complete Policy Title

**Winter Term 2020 Grade Procedure for Undergraduate Students**

Policy Number (if applicable):

Approved by

**Senate**

Date of Most Recent Approval

**March 30, 2020**

Date of Original Approval(s)

Supersedes/Amends Policy dated

Responsible Executive

**Vice-Provost, Faculty**

Policy Specific Enquiries

[Vice-Provost, Faculty](#)

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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## INTRODUCTION

1. McMaster takes the academic success, health and emotional well-being of our undergraduate students seriously, and recognizes the stress that many undergraduate students are feeling in these uncertain times due to the COVID-19 pandemic.
2. As part of the University's commitment to support undergraduate students in a way that is fair and equitable, the following changes are being recommended for 2019-2020 Multi-Term (Fall/Winter) courses and 2020 Winter Term courses, hereafter referred to as "2020 Winter Term".
3. At the end of the 2020 Winter Term undergraduate students will receive their course grades as normal. Undergraduate students will have the option to request non-numeric grades for each course, PASS (P), No Credit (NC), or Late Withdrawal (LWD). Students cannot use these options for courses in which they are under investigation or have been found guilty of academic dishonesty.
4. The Late Withdrawal (LWD) procedure is unchanged however the deadline date is extended, as outlined below.

### Submitting the Request

5. These requests will be submitted to the undergraduate student's home Faculty/Program Office.
6. The home Faculty/Program Office may make the requested changes for some or all of the undergraduate student's courses, regardless of which Faculty offers the courses.

### Request Deadline

7. The deadline for undergraduate students to request non-numeric grades, PASS (P), No Credit (NC), or Late Withdrawal (LWD) is **Friday May 15, 2020**.
8. If no request is filed by the deadline undergraduate students are deemed to have accepted receiving a numeric grade.

### Request Approval – Decision Final

9. Once a request for non-numeric grades, PASS (P), No Credit (NC), or Late Withdrawal (LWD) is approved the decision is **final and may not be appealed or petitioned**.
10. The deemed acceptance of receiving a numeric grade is **final and may not be appealed or petitioned**. Appeals may still be filed under the *Student Appeal Procedures* in those circumstances when an undergraduate student questions their grade or the assessment of their performance on a piece of work or in a course.

**OPTION 1: REQUEST NON-NUMERIC GRADES FOR COMPLETED COURSES (PASS)**

11. Undergraduate students may request the non-numeric grade of a Pass (P) in place of a numeric grade for one or more completed courses for which a final passing grade is achieved.
12. These grades will be excluded from the calculation of the GPA. This option is available for any type of course.
13. Undergraduate students may request this for any number of courses in which they were enrolled in 2020 Winter Term.
14. If a percentage grade in a course is required for future applications to graduate or professional school, undergraduate students should contact their Faculty/Program Office for advising prior to requesting this option.

**OPTION 2: REQUEST GRADE OF NC (NO CREDIT)**

15. Students may request the non-numeric grade of No Credit (NC) in place of a numeric grade for one or more courses in which a final passing grade is not achieved.
16. These grades will be excluded from the calculation of the GPA.
17. This option is available for any type of course. Students may choose this for any number of courses in which they were enrolled in 2020 Winter Term.
18. A grade of No Credit will not preclude students from enrolling in the course(s) in a subsequent term

### **Proposal for Undergraduate Student Choice of Non-Numeric Grades for 2020 Winter Term courses**

Under the *2020 Winter Term Grade Procedure for Undergraduate Students*, undergraduate students will be able to request the following options for each course completed in Winter 2020 (including 2019-2020 Multi-Term Fall/Winter courses):

- Keep a numeric grade. (*Default – no action required*)
- Request a Late Withdrawal (LWD) option in courses for which all academic assessment was not attempted/completed. An LWD would appear on a transcript.
- Request a Pass (P) notation in place of a numeric grade for courses in which a final passing grade is achieved. This P notation would not be calculated into a cumulative average. This could be requested until May 15, 2020
- Request a non-numeric grade of No Credit (NC) for courses in which a final passing grade is not achieved. This NC notation would not be calculated into a cumulative average. This could be requested until May 15, 2020
- The options will not be available for students who are under investigation or have been found guilty of academic dishonesty

#### **Notes:**

- No action by the undergraduate student results in no changes to the grade assigned on the grade roster
  - Only originally assigned grades may still be appealed using existing Appeals Procedures.
  - The Late Withdrawal procedure is unchanged for Winter 2020 except for the extension of the deadline for the request to May 15, 2020.  
([https://academiccalendars.romcmaster.ca/content.php?catoid=38&navoid=8043#late\\_withdrawal](https://academiccalendars.romcmaster.ca/content.php?catoid=38&navoid=8043#late_withdrawal))
  - A *2020 Winter Term Grade Procedure* online form will be made available for undergraduate students to request a grade change as above. This form will be submitted to the student's home Faculty/Program Office.
  - Undergraduate students requesting a Pass (P) will be strongly encouraged to consult with an Academic Advisor in their home Faculty/Program Office.
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**Covid-19 Continuity Planning Information**  
**Undergraduate Academic Issues**  
**March 10 through April 6, 2020**

On Friday March 13, 2020 at 11:00pm the last classes and tests ran in person on McMaster campus. As of March 16, 2020, our instructors, staff, TAs and students made a shift to various forms of remote teaching and learning.

Decisions about undergraduate academic planning have involved primarily the Associate Deans Group in consultation with deans and the Crisis Management Group. Extensive discussions with the Associate Deans occurred at *ad hoc* weekly meetings and through email communications. The group includes the Associate Deans and Assistant Deans from all of our Faculties and the Arts & Science program and other program leads, as well as representatives from across campus including the Registrar's Office, the Secretariat's Office, the Office of the AVP (Students and Learning), the Office of Equity and Inclusion, Student Accessibility Services, Student Wellness, the MacPherson Institute, the University Technology team, the Campus Store, the Libraries, and Communications and Public Affairs. All have been working tirelessly on identifying and anticipating information that we need for the academic success of our students. In some cases, additional stakeholders were consulted including the McMaster Student Union (MSU) leadership and the Undergraduate Council (UGC).

Information was emailed to chairs and directors to be distributed to instructors and staff. The ADG group and Faculty Deans were copied on these emails. In some cases, additional forums were used for communication including the University's COVID-19 website, Daily News, homepages of the Associate Deans' offices, Avenue to Learn, etc. There is a repository of the messages that have been sent to the chairs, directors, and instructors as well as frequently asked

questions: [https://www.mcmaster.ca/vpacademic/Academic\\_Contingency\\_Planning.html](https://www.mcmaster.ca/vpacademic/Academic_Contingency_Planning.html)

And as a reminder, student academic facts are available on the Registrar's Office website:

<https://registrar.mcmaster.ca/covid-19/#tab-1>

The messages are summarized (in approximate order), with some duplications and updates edited.

**March 13, 2020**

**Instructional continuity planning for remote teaching and learning**

On March 12, 2020, the Associate Deans Group (ADG) met to plan for various possible changes to the delivery of the undergraduate curriculum. By March 13, the decision was made by the University to suspend on-campus learning for the remainder of the term. Instructors were asked to complete a revised course plan ensuring that their course comes to an appropriate completion by the end of the current academic term through remote teaching and assessment tools. This was to be reviewed by a program lead and shared with students.



**March 15, 2020**

- Undergraduate placement, thesis, co-op and internship experiences
- Accessibility, Equity and Inclusion
- Examination Schedule, McMaster University in-person examination for April 2020 were cancelled

**March 17, 2020**

- Academic Advising, update on the change to remote student advising
- Support for instructional and assessment changes from the MacPherson Institute posted on the [Instructional Continuity webpage](#)
- IT Continuity information was provided, [IT Continuity](#).
- Due Date Restrictions, the Assessment Ban remained in place
- Student Evaluation of Teaching, End-of-term student evaluation of teaching processes were suspended
- Deferred exams, all deferred exams would occur in an online format

**March 20, 2020**

- Message to students: <http://avenue.mcmaster.ca/>
- Submission of Grade Rosters for the 2020 Winter Term
- Requests for grade modifications from past or future terms
- McMaster Student Absence Form (MSAF), medical documentation would not be required for any accommodations
- RISO accommodations are still being considered given changes to curriculum schedules

**March 24, 2020****Grade Change Options for Undergraduate Courses**

As part of the University's commitment to support undergraduate students in a way that is fair and equitable during the COVID-19 pandemic, the following changes were implemented for 2019-2020 Multi-Term (Fall/Winter) courses and 2020 Winter Term courses:

- Courses in which a final passed grade is achieved, undergraduate students may request to change this earned grade to a P (Pass) before May 15, 2020.
- Courses in which a final failed grade is achieved, undergraduate students may request to change this to a grade of NC (No Credit) before May 15, 2020.
- In addition, students may request a Late Withdrawal (LWD) and the deadline for using this option was extended to May 15, 2020.

*These policy changes were approved at UGC and by Senate Executive.*

**April 6, 2020**

- Student evaluations of teaching update on informal feedback options
- Exam preparation: information is available on the MacPherson website.
- Academic integrity in online tests and exams
- Student Accessibility Services
- Spring and summer session courses for the Spring/Summer term, including intersession courses, were moved to a virtual classroom or other remote teaching environment. Some exceptions applied to clinical placements and wet lab courses.

## **Summary of Graduate Actions and Decisions since the March 11<sup>th</sup> Senate meeting**

Doug Welch, Vice-Provost and Dean of Graduate Studies

April 6, 2020

Dear Senate Colleagues,

I write today to give you an update regarding the many changes that have or are taking place as a result of McMaster's decisions to shift to virtual classrooms for course delivery and the subsequent federal and provincial emergency orders. I am very grateful to all of my/our Associate Deans, Graduate (ADs) for helping to reach consensus on many fast-evolving issues.

### On-line PhD Defences

Since March 19<sup>th</sup>, 18 PhD defences have taken place remotely. The Academic Service Officers (ASOs) in SGS have prepared detailed instructions of using Zoom for defence Chairs and have updated documentation as additional useful information was encountered. No recording of PhD defences is allowed at present, but programs may live-stream if they so choose. ASOs are aware of the recently publicized privacy issues related to Zoom and are modifying instructions to ensure our defences are not compromised by "Zoom-bombing".

The response to online defences has been overwhelmingly positive. Furthermore, the fact that many can go on in parallel provides a key degree of freedom allowing candidates to defend as soon as possible.

### Communication to Graduate Instructors

On March 17, I wrote a message to all graduate course instructors providing guidance on the degree of flexibility that we are encouraging in reaching final grades for graduate courses that would normally conclude with an in-person final examination. I articulated several ways that existing marked work could be re-weighted and, if a final examination was necessary, how it might be set to minimize challenges due to poor connectivity or lack of internet at home. The ADs passed this message along to their graduate instructor colleagues.

### Approval of Graduate Course Assessment Changes

Due to the necessity to modify courses and course assessments in real-time to account for virtual classroom instruction, the ADs have been given interim power to approve such changes. They will be recording all such changes on the normal course curriculum modification forms which will be brought to Graduate Council (and Senate, if requested) for information.

#### PhD Comprehensive Exam Delays Allowed

Normally, PhD Comprehensive Exams are required to be complete by the end of the 24<sup>th</sup> month of the program. Many programs wish to preserve an in-person exam or component to the exam which isn't currently possible. As an interim measure, the 24-month deadline has been extended to 36 months.

#### Credit/No Credit Option for Winter 2020 Final Grades

Undergraduate Council and Senate Exec have already passed a non-numeric grade option for students completing their courses in Winter 2020. Graduate Council has passed a similar resolution which is now recommended to Senate for approval. The great majority of other Ontario and Canadian institutions have adopted, or are in the process of adopting, similar options.

#### Interrupted Travel Plans and Graduate Travel Award Changes

During the March 11<sup>th</sup> Senate meeting, it was announced that international travel was suspended indefinitely, affecting the plans of many graduate students and researchers. Since that time, it has been necessary to re-examine and reconsider internal travel award competitions. In many cases, it was necessary to rescind travel awards that wouldn't be possible in the immediate future.

#### Intersection of CERB with Graduate Students

The intersection of the Canada Emergency Response Benefit with graduate students has only recently been clarified. Graduate students are eligible only if their research is impossible during this period, they have to take a leave, and are receiving no further support during the benefit period.

### **COVID-19 Update for Senate from Student Affairs**

With the rapid progression of the COVID-19 pandemic in March, a number of decisions were made in discussion with Crisis Management Group, to support students and manage health and safety risks. Decisions have been communicated through the Daily News, the university's COVID-19 website, email, department websites, and social media.

#### **Student Services**

- Most student services are offering the same or similar supports virtually/remotely as they would in a normal in-person environment, including Student Accessibility Services, the Registrar's Office, Indigenous Student Services, the Student Success Centre (including International Student Services, Academic skills support and Career Services), the Student Support and Case Management Office, and The Forge.
- The Student Wellness Centre is offering in-person medical appointments during reduced hours at the Centre, and both Counselling and other medical appointments are being conducted virtually/remotely.
- Athletics & Recreation Facilities (David Braley Athletics Centre and Ivor Wynne Centre) are closed, as is the David Braley Sports Medicine Clinic.

**Residence** - Students living in residence have moved out, and exceptions were made for international and out of province students who require more time. The remaining 431 students have private rooms and washrooms and are spread out over four of our thirteen residence buildings to support the need for physical distancing. Take-out food and some groceries are available through the main cafeteria (Centro). Upper year students have been hired as community support advisors and to organize virtual events and games to encourage social interaction and to help ensure the well-being of students.

**Convocation** – CMG approved the decision to postpone normal Convocation ceremonies in favour of a virtual event this spring. In-person convocation will occur at a future date. Degrees will still be conferred during the normal May-June time period.

**Financial Aid** - \$560,000 has been allocated for emergency funding for students to assist students in need with essential living expenses. To help students with travel expenses associated with early returns to Canada from their work/study experiences, \$250,000, (up to \$2,500 per student) was allocated.

**Student Study/Travel Abroad** – All Spring/Summer international work/study abroad experiences for undergraduate students are prohibited. A decision about Fall term experiences will occur later in the Spring.

**Enrollment planning** – Managed through the Enrollment Management Team and discussed at Provost's Council, enrollment planning will take into consideration uncertainties related to international travel restrictions, economic impacts on student and family incomes, gaps in high school marks and testing, and the desire to register for virtual vs in-person classroom learning environments, among other factors.

Sean Van Koughnett, Associate Vice-President (Students and Learning) & Dean of Students  
April 2020

## **Activities Affecting McMaster's Research Enterprise during COVID19**

### **Assessment of continuing research:**

**March 17** – After significant consultation with the Associate Deans of Research (ADRs), university and hospital leaders, Karen Mossman, acting vice-president, research, issued a statement to the research community confirming that research was not closing down, but consideration would be given to what research would need to be continued at this time and efforts would be made to ensure research staff was well-informed and their well-being was the top priority.

<https://research.mcmaster.ca/update-from-the-vpr-covid-19-march-17-2020/>

Research site updated to include COVID-related FAQs for the research community.

<https://research.mcmaster.ca/research-faqs-covid-19/>

NOTE: FAQs are updated as the situation evolves. Information is also shared on the University's COVID-19 website, and in COVID-19 Updates and President's letters to the community.

**March 20** – After closely monitoring information emerging from Public Health and government, research community was informed that all non-essential research must be closed down by 5 p.m. on Tuesday, March 24.

<https://research.mcmaster.ca/update-from-the-vpr-covid-19-march-20-2020/>

In consultation with ADRs, university and hospital leaders, **essential research** was defined as:

- Responds to the COVID-19 pandemic – includes related research in areas across the university
- Involves clinical trials or intervention studies with patients who need to be monitored
- Must be maintained for health and safety reasons
- Must be continued for ethical reasons, such as some animal studies

**Essential research services** that need to be maintained include:

- Core facilities that support research outlined above
- Critical equipment monitoring or servicing
- Cleaning and maintenance that support the essential research programs
- The care of fish or animals, in coordination with the Central Animal Facility, or plants

Additionally, Nuclear Operations & Facilities and Health Physics staff remain on site to conduct essential work. McMaster continues to be the world's only producer of the radioactive isotope I-125 and staff are committed to meeting the global demand for this critical cancer treatment.

### **Safe wind down of non-essential research:**

In consultation with ADRs and EOHSS, materials were developed to help researchers safely close their labs and posted to research website.

<https://research.mcmaster.ca/covid19/>

NOTE: Surplus personal protective equipment and other safety-related materials from shutdown labs were sent to our hospitals to assist in their demand for supplies.

### **Support for essential research:**

[Request for Exemption to Continue Research](#) forms posted to research website. For those requesting exemption, permission from department chair, dean and acting VPR is required.

Spin-off companies occupying McMaster laboratory space also require the approval of the acting VPR to remain open.

There are currently 22 COVID-related projects with exemption status underway – from working directly with the virus to diagnostics to manufacturing of masks and ventilators. Other COVID-related research continues across the disciplines – from its toll on mental health and the benefits of exercise to the economic impacts and the resiliency of businesses.

NOTE: As new opportunities arise, compliance with requests for exemptions is mandatory.

**Maintenance of labs during shutdown:**

OVPR, working with ADRs, has compiled a master list of all research laboratories and facilities that require monitoring during the shutdown. Security and EOHSS have access to all lists, including personnel contact information.

**Assisting with attainment of funds for COVID-related projects and connecting with companies, governments and health systems:**

The Research Office for Administration, Development and Support (ROADS), Health Research Services (HRS), the Research Finance offices and the McMaster Industry Liaison Office (MILO) continue to liaise with primary funders to determine eligible expenses when research has been halted. Continue to update research community as information is obtained.

ROADS, HRS and MILO staff continue to work with the research community to identify new COVID-19 funding opportunities and support the application process, identify partners, etc.

OVPR is working with U15 on SIREN – the Strategic Innovation and Research Emergency Network – designed to bring together government, the research community and the private sector; to coordinate existing programs such as those established by Tri-Councils, NRC and Superclusters.

OVPR is working with U15 to create and populate the CanCOVID platform – an expert community of Canadian COVID-19 researchers, clinical collaborators, and healthcare stakeholders from across the country. Canada's Chief Science Officer mandated the creation of CanCOVID to optimize Canada's research response to the COVID-19 public health crisis. <http://cancovid.ca>

OVPR is working with the Council of Ontario Universities (COU) to populate Ontario Together: Help Fight Coronavirus Portal – connecting businesses, researchers and organizations who can supply emergency products and innovative solutions to support provincial COVID-19 response.

<https://www.ontario.ca/page/how-your-organization-can-help-fight-coronavirus>

**Assessment of cost affiliated with research shutdown:**

The U15 were asked to estimate financial implications to the research enterprise. For McMaster, the estimated loss of research revenue is \$5M/month and the estimated loss of research productivity is \$5.5M/month. These costs do not include severance costs. The Tri-agencies are currently working with the federal government on supports to universities to assist with maintenance of research personnel and research facilities. Information on the level of support is not yet available.



# Equity and Inclusion Office

Annual Report

SEPTEMBER 1, 2018 – AUGUST 31, 2019

**BRIGHTER WORLD**

Equity and  
Inclusion Office



# Equity and Inclusion Office

Annual Report

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## Relevant Links

**Accessibility Hub:** [accessibility.mcmaster.ca](https://accessibility.mcmaster.ca)

**Discrimination and Harassment Policy:**  
[secretariat.mcmaster.ca/app/uploads/Discrimination-and-Harassment-Policy.pdf](https://secretariat.mcmaster.ca/app/uploads/Discrimination-and-Harassment-Policy.pdf)

**Equity & Inclusion Office:** [equity.mcmaster.ca](https://equity.mcmaster.ca)

**Equity & Inclusion on Facebook:** [www.facebook.com/EIOMcMaster](https://www.facebook.com/EIOMcMaster)

**President's Advisory Committee on Building an Inclusive Community:** [pacbic.mcmaster.ca](https://pacbic.mcmaster.ca)

**Sexual Violence Policy:** [secretariat.mcmaster.ca/app/uploads/Sexual-Violence-Policy.pdf](https://secretariat.mcmaster.ca/app/uploads/Sexual-Violence-Policy.pdf)

**Sexual Violence Prevention and Response Office:** [svpro.mcmaster.ca](https://svpro.mcmaster.ca)



# Executive Summary

The Annual Report is broken down into two main sections: Program Highlights and the Statistical Report.

## Program Highlights

This section provides an overview of respective programming, training initiatives, collaborative events, notable successes and opportunities across each Equity and Inclusion Office service area:

- Access Mac Program;
- Equity & Inclusion Education Program;
- Sexual Violence Prevention & Response Office; and
- Human Rights & Dispute Resolution Program.

Collectively, the education, training, and outreach initiatives across these programs and service areas reached more than 14 thousand (14,000) individuals.

In February of 2019, the Hamilton Anti-Racism Resource Centre (HARRC) - a pilot project and program to which the Equity and Inclusion Office contributed, overseen through a partnership agreement between the City of Hamilton, the Hamilton Centre for Civic Inclusion, and McMaster University - was paused to allow the partners to review and renew plans to achieve the Centre's envisioned goals.

Also, in 2019, the [Sexual Violence Prevention and Response Office](#) (SVPRO), within the Equity and Inclusion Office, was expanded to deliver on its renewed mandate, as outlined in the revised [Sexual Violence Policy](#) (January 2020).

## Statistical Report

This section comprises detailed information on complaints, consultations, and dispute resolution for matters falling under McMaster University's Discrimination and Harassment Policy (formerly, the Policy on Discrimination and Harassment: Prevention & Response) and/or the Sexual Violence Policy.

2019 was the second year operating with an Intake Team model, and, as such, comparative data from last year has been incorporated into this report.

Over the past academic year (September 1, 2018 to August 31, 2019) Intake Offices handled a total of 44 complaints. The most cited ground was sex, followed by personal harassment, and then race. 50% of the complaints investigated resulted in policy violations and the average length for an investigation was 6.7 months.

For consultations, Intake Offices recorded a total of 405. The most cited ground was personal harassment, followed by disability, and then sex.

110 matters were resolved through alternate dispute resolution facilitated through one of the Intake Offices.



# Program Highlights

2018 | 2019

## Program Highlights – 2018/19

### Accessibility Program

Type of Program	# of Sessions	# of Participants
<b>Educational</b>	<ul style="list-style-type: none"> <li>• 35 in-person</li> <li>• 7 online sessions AODA and Human Rights Code</li> <li>• 4 online Accessible Education (FLEX Forward)</li> </ul>	7,400 2570 278
<b>HEART Series workshops</b>	<ul style="list-style-type: none"> <li>• Accessibility 101</li> </ul>	28
<b>International Day of Persons with Disabilities Events / Commemoration</b>	<ul style="list-style-type: none"> <li>• Disability Discussions: Disability and Stigma</li> <li>• Brown Bag Lunch and Learn Series: What is Accessibility?</li> <li>• Disability and Mad Studies Reading Group: Disability Stigma</li> </ul>	60
<b>Support (persons with lived experience)</b>	1) 6 sessions / presentations <ul style="list-style-type: none"> <li>• Disability Discussions</li> <li>• Employee Network meetings</li> </ul> 2) 27 consultations / referrals / meetings	Approximately 15-20 participants at each support session 27
<b>Employee Accessibility Network</b>	<ul style="list-style-type: none"> <li>• 2 meetings (Feb 2019, April 2019)</li> </ul>	

## Highlights of Notable Successes and Opportunities

### Training

- Development and launch of the *Accessible Workplace Accommodation Training* for Managers, Supervisors and Leaders, in collaboration with HR and in consultation with the EAN (Oct 2018 pilot, Nov 2018 launch) à Approximately 130 managers / leaders participating in 4 sessions trained from Nov 2018-Aug 2019.
- *Accessibility and McMaster Intramurals – Our Approach* (training for all Athletics and Recreation intramural staff and student staff – partners EIO and Athletics and Recreation)
- *Timeless: An Intergenerational Social Program* (training on ageism, equity and accessibility for Residence Life: Timeless Living and Learning Community – EIO collaboration)
- *Inclusive Student Leadership Training* (for student leaders – partners EIO, HR and Faculty of Social Sciences)

### Large Consultations

- Pilot / Consultation process with the Employee Accessibility Network on the Accessible Workplace Accommodation Training (Oct 2018)
- Extensive consultation on Modules 3&7 of the newly developed “Hippo-on-campus” mental health training for instructional staff, under the Mental Health Strategy
- Work with Registrar’s Office to incorporate live captioning into all Convocation Ceremonies
  - promoting Convocation Accessibility available now from main [Convocation Information web page](#)
- Accessibility incorporated into John Hodgins Engineering Building Renovation Guidelines

### Publications (Community)

- Completion of the User Testing Project for Web Accessibility Report, in partnership with the MacPherson Student Partner Program, to provide web accessibility auditing feedback on centrally-produced web templates
- Inaugural publishing of the Accessibility and Disability Inclusion Update, 2017-2018, on December 3rd. The Accessibility and Disability Inclusion Update is a collective campus community publication facilitated through the Equity and Inclusion Office, which highlights and celebrates the Accessibility and Disability Inclusion work that takes place within community, student work, faculties, and service units on an annual basis à Approximately 40 submissions published in first edition

### Notable Events / Events Series

- Unpacking Graduate School for Students with Disabilities Series of 3 events for Graduate and Undergraduate students with disabilities in partnership with MSU Maccess, School of Graduate Studies and the Disability and Mad Studies Reading Group
- Beyond a One Dimensional Framework: Race and Disability Discussion Presentation for students, staff and faculty by the Disability Justice Network of Ontario Youth Council.

## Equity & Inclusion Programming

Type of Program	# of Sessions	# of Participants
Educational	75	3,000
H.E.A.R.T. Workshops	16	320
Black History Month	22	625
Support	75	30
Let's Talk About Race! Drop-In	7	150

## Highlights of Notable Successes and Opportunities

- Partnered with the Human Book Collection to offer the Human Library on campus
- Partnered with Mohawk College to bring Tarana Burke to Hamilton
- Partnered with Athletics and Recreation for "Marauder Pride Night"
- Dr. Melinda Smith facilitated the Black History Month February Let's Talk About Race! Session and a keynote address that was very well attended
- Offered the KAIROS Blanket Exercise to various areas on campus including the Library Staff
- Disability Justice Network of Ontario (DJNO) partnered with EIO and R3 for an event on Disability and Racism and the intersections
- The Anti-Violence Network (AVN) hosted a farewell event acknowledging all of the accomplishments while recognizing the group is no longer needed as there are a number of other services filling the AVN's role
- ANIMA Deep Diversity Institute was well attended and a cross section of McMaster staff and faculty were in attendance

## Sexual Violence Prevention & Response

### Disclosures

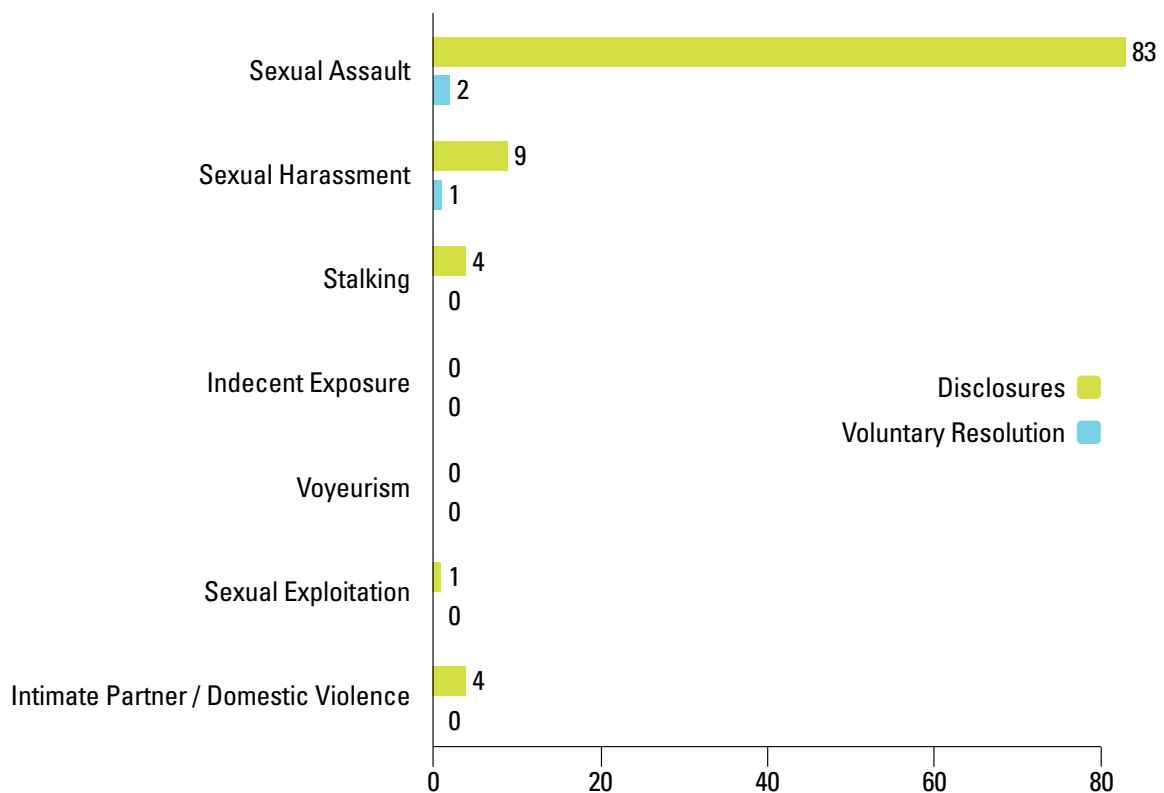
Disclosures over the past academic year are highlighted below.

A disclosure is made when an individual informs someone in the University community about an experience of sexual violence because they wish to access support, accommodations and/or information about their options. A person may wish to disclose, seek support, and take no further action. This is an option for individuals under McMaster's Sexual Violence Response Protocol and Sexual Violence Policy.

Categories for reporting are based on provincial requirements, as set out in Common Institutional Metrics Reporting Guidelines document.

Consultations conducted by the Consultant, Sexual Violence Prevention & Response, are reflected in Intake Office statistical section of this report.

### Disclosures: Type of Sexual Violence



Type	Disclosures	Voluntary Resolution
<b>Sexual Assault</b> Non-consensual sexual contact or activity, including the threat of such activity, done by one person or a group of persons to another. Sexual assault can range from unwanted sexual touching, kissing, or fondling to forced sexual intercourse. Sexual assault can involve the use of physical force, intimidation, coercion, or the abuse of a position of trust or authority.	83	2
<b>Sexual Harassment</b> A course of vexatious comment, conduct and/or communication based on sex, sexual orientation, gender, gender identity, or gender expression that is known or should have been known to be unwelcome.	9	1
<b>Stalking</b> Behaviours that occur on more than one occasion and which collectively instill fear in the person or threaten the person's safety or mental health, or that of their family or friends. Stalking includes non-consensual communications (e.g., face to face, phone, electronic); threatening or obscene conduct or gestures; surveillance and pursuit; and sending unsolicited gifts.	4	60
<b>Indecent Exposure</b> The exposure of the private or intimate parts of the body in a lewd or sexual manner, in a public place when the perpetrator may be readily observed. Indecent exposure includes exhibitionism.		
<b>Voyeurism</b> The surreptitious observing of a person without their consent and in circumstances where they could reasonably expect privacy. Voyeurism may include direct observation, observation by mechanical or electronic means, or visual recordings.		
<b>Sexual Exploitation</b> Taking advantage of another person through non-consensual or abusive sexual control. This may include the digital or electronic broadcasting, distributing, recording and or photographing of people involved in sexual acts without their consent.	1	
<b>Intimate Partner Violence</b> Harm caused by an intimate partner, who is defined a person with whom someone has or had a close personal relationship that could be characterized by an emotional connection, or ongoing physical contact or sexual behaviour. Persons may identify as a couple, or refer to each other as spouse or partner. IPV is sometimes referred to as domestic violence, though this can include other types of relationships (e.g., with children or older adults). IPV includes: physical abuse (including a threat or attack made with a fist or object, pushing, shoving, slapping, kicking, choking, hitting or beating), sexual abuse, emotional and psychosocial abuse (words or actions to frighten, intimidate, control, isolate, humiliate, and/or belittle) financial abuse (adapted from RCMP).	4	
<b>TOTAL</b>	<b>101</b>	<b>3</b>

## Highlights of Notable Successes and Opportunities

- Engaged an expert in bystander intervention to train faculty, staff and students, with plans to enhance and expand this training program
- Redesigned and delivered sexual violence prevention and response training sessions for faculty, staff and students to help community members understand the myths about sexual violence, how McMaster's Sexual Violence Response Protocol works and how to recognize, respond and refer a disclosure (including training for Residence Life staff; Welcome Week student leaders for Residences and Faculties; Students Union student leaders and management; and faculty, staff and students at large)
- Provided sexual violence prevention and response presentations for student support units, including Student Wellness counselling staff; Indigenous Studies and Student Services staff
- Provided sexual violence prevention and response training to all Welcome Week leaders and McMaster Students Union leadership, Teaching Assistants and other student groups
- Established and launched a new psycho-educational group for student survivors of sexual assault (PEGASUS), which run for 10 weeks in the fall and again in the winter term
- The university also undertook a campus consultation process through the summer and fall of 2019 to review and update its 2017 Sexual Violence Policy. The new Policy was approved in December of 2019.

In 2019, the [Sexual Violence Prevention and Response Office](#) (SVPRO), within the Equity and Inclusion Office, was expanded to deliver on its renewed mandate, as outlined in the revised [Sexual Violence Policy](#) (January 2020). The Office will have two full-time staff: a Director (SVPRO) and a Prevention Education Coordinator. The Director – a specialist in the area of sexual and intimate partner violence – will provide leadership to establish a more centralized, holistic, and coordinated response for any community members seeking consultation, disclosure support, and complaint intake. The Director will work with campus partners, and other Intake Offices, to ensure timely and consistent triage, support, and follow-up should individuals choose to pursue university complaint processes. The Prevention Education Coordinator will focus on broad community awareness-raising events and social norms campaigns, as well as tailored education and training programs and activities on such topics as: debunking sexual violence myths and misconceptions, promoting healthy masculinity, and creating a culture of consent, for example. The SVPRO will offer Sexual Violence Response Protocol training to ensure community members are equipped to recognize, respond to, and refer a disclosure with care and compassion.

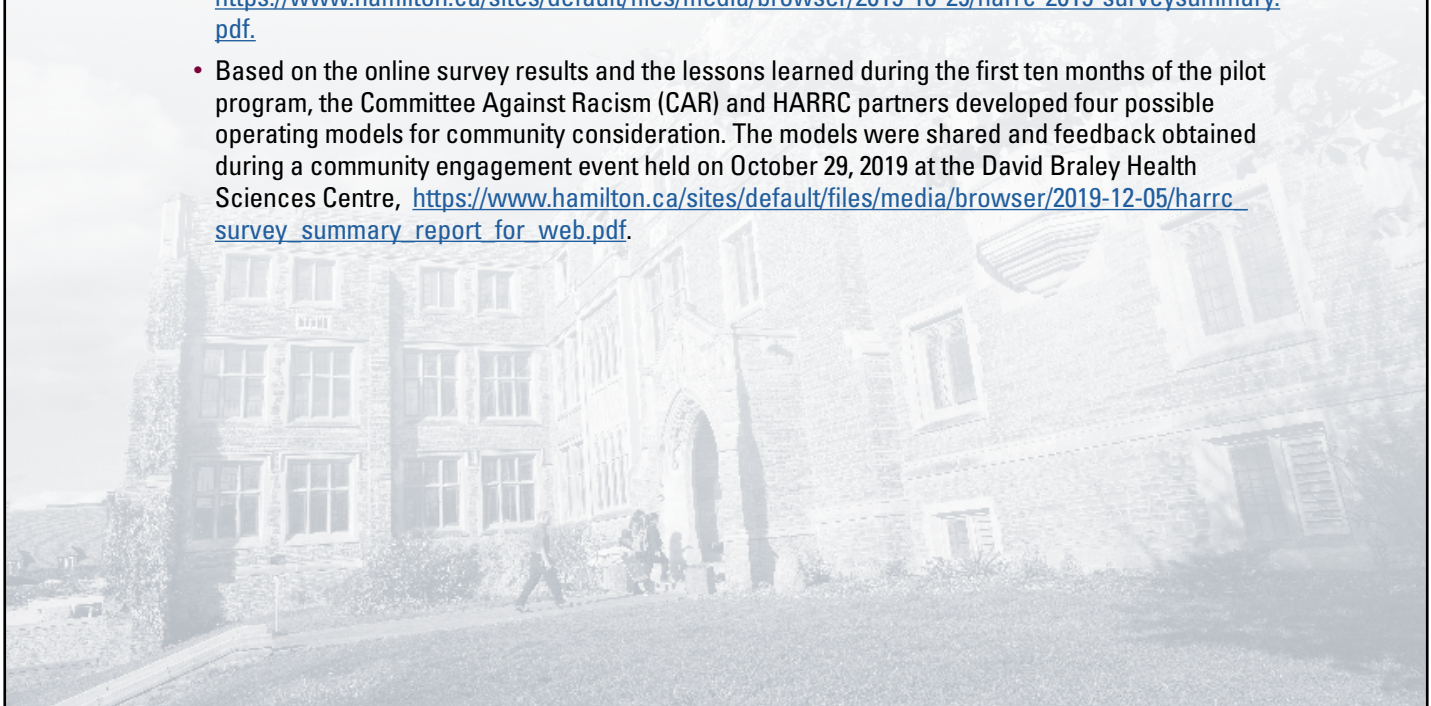


## Human Rights and Dispute Resolution Program

Consolidated numbers on complaints, consultations and alternative dispute resolution are listed in the statistical report below.

### Highlights of Notable Successes and Opportunities

- Specialized Training in alternative dispute resolution: intake office colleagues took part in extensive training on Alternative Dispute Resolution. While the office has always focussed on helping parties to resolve issues and concerns informally where they wish to do so, it looks forward to utilizing the additional skillset to help facilitate the resolution of disputes in a way that provides the parties an opportunity to collaborate and gain a better understanding of one another's interests. Such an approach not only allows the parties an opportunity to resolve the dispute in question, but can often help to restore relationship breakdown.
- Hamilton Anti-Racism Resource Centre (HARRC): pilot project paused in February 2019 to allow partners to review and renew plans to achieve the Centre's envisioned goals.
  - In its first 10 months of operation, HARRC recorded 75 individual case complaints, conducted 17 anti-racism seminars and attended 46 ethno-racial consultations and events in the community.
  - Dr. Ameil Joseph in the School of Social Work at McMaster University works with both HARRC and the Hamilton Centre for Civic Inclusion (HCCI) and provides research expertise for quantitative and qualitative data collection; Dr. Joseph reviewed HARRC's data and prepared a report outlining his findings and analysis.
  - In addition to Dr. Joseph's report, representatives from McMaster, HCCI, and the City of Hamilton consulted with community groups, and posted an online survey via the City's website to obtain community feedback on HARRC, <https://www.hamilton.ca/sites/default/files/media/browser/2019-10-29/harrc-2019-surveysummary.pdf>.
  - Based on the online survey results and the lessons learned during the first ten months of the pilot program, the Committee Against Racism (CAR) and HARRC partners developed four possible operating models for community consideration. The models were shared and feedback obtained during a community engagement event held on October 29, 2019 at the David Braley Health Sciences Centre, [https://www.hamilton.ca/sites/default/files/media/browser/2019-12-05/harrc\\_survey\\_summary\\_report\\_for\\_web.pdf](https://www.hamilton.ca/sites/default/files/media/browser/2019-12-05/harrc_survey_summary_report_for_web.pdf).





# Statistical Report

# Statistical Report

## Report Parameters

Under section 52 of the *Discrimination and Harassment Policy* (formerly the *Policy on Discrimination and Harassment: Prevention & Response*) and section 53 of the *Sexual Violence Policy*, the Equity and Inclusion Office is responsible for gathering and analyzing statistics on consultations, disclosures, complaints, investigations, sanctions and outcomes, and for reporting on that data to the Senate and the Board of Governors.

Unless stated otherwise, this report covers data collected from September 1, 2018 to August 31, 2019.

The report includes 1) data gathered by the Equity and Inclusion Office; and 2) data provided to the Office by Human Resources Services, Faculty of Health Sciences Professionalism Office, and Student Support & Case Management.

## Definitions

**Complaint:** A complaint under McMaster University's *Discrimination and Harassment Policy* or *Sexual Violence Policy* is made when an individual seeks to initiate the institution's investigation and adjudication procedures, by completing and submitting complaint forms to one of the four Intake Offices on campus. Upon receipt of a complaint, the policy Assessment Team convenes to review the materials with a view to making recommendations to the respective Decision Maker. Complaints are either investigated or not investigated. If the complaint is not investigated, the complainant is informed of their right to make a written request for review of the decision to the appropriate Vice-President.

**Consultations:** A consultation takes place when an individual seeks advice and/or guidance on a matter related to discrimination, harassment, and/or sexual violence from an Intake Office representative in one of the four Intake Offices on campus. Consultations are confidential, subject to limits of confidentiality, outlined in the Policies.

**Dispute Resolution:** Dispute resolution is a service provided by Intake Office representatives to help facilitate the successful resolution of issues and concerns related to discrimination, harassment, and/or sexual violence. It is a voluntary process and is not appropriate in all cases. It seeks to resolve matters in an efficient manner and reduces the need for complaints to be filed.

**Intake Offices:** the four<sup>1</sup> intake offices listed in McMaster University's *Discrimination and Harassment Policy* and *Sexual Violence Policy* are the Equity & Inclusion Office, Employee/Labour Relations, Faculty of Health Sciences Professionalism Office and Student Support & Case Management.

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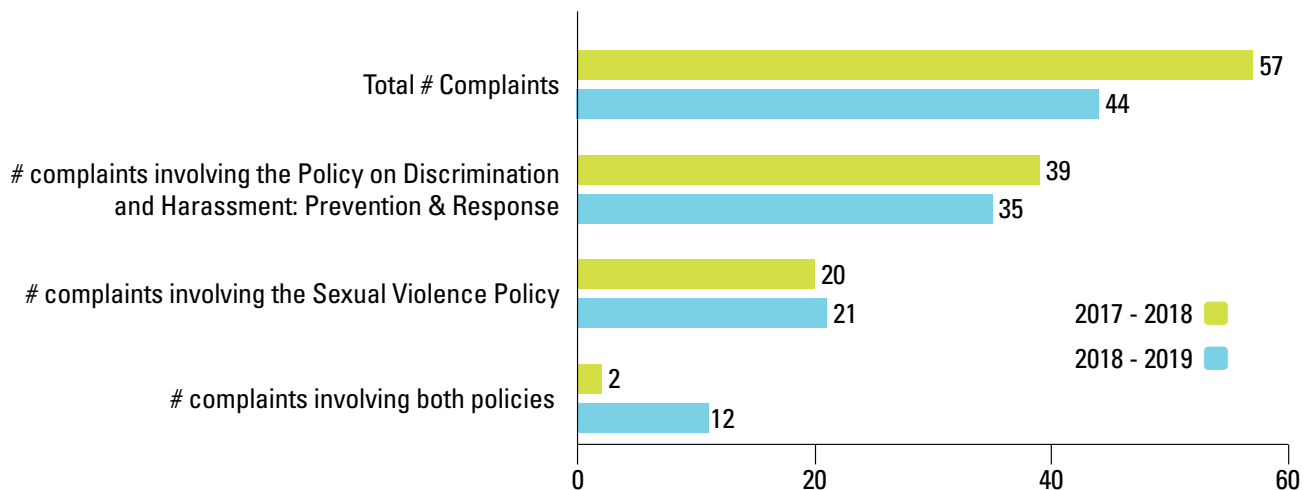
<sup>1</sup> as of January 2, 2020, with the adoption of the new Sexual Violence Policy and expanded capacity, the Sexual Violence Prevention and Response Office will act as the central Intake Office for sexual violence complaints, working collaboratively and in partnership with the other four Intake Offices.

# Complaints

## 1. Complaints: Overview of complaint numbers

Reporting Year	Total # Complaints	Open at start of year	New	Closed
September 1, 2017 - August 31, 2018	57	16	41	47
September 1, 2018 - August 31, 2019	44	10	34	32

## Complaints by Policy



## Complaints Investigated

Reporting Year	Percent investigated	Percent resulting in policy violations	Average Length of investigation <sup>1</sup> process (months)
2017 - 2018	51%	50%	6.1
2018 - 2019	69%	50%	6.7

<sup>1</sup> The length of an investigation process is calculated as the time between the date the parties are first notified of the process and the date the parties receive the findings and outcomes of the process



## Complaints not investigated

Complaints are not investigated for a variety of reasons, including: the complainant elects to withdraw the complaint; the parties reach a resolution; the complaint proceeds under another University process, such as Academic/Research Integrity, Student Appeal Procedures or Student Code of Rights & Responsibilities; the Assessment Team and Decision Maker decide not to investigate because, for example, there is no jurisdiction, the complaint is out of time, or there is no prima facie case.

In the past academic year, approximately 30% of complaints did not proceed to investigation.

## Interim measures

Interim measures are temporary steps put in place while an investigation is in progress to safeguard the working, learning and/or living environments of all individuals. Interim measures do not extend beyond the final resolution of a matter and are reviewed on an on-going basis to ensure they remain appropriate in the circumstances.

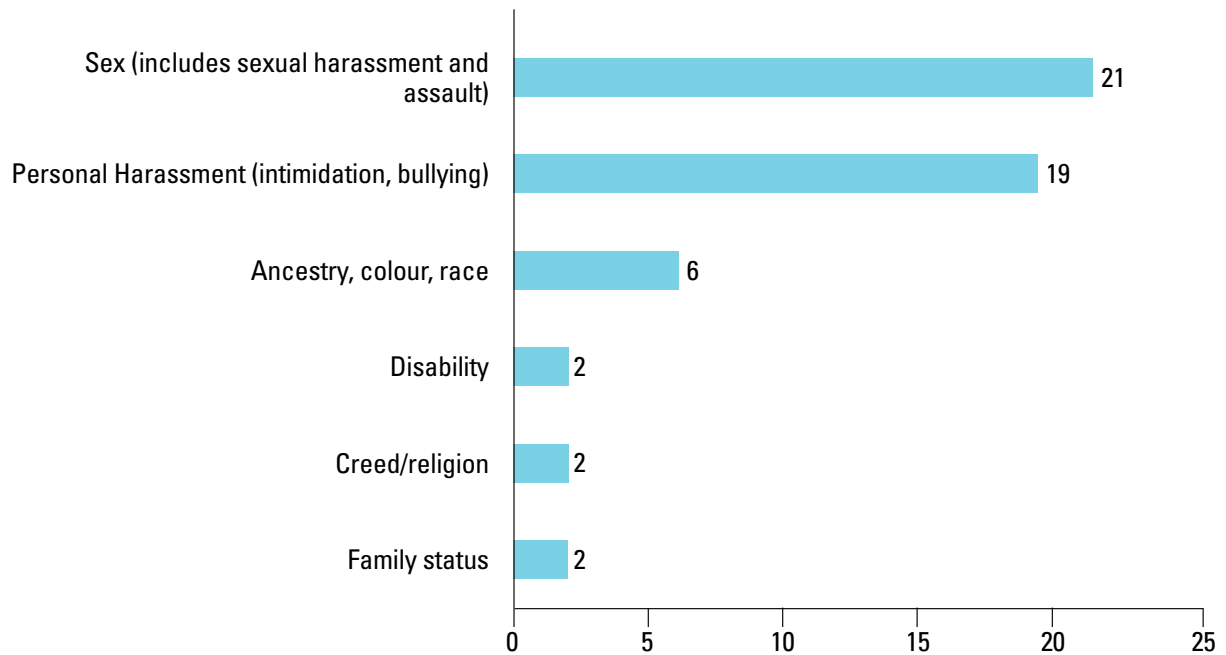
Interim measures were necessary in 45% of the cases investigated and closed this past academic year. At times, in order to implement appropriate interim measures, relevant staff and faculty are asked to assist in discussions to explore options, and to assist with implementation and oversight.

## Outcomes

When policy violations are found to occur, outcomes vary, depending on the circumstances of each case. Examples of outcomes during the 2018/19 academic year include: remedial educational initiatives; mandated training; professional coaching; instituting no contact orders between individuals; designating individuals as PNG (persona non grata) from campus; documented discussions; and termination of employment.

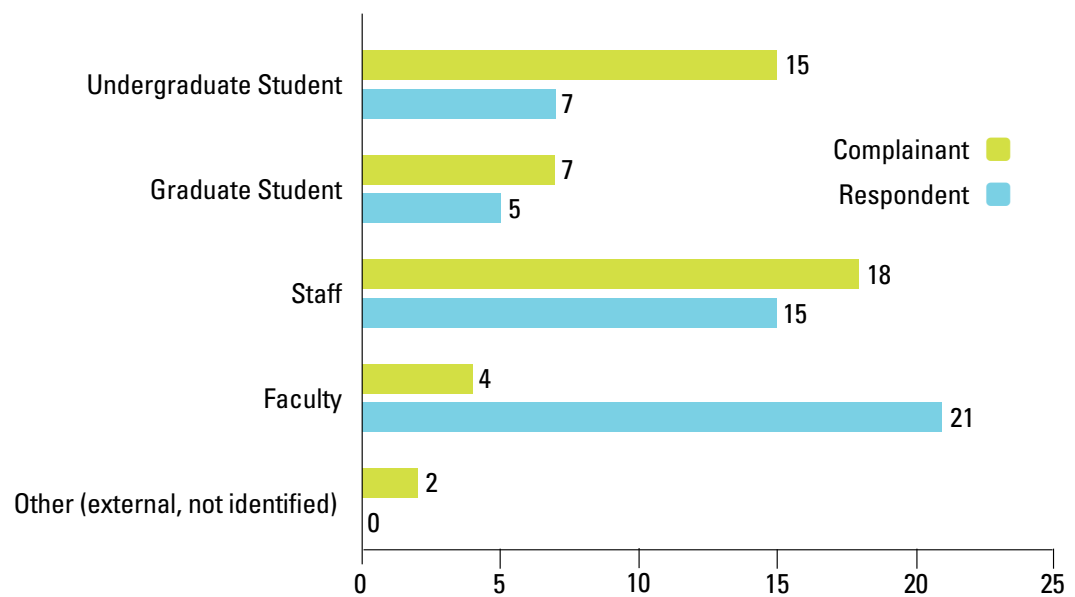


## 2. Complaints: Protected Ground

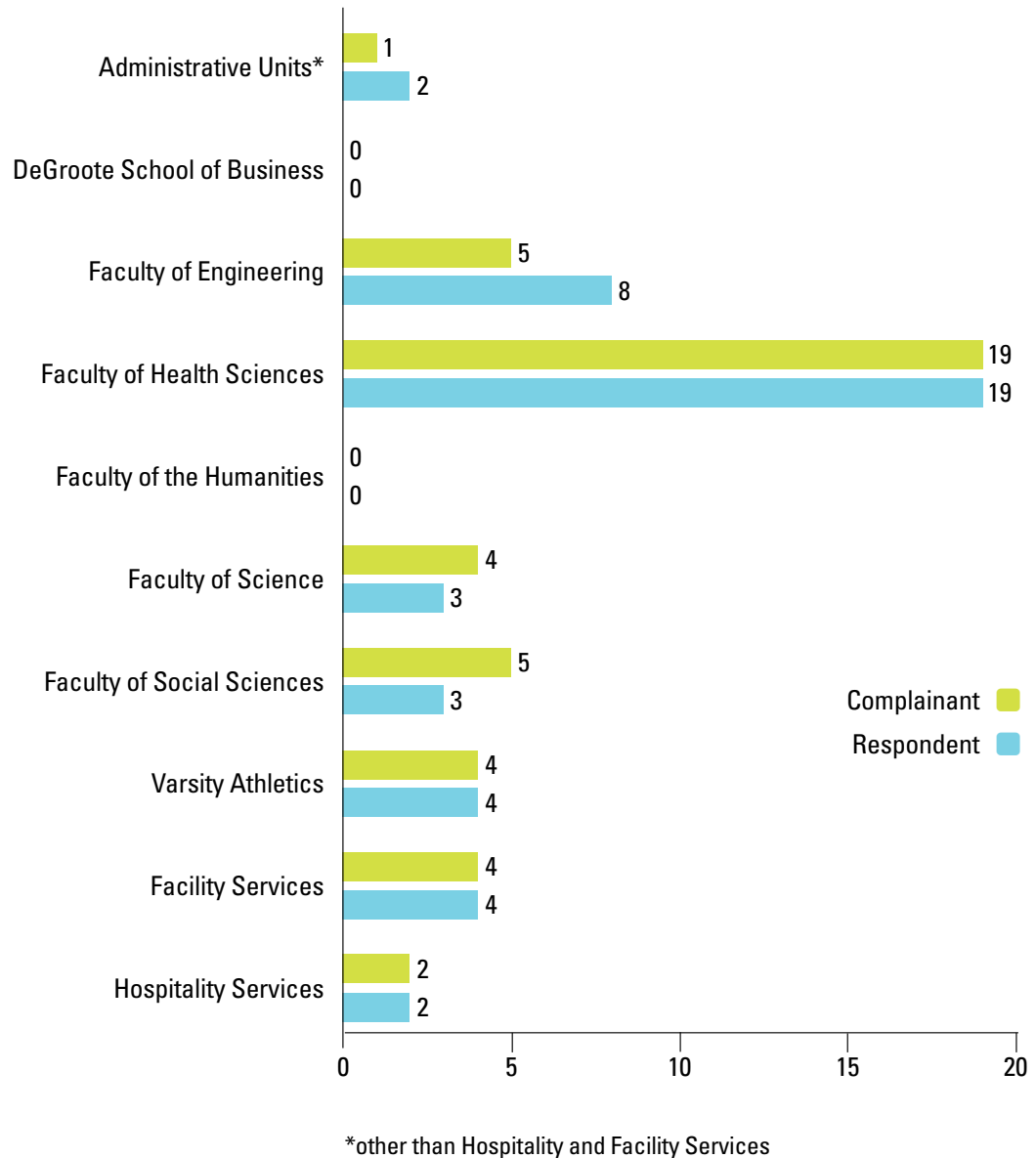


Note: Some complaints involve more than one ground.

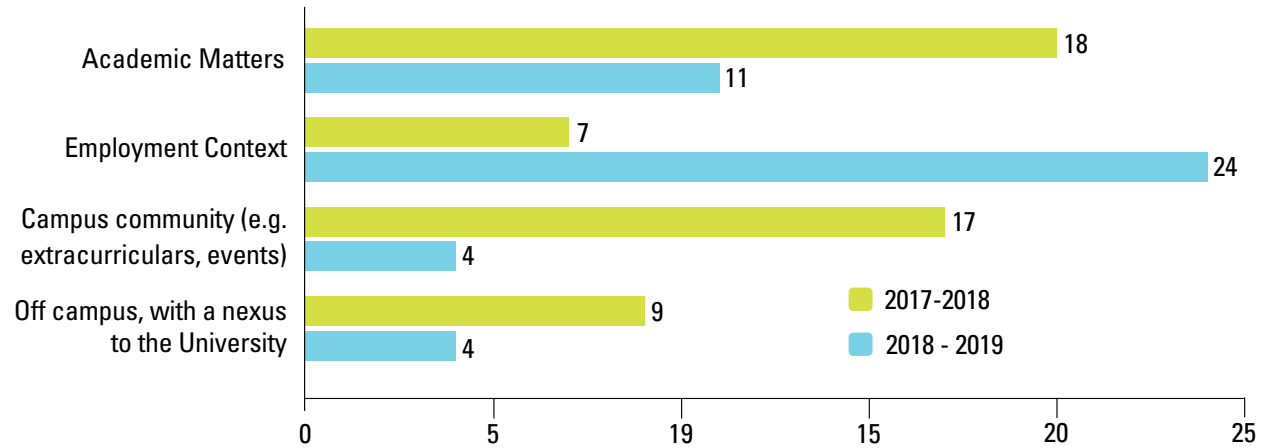
## 3. Complaints: Participant Type



#### 4. Complaints: Faculty/Area of the University



## 5. Complaints: Origin of the Concern





# Consultations

As set out above, a consultation takes place when an individual seeks advice and/or guidance on a matter related to discrimination, harassment, and/or sexual violence from an Intake Office representative in one of the four Intake Offices on campus. Consultations are confidential, subject to limits of confidentiality, outlined in the Policies.

## Numbers

For the 2018-2019 academic year, the four Intake Offices recorded a total of 360 consultations, which is similar to last year's number of 355<sup>2</sup>.

## Themes

Themes this past year included queries on navigating concerns related to workplace bullying, retroactive academic accommodation processes for students with disabilities, sexual harassment, requests for accommodation on religious grounds, and microaggressions in the classroom or workplace related to race.

### Top five grounds:

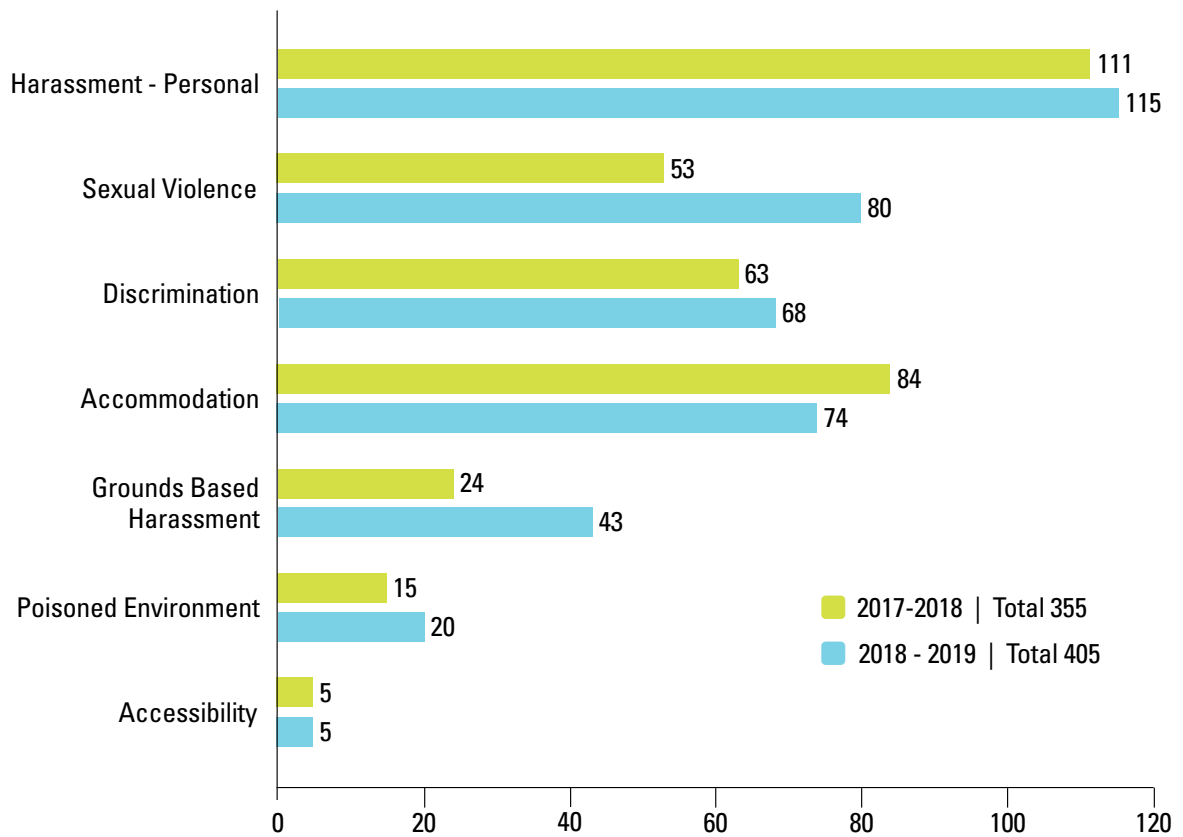
- non-ground based harassment (bullying, threatening, intimidating behaviour),
- disability,
- sex,
- religion, and
- race

This year, to reduce the number of tables and graphs, we consolidated consultations on discrimination, harassment, and sexual violence.

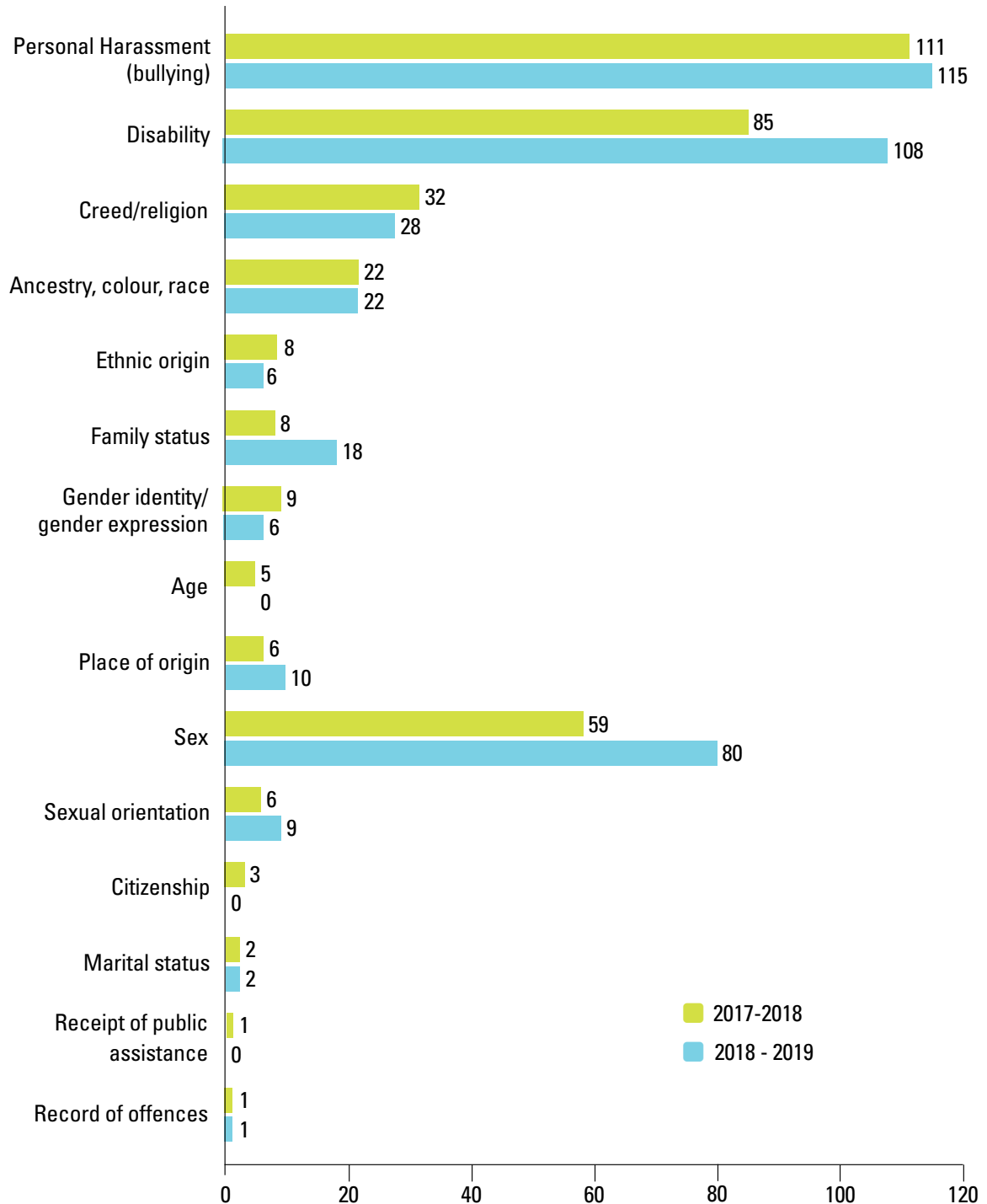
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<sup>2</sup>Last year's report displayed a consolidated number for consultations and dispute resolutions. The total was 442. Disaggregated, there were 355 consultations meeting the definition outlined above, and 87 dispute resolutions.

## 1. Consultations: Issue

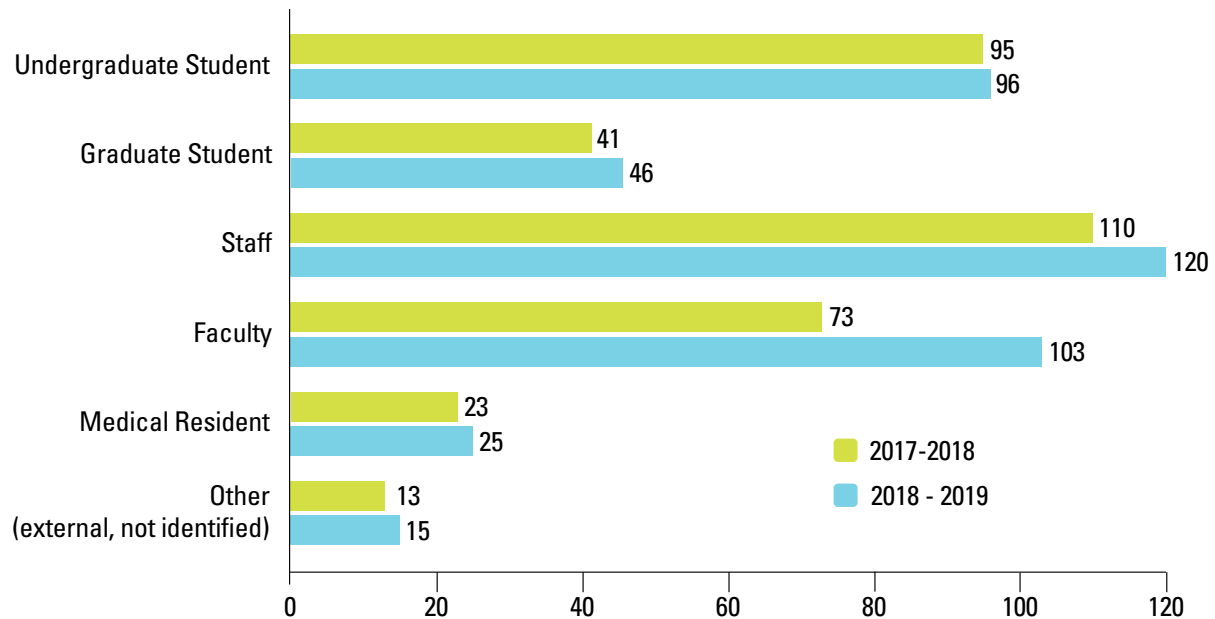


## 2. Consultations: Protected Ground

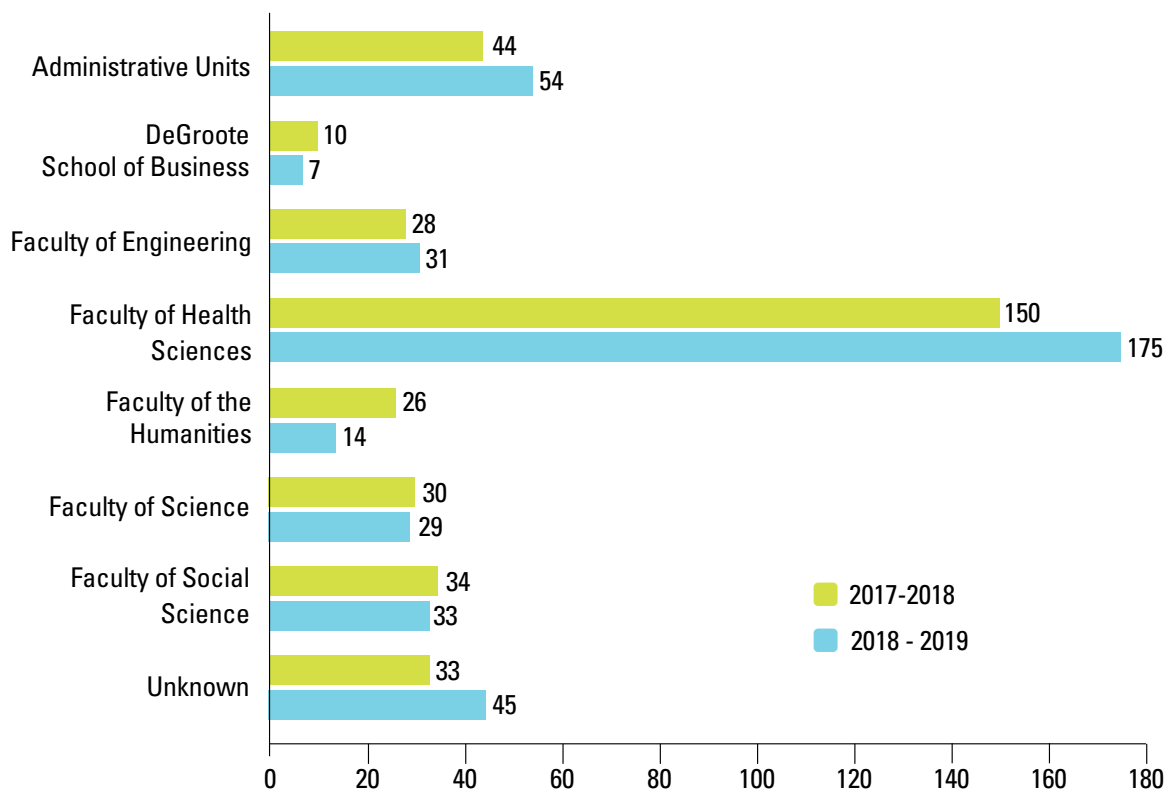


Note: Some consultations involve more than one ground.

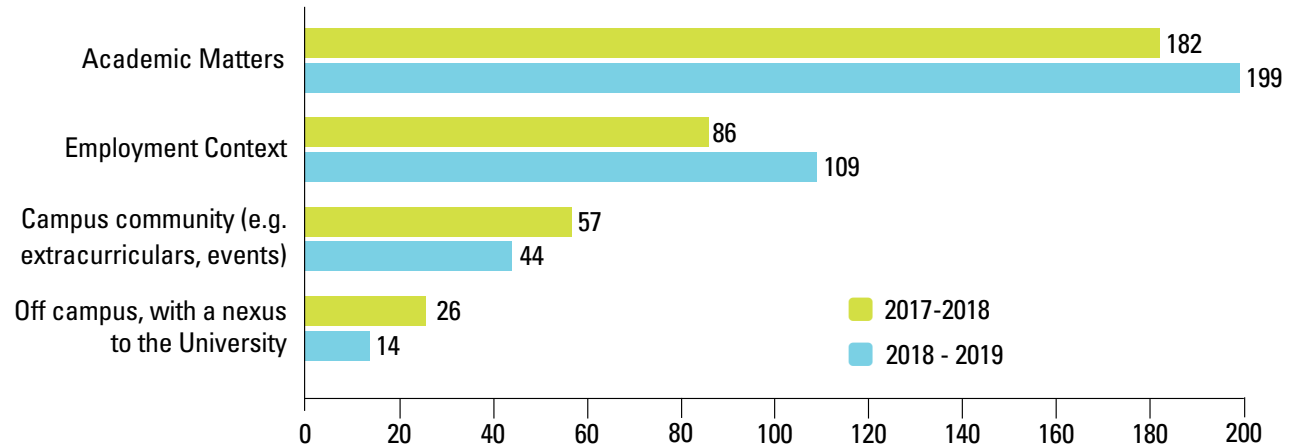
### 3. Consultations: Participant Type



### 4. Consultations: Faculty/Area of the University



## 5. Complaints: Origin of the Concern



## Dispute Resolution

As indicated above, dispute resolution is a service provided by Intake Office representatives to facilitate the resolution of issues and concerns related to discrimination, harassment, and/or sexual violence. In previous annual reports, these matters were reported as informal resolutions and aggregated with consultations. Given the importance and unique nature of this work, it is important to reflect it separately.

Dispute resolution seeks to resolve matters in an efficient and amicable manner and, if successful, reduces the likelihood of a complaint being filed. Engagement in the process is voluntary, and parties may withdraw from the process at any point in time.

Situations involving human rights go to the very core of people's being; it is not surprising that addressing and assisting parties to work through such matters entails mediating emotionally charged, highly sensitive, and multifaceted interpersonal conflicts. The Intake Offices draw upon their acquired expertise in conflict coaching, negotiation, and other alternative dispute resolution techniques to facilitate the resolution of disputes.

### 2018-2019 Numbers

- For the 2018-2019 academic year, the four Intake Offices recorded a total of 110 dispute resolution matters, which is up from last year's number of 87.
- Non-grounds harassment (bullying, intimidation) and accommodation matters relating to disability, religion and family status were the most common matters where individuals requested dispute resolution.
- Undergraduate students and staff were the most common groups requesting assistance to resolve an issue, while staff and faculty were the most common groups asked to participate in a process in order to resolve an issue.
- The majority of matters pertained to academics, followed by employment.

# Equity and Inclusion Office

Human Rights | Complaint Resolution  
Education | Accessibility  
Sexual Violence Support

/EIOMcMaster   
@EIOMcMaster   
905.525.9140 ext. 27581   
[equity@mcmaster.ca](mailto:equity@mcmaster.ca)   
[equity.mcmaster.ca](http://equity.mcmaster.ca) 

Equity and  
Inclusion Office

McMaster  
University 

**REPORT TO SENATE**  
*from the*  
**UNDERGRADUATE COUNCIL**

**FOR INFORMATION**

**I**     Winter Term 2020 Grade Procedure for Undergraduate Students

At its March 27, 2020 meeting, the Undergraduate Council approved, for recommendation to the Senate Executive Committee, the *Winter Term 2020 Grade Procedure for Undergraduate Students*. Details of the proposed Procedure are contained in the report from the Senate Executive Committee.

**Senate: April 8, 2020**





**School of Graduate Studies**

1280 Main Street West  
Hamilton, Ontario, Canada  
L8S 4L8

Phone 905.525.9140  
Ext. 23679  
Fax 905.521.0689  
<http://www.mcmaster.ca/graduate>

**To : Senate**

**From : Christina Bryce**  
**Assistant Graduate Secretary**

**Re : Report from Graduate Council**

---

**Via e-ballot on March 17<sup>th</sup> and March 30<sup>th</sup> Graduate Council approved the following for recommendation to Senate:**

**For Approval:**

**Winter Term 2020 Grading**

In light of the COVID-19 pandemic and as part of the University's commitment to support graduate students in a way that is fair and equitable, some changes are being recommended for 2019-2020 Multi-Term (Fall/Winter) courses and 2020 Winter Term courses. At the end of the 2020 Winter Term graduate students will receive their course grades as normal. Graduate students will have the option to request non-numeric grades for each course. A pass at the graduate level will mean the student has met the existing B- requirement as outlined in the Graduate Calendar.

**(attachment)**

**For Information:**

**1. Faculty of Health Sciences**

**Global Health**

**New Program Calendar Copy (Ph.D.)**

The program submitted their calendar copy, outlining admission and degree requirements for their new program.

**Change to Course Requirements and Calendar Copy (M.A.)**

The program proposed a change to their course requirements related to a change made by the School of Business to courses that Global Health students take. The School of Business created new versions of three courses (with slightly different course code and name) to replace the current courses Global Health students take. The content is largely the same but the changes will allow better control over which sections students register for.

This change will be included in the next Graduate Calendar, effective September 2020.

### **Clinical Epidemiology**

#### **Change to Calendar Copy (G.Dip.)**

The program proposed minor changes to the description of the program in the calendar in order to make the description more accurate, including information about the program length and updated website information.

These changes will be included in the next Graduate Calendar, effective September 2020.

### **Psychotherapy**

#### **New Program Calendar Copy (M.Sc.)**

The program submitted their calendar copy, outlining admission and degree requirements for their new program.

This change will be included in the next Graduate Calendar, effective September 2020.

## **2. New Scholarships**

**NAME OF FUND:** The Marybelle and Norm Archer M.Sc. eHealth Scholarship

**TERMS OF REFERENCE FOR FUND:**

Established in 2019 by Mrs. Marybelle Archer B.Ed. (University of Alberta) and Dr. Norm Archer, Professor Emeritus, Ph.D. (Class of '65). To be awarded by the School of Graduate Studies to full-time students enrolled in the Masters of Science eHealth graduate degree program who have completed Level I and who, on the recommendation of the eHealth executive committee, demonstrate a high degree of academic commitment, excellence and integrity.

**NAME OF FUND:** The Mary and Harold Waterman Graduate Science Bursary

**TERMS OF REFERENCE FOR FUND:**

Established in 2019 by Mary (Class of '48) and Dr. Harold Waterman (Class of '48 & '49). To be granted to a graduate student enrolled in the Faculty of Science who demonstrates financial need.

**NAME OF FUND:** Hédi Bouraoui Essay Prize

**TERMS OF REFERENCE FOR FUND:** Established in 2019 by Hédi Bouraoui, a poet, novelist and academic.

To be awarded to a graduate student in the Department of French who, in the judgment of the Departmental Chair in consultation with the Dean of the Faculty of Humanities, is deemed to have written an essay of academic excellence with high value given toward originality and contributions to Francophone Studies.

**NAME OF FUND:** Carmen Kirkness-Asche Memorial Scholarship

**TERMS OF REFERENCE FOR FUND:** Established in 2019 by friends and family of Carmen Kirkness-Asche.

To be awarded by the School of Graduate Studies, to students enrolled in year 2 of the Rehabilitation Science Physiotherapy program, who on the recommendation of the Master of Science Physiotherapy Student Scholarships and Awards Committee (PTSSAC), demonstrate excellent academic achievement

and leadership in the previous academic year. Preference will be given to students conducting research in orthopedics.

**NAME OF FUND:** The Mary Ecclestone Nutrition Scholarship

**TERMS OF REFERENCE FOR FUND:** Established in 2019 to promote scholarship and graduate training in the field of pediatric nutrition. To be awarded by the School of Graduate Studies, upon the recommendation of a selection committee in the Department of Pediatrics, chaired by the Chair of the Department of Pediatrics, to full time master's or doctoral students in the Department of Pediatrics who are studying and/or conducting research in pediatric nutrition.

**NAME OF FUND:** Brian Haynes Student Travel Award

**TERMS OF REFERENCE FOR FUND:** Established in 2019 by Dr. Brian Haynes and JoAnne E. Haynes. To be awarded to doctoral students enrolled in the Health Research Methodology program in the Faculty of Health Sciences whose peer-reviewed abstracts have been accepted for oral presentation at a national or international conference. To be awarded by the School of Graduate Studies on the recommendation of the Assistant Dean, Health Research Methodology in consultation with an ad-hoc selection committee comprised of members of the Department of Health Research Methods, Evidence and Impact.

**NAME OF FUND:** MURA Academic Scholarship

**TERMS OF REFERENCE FOR FUND:** Established in 2020 the McMaster University Retirees Association (MURA). To be awarded by the School of Graduate Studies to a graduate student researching technological advances related to seniors, and who demonstrates academic excellence.

Complete Policy Title

**Winter Term 2020 Grade Procedure for  
Graduate Students**

Policy Number (if applicable):

Approved by

**Senate**

Date of Most Recent Approval

**TBD**

Date of Original Approval(s)

Supersedes/Amends Policy dated

Responsible Executive

**Vice-Provost and Dean, Graduate Studies**

Policy Specific Enquiries

[Vice-Provost and Dean Graduate Studies](#)

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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## INTRODUCTION

1. McMaster takes the academic success, health and emotional well-being of our graduate students seriously, and recognizes the stress that many are feeling in these uncertain times due to the COVID-19 pandemic.
2. As part of the University's commitment to support graduate students in a way that is fair and equitable, the following options are available for 2019-2020 Multi-Term (Fall/Winter) courses and 2020 Winter Term courses, hereafter referred to as "2020 Winter Term".
3. At the end of the 2020 Winter Term, graduate students will receive their course grades as normal. Graduate students will have the option to request a non-numeric grade for each course, PASS (P), No Credit (NC), or Withdrawal (W). A PASS at the graduate level will mean the student has met the existing B- requirement as outlined in the Graduate Calendar. Students cannot use these options for courses in which they are under investigation or have been found guilty of academic dishonesty.
4. The Withdrawal (W) procedure is unchanged however the deadline date is extended, as outlined below.

### Submitting the Request

5. These requests will be submitted to the graduate student's home Faculty/Program Office.
6. The home Faculty/Program Office may make the requested changes for some or all of the graduate student's courses, regardless of which Faculty offers the courses.

### Request Deadline

7. The deadline for graduate students to request non-numeric grades, PASS (P), No Credit (NC), or W (Withdrawal) is **Friday May 15, 2020**.
8. If no request is filed by the deadline graduate students are deemed to have accepted receiving a numeric grade.

### Request Approval – Decision Final

9. Once a request for non-numeric grades, PASS (P), No Credit (NC), or Withdrawal (W) is approved the decision is **final and may not be appealed or petitioned**.
10. The deemed acceptance of receiving a numeric grade is **final and may not be appealed or petitioned**. Appeals may still be filed under the *Student Appeal Procedures* in circumstances where a graduate student might question their grade or the assessment of their performance on a piece of work or in a Winter 2020 course.

**OPTION 1: REQUEST NON-NUMERIC GRADES FOR COMPLETED COURSES (PASS)**

11. A graduate student may request the non-numeric grade of a Pass (P) in place of a numeric grade for one or more completed courses for which a final passing grade is achieved.
12. These grades will be excluded from the calculation of the GPA.
13. This option is available for any type of course. The student may request this for any number of courses in which they were enrolled in the 2020 Winter Term.
14. If a percentage grade in a course is required for future applications to another graduate degree or professional school, the student should contact their Faculty/Program Office for advising prior to requesting this option.

**OPTION 2: REQUEST GRADE OF NC (NO CREDIT)**

15. A graduate student may request the non-numeric grade of No Credit (NC) in place of a numeric grade for one or more courses in which a final passing grade is not achieved.
16. These grades will be excluded from the calculation of the GPA.
17. This option is available for any type of course. The student may choose this for any number of courses in which they were enrolled in the 2020 Winter Term.
18. A grade of 'NC' will not preclude the student from enrolling in the same course(s) in a subsequent term.

**OPTION 3: REQUEST OF W (WITHDRAWAL)**

19. A graduate student may request a withdrawal from the course.
20. These grades will be excluded from the calculation of the GPA
21. This option is available for any type of course. The student may choose this for any number of courses in which they were enrolled in the 2020 Winter Term.
22. A grade of 'W' will not preclude the student from enrolling in the same course(s) in a subsequent term.

### **Proposal for Graduate Student Choice of Non-Numeric Grades for 2020 Winter Term courses**

Under the *2020 Winter Term Grade Procedure for Graduate Students*, graduate students will be able to request the following options for each course completed in Winter 2020 (including 2019-2020 Multi-Term Fall/Winter courses):

- Keep a numeric grade. (*Default – no action required*)
- Request a Withdrawal (W) option in courses for which all academic assessment was not attempted/completed. A 'W' would appear on a transcript.
- Request a Pass (P) notation in place of a numeric grade for courses in which a final passing grade is achieved. This P notation would not be calculated into a cumulative average. The Pass notation will mean the student has met the existing B- requirement as outlined in the Graduate Calendar. This could be requested until May 15, 2020
- Request a non-numeric grade of No Credit (NC) for courses in which a final passing grade is not achieved. A 'NC' is not calculated into the McMaster grade point but note that some McMaster programs or other institutions may treat NC differently in their calculations. This could be requested until May 15, 2020
- The options will not be available for students who are under investigation or have been found guilty of academic dishonesty

#### **Notes:**

- No action by the graduate student results in no changes to the grade assigned on the grade roster
  - Only originally assigned grades may still be appealed using existing Appeals Procedures.
  - The Withdrawal procedure is unchanged for Winter 2020 except for the extension of the deadline for the request to May 15, 2020.
  - A *2020 Winter Term Grade Procedure* online form will be made available for graduate students to request a grade change as above. This form will be submitted to the student's home Faculty/Program Office.
  - Graduate students requesting a Pass (P) will be strongly encouraged to consult with an Academic Advisor in their home Faculty/Program Office.
-

**REPORT TO SENATE  
FROM THE  
UNIVERSITY PLANNING COMMITTEE**

**1. Proposal to Establish the Canadian Centre for Electron Microscopy (CCEM)**

At its meeting of March 18, 2020, the University Planning Committee approved the establishment of the Canadian Centre for Electron Microscopy (CCEM).

The University Planning Committee now recommends,

**That Senate approve the establishment of the Canadian Centre for Electron Microscopy (CCEM).**

**Senate: FOR APPROVAL  
April 8, 2020**



March 10, 2020

TO: University Planning Committee

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

RE: **Canadian Centre for Electron Microscopy (CCEM)**

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The Committee on Research Institutes and Centres has reviewed the attached Proposal for the Canadian Centre for Electron Microscopy (CCEM) as per the policies and guidelines, and has been unanimously approved.

Please include this as an agenda item for the next University Planning Committee Meeting on Wednesday, March 18, 2020. Dr. Mossman will be available to attend the University Planning Committee meeting to discuss the proposed Institute in further detail.

KM:jt

Attach.

cc: Acting Provost and Vice-President (Academic)  
Dean and Vice-President, Health Sciences  
Vice-Provost and Dean of Graduate Studies  
Dean of Engineering  
Dean of Science  
Dean of Social Sciences  
University Secretariat and Freedom of Information and Protection of Privacy Officer

February 18, 2020

The Committee on Research Centres and Institutes

**Re: the Canadian Centre for Electron Microscopy**

Dear Fellow Committee Members:

Attached please find a proposal to establish the Canadian Centre for Electron Microscopy (CCEM) as a Senate-approved Centre.

The CCEM is an established Centre at McMaster University, originally housed within the Brockhouse Institute for Materials Research (BIMR). It provides world-class electron microscopy capabilities and expertise to Canadian researchers and industry working in a broad range of fields.

The Centre was established in 2008 through funding from the Canada Foundation for Innovation (CFI) and the Ontario Innovation Trust (OIT). A highly successful Centre serving researchers across Canada, the CCEM has since been awarded significant levels of research funding, including that provided through the CFI Major Science Initiatives (MSI) program. This designation as an MSI-funded facility is a result of the success of the centre's support for research and its effective management and governance practices.

The CCEM supports research that advances society, using best practices and cutting-edge technologies. It supports collaborative work and thinking across Faculties and disciplines, and supports partnerships with governments, institutions and the private sector. This high-profile Centre fits the criteria of being a Senate-approved Centre and we now seek such designation in recognition of these strengths. Given the cross-disciplinary nature of the research supported by the CCEM, the Centre will report to the Vice-President Research, in accordance with McMaster's Guidelines for the Governance and Review of Research Institutes, Centres and Groups.

Sincerely,



Karen Mossman,  
Acting Vice-President, Research

Encl.

## Overview

**Official Name of Research Centre**

Canadian Centre for Electron Microscopy

Dr. Nabil Bassim, Associate Professor,

**Submitted by**

Department of Materials Science and Engineering

CCEM is a user facility, and as such, does not have official membership, outside of the Scientific Director, Deputy Director, and Director of User Operations. Faculty members are welcome to use the facility on a per-hour basis. Several faculty members serve on the User Group Executive Committee.

Name	Position & Expertise
Nabil Bassim	Scientific Director, Focused Ion Beam and Transmission Electron Microscopy
Drew Higgins	Deputy Director, Catalysis and In Situ Microscopy Methods
Gianluigi Botton	Founding Director, Transmission Electron Microscopy and EELS Spectroscopy
Leyla Soleymani	User Group Executive Committee, Bio-Nano Devices, In situ Microscopy
John Bradley	User Group Executive Committee, Photonic Devices

McMaster users of the CCEM who have current active projects include faculty members and their teams from the following departments:

Faculty	Department
Engineering	Electrical & Computing Engineering
	Materials Science & Engineering
	Engineering Physics
	Mechanical Engineering
	Chemical Engineering
	Civil Engineering
Health Sciences	Biochemistry & Biomedical Science
	Medicine
	Pathology & Molecular Medicine
Science	Chemistry & Chemical Biology
	Biology
	Geography & Earth Sciences
	Physics & Astronomy
Social Sciences	Anthropology

In addition, users of the CCEM who have current active projects include faculty members and their teams from the following academic Institutions:

Brock University	Concordia University	Dalhousie University
Lakehead University	Universite du Quebec a Trois-Riviere	University of Ottawa
Laval University	University of Acadia	University of Saskatchewan
McGill University	University Alberta	University of Toronto
Polytechnique Montreal	University of British Columbia	University of Victoria
Queens University	University of Calgary	University of Waterloo
Royal Military College	University of Guelph	University of Windsor
Ryerson University	University of Manitoba	Western University
Simon Fraser University	University of Montreal	Wilfrid Laurier University
Trent University	University of New Brunswick	York University
Université de Sherbrooke	University of Ontario Inst of Technology	

And from outside of Canada: (among others)

Institut Pascal	University of Connecticut	University of Missouri
University of Buffalo	Kansas State University	Uppsala University
Universite de Grenoble	Temple University	Penn State University
Vanderbilt University	Massachusetts Institute of Technology	Trinity College Dublin

<b>Space Needs</b>	Sq. Ft	New space required?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
	7,629	Location?	ABB B161A, B161C-W ABB B169A, B & C ABB B150, & 328	Confirmed	<input checked="" type="checkbox"/>	Proposed
		Space cost allocation covered by lead Faculty?	Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>

**As the CCEM will report to the VPR, per the Budget Model Faculty coverage of space costs is not required**

<b>Plans for Organizational Review</b>	Frequency of Internal:	An annual report will be provided to the Governing Board.
	Frequency of External:	A full review will be completed every 5 years or sooner at the request of the Governing Board
		The CCEM receives MSI funding, which requires an annual report, a mid-term review (undertaken in 2019) and a renewal report in 2022.

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

Department Chair/ Area Director	n/a	Check box	<input type="checkbox"/>
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Faculty Dean or Director of Administration	n/a	
Vice-President Research (Acting)	Dr. Karen Mossman	<input checked="" type="checkbox"/>

**Proposal**

### Background

The Canadian Centre for Electron Microscopy (CCEM) provides world-class electron microscopy capabilities and expertise to Canadian researchers and industry working in a broad range of fields.

The CCEM was established in 2008 through funding from the Canada Foundation for Innovation (CFI) and the Ontario Innovation Trust, which together provided over \$14M in funding for research infrastructure. The proposal was supported by 22 universities across Canada, 12 Government laboratories (NRC, NRCan and Environment Canada), and several international institutions. A series of awards from the federal and provincial governments along with funding from McMaster University has since that time provided an additional \$39M in infrastructure funding.

In addition to awards for establishment of research infrastructure, the CCEM was awarded over \$6M in funding for operation and maintenance from the CFI Major Science Initiatives (MSI) program in the 2014 and 2017 MSI competitions. Following completion of the mid-term review in the fall of 2019, the CCEM was awarded an additional \$2M in CFI MSI funding. CFI has unique requirements for governance structures of facilities supported by MSI funding and the CCEM has evolved to meet those requirements. The additional funding awarded to the CCEM is a result of the

success of the centre and CFI's approval of its research activities, resulting outcomes, and effective management and governance practices.

The CCEM supports research through training and provision of infrastructure. This infrastructure includes 4 transmission electron microscopes (TEMs). 2 of these microscopes have aberration-correction electron optics (Titan High Base, Titan Low Base), which allow the microscopes to resolve atom resolution images, with accompanying spectroscopy that can obtain chemical identification and bonding information from single atomic columns. One of the aberration-corrected instruments is configured to have high energy and spatial resolution with a wide pole-piece gap, which permits the performance of dynamic experiments inside the microscope (i.e. observing chemical reactions, melting, or the electrical biasing of an electronic device). The other two microscopes perform lower resolution but very critical measurements. These include an instrument that can acquire very rapid chemical mapping from nanoscale materials (Talos 200FX), and another teaching microscope (Talos 120C) that performs many of the main tasks critical for standard materials imaging, including electron diffraction, chemical identification and size analysis. A 5<sup>th</sup> TEM is planned for installation in 2021 (Nion HERMES), which will be one of the worlds highest energy resolution spectroscopy instruments, coupled with cryogenic capabilities, enabling the study of quantum states of materials.

The CCEM also possesses a suite of scanning electron microscopes (J6610, J7000F, and Magellan 200) capable of imaging the surface of materials at high resolution and performing electron-based x-ray analysis and electron backscattered diffraction measurements to obtain crystal orientation information. This surface analysis is complemented by an Auger electron microscope, which obtains information from the top 2-3 nm of a material, enabling high resolution studies of nanomaterials and corrosion.

In order to perform nanoscale 3-D analysis and to prepare site-specific samples for TEM and Atom probe (see below) analysis, the CCEM also possesses a pair of focused ion beam (FIB) microscopes. One instrument (Nvision400) uses a gallium source and is the primary feeder for all of the TEMs at the CCEM. The other employs a plasma xenon source and is capable of milling away large volumes of materials, exposing mesoscale materials features. The plasma FIB is the only one available in Canada to a large user base.

Finally, the CCEM possesses the only atom-probe tomography system in Canada, which is capable of constructing 3-D information about materials on an atom-by-atom basis. This is useful for studying nanomaterials, defects, grain boundaries and interfaces in materials, which are critically important for their bulk properties.

In order to operate all of this instrumentation, the CCEM has a staff of 11 (9 full-time and 2 part time). These are highly skilled personnel, with six having Ph.Ds and two having Master's degrees, and technicians having at least 2 years' training. One of the staff members acts as the manager of the entire operation on a day-to-day basis, including troubleshooting, managing some access and training certification, and technical details of the centre. 5 of the staff holding Ph.Ds have training in the advanced operation of high-end characterization equipment, and also undertake elaborate scientific research projects in collaboration with CCEM users. The technical staff is usually responsible for a specific instrument or a pair of instruments in order to support the CCEM User base. One technician is responsible for maintaining ageing equipment and facilities. One staff member is in charge of user and customer outreach, including organizing and planning workshops associated with the CCEM (see below).

The CCEM currently relies on ROADS for MSI management, the Vice-President Research Office for account management, and an external bookkeeper for the financial operation.

### **Objectives and Proposed Activities**

The CCEM has the following objectives critical to its sustainability and flourishing as a nationally-and internationally-recognized scientific user facility:

- ❑ Elevate national and international status of the CCEM as a world-class facility for electron microscopy
- ❑ Provide state-of-the-art equipment and exceptional user support to enable research advances and technology development
- ❑ Ensure benefits to Canadians by providing unparalleled HQP training and support for technology transfer

In order to pursue these objectives, we acquire, maintain and develop world-class instrumentation that reflects the cutting edge of electron microscopy-based research. These include the aforementioned microscopes that are currently in-house, as well as a planned \$11M renovation and upgrade of the existing facilities. The renovations that are forthcoming are (as of this writing) in the form of the Nion microscope, a replacement microscope for the Titan HB (coming in 2022), and the recent upgrades to the 2 Talos microscopes.

The plan in the very near future (Q1 FY20-21) is to further professionalize the administration of the CCEM to incorporate professional management and governance through the addition of the position of Executive Director (ED). The ED position will be funded through the CFI MSI program (part of the additional allocation towards the centre). The ED will be responsible for Board Relations, national and international strategic planning, budgeting, grant writing, pursuit of funding opportunities and outreach administration. Furthermore, the CCEM plans to hire a full time financial manager (also funded by CFI) to help with budgets, purchases, human resources tasks and billing.

Our training and outreach program (satisfying objective 3) is quite elaborate. The CCEM hosts at least three workshops per year at McMaster, with attendance by 100-150 users. In November 2019 speakers from Canada and the United States presented their work on the use of SEM, energy dispersive X-ray spectroscopy, secondary electron imaging, backscattered electron imaging, transmission kikuchi diffraction, electron backscattered diffraction, SEM with electron energy loss spectroscopy, and computer simulations. The workshop included basic theory of SEM signal generation and applications on a broad range of materials such as mineral, metals, and Canadian artwork.

The CCEM also participates regularly in off-site training and workshops, including among others the Microscopical Society of Canada's (MSC) workshop sessions, the FIB-SEM User Group meeting (hosted every three years at McMaster). The CCEM will host an international conference (IUMAS), coincident with the MSC annual conference in Banff in 2021.

The CCEM hosts the CCEM Summer School on Electron Microscopy, a tradition spanning 13 years. This weeklong course brings the best and brightest students from around the world, as well as the world's most prestigious instructors, to deliver a short course on transmission electron microscopy. Our goal is to provide students advice in solving characterization problems with the help of experts. The course includes lectures given by invited experts in the use of the techniques from various international research labs and provides students with hands-on training. This exposure allows the CCEM to maintain its status as a center of excellence in microscopy in the world.

The CCEM provides a series of successive training sessions to students at McMaster and from outside McMaster in order to use the microscopes independently. It trains over 400 users per year, with work associated with many different academic disciplines. Online training modules are also provided.

From an academic perspective, the CCEM supports training within the Department of Materials Science for the Capstone design class, the graduate Electron Microscopy of Materials (MATLS 724), and in the department of Chemistry and Chemical Biology, with training sessions for basic electron microscopy. In these sessions, there are full laboratories offered, employing the microscopes to advance the training of McMaster students.

### **Rationale for Establishment of the Centre**

The CCEM is an established Centre at McMaster University. It has developed into a truly national facility of international reputation with both large capital investments and significant funding from CFI to support operations and maintenance. Given the success and growth of the CCEM, it was in 2019 separated from the BIMR and established as an independent Centre with its own financial and governance structures.

The CCEM has allowed McMaster to build a critical mass of researchers and has facilitated interdisciplinary research and cross-sectoral collaboration, increasing the visibility of research at McMaster. For example, the CCEM has supported collaborative research undertaken with researchers at the Massachusetts Institute of Technology, IBM-Zurich, IBM-US, Hewlett-Packard, Cambridge University and Strasbourg. It enabled researchers working in collaboration from U. Pierre Marie-Curie, U. Paris-Diderot, CNRS Lyon and McMaster to uncover how nanomaterials used in cancer phototherapies degrade inside living tissues and how these materials could be protected from degradation using Au.

The CCEM has facilitated linkages between research and education and been critical to the training of highly qualified personnel. The success of research supported by the CCEM has increased McMaster's ability to secure research funding both for infrastructure and operations. With these significant outcomes, this high-profile Centre fits the criteria of being a Senate-approved Centre and we now seek such designation in recognition of these strengths.

### **Alignment with McMaster's Strategic Research Plan:**

Research supported by the CCEM is in keeping with the core values outlined in McMaster's Strategic Research Plan (SRP). The CCEM supports research that advances society, using best practices and cutting-edge technologies. It supports collaborative work and thinking across Faculties and disciplines, and supports partnerships with governments, institutions and the private sector. The CCEM is seen as a valuable resource to industry and in fact each year provides industry with over 50 technical reports, demonstrating the impact of the technology to the user community. The CCEM extends the boundaries of knowledge through research, providing exceptional training opportunities for research personnel.

This proposal builds directly on our institutional research strengths and interdisciplinary capacity, as well as significant investments already made in infrastructure and people. The CCEM supports a wide range of research activity across disciplines. Key areas of research supported are biomedical devices, quantum materials, and additive manufacturing. The CCEM has helped established interactions with industries and academic institutions working in the area of additive manufacturing, one of the cornerstones of advanced manufacturing. Advanced Materials and Manufacturing has been a strategic priority at McMaster for more than three decades and a priority outlined in our SRP as a focus for future directions. The CCEM supports new approaches to manufacturing and the development of new materials, the importance of which is outlined in the SRP. It supports fundamental research as well as knowledge transfer and commercialization, SRP priorities which will also support McMaster's success in meeting the metrics of SMA3. McMaster's SRP speaks to the importance of building partnerships, including partnership with other sectors, in order to solve complex problems, spur economic growth and create a more skilled workforce, all areas in which the CCEM excels.

The focus of the CCEM is aligned with that of the Brockhouse Institute for Materials Research (BIMR) - the first interdisciplinary materials research institute in North America - the McMaster Manufacturing Research Institute, the Centre for Automotive Materials and Corrosion, the Biointerfaces Institute, and the Centre for Emerging Device Technologies. Together, these facilities have developed internationally competitive research programs ranging from soft materials and biointerfaces, to materials processing, corrosion, and steels.

### **Alignment with the Strategic Mandate Agreement**

Critical to meeting the metrics in SMA3 are: supporting McMaster's researchers, scholars and students to encourage and promote research excellence and advance interdisciplinary research; improving McMaster's share of Tri-Agency funding; maintaining and enhancing research partnerships including partnership with and funding from other sectors; and engaging in knowledge mobilization and tech transfer. Examples of how the CCEM will advance some of these priorities are as follows:

The CCEM has enabled a number of industry users from various sectors to solve relevant problems. It has supported the automotive sector (Stackpole, General Motors), the aerospace industry (Trilocus Aerospace, Collins Aerospace), the steel industry (Stelco, US Steel, Evraz), the semiconductor industry (Techinsights, ON Semiconductor, Ranovus, 3SP Technologies SAS), the nuclear industry (Kinectrics, Canadian Nuclear Laboratories) and the pharmaceutical industry (Dalton Pharmaceuticals). In the aerospace sector, the CCEM has helped determine premature failures of gas turbines for Trilocus Aerospace which led to the company being able to repair the failed parts. The CCEM has also studied novel aluminum alloys for the development of aircraft braking systems. In the semiconductor industry, the CCEM provides first-class failure analysis and reverse engineering services. The CCEM has also been a key contributor to the development of novel pharmaceuticals by providing analysis services to Dalton Pharmaceuticals, for a project that involved TEM imaging and chemical mapping.

The CCEM, the McMaster Steel Research Centre and Stelco Inc., have collaboratively developed a new Zinc coating process for steel. This allows production of thinner gauge sections leading to a significant weight reduction and outstanding, cost-effective corrosion protection. The parts are being used in the automotive industry and lead to increased life span and quality of the steel coating and the overall durability of the automotive body. Furthermore, the associated weight reduction leads to lighter cars with lower CO2 emissions, helping our fight against climate change.

With support of the CCEM, General Motors is working on a radically new separator between anode and cathode, preventing diffusion of some of the Mn ions negatively affecting the nature of the anode, leading to capacity loss and safety issues for batteries and range of electric vehicles. This detailed work, carried out at the CCEM with PFIB and advanced SEM, has led to an improvement of a factor of 2x of the lifetime of commercial batteries. This research enables keeping the R&D base associated with electric car technology with high Canadian participation.

### **Vision**

The vision of the CCEM is to be one of the leading electron microscopy facilities in the world for the quality of the scientific research and to be the go-to provider of electron microscopy services to Canadian and international researchers and industry working on a broad range of materials research. Our mission includes playing a leading role in promoting interactions amongst researchers in various fields nationally and internationally and providing unparalleled training in electron microscopy.

### **Organizational Structure**

The following robust organizational structure has met the requirements of CFI, which provides operation and maintenance funding for the Centre.

#### **Scientific Director:**

The Scientific Director will be appointed for a 5 year term. The Scientific Director of the CCEM reports directly to McMaster's Vice-President, Research, or designate, on matters concerning CCEM staff appointments. The Scientific



Director of the CCEM reports directly to the CCEM Governing Board on matters concerning strategic planning, operational management, risk management, and financial management of the CCEM.

Dr. Bassim has been Acting Scientific Director of the CCEM since May 2019. Following the recommendation of the Governing Board, and a selection committee representing the stakeholders and chaired by the Acting Associate Vice-President Research, Dr. Bassim was recommended as Scientific Director by the Senate. Approval by McMaster's Board of Governors is pending.

Nabil Bassim is Associate Professor in the Department of Materials Science and Engineering. He received his Ph.D. from the University of Florida in 2002 with research centered on the fundamentals of low-temperature growth of oxide and nitride thin films for electronic applications. He had a postdoctoral appointment at the U.S. Naval Research Laboratory (NRL) followed by a term at the National Institute of Standards and Technology in the USA, before returning to NRL as a staff Materials Research Engineer. In 2016, he joined the Department of Materials Science and Engineering at McMaster University and quickly established one of the larger and most productive research teams in the department. His research is primarily focused on developing novel electron and ion microscopy techniques and applying them to a wide variety of materials systems, including structural materials, nanomaterials, 2-dimensional materials, and related image processing integrating machine learning and AI. He is widely recognized as an international leader in Focused Ion Beam microscopy and has delivered several dozen invited talks on FIB and microscopy. With nearly 100 publications and 3 patents, his work is widely known in the microscopy and materials communities. He is a councillor of the Microscopical Society of Canada and was the Chair of the Microscopy and Microanalysis meeting in 2018 (the largest microscopy meeting in the world). He received the prestigious Woody Award for outstanding service to the Profession from the Materials Research Society in 2015. He currently serves as the Acting Scientific Director of the Canadian Centre for Electron Microscopy (CCEM), Canada's premier microscopy facility.

#### **Governing Board:**

The CCEM is overseen by a Governing Board (GB). The Governing Board has overall responsibility for the governance and management of the CCEM. The Governing Board fulfills its mandate by providing direction and oversight to the CCEM with regard to strategic planning, risk management, and financial monitoring. Members of the GB were selected to ensure expertise in the following areas: Facilities Management; Materials; Strategic Planning and Leadership; Stakeholder Engagement; Risk Management & Audit; Financial Management; Director/Manager Experience; Board & Committee Experience. A skills matrix was developed to ensure appropriate expertise in each of these areas.

There will be at least two (2) meetings per year of the Governing Board per year.

The Governing Board will be composed of a minimum of eight (8) and a maximum of eleven (11) individuals with a right to cast votes (not including ex officio members) (the "Members"). The precise number of Members of the CCEM Governing Board from time to time will be determined by a resolution passed at a meeting of the Governing Board.

To ensure that the needs of researchers across Canada are represented, the Chair is appointed by the Governing Board and will have a two-year term. Two standing members will be the designate of the Deans of the Faculties of Engineering and Science at McMaster University for a two-year renewable term. A minimum of six Rotating members will be appointed for a one-year or two-year renewable term. The two ex officio members will be the Associate Vice-President, Research and the Scientific Director of the CCEM.

The GB is in place and meets the unique governance requirements of a CFI-MSI funded research facility serving the national and international community. Membership of the Governing Board is as follows:

- Gianni Parise, Associate Dean Research and External Relations, Faculty of Science, McMaster (standing)
- John Preston, Associate Dean Research and External Affairs, Faculty of Engineering, McMaster (standing)
- Neil Branda, Professor, Simon Fraser University and Scientific Director, 4D Labs

- Patricia Hawkins, Manager, Strategic Partnerships and Innovation Services, Xerox Research Centre of Canada
- Guillermo Ordorica-Garcia, Director General, Nanotechnology Research Centre, National Research Council of Canada
- Sara Iverson, Professor, Dalhousie University and Scientific Director, Ocean Tracking Network
- Keana Scott, Research Scientist, Group Lead, Materials Characterization, National Institute of Standards and Technology, USA
- Anja Geitman, Dean and Professor, Faculty of Agriculture and Environmental Sciences, McGill
- Andrew Knights, Acting Associate Vice-President, Research, McMaster (ex officio)
- Nabil Bassim, Acting Scientific Director, CCEM (ex officio)
- Bob Walker (Chair of Governing Board), (Ret.), Former CEO of Canadian Nuclear Laboratories, Ottawa

### **Scientific Advisory Committee**

A Scientific Advisory Committee (SAC) will provide advice to the Governing Board with regard to the operations of the facility, scientific or scholarly priorities and direction for the CCEM. Specifically, the Scientific Advisory Committee will make recommendations to the CCEM Governing Board with regard to improving operations, raising awareness of the CCEM and monitoring scientific output, as well as strategic planning activities, reports pertaining to the use of the facility and the research that the facility has enabled, the productivity of the centre and possible upgrades to existing instrumentation and the acquisition of new instrumentation.

There will be at least two (2) meetings per year of the Scientific Advisory Committee.

The Scientific Advisory Committee will be composed of a minimum of five (5) individuals with a right to cast votes (not including ex officio members). The precise number of members of the CCEM Scientific Advisory Committee from time to time will be determined by a resolution passed at a meeting of the CCEM Governing Board. A minimum of four Rotating members will be appointed by the Members, in consultation with and with approval of the Governing Board, for a three-year renewable term. The Scientific Director of the CCEM will be an ex officio member.

Current members of the Scientific Advisory Committee are:

- Eric Stach, Brookhaven National Laboratory (Chair)
- Quentin Ramasse, SuperSTEM Facility, UK
- Guozhen Zhu, University of Alberta
- Keana Scott, National Institute of Standards and Technology, US
- Tom Zega, University of Arizona
- Nabil Bassim, McMaster University, Acting Scientific Director, CCEM (ex officio)
- Leanna Fong, ROADS, McMaster University (Secretary; ex officio)

### **Planning and Operations Committee**

The Planning and Operations Committee will ensure that the CCEM has the resources required to operate effectively and efficiently. The Planning and Operations Committee fulfills its mandate by: monitoring and making recommendations to the CCEM Governing Board regarding the CCEM's financial performance indicators; ensuring that the CCEM financial activities are aligned with best practices; securing financial support for the CCEM from government, university and other resources; communicating with University and municipal government offices regarding space requirements (including construction/ renovation needs) and necessary environmental conditions; identifying and proposing risk management strategies (including financial and personnel); making recommendations to the CCEM Governing Board regarding long-term financial planning (considering revenues from grants, university support and user fees); and coordinating additional support for CCEM leadership (including teaching relief for the CCEM leadership for major grant applications, communications support from the CCEM Communications Director, financial and logistics support for special events such as workshops, mini-conferences, international conferences led by the CCEM, and the summer schools).

The Planning and Operations Committee will be composed of a minimum of seven (7) individuals with a right to cast votes (not including ex officio members). The precise number of members of the CCEM Planning and Operations Committee from time to time will be determined by a resolution passed at a meeting of the CCEM Governing Board.

The following individuals will be standing members of the Planning and Operations Committee by virtue of their office: The Scientific Director of the CCEM; The Deputy Director of the CCEM; The Director of User Operations of the CCEM; The Associate Dean, Research and External Affairs, Faculty of Engineering, McMaster University; and the Associate Dean, Research and External Relations, Faculty of Science, McMaster University; A minimum of two Rotating members will be appointed by the existing Members for a three-year renewable term. The Manager of the CCEM will be an ex officio member. The Chair is selected by majority of votes present at the Planning and Operations Committee meeting. The appointment is communicated to the CCEM Governing Board for approval. The Chair is appointed for a three-year renewable term.

Current members of the Planning and Operations Committee are as follows:

- Nabil Bassim, Acting Scientific Director, Planning and Operations Committee Chair
- Drew Higgins, ENG, McMaster University, CCEM Deputy Director
- Mohsen Mohammadi, University of New Brunswick, CCEM Director of User Operations
- John Preston, Associate Dean Research and External Affairs, Faculty of Engineering
- Gianni Parise, Associate Dean Research and External Relations, Faculty of Science
- Sherisse Webb, Director, ROADS
- Andreas Korinek, CCEM Facility Manager (ex officio)
- Dave Reinhart, Director, McMaster Research Finance

There will be at least two (2) meetings per year of the Planning and Operations Committee.

#### **Users Group Executive**

All users of the facility are members of the “Users Group”. The Users Group Executive is composed of individuals from the Users Group and provide insight and feedback to the CCEM Governing Board on user needs, user access levels, training quality, outreach events and workshop.

The Users Group Executive will be composed of a minimum of five (5) individuals with a right to cast votes (not including ex officio members). The Users Group Executive of the CCEM fulfills its mandate by making suggestions to the CCEM Governing Board regarding CCEM operations from the user’s perspective, including workshop topics, training topics, instrumentation (not available in the CCEM) of interest to users, and areas of improvements in infrastructure; and providing feedback to the CCEM Governing Board on access, training quality, Standard Operating Procedures, and operational issues (access times and tools operation windows) for improvement to the CCEM user experience

There will be at least three (3) meetings per year of the Users Group Executive.

The Users Group Executive will reflect the diversity of the user base and be composed as follows:

- The Chair, who is selected by majority of votes present at the Users Group Executive meeting. The appointment is communicated to the CCEM Governing Board for approval. The Chair is appointed for a three-year renewable term.
- A minimum of four (4) Rotating Members are selected from their peers for a three-year renewable term by a majority of votes present at the Users Group meeting and will include at least one (1) student member.
- The Director of User Operations of the CCEM will be a standing member of the Users Group Executive by virtue of his or her office.

Current members of the Users Group Executive are as follows:

- Nabil Bassim, Acting Scientific Director, CCEM

- Jonathan Bradley, McMaster
- Babak Shalchi Amirkhiz, CanMet
- Samantha Stambula, CCEM
- Chris Thomsen, student representative
- Dakota Binkley, student representative
- Mohsen Mohammadi, Director of User Operations (DUO), CCEM, Professor (University of New Brunswick) and Director, Marine Additive Manufacturing Centre of Excellence (MAMCE)
- Samuel Norris, Johns Hopkins University, Materials Characterization and Processing
- Leyla Soleymani, McMaster University

### **Organizational Review**

#### **Annual Review:**

The GB monitors the activity of the CCEM every year and the Scientific Director will report to the GB on, at minimum, an annual basis. The GB reports annually to the VPR. Authority for all matters concerning CCEM staff appointments rests with the VPR. As required by CFI policy for CFI MSI-funded Centres, the authority for all matters regarding the direction and operation of the CCEM rests with the Governing Board.

#### **Five-year Review:**

The CCEM will be reviewed at least every 5 years by a Centre Review Board (CRB). The composition of the CRB will be determined by the GB and will comprise 3 high caliber scholars who will be arms' length from the Centre. The CRB will assess the performance of the Centre's Scientific Director and its research program. The CRB will be furnished with documents describing the University's policy on Research Institutes and will be asked whether performance is compatible with expectations described in the policy. The CRB is expected to use accepted measures of performance such as publication numbers and impact to assess the Institute's contributions in comparison with those of (a) the Centre during the preceding 5 years and (b) the performance of centres of similar size in the same field of research. The recommendations of the CRB will include the renewal of the Scientific Director, and whether the Centre's performance is consistent with that of a Centre at McMaster University.

The report of the CRB will be submitted in confidence to the VPR, who will share the report or major recommendations with either the current Scientific Director, or the successor to the current Director, so that the leadership of the CCEM benefits from the perspective of the CRB.

## **Explanation of revenues and expenses**

### **Revenue:**

**Carry-Forward:** The CCEM is an existing Centre within the VPR envelope. It is currently projecting a surplus for this year, resulting in a carry-forward of \$472,144 as it enters F21.

**The Vice-President Research** is providing \$150K/year for F21 through 25.

**User Fees:** The CCEM anticipates user fees will generate \$1.3M for Fiscal 21. While the user base is increasing, this will take some time as many users will need to reconfigure their expected experiments as a result of changes in fees and capabilities while a new microscope (Nion) comes online. With the increasing user base and changes in fees, etc. we are projecting an increase in user fee revenue of approximately 5% per year. Ultimately expanded access to tools and adjustment to user fees based on updated and new instrumentation will help the CCEM realize increased user fees over the coming years.

**MSI funding:** The CCEM received its first round of CFI MSI funding in support of expenses beginning in 2014. Following the first 3 year award, the CCEM was successful in securing funding for an additional five years, with each year a significant increase over the previous award. Based on the success of the 2019 mid-term review, CFI increased their contributions and in fact provided funding for an additional year. For the final three years of this award, CFI will provide an average of \$1.18M/year, a significant increase over the first three years, which provided on average \$490K/year.

The reviewers of the mid-term report highlighted that the CCEM was a vibrant, functional centre with a varied user base and that it had an excellent impact on industry. They also noted the highly skilled technical expertise and excellent outreach and training programs. Given the significantly increased support from the CFI MSI program, we are confident that continued funding will be provided through the next MSI competition. Should levels of funding from the MSI program decrease however, we will seek funding from other sources. If necessary, we will review our staffing levels and maintain the positions that are most critical to maintaining the facility for our use base.

**The Faculty of Engineering** has committed \$125K/year through F23. The Faculty will consider providing \$125K/year for each of F24 and 25 if those funds are needed. The Faculty anticipates however that, with the increasing infrastructure in the CCEM, user fees will at that time have increased beyond the current conservative projection, eliminating the need for that support.

**CFI/ORF-RI or McMaster Funding** – The CM12 was in urgent need of replacement. A new item was purchased in F20, with plans to recoup the costs from CFI/ORF-RI applications currently under review. Should those proposals not be successful, the required \$610K has been secured via commitments from the University Fund, VPR and Faculties.

### **Operational Expenses:**

#### **Personnel:**

As mentioned, the CCEM has a staff of 11 (9 full-time and 2 part time). These are highly skilled personnel, with six having Ph.Ds and two having Master's degrees, and technicians having at least 2 years' training. Five of the staff holding Ph.Ds have training in the advanced operation of high-end characterization equipment, and also undertake elaborate scientific research projects in collaboration with CCEM users.

One staff member is the manager, overseeing operations on a day-to-day basis.

Technical staff are responsible for a specific instrument or a pair of instruments in order to support the CCEM User base. One technician is responsible for maintaining ageing equipment and facilities.

One staff member is in charge of user and customer outreach, including organizing and planning workshops associated with the CCEM.

As part of the CFI MSI mid-term review, funding for three new positions was requested. CFI reviewers stated that each of these positions was critical and awarded funds to cover these costs. We expect to have two of these positions in place early in F21. The CCEM will hire an Executive Director, who will be responsible for Board Relations, national and international strategic planning, budgeting, grant writing, pursuit of funding opportunities and outreach administration. A full-time financial manager will be hired to assist with budgets, purchases, human resources tasks and billing and a new technical position to support CCEM instrumentation will be established at the end of F21

Personnel costs assume 2% increase per year. Costs in the budget include fringe benefits.

#### **Materials and Supplies:**

Costs of supplies include gases for all instruments, including the sample preparation tools (i.e. nitrogen, oxygen, argon and occasional use of SF6 replacement when venting the FEG vessels of the Titans), liquid nitrogen for cold traps of Titans, 2010F, CM12 and for the Si(Li) EDS detectors (on the 2010F, Titan1, CM12), chemicals for cleaning and sample preparation (Ethanol, Methanol, Acetone), FIB, SEMs, TEMs consumables not charged to researchers (such as O-rings replacements, thermionic filaments for the SEM 6610LV, CM12), cutting wheels, cutting wires for the wire saw and for the spark erosion, pump oil, Ag paste, Cu tape, sputtering targets for coating SEM imaging (such as Au, Pt, W, Cr) etc. Since some diffraction work needs to be carried out on negatives (for imaging and simple diffraction a digital camera is used), chemicals for negative development are occasionally used for the dark room and need to be available for users. Users are charged for the cost of each negative used.

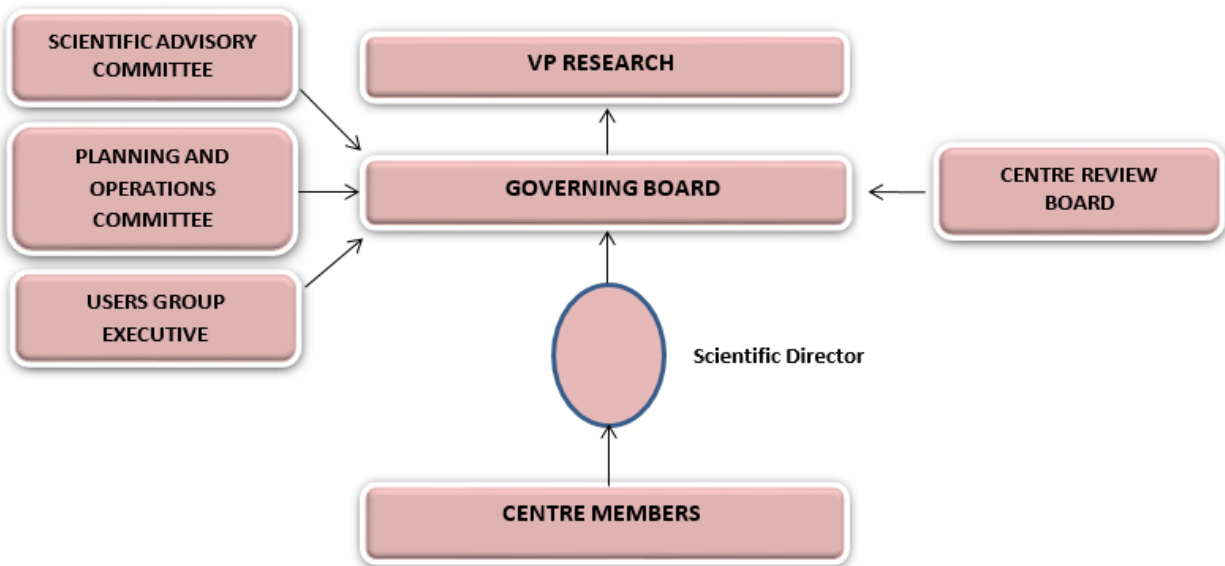
#### **Equipment Costs:**

**CM12 Purchase:** The CM12 is a 35 year old microscope that is used to obtain, for example, diffraction information, examine nanoparticle sizes, and measure a material's microstructure. It is also used to train new users so they can graduate to higher-end instruments, and to train undergraduates in Materials Science & Engineering and Chemistry & Chemical Biology. Unfortunately, due to its age, the CM12 was on the verge of failure and could not be repaired. A replacement to the CM12 (new Talos 120C) was therefore purchased in F20.

**Service Contracts:** Costs for service contracts will support the JSM-7000F, JSM-6610, LEAP Atom Probe, nVision F, PFIB, Titans, Magellan, Nion, and Talos 200 and 120 instrumentation.

**Costs for Travel and Meeting Expenses are included, as is the cost of General Repairs.** Many of the CCEM instruments are supported through service contracts. To serve the research community and reduce downtime on instrumentation, a small amount of funding is set aside each year to cover general repairs that fall outside of service contracts.

## Appendix A - Organizational Chart



## Appendix B – Budget and Sources of Funds

	F21	F22	F23	F24	F25			
<b>OPENING BALANCE/CARRY FORWARD</b>	\$ 472,144	\$ 515,998	\$ 348,592	\$ 137,584	\$ 55,656			
<b>REVENUE</b>	Insert year	Insert year	Insert year	Insert year	Insert year	Total	\$ Secured	\$ Anticipated
CCEM carry-forward from F20	\$ 472,144					\$ 472,144	\$ 472,144	
VPR Contribution	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 150,000	\$ 750,000	\$ 750,000	
User Fees	\$ 1,300,000	\$ 1,353,403	\$ 1,426,073	\$ 1,497,377	\$ 1,572,246	\$ 7,149,099		\$ 7,149,099
Research-CFI-MSI Funding (Proj#20005260)	\$ 1,222,000	\$ 1,172,000	\$ 1,147,000	\$ 1,200,000	\$ 1,200,000	\$ 5,941,000	\$ 3,541,000	\$ 2,400,000
McMaster-Engineering contribution (Proj#20007	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 125,000	\$ 625,000	\$ 375,000	\$ 250,000
McMaster-University Fund, Faculty & VPR contributions to CM12 equipment	\$ 610,000					\$ 610,000	\$ 610,000	
<b>TOTAL REVENUE</b>	<b>\$ 3,879,144</b>	<b>\$ 2,800,403</b>	<b>\$ 2,848,073</b>	<b>\$ 2,972,377</b>	<b>\$ 3,047,246</b>	<b>\$ 15,547,243</b>	<b>\$ 5,748,144</b>	<b>\$ 9,799,099</b>
<b>EXPENSES</b>	F21	F22	F23	F24	F25	Total	\$ Secured	\$ Anticipated
<b>Operating Expenses:</b>								
Personnel costs including fringe						\$ -		
PostDoc Fellow	\$ 154,239	\$ 155,699	\$ 158,360	\$ 161,527	\$ 164,758	\$ 794,583		
Support Salaries	\$ 995,767	\$ 1,143,251	\$ 1,165,558	\$ 1,142,217	\$ 1,171,327	\$ 5,618,120		
Office Supplies:						\$ -		
Materials and Supplies	\$ 50,760	\$ 50,760	\$ 50,760	\$ 50,760	\$ 50,760	\$ 253,800		
Bank Charges	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 1,500	\$ 7,500		
Equipment						\$ -		
CM12 purchase	\$ 610,000					\$ 610,000		
Service Contracts	\$ 1,407,659	\$ 1,473,378	\$ 1,539,683	\$ 1,555,079	\$ 1,570,630	\$ 7,546,429		
Travel:						\$ -		
Travel	\$ 67,060	\$ 67,060	\$ 67,060	\$ 67,060	\$ 67,060	\$ 335,300		
Meeting expenses:						\$ -		
Meeting expenses	\$ 16,532	\$ 16,532	\$ 16,532	\$ 16,532	\$ 16,532	\$ 82,660		
Communications:						\$ -		
Communication expense	\$ 1,782	\$ 1,782	\$ 1,782	\$ 1,782	\$ 1,782	\$ 8,910		
Renovations:						\$ -		
General Repairs	\$ 57,847	\$ 57,847	\$ 57,847	\$ 57,847	\$ 57,847	\$ 289,235		
Ongoing costs for space:						\$ -		
No change to current CCEM space. Per the budget model, as CCEM reports to the VPR, space is not charged directly.						\$ -		
<b>TOTAL EXPENSES</b>	<b>\$ 3,363,146</b>	<b>\$ 2,967,809</b>	<b>\$ 3,059,081</b>	<b>\$ 3,054,304</b>	<b>\$ 3,102,196</b>	<b>\$ 15,546,536</b>		
<b>IN-YEAR (Surplus/ Deficit)</b>	<b>\$ 515,998</b>	<b>-\$ 167,406</b>	<b>-\$ 211,008</b>	<b>-\$ 81,928</b>	<b>-\$ 54,950</b>	<b>\$ 706</b>		



**REPORT TO THE SENATE**  
**FROM THE**  
**COMMITTEE ON APPOINTMENTS**  
**Open Session (Regular)**

On March 23, 2020, the Senate Committee on Appointments approved the following recommendations and now recommends them to Senate for approval:

**1. TOR – Assistant Dean, Continuing Health Sciences Education Program (CHSE)**

It is now recommended,

**That Senate approve the retitling of the position Director, Continuing Health Sciences Education (CHSE) Program to Assistant Dean, Continuing Health Sciences Education (CHSE) Program, as circulated.**

**2. TOR – Associate Dean, Continuing Professional Development (CPD)**

It is now recommended,

**That Senate approve the title change of Associate Dean, Continuing Health Sciences Education (CHSE) Program to Associate Dean, Continuing Professional Development (CPD), as circulated.**

**3. SPS A1 Revisions**

It is now recommended,

**That Senate approve the amendments to the Policy SPS A1 – Recruitment and Selection of Faculty Members, as circulated, effective July 1, 2020.**

**SENATE: FOR APPROVAL**  
**April 8, 2020**

March 2, 2020

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

**Terms of Reference for Assistant Dean, Continuing Health Sciences Education (CHSE) Program.**

As part of the Faculty's initiative to realign and rename leadership role in a consistent manner, the position of Director, Continuing Health Sciences Education (CHSE) Program has been retitled Assistant Dean, created Continuing Health Sciences Education (CHSE) Program. The terms of reference for this position are attached.

Previously, the CHSE program and the Program for Faculty Development were separate silos which each dealt with different aspects of professional development for our faculty members. We have now realigned these offices so that they function under the larger umbrella of Continuing Professional Development. This title change allows for equality with the two leadership positions that report to the Associate Dean, Continuing Professional Development as the other position is at the level of Assistant Dean.

Dr. Nishma Singhal will continue on in this retitled role until the end of her current term.

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

Yours sincerely,



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

Encl.

POB/rc

## Assistant Dean, Continuing Health Sciences Education Program(CHSE)

The Assistant Dean, Continuing Health Sciences Education Program is the administrative leader for the CHSE program in the Faculty of Health Sciences (FHS) at McMaster University.

### Reporting Relationships:

The Assistant Dean, CHSE reports to the Associate Dean, Continuing Professional Development (CPD).

### Duties and Responsibilities:

The Assistant Dean will participate in the development, implementation, strategic planning and evaluation of continuing health sciences education in the Faculty of Health Sciences.

### Administration

- Provide ongoing academic leadership for the CHSE Program, including the development of innovative approaches to continuing education, evaluation and novel collaborative ventures.
- In consultation with departments, schools, and programs, plan and oversee a system that identifies, and addresses continuing education needs of the faculty and practicing healthcare professionals.
- Oversee the development and coordination of continuing education activities across disciplines, programs and departments within the Faculty of Health Sciences and external institutions, including teaching hospital partners, as appropriate.
- Chair the CHSE Advisory Committee to identify, prioritize, plan and evaluate and innovative high-quality CPD offerings
- Share responsibility with Associate Dean CPD to ensure representation of CHSE/CPD to internal and external groups, institutions and agencies
- Maintain on-going interaction with the Assistant/Associate Deans of all FHS education programs to help meet their needs in a climate of growth, course renewal and distributed education.
- Work closely with the Assistant Dean of Program of Faculty Development and McMaster Education Research, Innovation and Theory to ensure to ensure coordinated activities within the Faculty.
- Contribute to the development of the CPD office strategic plan and ensure adherence to the CHSE aspects of strategic plan and operation
- Participate as a core leader in the Continuing Professional Development Council and its initiatives.

### Education

- Oversee the process of reviewing CPD programs developed by the CHSE Program or other departments and programs in the FHS for the purpose of accreditation, certification and maintaining educational and ethical standards.
- Ensure CHSE policies for accreditation/certification align with the standards of the National Colleges and accrediting bodies.
- Collaborate with and support planning committees with the development of CPD activities to ensure alignment with best practices for CPD development and accreditation
- Ensure review of evaluations and continuous quality improvement of CHSE offerings
- In collaboration with Program for Faculty Development, develop opportunities for Clinician-Educators to enhance their clinical scholarship.

- Promote the renewal of continuing education activities, including the application of new learning technologies.
- Facilitate and where appropriate, coordinate activities related to the review, enhancement and maintenance of the competence of health care professionals.

**Research**

- Facilitate research, evaluation, and scholarship in continuing education in the Faculty.

**Conditions and Terms of Appointment**

The position of Assistant Dean, Continuing Health Sciences Education Program shall be held by a qualified faculty member, appointed for a five-year term, renewable subject to favourable review.

Approved FHS Faculty Executive – February 26, 2020

March 2, 2020

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

**Re: Recommendation to change the title Associate Dean, Continuing Health Sciences Education (CHSE) Program.**

Within the Faculty of Health Sciences, we have realigned several of our service units and have updated their reporting structures. As such, several positions require updates to their titles.


Previously, the CHSE program and the Program for Faculty Development were separate silos which each dealt with different aspects of professional development for our faculty members. We have now realigned these offices so that they function under the larger umbrella of Continuing Professional Development. As such, we are requesting that the title of Associate Dean, Continuing Health Sciences Education (CHSE) Program be changed to be the Associate Dean, Continuing Professional Development (CPD).

Two Assistant Deans will report to this role, the existing Assistant Dean, Program for Faculty Development and a new position of Assistant Dean, Continuing Health Sciences Education (CHSE) Program.

The current incumbent in the position, Dr. Khalid Azzam, will remain in this retitled role for the remainder of his term. No changes have been made to the terms of reference except the title and the addition of the reporting relationship.

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

Yours sincerely,



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

Encl.

POB/rc

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## TERMS OF REFERENCE

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### ASSOCIATE DEAN, CONTINUING PROFESSIONAL DEVELOPMENT (CPD)

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#### FACULTY OF HEALTH SCIENCES

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The Associate Dean is a senior academic leader responsible for the planning, development, coordination and evaluation of the Continuing Health Sciences Education (CHSE) and Faculty Development Programs (PFD) in the Faculty of Health Sciences at McMaster University.

Reporting to the Vice Dean, Faculty Affairs, the Associate Dean will implement policies approved by the Faculty Executive with respect to Continuing Professional Development. The term of appointment will be for a period of five years, renewable subject to a favourable review.

The Associate Dean will:

#### Administration

1. Oversee the development and coordination of continuing professional activities across disciplines, programs and departments within the Faculty of Health Sciences and external institutions, including teaching hospital partners, as appropriate.
2. Evaluate outcomes of these activities from educational, logistical and budgetary perspectives.
3. Ensure effective operation of the CHSE and PFD programs and maintain financial accountability for their operating budgets. Actively pursue opportunities for expansion of CPD activities that promote its fiscal position.
4. Collaborate actively with the Assistant Dean, Program for Faculty Development (PFD), the Assistant Dean, Continuing Health Sciences(CHSE) and other relevant Faculty Education leaders to ensure a coordinated program of continuing professional development in the Faculty.
5. Chair the Continuing Professional Development Advisory Council.
6. Participate as a member of the Michael G. DeGroote School of Medicine Council.
7. Participate as a member of other Faculty and hospital committees relevant to Continuing Professional Development.
8. Liaise with continuing education units and initiatives within the University.
9. Represent the Continuing Professional Development Program to internal and external groups, institutions and agencies.

#### Education

1. Provide ongoing academic leadership for the program, including the development of innovative approaches to continuing education and novel collaborative ventures.
2. Support the Assistant Deans of the Program for Faculty Development and Continuing Health Sciences Education in developing opportunities for Clinician-Educators to enhance their clinical scholarship.
3. Promote the renewal of continuing education activities, including the application of new learning technologies.
4. Facilitate the identification of learning needs of community health professionals in the McMaster region and beyond, where appropriate.

5. Facilitate and where appropriate, coordinate activities related to the review, enhancement and maintenance of the competence of health care professionals.

#### Research

1. Facilitate research, development and evaluation in continuing professional development in the Faculty.

#### Conditions of Employment

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

Approved – Faculty Executive – 2020 02 26



## MEMORANDUM

**TO:** University Senate  
University Secretary

**FROM:** Wanda McKenna, Assistant Vice-President/Chief Human Resources Officer  
Arig al Shaibah, Associate Vice-President, Equity and Inclusion

**SUBJECT:** SPS A1 Policy and Procedures Implementation Plan

**DATE:** March 25, 2020

This memorandum provides background information on the ongoing work of an SPS A1 Policy Implementation Project Team that was constituted to build and sustain the infrastructure and capacity required to enable and sustain the successful implementation of the revised SPS A1 Policy and Procedures.

The collaborative Project is co-sponsored by Human Resource Services and the Equity and Inclusion Office. The Project is led and advanced in partnership with Institutional Research and Analysis and University Technology Services, the central Faculty Relations Office and cross-Faculty Executive Officers and Administrators representing Deans and Department Heads. The Project has relied, to date, on service and business process ownership and engagement of the above-named partners, and on deep consultation with MUFA and Employment Equity Facilitators.

The Project Team has drafted a detailed Implementation Plan that identifies the following deliverables:

### Deliverables

- **SPS A1 Faculty Recruitment and Selection Policy and Procedures – to be Senate approved**
- Faculty Recruitment and Selection Handbook – evolving companion resource to SPS A1
- Recruitment and Selection Training Sessions – for all Policy end-users, including Train-the-Trainer option
- Search Summary Form – online accountability tool with reporting capability
- Academic Faculty Process Flow Chart – to ensure consistent recruitment and selection experience
- Self-ID Data Terms and Conditions Statement – for collecting applicant self-identification data
- *Diversity Survey* Self-ID Questionnaire – to be embedded in the application flow within Mosaic
- Self ID Data Reporting and Analysis Hub within Mosaic to generate reports by job opening upon request
- Change Management and Communication Strategy – to ensure institution-wide support for change
- Standard Operating Procedures – to support new ways of working within the SPS A1 Policy

The Project Team will also be developing processes to evaluate progress against measurable indicators of implementation success (e.g., commitment and capacity to advance EDI, adoption of new practices, hiring outcomes, etc.). These indicators will be determined in collaboration with the EDI Strategy Assessment and Evaluation Implementation Team.



Complete Policy Title

**Policy on Recruitment and Selection of Faculty Members**

Policy Number (if applicable):

**SPS A1**

Approved by

**Senate /  
Board of Governors**

Date of Most Recent Approval

**Date 2020/  
Date 2020**

Date of Original Approval(s)

Supersedes/Amends Policy dated

**December 11, 1996 (SPS 2)**

**December 14 / 15, 2011**

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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## I. PURPOSE AND SCOPE

1. This Policy furthers academic excellence by ensuring equitable, inclusive and meritocratic consideration of prospective applicants for faculty appointments through the preparation, advertising, assessment, and selection phases of search processes.
2. The Policy applies to all classes of faculty appointment, excluding full-time Clinical Faculty and those individual appointments that fall within the purview of SPS A3 – [Procedures for Other Appointment \(except in Health Sciences\)](#) or SPS A4 – [Procedures for Other Appointments within the Faculty of Health Sciences](#). The Policy is intended for use principally by Departments, but some aspects also apply at Faculty and Senate levels. Under certain exceptional circumstances, and where there is a strong hiring rationale, the Provost may approve a hiring process that deviates from this Policy.
3. There are some exclusions to the application of this Policy, including:
  - a) faculty recruitment which would fall under the provisions of SPS A7 – Spousal Hiring;
  - b) faculty appointments converted to a different stream which fall under the provisions of SPS A2 – Conversion of an Individual Faculty Appointment; and
  - c) special strategic recruitment programs (e.g., accelerated diversity and inclusive excellence recruitment programs), which require the approval of the relevant Faculty Dean and Provost and Vice-President (Academic), in consultation with the Associate Vice President Equity and Inclusion, and the Assistant Vice President and Chief Human Resources Officer, to ensure the programs are in compliance with University policies and human rights legislation.
4. Department Chairs<sup>1</sup> and Search Committees are expected to consult the companion *Faculty Recruitment and Selection Handbook* (“the Handbook”) for guidance on how to implement the Policy through all four phases of the search process. For ease of reference, the procedural tools and resources in the Handbook are organized under relevant headings and subheadings which are aligned with those used in the Procedures section of this Policy.
5. This Policy and Procedures shall be reviewed in three years in consultation with the McMaster University Faculty Association (MUFA). Any revisions must be endorsed by the MUFA executive and the Senate Committee on Appointments before being presented to the Senate.

## II. ACCOUNTABILITY

6. Department Chairs are accountable to their Deans, and Deans to the Provost & Vice-President Academic (“Provost”) for following this Policy.
7. Department Chairs are responsible for maintaining Search Committee documentation, including ensuring completion of the online *Search Summary Report*, which Deans will need to review before finalizing an offer and appointment.

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<sup>1</sup> “Department Chair” also means “Director” of a School or an Area Chair.

### III. PRINCIPLES

#### Inclusive Excellence

8. McMaster's faculty hiring processes aim to attract a diverse talent pool from which to identify qualified candidates who are suited to position requirements, and to the strategic goals of the relevant Department, Faculty and the University. To achieve this aim, faculty hiring processes will be guided by inclusive excellence principles, which maintain that diversity is integral to quality and which call for expanded ways to assess merit in research, teaching and service.

#### Fairness and Equity

9. The qualifications for positions and criteria for assessing merit will be established in a fair, equitable and transparent manner, which seeks to surface and mitigate explicit or implicit biases. If, among the selection finalists, there are self-identified members of *equity-seeking groups*<sup>2</sup>, departments shall consider the University's employment equity gaps and goals in the active recruitment of women, persons with disabilities, First Nations, Métis and Inuit peoples, persons who are members of racialized communities [visible minorities], and LGBTQ+ identified persons, thereby advancing inclusive excellence. Aggregate-level data on the representation of *equity-seeking groups* is available from Human Resources Services.

#### Confidentiality

10. Hiring processes involve the disclosure of personal information. All personal information relating to the search for and appointment of faculty is to remain strictly confidential and shared only among the Search Committee membership. Any personal information collected, stored, used or disclosed in a hiring process under this Policy will be managed in accordance with the University's [Statement on Collection of Personal Information and Protection of Privacy](#) (Policy Statement) and any other applicable information management and security policies.

### IV. PROCEDURES

#### Preparation for the Search Process

##### Review Applicable Policies/Consider Workforce Gaps

11. Department Chairs and Selection Committee Chairs should familiarize themselves with this Policy and the [Employment Equity Policy and Recruitment Statement](#), and be guided by the resources and tools outlined in the companion Handbook.
12. Preparation for the search should include reviewing relevant Workforce Analysis Summary<sup>3</sup> reports to identify institutional, Faculty, and, where feasible, Departmental workforce representational gaps in relation to *equity-seeking groups*.

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<sup>2</sup> For the purposes of this policy, the term "equity-seeking groups" will refer to groups of people who have historically faced, and continue to face, barriers in the labour market. The Employment Equity Act identifies these groups as: women, First Nations, Métis and Inuit Peoples, persons with disabilities and persons who are members of racialized communities in accordance with the Act's definition of "visible minorities". McMaster University also recognizes persons who identify as LGBTQ+ (Lesbian, Gay, Bisexual, Transgender, Queer and sexual orientation and gender identity minority identities) in employment equity strategies.

<sup>3</sup> A Workforce Analysis Summary compares self-identification data from members of equity-seeking groups in the University's workforce (collected through McMaster's Diversity Counts: Employment Equity Workforce Census) with external labour market availability of equity-seeking groups (compiled by Statistic Canada).

Drafting the Advertisement

13. Position postings should:
  - d) be accurate and informative;
  - e) use inclusive, welcoming, and unbiased language; and
  - f) include reference to any policies which make McMaster more competitive in the search for members of equity-seeking groups.
14. The Department Chair shall take steps to ensure that the proposed advertisement meets the institution's goal of inclusive excellence, including consulting with the Employment Equity Specialist and/or the Employment Equity Facilitator as needed.
15. Advertisements for faculty positions must include the following:
  - a) the proposed rank and title of the position, and may also include a statement indicating that salary and academic rank will be commensurate with experience;
  - b) the expectations of the role/nature of duties;
  - c) the range of qualifications sought;
  - d) the campuses/locations from which the incumbent will be expected to work;
  - e) specific details on the documentation that applicants must submit as part of the application package;
  - f) an invitation to provide a full CV and to describe the impact that career interruptions have had on research productivity, if applicable;
  - g) a request to submit a brief statement describing the contributions they have made or plan to make to inclusive excellence in teaching, research, or service in academic, professional or community contexts;
  - h) unless the Department employs a discipline-specific job applicant site/portal, a request that all documentation be provided through the Mosaic career opportunities application process, and the contact information for a person to whom inquiries should be addressed;
  - i) external postings must include the link to the Mosaic posting, and/or the posting number;
  - j) McMaster's standard statement of commitment to employment equity as outlined in the [McMaster University Employment Equity Policy and Recruitment Statement](#);
  - k) McMaster's standard immigration statement; this statement is required by Employment and Social Development Canada (ESDC) and does not preclude the ability to advertise and recruit simultaneously in Canada and abroad;
  - l) McMaster's templated invitation to complete a voluntary online self-identification survey through Mosaic; and
  - m) McMaster's standard accommodation statement as required by the Accessibility for Ontarians with Disabilities Act.
16. The Department Chair must determine, prior to posting the job advertisement, when letters of recommendation (typically three to five) will be required and reviewed by the Committee.

- a) If letters of recommendation will be requested only for candidates who have been selected either for the long list, for those on the short list, or for the finalists instructions not to submit letters of recommendations with the application should be clearly outlined in the job advertisement. Chairs will reach out to referees at the appropriate point in the process and send a templated communication to each referee.
  - b) If letters of recommendation are requested as part of the job application, the job advertisement will include instructions for candidates to guide referees' focus on qualifications to mitigate unconscious bias.
- 17. Formal or informal references from external sources will not be solicited without the explicit consent of candidates.
  - 18. Unsolicited references or recommendation letters provided by or received about a candidate will not be considered or shared.
  - 19. In the Faculty of Health Sciences, advertisements must be approved by the office of the Dean and Vice-President. In all other Faculties, advertisements must be approved by the Office of the Provost before being posted.

Obtaining Approval to Recruit and Budget Authorization

- 20. Department Chairs must submit a request to the Dean for each faculty position to be recruited, including expectations regarding rank, salary, space, and proposed start date. Departments should also include expected distribution of time (e.g., teaching, research, service and administration, as applicable). Any additional resource implications should also be provided if known. A draft advertisement should accompany this request.
- 21. Budget authorization by the Provost and President (where applicable) must be obtained before the search commences. Approval of the recruitment is completed through Mosaic. Once all parties agree to the financial details and the content of the advertising, the position will be posted.

Assembling and Training the Search Committee

- 22. Members of the search committee should be thoughtfully chosen for their expertise in the field and experience working constructively on a committee, as well as their capacity to promote inclusive excellence through the hiring process.
- 23. The Chair of the Search Committee will be identified by the Department Chair and approved by the Dean of the Faculty.
- 24. The Committee Chair is responsible for implementing a selection or election process that ensures the constitution of a Committee that values and embodies diversity. The Committee Chair shall strive to constitute a Committee which includes representation from *equity-seeking group* members. The Committee membership will be approved by the Department Chair and Dean of the Faculty.
- 25. The Committee Chair should engage an individual trained to act in an Employment Equity Facilitator capacity, to consult with the Selection Committee to ensure that equity and inclusion best practices are followed throughout the search and that committee members are appropriately kept informed and engaged in these efforts.

26. Committee members are expected to complete the University's recruitment and selection training, as updated from time to time.

*Establishing Job Criteria and Developing an Evaluation Guide*

27. Departments shall carefully consider and determine what qualifications are relevant for the position before the search commences.
28. Job criteria to be evaluated should be specific, measurable, and aligned with the requisite knowledge, skills and demonstrated performance required to teach, undertake research, and/or perform scholarly activities in the advertised field at the university level.
29. Contributions to equity, diversity and inclusion as well as inclusive excellence shall be assessed relevant to the criteria established by the Department.
30. The Search Committee shall discuss the job criteria, and how the candidates' qualifications will be assessed in relation to the criteria in order to avoid unstated, vague or shifting standards and priorities among committee members. The job criteria to be assessed should be documented.
31. All aspects of the evaluation shall be applied equitably to all candidates throughout the process.

**Advertising and Outreach**

*Finalizing and Placement of the Advertisement*

32. The advertisement placement plan should aim to reach the broadest range of qualified applicants. Utilizing diverse recruitment platforms and networks will achieve a larger pool of applicants from which to make a selection decision.
33. Positions should be advertised through professional societies, industry groups, research organizations and associations of *equity-seeking groups* both in Canada and internationally. Departments should consult with the Provost's Office (or the FHS Faculty Relations office) regarding advertising strategies that comply with current ESDC regulations.
34. As faculty searches are open to international candidates, positions must be posted for a minimum of four weeks through Mosaic and two additional national or international sites or journals, to ensure sufficient time for exposure of the vacancy to Canadians and permanent residents as required by the Ministry of Immigration, Refugees, and Citizenship Canada to obtain a positive Labour Market Impact Assessment (LMIA) and avoid delays in international recruitment, unless a waiver of advertising has been approved by the Provost or the Dean of Health Sciences.
35. To encourage online applications external postings must reference the Mosaic posting number.

*Active Targeted Recruitment Strategy*

36. If there is access to data, past departmental searches should be reviewed by the Department Chair to determine how many members of *equity-seeking groups* applied as a percentage of the total applicant pool and what work may need to be done to improve the size and diversity of the pool of candidates.

37. Search committee members are encouraged to use their existing national and international networks to encourage broad and targeted advertising and outreach to equity-seeking groups.
38. The Chair of the Department shall establish protocols for off-site recruitment activities (e.g., job placement events, conferences, networking opportunities, etc.), which shall adhere to principles of confidentiality, fairness and equity.

### **Assessment of Applicants**

#### Screening Applicants

39. The Committee will utilize an equitable and efficient screening process to eliminate applications that are not viable (e.g., do not meet credential/level of education requirement, etc.). The Committee may assign viable applications to a subset of its members, who will work independently to screen assigned applications using agreed upon screening criteria, if not the evaluation guide.
40. The Committee Chair will review, with the Employment Equity Facilitator, the aggregate self-ID data of the viable applicant pool to assess the representation of *equity-seeking groups*, as determined by comparisons with Labour Market Availability data collected by Human Resource Services. The Department Chair may discuss the aggregate self-ID data with the Dean as required.
41. If, in the opinion of the Committee Chair and in consultation with the Employment Equity Facilitator, the applicant pool does not include a sufficient proportion of self-identified members of *equity-seeking groups* underrepresented at the Faculty/Department Level **or** the institutional level, the Committee Chair in consultation with the Dean, will examine possible contributing factors and determine whether to:
  - a) extend the timelines of the search process to allow for more broad- reaching and targeted recruitment;
  - b) carry on with the search process and document the rationale for doing so; or
  - c) restart the process, making necessary changes.

#### Developing the Longlist (if applicable)

42. On the basis of Committee screening of applicants, the Committee Chair will develop a preliminary long list for committee discussion.
43. The aggregate self-ID data of the longlist indicating the representation of *equity-seeking groups should be reviewed* in contrast with the Labour Market Availability data collected by Human Resources Services.
44. If, in the opinion of the Committee Chair, and in consultation with the Employment Equity Facilitator, the longlist does not include a sufficient proportion of self-identified members of *equity-seeking groups*, the applicant pool will be re-examined to add any strong *equity-seeking group* applications to the longlist for further discussion among the Committee.

#### Preparing the Shortlist of Candidates to be Interviewed

45. The Committee will assess the applicants to determine which of them most fully meet the job requirements in order of their importance. This will be based on the job criteria assessment guide established in the planning stage.

46. The Committee will consider all of the criteria relevant to the department's goals and strategic priorities, including the advancement of equity and inclusion priorities.
47. The Committee will adhere to agreed-upon criteria and evidence informed assessments to mitigate evaluation bias.
48. On the basis of search committee member assessment of applicants, a shortlist will be developed for committee discussion.
49. The Committee Chair will review, in consultation with the Employment Equity Facilitator, the aggregate self-ID data of the shortlist to assess the representation of *equity-seeking groups* in contrast with the profile of the longlist pool.
50. If, in the opinion of the Committee Chair, and in consultation with the Employment Equity Facilitator, the shortlist does not include any or have a sufficient proportion of self-identified members of *equity-seeking groups*, the Chair will review the applications of strong candidates from *equity-seeking groups* and consider adding them to the shortlist for interview.
51. If a Department employs a "Committee of the Whole" approach to the search, the Chair of the Department shall establish a process whereby all department faculty members and other invited academic community members who choose to provide feedback on the merits of applications may do so in a manner that adheres to principles of confidentiality, fairness and equity, including informing candidates in advance if their CVs and/or other application materials will be shared with the entire membership of the Department.

Interviews and Associated Activities

52. When inviting a candidate to interview, the Committee Chair must clearly communicate who the candidate may contact should they require accommodations to participate in the hiring process.
53. Each short-listed candidate should be provided with advance details of the interview process, including an itinerary.
54. All Committee members and any additional individuals involved in the interviewing process will receive information about those areas where questioning is prohibited by the Ontario Human Rights Code.
55. All short-listed candidates must be asked consistent interview questions, which have been vetted to ensure adherence to the Ontario Human Rights Code.
56. A list of suggested interview questions will be developed by the Committee Chair in consultation with the Employment Equity Facilitator and circulated to the committee for comment, revision, and approval.
57. The Committee may undertake preliminary video-conference or tele-conference interviews.
58. The Committee Chair must strive to ensure that all interview and campus visit processes are accessible.
59. All short-listed candidates should have equal opportunities to meet and interact with potential colleagues through the selection process.



60. All short-listed candidates should have at least one interview opportunity with the Committee.
61. The interview experience should be designed to provide an equivalent opportunity for engagement by each short-listed candidate, and to enable equal methods for collecting opinions and evaluating them. For example:
- a) if one candidate is asked to give a lecture on an aspect of their research, every candidate should be asked to give a lecture of this kind;
  - b) all candidates shall normally be asked the same questions in the committee interview.
  - c) supplemental or probing questions related to the specific questions asked are encouraged to ensure completeness of responses from candidates; and
  - d) the Committee Chair should strive to ensure that the structure and format of additional candidate meetings with individual committee members, other departmental colleagues or academic community members are relatively consistent with each other.
62. Feedback from the above meetings or lectures will be provided, in confidence, to the search committee for consideration in the committee's deliberations and finalist(s) recommendations to the Faculty Appointments Committee.
63. If appropriate at this stage in the search process, the Committee Chair will notify the finalist(s) that they are being actively considered and that letters of recommendation will be requested from their referees. The finalist(s) will be asked to submit the names of 3-5 referees they consent to be approached; the Committee Chair will send a templated communication to each referee.

### **Selection of Finalist(s)**

#### *The Employment Offer*

64. When the assessment of the candidates' qualifications, based on the previously established criteria, is complete, the finalist(s) who are best qualified to meet the requirements of the job, the needs of the Department, and the priorities and goals of the Faculty and University, shall be recommended to the Faculty Appointments Committee.
65. If several candidates are found to be relatively equally qualified, preference will be given to candidate(s) of an *equity-seeking group*, considering the greatest gaps in representation of *equity-seeking groups* within the Department, Faculty and institution, thereby enhancing the University's ability to reach its employment equity goals and advance inclusive excellence.
66. If the selected finalist is not a Canadian citizen or Permanent Resident, the University must apply for a labour market impact assessment<sup>4</sup> (LMIA). When such a candidate is selected, the offer letter must explicitly state that employment at McMaster University is contingent upon the individual obtaining and maintaining the appropriate authorization to live and work in Canada. Full details will be relayed in discussion with the Provost's Office or the Faculty of Health Sciences Faculty Relations Office.

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<sup>4</sup> International workers may be LMIA exempt if they are eligible for a work permit through the provisions of a free trade agreement.

67. In the Faculty of Health Sciences, preliminary letters of offer are made by the Department Chair, with the approval of the Faculty Dean. In all other Faculties, preliminary employment offers are made by the Faculty Dean, with formal offers drafted by the Provost's Office, signed by the President, and presented by the Provost's Office. Terms of employment in the offer must comply with all relevant statutes and University policies.
68. All offers of employment will notify the successful applicant of McMaster's policies and program for accommodating and supporting employees with disabilities, as required by the Accessibility for Ontarians with Disabilities Act.
69. Chairs and Deans are responsible for implementing and documenting strategies to avoid inequities in negotiations related to the level of institutional support provided to faculty upon acceptance of the position, including: starting salary; expected distribution of time between teaching, research, service and administration; availability of additional research funds, an RA-ship or other forms of administrative support, office space, lab equipment, mentoring, etc.

### Record Keeping

70. Each stage of the recruitment and selection process, and the rationale for decisions made, shall be documented.
71. The documentation shall include aggregate self-ID data, pertaining to *equity-seeking groups* who have applied, been shortlisted, offered, accepted or declined a position. The data should be used to inform future recruitment processes to ensure greater equity, diversity and inclusion.
72. As an accountability mechanism to ensure consistent application of best practices outlined in these Procedures, a Search Committee Summary Report shall be completed by the Committee Chair at the conclusion of the search process, submitted by the Department Chair to the Dean for their review and endorsement, and presented to the Senate Committee on Appointment for information. The Employment Equity Specialist will have access to the Summary Reports for Employment Equity reporting and analysis.
73. Records should be kept for a minimum of two years to comply with the Freedom of Information and Protection of Privacy Act of Ontario. In the case of a Labour Market Impact Assessment (LMIA), all records and any other documents that demonstrate compliance with the program conditions set out in the LMIA decision letter and annexes must be kept for six years.



## Faculty Recruitment and Selection Handbook

A Companion to:

SPS A1 – Policy and Procedures on Recruitment and Selection of Faculty Members

**Last revised: March 15, 2020**

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## I. PURPOSE

This Faculty Recruitment and Selection Handbook (“Handbook”) is a companion to the McMaster University [Policy and Procedures on Recruitment and Selection of Faculty Members](#). (“Policy and Procedures”), which aims to guide Department Chairs and Search Committees through the implementation of the Policy and Procedures.

## II. ACCOUNTABILITY

In accordance with the Policy, Department Chairs<sup>1</sup> and Search Committees are expected to consult this Handbook throughout the search process. Department Chairs are responsible for completing the online *Search Summary Report* and reviewing with their Deans before finalizing an offer and appointment.

## III. PRINCIPLES

McMaster has a vision to achieve international distinction for creativity, innovation and excellence as a student-centred, research-intensive university. The University distinguishes itself in its commitment to excellence through valuing and embodying integrity, inclusiveness, and teamwork alongside quality.

Implicit in McMaster’s vision and values is its aspiration towards inclusive excellence – the notion that diversity is integral to quality in teaching, research and service.

The Policy, its associate Procedures and this Handbook are guided by principles of inclusive excellence, fairness and equity, and confidentiality.

The Handbook provides information, resources and tools to guide Department Chairs and Search Committees in their application of these principles and best practices for faculty search and hiring processes.

## IV. PROCEDURES

For ease of reference, the procedural information, tools and resources in this Handbook are organized under relevant headings and subheadings which are aligned with those in the Policy and Procedure document. See McMaster’s EDI Strategy [Report](#) which describes, in detail, the concepts of equity, diversity, inclusion (EDI) and inclusive excellence, their relevance to the assessment of merit in the academy, and a review of the seminal and extant literature which makes the case for EDI and the inclusive excellence imperative.

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<sup>1</sup> “Department Chair” also means “Director” of a School or an Area Chair.

## **1. Preparation for the Search**

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### **1.1. Review Applicable Policies/Consider Workforce Gaps**

#### **1.1.1. Applicable and Related Policies**

While familiarizing themselves with the Policy and Procedures on Faculty Recruitment and Selection, as well as the Employment Equity Policy and Recruitment Statement, Department Chairs and Selection Committee Chairs may need to refer to one or more of the related equity, diversity, and inclusion policies listed in Appendix A.

#### **1.1.2. Employment Equity Workforce Analysis and Gaps**

Information about Employment Equity at McMaster University, the Employment Equity Team, and the biennial Census can be found on the [Human Resources Service Employment Equity](#) website.

The Employment Equity Census Report provides a biennial snapshot of workforce data.

The Search Committee Chair may access institutional, Faculty, and, where feasible, Departmental workforce representation data and gaps in relation to equity-seeking groups. For institutional and Faculty data refer to (link). For Departmental data contact the Employment Equity Specialist at [hr.empequity@mcmaster.ca](mailto:hr.empequity@mcmaster.ca).

#### **1.1.3. Exclusions to the Application of the Policy**

##### **Proactive Employment Equity Practices at McMaster**

Excellence is necessarily inclusive of creativity, innovation and diversity, and therefore McMaster is committed to assessing excellence through an equity and inclusion lens.

All of McMaster's hiring processes are intended to be open to all and competitive. We will vigorously work to attract the broadest diversity of qualified applicants and commit to proactive practices which seek to remove employment barriers that have contributed to the historic and contemporary underrepresentation of designated groups in higher education.

The SPS A1 applies to all faculty appointments, excluding full-time Clinical Faculty and those individual appointments which fall under the purview of the SPS A3 – [Procedures for Other Appointment \(except in Health Sciences\)](#) or SPS A4 – [Procedures for Other Appointments within the Faculty of Health Sciences](#)

Furthermore, there are exclusions to the application of the Policy.

Deans and Department Head may make hiring decisions outside of this Policy for faculty recruitment and appointments which would fall under the SPS A7 – [Spousal Hiring Policy](#) or the SPS A2 – [Conversion of an Individual Faculty Appointment Policy](#).

Furthermore, Deans and Department Chairs may contemplate and implement strategic hiring initiatives and special programs outside of the SPS A1 – [Faculty Recruitment and Selection](#) process where there is justification and approval by the Provost and Vice-President Academic, in consultation with the Associate Vice-President Equity and Inclusion and the Assistant Vice-President and Chief Human Resources Officer.

Below is information outlining the justifications for strategic hiring initiatives and special programs which employ preferential and/or restricted hiring practices.

#### **Preferential and/or Restricted Hiring Practices**

There are legally acceptable and transparent mechanisms available to apply more “targeted” searches, using preferential and/or restricted hiring practices, however, they may only be used under “special” circumstances outlined in the Ontario Human Rights Code:

##### *Section 18 Special Interest Organization:*

The rights under Part I to equal treatment with respect to services and facilities, with or without accommodation, are not infringed where membership or participation in a religious, philanthropic, educational, fraternal or social institution or organization that is primarily engaged in serving the interests of persons identified by a prohibited ground of discrimination is restricted to persons who are similarly identified.

##### *Section 24 Special Employment:*

(1) The right under section 5 to equal treatment with respect to employment is not infringed where, (a) a religious, philanthropic, educational, fraternal or social institution or organization that is primarily engaged in serving the interests of persons identified by their race, ancestry, place of origin, colour, ethnic origin, creed, sex, age, marital status or disability employs only, or gives preference in employment to, persons similarly identified if the qualification is a reasonable and bona fide qualification because of the nature of the employment.

Restricting a job advertisement for the role of an Indigenous Student Advisor to applicants who identify as Indigenous is an example of the appropriate application of sections 18 and/or 24 of the Ontario Human Rights Code.

#### **Special Programs and Strategic hiring Initiatives**

Where a Department has large and/or persistent gaps in representation among equity-seeking faculty members, on the basis of self-identification workforce data analysis contrasted with labour market availability data, the Ontario Human Rights Code permits the development of “special” programs to address the employment related inequities.

#### *(a) Special Programs*

The Ontario Human Rights Commission has published a guidebook entitled: *Special Programs and the Ontario Human Rights Code* (2010), which describes what and how permissible “special programs” may be developed by organizations. Below are relevant excerpts from the guidebook:

Under Section 14 of the Code, it is not discrimination to put in place a program if it is designated to:

- relieve hardship or economic disadvantage;
- help disadvantaged people achieve, or try to achieve, equal opportunity, or;
- help eliminate discrimination. (p. 3)

Department Heads must consult with their respective Deans and the Associate Vice-President, Equity and Inclusion if they are contemplating the development of a special program.

#### *(b) Strategic Hiring Initiatives*

Based on the criteria as set out in the guidebook, it is permissible to develop strategic hiring initiatives, which complement rather than replace the university’s regular hiring processes, in order to accelerate the achievement of inclusive excellence goals in faculty hiring. Some institutions have introduced such initiatives as: interdisciplinary cluster hiring programs, accelerated faculty diversity hiring programs, and dual career partner/spousal hiring programs, for example.

Department Chairs must receive approval from the relevant Faculty Dean, in consultation with the Associate Vice-President, Equity and Inclusion and the Assistant Vice President and Chief Human Resources Officer, if they are contemplating employing a strategic hiring initiative in order to ensure compliance with University policies and human rights legislation.

### **1.2. Drafting the Advertisement**

#### **1.2.1. Broadening Job Profile**

To appeal to the broadest group of potential applicants, and if aligned with institutional, Faculty and departmental strategic priorities, consideration may be given to:

- writing the position posting in such a way as to invite excellent scholarship in broad and interdisciplinary fields, including disciplinary areas which typically attract a critical mass of equity-seeking groups;
- Identifying a range of disciplines that may be relevant to an inter-disciplinary and community-engaged approach; and
- relating the position to work that may be at the edges of or emerging in the field.



### **1.2.2. Job Advertisement Templated Language**

The job advertisement will be written in narrative form with the required templated wording referenced in the Policy (See Appendix B and C).

**Note:** the AODA requires that we acknowledge availability of accommodation at every stage in the search process, and the appropriate contact to request accommodations.

### **1.2.3. Applicant Self-Identification Survey**

The Applicant Self-Identification Survey includes definitions of each equity-seeking group and an explicit privacy statement explaining the purposes of the questionnaire, the planned usages for information collected and the methods by which protection of privacy will be maintained.

If a non-MOSAIC applicant portal is used, the Search Committee Chair may request a custom survey and link, however, the development of the survey and reporting of the data to the Chair will be dependent on institutional capacity to manually support this process.

### **1.2.4. Letters of Recommendation**

In addition to the administrative burden created for referees writing letters and for screening committees reading letters, studies demonstrate that letters of recommendation contribute to bias (e.g., privilege well-networked individuals and those who are able to obtain letters from prominent scholars and/or esteemed schools; and disadvantage women with more frequently use of “doubt-raising” language including vague or overtly negative descriptors, faint praise, and indirect criticism, for example).

Appendix D includes sample text to use in job advertisements and in formal request to solicit letters of recommendation from referees.

## **1.3. Obtaining Approval to Recruit and Budget Authorization**

Subsequent to the annual budget approval processes for faculty, recruitment priorities are determined at the Faculty level and disseminated from the various Deans’ Offices to Department Chairs.

## **1.4. Assembling and Training the Search Committee**

### **1.4.1. Assembling a Diverse Search Committee**

While consideration should be given to diversity of rank, experience, discipline (depending on the position available), it is essential, from an employment equity and inclusive excellence perspective, to ensure diversity in representation of committee members from equity-seeking groups.

In order to provide diverse perspectives on evaluation and insight into the interpretation of the experience of candidates who belong to the *equity-seeking groups*, the Committee Chair shall strive to constitute a Committee which includes representation from *equity-seeking group* members, recognizing that individuals may represent multiple group identities.

The Search Committee Chair will need to navigate the process for diversifying the Committee membership on the basis of information that is public knowledge, as there is not an expectation to ask members to self-identify. Given the invisibility of some identities, you may not know, for example sexual orientation, ability, Indigenous status unless you have a personal relationship with the individual and you must be careful not to disclose this information if they have not publicly disclosed these identities.

For women and racialized persons, you may perceive, from visual cues, names and pronouns used, how they may identify, but this is an imperfect method for identifying gender and racial diversity – identities are complexly constituted, and you may visually code someone differently than they self-identify. That said, we know that this imperfect method is currently used and the advice here is to be mindful of its limitations, and, where possible, approach individuals with whom you have a relationship with to self-identify or approach their community members. Most importantly, through the process of discussing and managing invitations to diverse community members, ensure maximal sensitivity and respect.

Ideally, a Committee should have a “critical mass” of equity-seeking group members. The literature shows that group think is interrupted and voices of marginalized are surfaced when there are more than one of a particular equity-seeking group to bring and raise different perspectives and challenge cultural biases. If the Committee cannot achieve a 50% participation rate among women, then aspiring for a minimum of 30% representation of women is a realistic goal in a university setting. For representation from members of Indigenous and racialized communities, the Committee may wish to aim for a total of 2 – 3 members who identify as Indigenous and/or racialized.

In cases where the full-time faculty complement of a Department does not include *equity-seeking group* members, the Committee Chair may invite joint and/or Associate Members of the Department, or other affiliated or external faculty members, who are known self-identified members of those *equity-seeking groups* to join in the process, where they also bring the necessary expertise and committee experience, as well as capacity to promote inclusive excellence through the process.

In other words, to achieve this diversity, you may use the strategy of inviting faculty from other Departments and Faculties, whose areas of expertise may intersect somehow with the areas you will be hiring for – they don’t have to be an exact match of subject matter experts. Given the interdisciplinary nature of a lot of research on campus this may be a fruitful strategy.

Chairs are to be mindful when approaching a person to enhance gender and racial diversity, or other additional equity-seeking group perspectives, that they ensure they also identify the qualities and expertise that the individuals would bring to the committee's work, in order to avoid inadvertently tokenizing individuals.

Departments are encouraged to avoid repeatedly relying on the same individuals to sit on search committees, as a disproportionately heavy service load, especially for a junior member, may negatively impact academic productivity and career progression. Individuals participating on a number of search committees should receive a redistribution of their time to account for this service, and be appropriately recognized and credited with time or resources, as determined by the Department.

The Committee Chair should recognize that individuals whose academic field is under-represented within the department or university face some of the same problems as individuals whose identity is under-represented in the department. When the hire is in such an area, the Committee Chair should make every attempt to achieve a "critical mass" of members who have expertise relevant to the research area on the committee.

#### **1.4.2. Employment Equity Facilitator**

Employment Equity Facilitators are McMaster faculty members and staff hiring managers, representing a cross-section of Faculties and Departments, who are trained to facilitate the advancement of institutional and Faculty/Departmental employment equity priorities and goals.

The Employment Equity Facilitator will participate on search committees as a knowledgeable source of information concerning employment equity and as a process consultant, facilitating discussion about employment equity and inclusive excellence principles and best practices. The Facilitator will:

- Attend search committee meetings, bringing an equity, diversity and inclusion lens to all ten steps of the search process;
- Work with the Employment Equity Specialist to present information to the search committee members on human rights and accessibility obligations, employment equity principles and practices, and unconscious and implicit bias;
- Support the committee to develop bona fide job criteria and use a robust candidate evaluation rubric;
- Receive self-ID data and monitor diversity of applicants, long/short lists, and finalists; and
- Ask and invite questions to assist the committee to reflect on bias and barriers that may be manifesting, and ensure adequate time is allotted to engage in these important conversations.

As time permits, the Facilitator may, after consultation with the Dean/Department Head, contribute to advancing employment equity priorities within Faculty/Department, such as: identifying related Faculty/Department training needs; supporting work to develop and implement employment equity plans; and assisting to raise awareness about and promote employment equity.

The Employment Equity Facilitator Program is overseen by the Employment Equity Specialist (Human Resource Services) and supported by the Equity and Inclusion Office. The Employment Equity Specialist maintains a list of trained Employment Equity Facilitators. Search Committee Chairs should identify a suitable Facilitator to support their search process. Individuals interested in becoming an Employment Equity Facilitator should contact the Specialist to sign up for one of the training programs scheduled through-out the academic year.

#### **1.4.3. Recruitment and Selection Training**

Human Resource Services (HRS) and the Equity and Inclusion Office (EIO) have collaborated to develop a standard Recruitment and Selection Training, which is required for Search Committee. HRS and EIO are working towards a train the trainer model, which will provide each Faculty with the ability to modify and/or add additional components that are relevant to their specific searches and to deploy this training in a way that is accessible to their committee members.

Training content includes: requirements set out in the Ontario Human Rights Code and Accessibility for Ontarians with Disabilities Act, expectations for applying inclusive excellence and employment equity principles through the search process, consideration of workforce data and how to manage self-identification information, discussion of how to develop robust job criteria and an equitable candidate evaluation rubric, reflection on implicit and unconscious bias and its potential impact on the evaluation of merit, and discussion of ways to mitigate bias or remove barriers.

For information about Recruitment and Selection Training visit:

<https://hr.mcmaster.ca/employees/employment-equity/ee-training-and-resources/>.

To request training, complete the online training request form:

<https://forms.office.com/Pages/ResponsePage.aspx?id=B2M3RCm0rUKMJSjNSW9HclzEmPDHXYZJhy0yZ-diBS1UM1FZOUYwUFRUzAwTzFHS1hTWE5JVERVUS4u>

For more information, contact the Employment Equity Specialist at [hr.empequity@mcmaster.ca](mailto:hr.empequity@mcmaster.ca)

## **1.5. Establishing Job Criteria and Developing an Evaluation Guide**

### **1.5.1. Establishing Job Criteria**

Departments shall carefully consider what qualifications are relevant for the position before the search commences and avoid being unduly narrow in their assessment, or unnecessarily limiting the pool of potential candidates.

Job criteria to be evaluated should be specific, measurable, and aligned with the requisite knowledge, skills and demonstrated performance required to teach, undertake research, and/or perform scholarly activities in the advertised field at the university level. Focusing on criteria or factors that are directly measurable will steer committees away from using various proxies for merit (e.g. assumptions about the quality of degree granting institution) that risk introducing biased evaluations of candidates.

Appendix E provides a sample rubric of job criteria for research, teaching, service and leadership domains, using an integrated inclusive excellence lens.

The job criteria related to leadership roles are aligned with McMaster's defined Leadership Levels and Capabilities. Based on the influence and scope of a role, McMaster has identified five [McMaster's Leadership Levels](#), with a focus on building organizational capability across the University in alignment with our strategy. These levels are only meant to be **guidelines** to support learning and development for leaders and they capture the breadth and span of leadership.

All of the levels and supporting development programming can be grounded in [McMaster's Leadership Capabilities](#), which are expected behaviours for all leaders.

### **1.5.2. Developing an Evaluation Guide**

When developing and later discussing the rating of each criterion, the Department Chair, in consultation with Committee members, should strive to integrate equity, diversity and inclusion across teaching, research, service, and leadership criteria. Below is a list of possible ways that candidates may demonstrate excellence in teaching, research, service and leadership using such an integrated inclusive excellence lens.

Appendix F provides examples of job criteria and evaluation guides.

The following are steps to take to develop an evaluation guide for a fair and equitable process to assess candidate qualifications.

- Develop 8 – 10 clear job criteria that are sufficiently detailed to be able to discern specific qualifications across teaching, research, service and leadership qualifications, as appropriate to the position.

- Be mindful to include criteria that accurately reflect qualifications expected in each of the research, teaching and service areas, in proportions that are relatively equal to the 40:40:20 ratios applied and articulated, and against which faculty will be evaluated, in Career Progression/Merit and Tenure & Promotion processes.
- Include a criterion related to contributions to advancing EDI or inclusive excellence.
  - This is to assess individual **competencies (attitudes, knowledge, and skills) and capacities (affective, cognitive, and behavioural)** that relate to improving equity, diversity or inclusion in any academic context (e.g., teaching, scholarship, co-curricular educational involvements, community engagement, public service, professional practice).
- Better than, or in addition to, having separate criterion for contributions to EDI or inclusive excellence, integrate inclusive excellence competencies throughout all of the criteria.

### 1.5.3. Evaluating Statement of Contribution to EDI and Inclusive Excellence

The New England Resource Center for Higher Education (NERCHE) has developed a [Self-Assessment Rubric](#) for the Institutionalization of Diversity, Equity, and Inclusion in Higher Education. NERCHE asserts that the capacity for faculty to engage EDI epistemologies, pedagogies, research, scholarship, and service is correlated to institutional success in advancing inclusive excellence. Appendix G describes progressively greater capacities of faculty to enhance inclusive excellence across six components of teaching, research and service.

### 1.5.4. Weighting and Scoring Qualifications

If you choose to use a numeric ranking, with or without a weighted score, when evaluating qualifications, be mindful that the ranking and weighting exercises may actually serve to reinforce the status quo by amplifying hidden biases and systemic barriers. Thus, it is preferable not to use a numeric ranking or weighting system, unless these systems are intentionally implemented to counteract potential biases and barriers.

Whatever system is used, ensure that decisions to narrow the candidate pool at the screening, long-listing, short-listing and selection stages are not based solely on numeric rank order of scores attributed.

Rather than framing the process as a search for “the one best” candidate determined by rigid numeric rank order of scores, the Search Committee must discuss quantitative rankings in the context of qualitative aspects of each candidate’s strengths.

Consideration should be given to whether one or more strong candidates fall within a defined “zone of excellence” – or acceptable level of demonstrated qualification and potential to not only succeed in the role but to also contribute to elevating disciplinary/interdisciplinary, departmental/Faculty, and institutional strength.

This above described process will help to expand and diversify the pool of excellent candidates that may be considered in the final stages of the selection process.

## **2. Advertising and Outreach**

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### **2.1. Finalizing and Placement of the Advertisement**

In accordance with Canadian immigration laws, the Ministry of Immigration Refugees, and Citizenship Canada (IRCC) permits Canadian universities to hire international faculty members when it can be demonstrated that qualified Canadian citizens or permanent residents are not available for a particular position.

When a Department requests the hiring of an international employee (“foreign worker”), the university must apply for and receive approval through a positive Labour Market Impact assessment (LMIA), conducted by Employment and Social Development Canada (ESDC), to verify the claim that no qualified Canadians or permanent residents are available<sup>2</sup>.

Among other criteria, the Ministry of Immigration Refugees, and Citizenship Canada (IRCC) will expect the university to demonstrate:

- Advertising for a “reasonable length of time (about a month) to allow broad exposure of the vacancy to Canadians and permanent residents”;
- Advertising using medium (web, print or online) effective in attracting qualified candidates who are Canadian or permanent residents; and
- Active recruitment, without interruption, until a positive (Labour Market Impact Assessment (LMIA) is received.

Therefore, advertising must remain active on Mosaic until an approved LMIA is received in order to facilitate the international recruitment process.

Department Chairs must receive a waiver of advertising from the Provost or the Dean of Health Sciences to post for less than four weeks.

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<sup>2</sup> “Foreign workers” is a term used by the Ministry of IRCC., though McMaster will refer to these individuals as international employees. International employees may be LMIA exempt if they are eligible for a work permit through the provisions of a free trade agreement.

## **2.2. Active Targeted Recruitment Strategy**

For some positions, it may be advantageous to use recruitment strategies in addition to posting on Mosaic and two external sites. For example, contacting relevant graduate programs and or academic departments; requesting that department members, distribute ads to their contacts, attending conferences, posting in niche sites, using social media, etc. In addition, posting to sites that actively target individuals from equity seeking groups is encouraged. **TBD – list of venues; Human Resources contact person to support.**

## **3. Assessment of Applicants**

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### **3.1. Screening Applicants**

The Statistics Canada Labour Market Availability data, against which workforce representation among equity-seeking faculty members is assessed, uses the National Occupational Code (NOC) 4011, which includes lecturers, assistant professors, associate professors, and full professors.

**To obtain a report on the representation of equity-seeking applicants to the position, log into Mosaic and follow the instructions provided in the Self-ID Analysis User Guide found at the following link:**

The Search Committee Chair and the Employment Equity Facilitator will review the aggregate applicant demographic profile and discuss whether the applicant pool is sufficiently representative of equity-seeking group members, giving consideration to known trends in proportion of doctoral students and new professors from equity-seeking groups in the particular disciplinary, or related interdisciplinary, field(s).

On the basis of the applicant demographic profile analysis, and considering the depth and breadth of outreach and recruitment efforts, the Search Committee Chair will determine, in consultation with the Dean, whether and how to expand efforts to attract more applicants from particular equity-seeking groups.

### **3.2. Developing the Longlist (if applicable)**

#### **3.2.1. Sample Evaluation Guides**

Appendix H and I are samples of Job Applicant Evaluation Guides to assist Search Committees in establishing clear evaluation criteria to guide their assessment of candidate qualifications. The first sample uses a quantitative scoring system while the second is more qualitative.

The first sample uses a preliminary assessment method that is more numerical, and this approach poses a greater risk for reproducing inequities. Existing bias and barriers may mask talent and potential that exists, and without due consideration of these biases and barriers equity-seeking groups may receive lower numeric scores.



When these scores are further weighted, the perceived gap is intensified, systemically reinforcing the bias, barriers, and inequities. The second sample uses a preliminary assessment method that is more descriptive, and this approach is more inclusive in that it does not generate a score.

Whichever method is used in these preliminary assessment exercises, the Committee Chair **must** engage the Committee membership in a robust discussion to comprehensively examine whether and how personally mediated biases and systemic barriers may be factoring into the assessment of candidate qualifications. In other words, the candidates who proceed to the next stage – shortlist or interview – will not simply be selected on the basis of a numeric score and rank order.

When assigning and later discussing the rating of each criterion, Committee members should use **an integrated inclusive excellence lens**. Refer to examples in Appendix F for a list of possible ways that candidates may demonstrate productivity and impact in research, effectiveness and innovation of teaching, as well as citizenship and collegiality through service, while contributing to EDI.

The Search Committee Chair and the Employment Equity Facilitator will review the aggregate demographic profile of the longlisted candidates and contrast representation with the representation in the applicant pool.

If the proportions of candidates from equity-seeking group members in the longlist has decreased substantively from the applicant pool, the Search Committee Chair will review the applications of candidates from equity-seeking groups who were close to the assessment threshold for inclusion in the longlist, and consider adding them to the longlist for further discussion.

### 3.2.2. Evaluating Candidates

It is not appropriate nor consistent with human rights and employment equity principles to rate or score candidates on their social group identity or membership in one or more of the identified equity-seeking groups for the reasons below.

*It is tokenizing because:*

- it is not focused on competencies and capacities of equity-seeking groups, but rather their presenting identities (self-identified or not); it does not actually identify and seek to remove the cultural biases and systemic barriers manifested in individuals and institutional processes;

*It is not fair, nor transparent, because:*

- it randomly and ambiguously advantages or disadvantages individuals of different social identities; it is a shortcut that feeds into the notion that excellence and diversity are mutually exclusive, creating a vulnerability for the individuals and institution

*It is not appropriate, nor does it hold up to reasoned analysis because:*

- one cannot infer intellectual capacity or ideological commitments from any aspect of and individual's identity
- one's identity is complex, with simultaneous affiliations across many different categories of social identity – (race, ethnicity, gender, sexual orientation, ability, age for example)
- one's identity is intersectional and cannot be disentangled from a multiplicity of disadvantaged/marginalized and empowered/privileged social positions
- how candidates experience or think about (or don't think about) their social identities cannot be assumed or projected

Avoid using the non-specific and abstract term “fit” in criteria or discussions as it lends to creating or activating biases; instead, use more words to describe which aspects of the individual's qualifications (competencies and capacities) will enhance or strengthen the department/Faculty and advance its current and future priorities.

- “fit” connotes assimilation to existing and dominant cultural norms
- It is a vague term, and ambiguity is a risk factor for the activation of unconscious biases
- It can be interpreted to mean “likeability”, which should not be assessed
- Terms to consider include:
  - alignment with and enhancement of values and priorities;
  - ability to contribute to collegial and collaborative team environment and climate, etc.

The following are steps to take to develop an evaluation guide for a fair and equitable process to assess candidate qualifications.

- Write the job criteria such that consideration may be given to both evidence of demonstrated qualification or evidence of potential for each qualification.
- When evaluating qualifications, consider the ways unconscious and implicit bias may be activated and invite examination of biases in language and during deliberations.
- When screening candidates and developing the longlist, evaluate candidates against the established criteria, not against other candidates, and adopt a “screening in” vs. “screening out” approach to minimize the effect of biases activated in the early stages of the search process before the opportunity to learn about the candidate's qualifications from the in-person interview stages.
- When evaluating candidate records in research, teaching and service:
  - Examine biases that may be associated with perceived unconventional or non-traditional research and scholarship, to ensure candidates are not unfairly penalized as a consequence of these circumstances

- Consider whether individuals may be drawn into disproportionately more university or community service, and mentorship of marginalized students, by virtue of their lived experiences as members of equity-seeking groups.
- Avoid relying on a narrow set of proxies for research excellence, including over-emphasis on journal-based metrics as indicators of research quality; instead; assess the research itself and use a wide range of quantitative and qualitative indicators:
  - citation-based journal metrics are inaccurate proxies for excellence (e.g., women are under-represented as authors in top tier journals); and
  - the following **methods are marginalized** by citation-based journal metrics:
    - Interdisciplinary and community-engaged work; Indigenous, critical race and feminist research paradigms; qualitative methods; and digital media, for example.
- Keep in mind that atypical career paths do not necessarily imply a lack of qualifications; consider identified life factors (e.g., caretaking roles, aging parents, etc.) which may have contributed to career interruptions. Career interruptions that have occurred (e.g., family/medical leaves, a delay in publication to protect intellectual property or stewardship of large initiatives with national or international impact, etc.) should not negatively impact hiring decisions. Refer to Tri-agency website for further guidelines: [http://www.chairs-chaires.gc.ca/peer\\_reviewers-evaluateurs/productivity-productivite-eng.aspx](http://www.chairs-chaires.gc.ca/peer_reviewers-evaluateurs/productivity-productivite-eng.aspx)

### **3.3. Preparing the Shortlist of Candidates to be Interviewed**

The same job criteria and evaluation guide are to be used to assess candidates through the longlisting, shortlisting, interviewing and selection process. All guidance provided above regarding evaluating candidates applies through the search process.

The Search Committee Chair and the Employment Equity Facilitator will review the aggregate demographic profile of the shortlisted candidates and contrast representation with the representation in the longlist.

If the proportions of candidates from equity-seeking group members in the shortlist has decreased substantively from the longlist, the Search Committee Chair will review the applications of candidates from equity-seeking groups who were close to the assessment threshold for inclusion in the shortlist, and consider adding them to the shortlist for an interview.

### **3.4. Interviews and Associated Activities**

#### **3.4.1. Developing Interview Questions**

Ensure you include interview questions that address EDI-related job requirements, which are aligned with the evaluation rubric developed.

TBD – references to tools related to ensuring interview questions do not contravene Human Rights legislation.

#### **3.4.2. Accessible Interviews**

When inviting a candidate to interview, the Committee Chair should make clear that the institution will respect and adhere to any accommodations needs, and, if requested, arrange for the candidate to have a confidential meeting with a staff member from the Provost's Office or the Faculty of Health Sciences Faculty Relations Office, who can answer any questions the candidate may have of a personal nature about accommodations, family friendly provisions, etc.

#### **3.4.3. Feedback from “Committees of the Whole”**

If a Department employs a “Committee of the Whole” approach it is important to mitigate the risk of reinforcing the status quo through majority voting when “minority” experiences and perspectives may be absent or limited, thereby limiting the Department's capacity to notice and mitigate biases and barriers which influence the assessment of merit. If there is to be a vote by the Committee of the Whole, the Department Chair must make every effort to:

- expand unconscious and implicit bias awareness and training to all Department members permitted to vote;
- communicate confidentiality expectations to Department members to maintain the privacy of candidates as appropriate;
- direct Department members to provide feedback that addresses the selection criteria established for the evaluation guide; and
- ensure that candidates are made aware which components of their application will be shared with Department members who are not a part of the Search Committee.

## 4. Selection of Finalist(s)

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### 4.1. The Employment Offer

If several candidates are found to be relatively equally qualified, preference will be given to candidate(s) of an *equity-seeking group*, considering the greatest gaps in representation of *equity-seeking groups* within the Department, Faculty and institution, thereby enhancing the University's ability to reach its employment equity goals and advance inclusive excellence.

#### 4.1.1. Notifying All Employees About Accessibility and Accommodations Supports

All offers of employment will notify the successful applicant of McMaster's policies and program for accommodating and supporting employees with disabilities, as required by the Accessibility for Ontarians with Disabilities Act, including:

- [Accessibility HUB](#) – a one stop online Accessibility resource
- [Policy on Accessibility](#)
- [Policy on Workplace Accommodation](#)
- [Guide and Procedure on Workplace Accommodation](#)
- [Academic Accommodation of Students with Disabilities Policy](#)
- [Discrimination and Harassment Policy](#)

#### 4.1.2. Strategies to Mitigate Bias in Remuneration

Chairs and Deans are responsible for implementing and documenting strategies to avoid inequities in negotiations related to the level of institutional support provided to faculty upon acceptance of the position, including: starting salary; expected distribution of time between teaching, research, service and administration; availability of additional research funds, an RAsip or other forms of administrative support, office space, lab equipment, mentoring, etc.

TBD – Yates report

### 4.2. Record Keeping

#### 4.2.1. Search Summary Report

The Search Committee Chair must complete an online *Search Summary Report* (See Appendix H) for every search completed.

The *Summary Reports* will be accessible to the Office of the Provost or the Office of the Dean and Vice-President, Health Sciences for appointments in that Faculty.

On an annual basis, Human Resource Services will review and analyze the responses submitted to identify opportunities to further support Deans and Department Heads where appropriate.

#### **4.2.2. Search Committee Records**

The University must retain all search-related records for a minimum of two years. MOSAIC is the repository for all electronic search-related records.

All other records must be stored in a secure location by Department.

Search Committee Chairs will be responsible for collecting all search-related documents and notes from Committee members and submitting these to the Department Chair.

Department Chair or their designates will be responsible for ensuring that any search-related records not already collected and stored in MOSAIC are stored for a minimum of two years.

The Provost's Office, or the Office of the Dean and Vice-President, Health Sciences for appointments in that Faculty, will retain all LMIA documentation for the successful candidate as well as the LMIA submission materials for a minimum of six years.

## Appendix A – List of EDI-Related Policies

All Senate, Faculty and Departmental level faculty search processes and appointments must adhere to the) and with the McMaster University [Revised Policy and Regulations with Respect to Academic Appointments, Tenure and Promotion](#) (2012).

The information in this Handbook is aligned with the following McMaster policies, statements, and strategies, as well as federal and provincial legislation and imperatives:

### McMaster Policies, Statements, and Strategies

- [Statement on Building an Inclusive Community with a Shared Purpose](#)
- McMaster's Equity, Diversity and Inclusion Framework and Strategic Action Plan
- [Framework on Employment Equity](#) and [Employment Equity Policy and Recruitment Statement](#)
- [McMaster's Equity, Diversity and Inclusion CRC Action Plan](#)
- [McMaster's Policy on Discrimination and Harassment: Prevention and Response](#)

### Related Federal and Provincial Legislation and Imperatives

- Federal Employment Equity Act (1977) and the Federal Contractors Program (1986)
- Canadian Human Rights Act (1977)
- Ontario Human Rights Code (1990)
- Pay Equity Act (1990)
- Employment Standards Act (2000)
- Accessibility for Ontarians with Disabilities Act (2005)
- Truth and Reconciliation Commission (2012/2015)
- Universities Canada Indigenous Education Principles (2015)
- Universities Canada EDI Principles and EDI Action Plan (2017)
- Tri-agency [Canada Research Chair Program EDI Action Plan](#) (2017/18)
- Natural Sciences and Engineering Research Council (NSERC) of Canada [Framework on EDI](#) (2018)
- NSERC-led Federal [EDI Dimensions Program](#) (2019)

## Appendix B – Required Language for Job Advertisements

The following statements are required for every job posting:

**McMaster’s statement of commitment to employment equity, according to the Employment Equity Policy and Recruitment Statement:**

McMaster University is located on the traditional territories of the Haudenosaunee and Mississauga Nations and, within the lands protected by the Dish With One Spoon wampum agreement. The diversity of our workforce is at the core of our innovation and creativity and strengthens our research and teaching excellence. In keeping with its Statement on Building an Inclusive Community with a Shared Purpose, McMaster University strives to embody the values of respect, collaboration and diversity, and has a strong commitment to employment equity. The University seeks qualified candidates who share our commitment to equity and inclusion, who will contribute to the diversification of ideas and perspectives, and especially welcomes applications from First Nations, Métis and Inuit peoples, members of racialized communities (“visible minorities”), persons with disabilities, women, persons who identify as 2SLGBTQ+.

**McMaster’s immigration statement as required by Employment and Social Development Canada:**

All qualified candidates are encouraged to apply; however, Canadian citizens and permanent residents will be given priority.

**Additional language to facilitate LMIA completion for international candidates:**

To comply with the Government of Canada’s reporting requirements, the University is obliged to gather information about applicants’ status as either Permanent Residents of Canada or Canadian citizens. Applicants need not identify their country of origin or current citizenship, however, all applications must include one of the following statements:

- ☐ Yes, I am a citizen or permanent resident of Canada
- ☐ No, I am not a citizen or permanent resident of Canada

**McMaster’s invitation to complete a voluntary Self-Identification Survey:**

All applicants must complete a brief Diversity Survey, which takes approximately two minutes to complete. All questions are voluntary, with an option to decline to answer. All information collected is confidential and will be used to support efforts to broaden the diversity of the applicant pool and to promote a fair, equitable and inclusive talent acquisition process. Click here to complete the survey. Inquiries about the Diversity Survey may be directed to [email].



**McMaster's accommodation statement as required by the Accessibility for Ontarians with Disabilities Act:**

Job applicants requiring accommodation to participate in the hiring process should contact the Office of the Dean of [Faculty] at [905-525-9140 ext. XXXXX] to communicate accommodation needs.

**McMaster's request to submit a statement of contributions to EDI and inclusive excellence:**

Submit a brief statement describing any contributions made or planned in relation to advancing equity, diversity and inclusion or inclusive excellence in teaching, research or service within higher education, community-based or other profession settings (2-page maximum)

**Additional Language for Canada Research Chair Advertisements:**

McMaster University recognizes the potential impact that career interruptions and personal circumstances (e.g., pregnancy, early childcare, eldercare, illness, etc.) can have on an applicant's record of research achievement. We encourage applicants to explain in their applications the impact that career interruptions, or other issues may have had as described under "Career Interruptions" at CRC's Guidelines for ensuring a fair and transparent recruitment and nomination process at <http://www.chairs-chaires.gc.ca/program-programme/equity-equite/index-eng.aspx>

Further detail may be found under Guidelines for Assessing the Productivity of Nominees at [http://www.chairs-chaires.gc.ca/peer\\_reviewers-evaluateurs/productivity-productivite-eng.aspx](http://www.chairs-chaires.gc.ca/peer_reviewers-evaluateurs/productivity-productivite-eng.aspx)

## Appendix C – Sample Job Advertisement

The *italicized* text in the sample advertisement below is required.

### **Tenure-Track Position – Feminist Philosophy**

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*McMaster University is located on the traditional territories of the Haudenosaunee and Mississauga Nations and, within the lands protected by the Dish with One Spoon wampum agreement.*

#### **Position Description**

The McMaster University Department of Philosophy invites applications for a tenure-track position at the rank of Assistant Professor to begin July 1, 2020.

Applicants must have an area of specialization in feminist philosophy, broadly construed to encompass any number of feminist approaches (including Indigenous, post-colonial, and critical race feminisms, for example) to any area within philosophy, such as history, metaphysics, epistemology, political philosophy and/or ethics, to name just a few possibilities. The areas of competence and all other areas of specialization are open.

The successful applicant must have or be very near completion of a PhD in philosophy by the time of the appointment. The applicant must also demonstrate a record of excellence in teaching and research and a willingness and ability to contribute to the department's collegial and collaborative intellectual community as well as university-wide inclusive excellence goals and priorities.

The typical teaching load in the Philosophy Department is 2 courses per term (4 per academic year), plus graduate supervision. The department hosts an [M.A. and a PhD Program in Philosophy](#). Departmental teaching also supports the MA and Diploma (PhD) Programs in [Gender Studies and Feminist Research](#). The department's two main undergraduate programs are the [BA Honours in Philosophy and the BA Honours in Justice, Political Philosophy and Law](#). Philosophy department faculty also provide undergraduate teaching for the BA Honours Program in [Peace Studies](#), the [Integrated Business and Humanities Program](#), and the [Arts and Science Program](#). For information about the Department of Philosophy, visit <https://philos.humanities.mcmaster.ca>.

#### **Commitment to Inclusive Excellence**

*The diversity of our workforce is at the core of our innovation and creativity and strengthens our research and teaching excellence. In keeping with its Statement on Building an Inclusive Community with a Shared Purpose, McMaster University strives to embody the values of respect, collaboration and diversity, and has a strong commitment to employment equity.*

*The University seeks qualified candidates who share our commitment to equity and inclusion, who will contribute to the diversification of ideas and perspectives, and especially welcomes applications from First Nations, Métis and Inuit peoples, members of racialized communities (“visible minorities”), persons with disabilities, women, persons who identify as 2SLGBTQ+.*

**If via Mosaic**

*All applicants must complete a brief Diversity Survey, which takes approximately two minutes to complete. All questions are voluntary, with an option to decline to answer. All information collected is confidential and will be used to support efforts to broaden the diversity of the applicant pool and to promote a fair, equitable and inclusive talent acquisition process. Click here to complete the survey. Inquiries about the Diversity Survey may be directed to [email].*

**If not via Mosaic:**

*We invite all applicants to complete a brief Diversity Survey, which takes approximately two minutes to complete. All questions are voluntary, with an option to decline to answer. All information collected is confidential and will be used to support efforts to broaden the diversity of the applicant pool and to promote a fair, equitable and inclusive talent acquisition process. Click here to complete the survey. Inquiries about the Diversity Survey may be directed to [email].*

*Job applicants requiring accommodation to participate in the hiring process should contact the Office of the Dean of [Faculty] at [905-525-9140 ext. XXXXX] to communicate accommodation needs.*

**How to Apply:**

Please submit the following materials through the University’s electronic portal: [workingatmcmaster.ca/careers/\[Job Opening #\]](http://workingatmcmaster.ca/careers/[Job Opening #]) by [application deadline date]:

- Submit a letter of application together with a curriculum vitae, writing sample, research statement, and statement of teaching interests and philosophy (including evidence of teaching effectiveness)
- *Submit a brief statement describing any contributions made or planned in relation to advancing equity, diversity and inclusion or inclusive excellence in teaching, research or service within higher education, community-based or other profession settings (2-page maximum)*
- Provide the names of at least three referees; letters of reference are not required and will not be reviewed at the application stage; the Department will request letters of recommendation from referees at later stages of the search process.

All qualified candidates are encouraged to apply; however, Canadian citizens and permanent residents will be given priority. To comply with the Government of Canada's reporting requirements, the University gathers information about applicants' status as either a permanent resident of Canada or Canadian citizen. Applicants need not identify country of origin or current citizenship; however, all applications must include one of the following statements:

- ☐ Yes, I am a citizen or permanent resident of Canada
- ☐ No, I am not a citizen or permanent resident of Canada

Direct any inquiries about this position to [Generic Email]

## Appendix D – Sample Text for Soliciting Letters of Recommendation

### **Sample 1: Text for Job Advertisement – No Letters Requested at Application**

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Please note that no reference or letters of recommendations are required at the time of application. These will be solicited at later stages of the search process. Unsolicited letters will not be reviewed until later stages of the search process.

### **Sample 2: Text for Job Advertisement – Letters Invited at Application**

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Please submit 3-5 recommendation letters, guiding referees to comment on your:

- demonstrated scholarly excellence and research potential in the field of XXX;
- demonstrated ability and/or potential to successfully teach undergraduate students and supervise graduate students;
- the candidate's ability to work in a collaborative and interdisciplinary environment; and
- contributions to university and/or community service;

### **Sample 3: Text for Communication to Referees for Letters of Recommendation**

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(adapted from the UBC Faculty of Education, Faculty Recruitment Guidelines)

Dear Dr. [Name of Referee]:

[CANDIDATE'S NAME] has applied for the position of [Title] in the Department of [Name of Department], McMaster University. Please find attached the advertisement for the position, which describes the qualifications we are seeking for the appointment.

At the time of application, no letters of recommendation letters were required or requested. We are now seeking references for candidates, and [CANDIDATE] has listed you as someone who is willing to provide a letter of recommendation. In your letter, please comment on [CANDIDATE'S] qualifications for the appointment. Specifically, please address the candidate's:

- demonstrated scholarly excellence and research potential in the field of XXX;
- demonstrated ability and/or potential to successfully teach undergraduate students and supervise graduate students; and
- ability to work in a collaborative and interdisciplinary environment.
- contributions to university and/or community service;

We would very much appreciate receiving your letter by [date].

Please e-mail the letter to me to the following address: [email address].

Thank you in advance,

Sincerely,

[Title of Chair of Search Committee]

Chair of Search Committee, [Department Name]

## Appendix E - Sample Rubric Job Criteria for Research, Teaching, Service and Leadership

CRITERIA	NO No Evidence of potential for or demonstrated:	LO Little or no evidence of potential for or demonstrated:	ME Some evidence of potential for or demonstrated:	HI Considerable evidence of potential for or demonstrated:
<b>Research Productivity and Impact, and Scholarly Achievement</b>				
<b>Research productivity and scholarly impact*</b>	<ul style="list-style-type: none"> <li>• acceptance of papers and manuscripts for peer-reviewed publication (where applicable)</li> <li>• invitations to present conference papers, university seminars, or exhibitions or performances</li> <li>• critical reviews of published works and/or research creations</li> <li>• innovations in research, scholarship and creative achievements that advance EDI</li> <li>• research and scholarship that address diverse societal issues and needs</li> <li>• artistic expression, cultural production or innovation activity that reflects culturally diverse communities and amplifies the voices of historically underrepresented or absent communities</li> <li>• research that addresses the experiences of equity-seeking groups in higher education</li> </ul>			
<b>Research collaboration and Interdisciplinarity</b>	<ul style="list-style-type: none"> <li>• participation or leadership on collaborative and interdisciplinary research programs</li> <li>• engagement in collaborative and interdisciplinary research programs</li> <li>• constitution of and engagement with diverse research teams</li> <li>• work to examine unconscious bias and foster EDI in research programs and teams</li> <li>• interculturally competent mentoring in graduate supervisory and research team settings</li> </ul>			
<b>Acquisition of research funding</b>	<ul style="list-style-type: none"> <li>• approval of research grants</li> <li>• academic awards</li> <li>• ability to acquire and/or renew funding by demonstrating application of EDI principles</li> <li>• ability to collaborate/partner to secure/ leverage funding requiring application of EDI principles</li> </ul>			
<b>Strategic priorities alignment and enhancement</b>	<ul style="list-style-type: none"> <li>• alignment with McMaster's current and/or emergent areas of research strength</li> <li>• alignment/ enhancement of Indigenous, Internationalization or Inclusive Excellence priorities</li> <li>• expertise in serving diverse national and regional economic, social and cultural needs</li> <li>• broader program of research concerned with eliminating social disparities (e.g., access to health care, educational advancement, political engagement, social mobility, human rights)</li> </ul>			

Teaching Effectiveness and Innovation	
Effectively teach and supervise undergraduate students	<ul style="list-style-type: none"> <li>• high quality teaching</li> <li>• teaching awards</li> <li>• able to assess students' performances in an equitable and effective manner</li> <li>• supporting and mentoring diverse undergraduate, and particularly equity-seeking, students</li> </ul>
Attract and effectively supervise graduate students	<ul style="list-style-type: none"> <li>• scholarly command of subject</li> <li>• supervising and mentoring diverse graduate students (particularly equity-seeking students)</li> <li>• engagements with students that advance diversity and inclusion</li> </ul>
Support and mentors a diversity of students	<ul style="list-style-type: none"> <li>• willing and able to assist students in understanding the subject</li> <li>• participating in recruitment/retention effort to enhance EDI among students and faculty</li> <li>• experience mentoring students from underrepresented groups in higher education</li> <li>• a record of service aimed at expanding educational access, including building or leading bridge and mentoring programs for undergraduate and graduate students</li> </ul>
Innovate practice and curriculum design	<ul style="list-style-type: none"> <li>• excellence in teaching practices</li> <li>• adoption of teaching innovations of others</li> <li>• curriculum development and/or evaluation</li> <li>• research on teaching or pedagogy and presentation of scholarship (for teaching track)</li> <li>• leadership in experiential and/or community engaged learning (teaching track)</li> <li>• mentoring of other teachers (for teaching track)</li> <li>• engagement in interdisciplinary and/or intersectional teaching practices</li> <li>• curricular innovation and diversification</li> <li>• engaging with diverse learning communities in and outside of the classroom</li> <li>• experience innovating pedagogy and curriculum to engage a diversity of learners</li> </ul>



Service, Citizenship, and Collaboration	
Foster collaboration and positive climate	<ul style="list-style-type: none"> <li>assist at some level in committee work of University</li> <li>perform assignments diligently and effectively</li> <li>engagement in service related to professional association</li> <li>employing effective conflict resolution and coaching skills in interactions with peers and community members</li> <li>work to examine unconscious bias and foster EDI in the workplace and learning environments</li> <li>effective facilitation, conflict resolution and coaching skills to manage classroom discussions</li> <li>contribution to understanding of conditions that enhance accessibility and inclusion</li> </ul>
Support inclusive excellence priorities	<ul style="list-style-type: none"> <li>engagement in service related to international activities</li> <li>work as a change agent/ally to advance inclusive excellence in unit or university</li> <li>involvement in and/or leadership on formal committee work to advance inclusive excellence</li> </ul>
Support community engagement priorities	<ul style="list-style-type: none"> <li>engage in service related to the role of the University in the local community</li> <li>engagement with diverse communities and contribution to social development goals</li> <li>mentorship and support of the career development of more junior peers</li> <li>partnerships in outreach and service that promotes EDI among students</li> </ul>
Leadership	
Takes a Strategic Approach	<ul style="list-style-type: none"> <li>promoting McMaster culture and values</li> <li>understanding global trends and impacts</li> <li>anticipating challenges, risks and outcomes</li> <li>gathering key information and resources</li> <li>enabling strategic plans through their role</li> </ul>

<b>Communicates and Collaborates</b>	<ul style="list-style-type: none"> <li>• identifying opportunities to collaborate</li> <li>• generating trust and inclusivity</li> <li>• listening with insight and respect</li> <li>• leveraging networks</li> <li>• providing meaningful recognition</li> </ul>
<b>Drives Result</b>	<ul style="list-style-type: none"> <li>• advancing the University's strategy</li> <li>• delivering what you do with integrity</li> <li>• balancing priorities</li> <li>• accepting responsibility and accountability</li> <li>• taking prudent risks</li> <li>• operating with fiscal responsibility</li> </ul>
<b>Champions Change &amp; Innovation</b>	<ul style="list-style-type: none"> <li>• being a change agent</li> <li>• demonstrating resilience and adaptability</li> <li>• championing innovations and improvements</li> <li>• seeking and using feedback</li> </ul>
<b>Develops People</b>	<ul style="list-style-type: none"> <li>• engaging in personal and team development</li> <li>• turning learning into action on the job</li> <li>• inspiring others via a coaching approach</li> <li>• celebrating diversity</li> <li>• providing balanced feedback</li> </ul>
<b>Invests in Relationships</b>	<ul style="list-style-type: none"> <li>• enhancing the university brand, reputation and financial success</li> <li>• building relationships using a service model approach</li> <li>• creating positive student, employee and partner experiences</li> <li>• demonstrating creativity in resolving issues</li> </ul>

## Appendix F – Examples of Candidate Evaluation Guides

### Sample Guide #1 – Qualitative Rating

Category of Qualification	Research				Teaching				Service			Scoring	
<p>Rate the candidate's potential for and/or demonstration of each of the selection criteria which are aligned with the job requirements/qualifications:</p> <p>NO – none LO – low ME – medium HI – high</p>	Research productivity and scholarly impact *	Research collaboration and Interdisciplinarity	Acquisition of research funding	Strategic priorities alignment and enhancement	Attracting and effectively supervising G students	Effectively teach and supervise UG students	Support and mentors a diversity of students	Innovate practice and curriculum design	Foster collaboration and positive climate	Support inclusive excellence priorities	Support community engagement priorities	<p>Describe the candidate's qualification as NO, LO, ME, or HI for each criterion.</p> <p>The Committee Chair must engage the Committee membership in a robust discussion to comprehensively examine whether and how personally mediated biases and systemic barriers may be factoring into the assessment of candidate qualifications. In other words, the candidates who proceed to the next stage – shortlist or interview – will not simply be selected on the basis of a numeric score and rank order.</p>	
Candidate Name												Comments	Tentative
	Rating												

\*be cautious that fixating on certain journal rankings as inaccurate proxies for demonstrated or potential for excellence can create bias and barriers

## Sample Guide #2 – Numeric Rating of Criteria with no Weighting

Category of Qualification	Research				Teaching				Service			Scoring	
<p>Rate the candidate's potential for and/or demonstration of each of the selection criteria which are aligned with the job requirements/qualifications:</p> <p>1 – poor 2 – fair 3 – good 4 - excellent</p>	Research productivity and scholarly impact*	Research collaboration and Interdisciplinarity	Acquisition of research funding	Strategic priorities alignment and enhancement	Attracting and effectively supervising G students	Effectively teach and supervise UG students	Support and mentors a diversity of students	Innovate practice and curriculum design	Foster collaboration and positive climate	Support inclusive excellence priorities	Support community engagement priorities	<p>Rate the candidate's qualification as poor, fair, good, or excellent for each criterion and attributed the corresponding numeric rating.</p> <p>The Committee Chair must engage the Committee membership in a robust discussion to comprehensively examine whether and how personally mediated biases and systemic barriers may be factoring into the assessment of candidate qualifications. In other words, the candidates who proceed to the next stage – shortlist or interview – will not simply be selected on the basis of a numeric score and rank order.</p>	
Candidate Name												Comments	Tentative
	Rating												

\*be cautious that fixating on certain journal rankings as inaccurate proxies for demonstrated or potential for excellence can create bias and barriers

### Sample Guide #3 – Numeric Rating and Weighted Criteria

Category of Qualification		Research				Teaching				Service			Scoring	
<p>Rate the candidate's potential for and/or demonstration of each of the selection criteria which are aligned with the job requirements/qualifications:</p> <p>1 – poor 2 – fair 3 – good 4 - excellent</p>		Research productivity and scholarly impact*	Research collaboration and Interdisciplinarity	Acquisition of research funding	Strategic priorities alignment and enhancement	Attracting and effectively supervising G students	Effectively teach and supervise UG students	Support and mentor a diversity of students	Innovate practice and curriculum design	Foster collaboration and positive climate	Support inclusive excellence priorities	Support community engagement priorities	<p>Rate the candidate's qualification as poor, fair, good, or excellent for each criterion and attributed the corresponding numeric rating.</p> <p>The Committee Chair must engage the Committee membership in a robust discussion to comprehensively examine whether and how personally mediated biases and systemic barriers may be factoring into the assessment of candidate qualifications. In other words, the candidates who proceed to the next stage – shortlist or interview – will not simply be selected on the basis of a numeric score and rank order.</p>	
Candidate Name	Weight	10%	15%	5%	10%	5%	15%	10%	10%	5%	10%	5%	Comments	Tentative
	Rating													

\*be cautious that fixating on certain journal rankings as inaccurate proxies for demonstrated or potential for excellence can create bias and barriers

## Appendix G - Examples of Rubrics to Assess Faculty EDI and Inclusive Excellence Capacity

Source: The New England Resource Center for Higher Education (NERCHE), Self-Assessment Rubric for the Institutionalization of Diversity, Equity, and Inclusion in Higher Education

### Sample Rubric #1: Assessing Faculty Support for and Involvement in EDI to Advance Inclusion Excellence

COMPONENTS	EMERGING (LOW)	DEVELOPING (MEDIUM)	TRANSFORMING (HIGH)
KNOWLEDGE AND AWARENESS	You recognize your ways of knowing as one worldview among multiple ways of knowing.	You recognize how your ways of knowing impact your teaching and research.	You support consideration, and, where possible, incorporation of multiple ways of knowing into teaching and learning practices, as well as research and scholarship.
COURSE CURRICULUM	Your course curriculum as it is currently constituted is only minimally related to diversity and inclusiveness. Efforts to change the curriculum do not explicitly acknowledge the importance of equity, diversity and inclusion as an asset to innovative curricular practice.	Your current courses reflect a value for equity, diversity and inclusion in certain areas and not in others. Curricular change efforts acknowledge the importance of equity, diversity and inclusion but not consistently.	You demonstrate strong value for equity, diversity and inclusion in your course design. Curricular change efforts integrate a value for equity, diversity and inclusion as a dynamic informing influence.
TEACHING AND LEARNING STRATEGIES AND METHODS	You are aware of and interested in learning more about a variety of inclusive teaching and learning approaches to respond to the diverse experiences of students in your classes.	You are learning about and exploring how to integrate a variety of inclusive teaching and learning approaches designed to respond to the diverse experiences of students in your classes.	You integrate a variety of inclusive teaching and learning approaches designed to respond to the diverse experiences of students in your classes.

STUDENT LEARNING OUTCOMES	You are aware of and interested in learning more about equity, diversity and inclusion learning outcomes to incorporate into your student assessment practices.	You are learning about and exploring how to incorporate equity, diversity and inclusion learning outcomes into your student assessment practices.	You incorporate equity, diversity and inclusion learning into your student assessment practices.
SERVICE	You are aware of university service efforts which support the advancement of equity, diversity and inclusion.	You include service efforts which support equity, diversity and inclusion among your priorities.	You participate in service which either primarily supports the advancement of equity, diversity and inclusion and/or you use an equity, diversity and inclusion lens in all of your university service.
RESEARCH	You are aware of and support the pursuit of research which in form, content, or both, reflects a commitment to equity, diversity and inclusion as an integral asset to disciplinary and institutional excellence.	You are exploring ways in which you might pursue research (on your own or collaboratively across disciplines) which in form, content, or both, reflects a commitment to equity, diversity and inclusion as an integral asset to disciplinary and institutional excellence	You conduct disciplinary and/or interdisciplinary research which in form, content, or both, reflects a commitment to equity, diversity and inclusion as an integral asset to disciplinary and institutional excellence.

## Sample Rubric #2: Assessing Faculty Teaching, Research and Service to Advance EDI and Inclusive Excellence

COMPONENTS	EMERGING (LOW)	DEVELOPING (MEDIUM)	TRANSFORMING (HIGH)
KNOWLEDGE AND AWARENESS OF EDI IN RELATION TO DISCIPLINES	Few faculty members recognize how their ways of knowing impact their teaching and learning in the classroom.	Many faculty members recognize multiple ways of knowing and some incorporate multiple ways of knowing into teaching and learning practice.	Most faculty members incorporate multiple ways of knowing into teaching and learning practices
CURRICULUM	The curriculum as it is currently constituted is only minimally related to diversity and inclusiveness. Efforts to change the curriculum do not explicitly acknowledge the importance of EDI as an asset to innovative curricular practice.	The current curriculum reflects a value for EDI in certain areas and not in others. Curricular change efforts acknowledge the importance of EDI but not consistently.	Evidence of a strong value for EDI is easily apparent throughout the curricular offerings at the institution. Curricular change efforts integrate a value for EDI as an informing influence. Curricular change is a reciprocal process in which the institution changes by learning from new, diverse influences.
FACULTY TEACHING AND LEARNING STRATEGIES AND METHODS	Few faculty members integrate a variety of inclusive teaching and learning approaches that is designed to respond to the diverse experiences of students in their classes.	Some faculty members integrate a variety of inclusive teaching and learning approaches that is designed to respond to the diverse experiences of students in their classes.	Most faculty members integrate a variety of inclusive teaching and learning approaches that is designed to respond to the diverse experiences of students in their classes.



TEACHING AND LEARNING RESOURCES	The campus offers few if any resources to support the development of inclusive teaching and learning approaches that are designed to respond to the diverse experiences of all students in any given classroom. (Teaching and learning centers, mentoring programs, etc.)	The campus offers resources to support the development of inclusive teaching and learning approaches that are designed to respond to the diverse experiences of all students in any given classroom. (Teaching and learning centers, mentoring programs, etc.)	The campus offers many resources to support the development of inclusive teaching and learning approaches that are designed to respond to the diverse experiences of all students in any given classroom. (Teaching and learning centers, mentoring programs, etc.)
STUDENT LEARNING OUTCOMES	Few if any faculty have identified the need for EDI learning outcomes for students; student learning outcomes developed in academic departments do not address diversity	Some faculty include student learning outcomes focusing on EDI as part of their typical assessment practices.	Most if not all faculty include student learning outcomes focusing on EDI as part of their typical assessment practices
SERVICE	Few if any faculty incorporate EDI as an informing quality of their college service efforts.	Some faculty incorporate EDI as an informing quality of their college service efforts.	Many faculty incorporate EDI as an informing quality of their college service efforts.

## Appendix H – Search Summary Report

### Position Information

Position Information

Position Title

Posting #:

Faculty:

Department:

Department Chair:

Committee Chair: (if not Department Chair)

Candidate of Choice:

Start Date:

### Process Checklist

#### 1. In the Preparation Phase...

- ☐ Employment Equity Facilitator participated throughout the search process
- ☐ Committee included members of equity-seeking groups:
  - ☐ Women (at least 30%) ☐ Yes ☐ No ☐ UNK
  - ☐ Indigenous person(s) ☐ Yes ☐ No ☐ UNK
  - ☐ Racialized person(s) ☐ Yes ☐ No ☐ UNK
  - ☐ Persons with disabilities ☐ Yes ☐ No ☐ UNK
  - ☐ 2SLGBTQ+ person(s) ☐ Yes ☐ No ☐ UNK
- ☐ Search Committee members received recruitment and selection training
  - ☐ Chair and all members ☐ Yes ☐ No
  - ☐ Over 50% including Chair ☐ Yes ☐ No
  - ☐ Less than 50% including Chair ☐ Yes ☐ No
- ☐ Committee reviewed institutional/faculty/department employment equity gaps

#### 2. In the Recruitment Phase...

- ☐ Institutional Statement of Commitment to EDI/Inclusive Excellence included in Job Ad
- ☐ Diverse venues and strategies were used to attract applicants from equity-seeking groups.  
List: \_\_\_\_\_
- ☐ Invitation to complete Diversity Survey included in the Job Ad
- ☐ Statement of contribution to EDI and inclusive excellence requested in Job Ad

#### 3. In the Assessment Phase...

- ☐ Contributions to EDI and inclusive excellence integrated into job criteria evaluation rubric (upload job criteria evaluation rubric)
- ☐ Committee discussed candidate evaluations and examined possible biases/barriers
- ☐ Long/shortlisted candidates were reviewed and competitive equity-seeking applicants included
- ☐ Questions about contributions to EDI and inclusive excellence were included in the interview

Upload rubric template

4. In the Selection Process...

- ☐ A consistent process for recommendation letters was communicated and followed
- ☐ Equity gaps were considered in recommending candidate of choice, if there were more than one finalist

Narrative Comments:

*Briefly discuss any challenges encountered in applying any of the above listed employment equity best practices and strategies attempted to overcome the challenges.*

Dean's Approval:

Dean: \_\_\_\_\_

- ☐ The Dean has reviewed the Search Summary Report and endorses the candidate of choice
- ☐ The Dean is aware of and will implement strategies to avoid inequities in negotiations and the offer of employment, including for example: starting salary, distribution of time for teaching, research, services and administration, availability of research funds, RAShip, or other forms of administrative support, office space (and equipment, if applicable), mentoring, etc.

List: \_\_\_\_\_

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## INTEROFFICE MEMORANDUM

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**TO:** SENATE  
**FROM:** DR. PAMELA SWETT  
**SUBJECT:** CHANGE TO FACULTY OF HUMANITIES BY-LAWS  
**DATE:** MARCH 27, 2020

The Faculty of Humanities would like to submit the following changes to the Faculty of Humanities By-Laws:

**1) Dean's Advisory Council**

The Faculty of Humanities is removing one member, who will become a non-voting consultant, and adding one new member, Director of MELD Programs.

**2) Dean's Advisory Committee on Research**

The Faculty of Humanities is eliminating this committee and assigning its tasks to APC and Ad-hoc Committees, as necessary.

**3) Academic Planning Committee**

Given the dissolution of the DACR (above), this standing committee's range of duties is being expanded to include discussion of the Faculty's research aims and initiatives. As such, the Faculty is adding the Research Facilitator as a consultant. The Faculty is also adding the new position, Director of Meld Programs, as a member. Finally, the ADGSR will now select the one faculty representative from among those who serve on Graduate Council.

**4) Elections**

A simple tightening of the language to reflect past and current practice pertaining to our Nominating Committee. This committee does not have elected members. Rather it is comprised of a rotating groups of Faculty Chairs. They are best placed to determine together with the Dean the slate of nominees for service within the Faculty and beyond, as they know the existing commitments of their individual faculty members.

These changes were approved at Faculty of Humanities meeting on February 4, 2020.  
The Faculty of Humanities By-Laws may be found at:

<http://www.humanities.mcmaster.ca/about/policies-procedures/>



## Faculty of Humanities By-laws

### I THE GENERAL FACULTY

#### (i) Membership:

Ex Officio:	President Provost Associate Vice-President (Academic) Vice-President (Research) Dean of the Faculty (Chair) Associate Vice-President and Dean of Graduate Studies University Librarian, or delegate Associate Deans of the Faculty Assistant Dean (Studies) Director, Centre for Continuing Education Director, Centre for Peace Studies Director, Gender Studies and Feminist Research Graduate Program Director, Information Technology
Faculty:	All faculty members holding appointments at the rank of Lecturer or higher in the School of the Arts and the Departments of Classics, Communication Studies and Multimedia, English and Cultural Studies, French, History, Linguistics and Languages, Philosophy, and such other Departments as may be added by action of the Senate One faculty member from each of the other Faculties in the University
Students:	One undergraduate student elected by and from each Department <sup>1</sup> , for a one-year renewable term One graduate student elected by and from each Department <sup>1</sup> offering graduate work, for a one-year renewable term The two Humanities student Senators President of the McMaster Humanities Society or delegate
Staff:	One member, elected by and from the regular full-time non-teaching staff of the Faculty, for a two-year renewable term
Secretary: (non-voting)	Secretary of the Senate and/or delegate

<sup>1</sup> All references to Departments include the School of the Arts.

**(ii) Meetings:**

- (a) The Faculty shall meet at least four times during the period September to June, inclusive. A notice of meeting and an agenda normally will be circulated at least one week before each meeting, and must be circulated no later than forty-eight hours before each meeting.
- (b) A quorum for a regular meeting shall consist of those present at the meeting, provided that a notice of meeting and an agenda have been circulated at least one week before the meeting. For action on items not on the circulated agenda, and for meetings called on less than one week's notice, a quorum shall consist of forty members, other than ex officio members.
- (c) Meetings of the Faculty shall be conducted in accordance with the rules and procedures of the Senate.
- (d) In the absence of the Dean of the Faculty, the Chair shall be one of the Associate Deans of the Faculty, or in his/her absence, a member of the Faculty designated by the Dean.

**(iii) Authority of the Faculty:**

- (a) The Faculty shall, within its area of jurisdiction and subject to the constraints imposed by these By-laws, determine the various levels of responsibility within the Faculty and establish appropriate standing and ad hoc committees of the Faculty.
- (b) Under the authority of these By-laws, which are subject to approval and amendment by the Senate, the Faculty shall determine the functions and powers that may be delegated to subordinate bodies.
  - 1. The General Faculty shall be responsible for making recommendations to the Senate, the Undergraduate Council, the Graduate Council and other bodies on any appropriate matter which shall include:
    - (a) revisions of these By-laws;
    - (b) approval of new programs of study, and major revisions in programs of study;
    - (c) new or revised general requirements for degrees;
    - (d) substantive revisions of admission regulations and requirements;
    - (e) establishment of new Departments, and the establishment of committees of instruction for the implementation and

administration of approved interdisciplinary or interdepartmental programs of study.

2. At the request of the Dean of the Faculty, or of any ten or more members of the Faculty, a special meeting of the General Faculty may be called; for such a special meeting, the quorum shall be forty members, other than ex officio members.
  3. A special meeting of the General Faculty with power to overrule any Committee of the Faculty (except the Tenure and Promotion Committee) shall be called at the written request of ten or more members of the Faculty; for such a special meeting, the quorum shall be forty members, other than ex officio members.
- (c) Minutes of the standing committees of the Faculty (excluding the Tenure and Promotion Committee) shall be available to all members of the General Faculty, except that student members of the General Faculty shall not be entitled to receive minutes of standing committees which have no student members.

## II COMMITTEES

### A. ADVISORY COMMITTEES

#### (i) Dean's Ad Hoc Committees

The Dean of the Faculty may appoint Dean's Ad Hoc Committees for assistance and advice, or as requested by the Faculty. The Faculty shall be informed of the function and composition of all such committees.

#### (ii) Dean's Advisory Council

##### Functions:

To advise the Dean of the Faculty on budget and related matters; to exchange information on, and to co-ordinate, Departmental policies and procedures; to assist in the dissemination of information about Faculty policies as established by the General Faculty and University policies as established by the Senate and other appropriate bodies; and to nominate candidates for election, by the Faculty, to the Nominating Committee, in accordance with the provisions of Section III, A, (i).

##### Composition:

Chair: Dean of the Faculty



Ex Officio: Associate Deans of the Faculty  
Assistant Dean (Studies)  
Chairs of all Departments in the Faculty  
~~Director, Information Technology~~  
Director, Peace Studies Program  
Director, Gender Studies and Feminist Research  
Graduate Program  
~~Director, MELD Programs~~

Consultant: Director, Administration  
(non-voting) ~~Director, Information Technology~~

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(iii) ~~wDean's Advisory Committee on Research~~

~~Functions:~~

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~~To advise and assist the Dean on strategic matters relating to research in the Faculty; to evaluate research strengths and assist the Dean in leveraging those strengths; to examine and recommend priorities/alterations to research evaluation, recognition and reward systems; to support existing Ph.D. fields and provide guidance for the development of new Ph.D. fields; to make recommendations and support the Dean in establishing new Research Chairs and Professorships; to review proposals for the establishment of chairs, research groups, centres, institutes and the like, and to formulate, for discussion and approval by the Faculty, recommendations on these matters; to establish and monitor a plan to share research results among faculty members effectively and to disseminate research to students; to promote a collaborative interdisciplinary research community.~~

~~Composition:~~

~~Chair: Associate Dean of Graduate Studies and Research~~

~~Ex Officio: President  
Provost  
Associate Vice President, Research  
Associate Vice President and Dean of Graduate Studies  
Dean of the Faculty~~

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~~Faculty: Four faculty members, appointed by the Nominating Committee, for renewable two year terms~~

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~~Consultant: Research Support Facilitator  
Officer from Research Office for Administration, Development and Support (ROADS)~~

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## B. STANDING COMMITTEES

### General

- (a) The President, the Provost and the Dean of the Faculty are ex officio members of all committees, except that the President and the Provost are not ex officio members of the Tenure and Promotion Committee and the Undergraduate Awards Committee.
- (b) The Committees listed below, and such other committees as the General Faculty may establish, shall meet at the call of the Chair; unless otherwise specified in these By-laws, a quorum shall be one-half of the voting members, provided that at least one-half of the elected members are present.

### (i) Academic Planning Committee

#### Functions:

To review and update the Faculty's long-range plans and to respond, on behalf of the Faculty, to periodic academic reviews of Departments and programs; to receive reports from the Dean on matters of interest to the Faculty, and to offer advice on these matters; to develop admissions and curriculum policy and to make recommendations to the General Faculty on such policy; to review, within the context of the Faculty's long-range plans and ~~its~~ objectives, new research initiatives, proposed new academic programs, major revisions to existing programs and proposed alterations to the structure and mandate of Departments in the Faculty, and to make recommendations to the Faculty and/or the relevant Standing Committee regarding the appropriateness of these initiatives in relation to the Faculty's academic priorities; and, when appropriate, to report to the General Faculty, to seek the General Faculty's advice and approval, and to act on the Faculty's behalf in these matters.

#### Composition:

Chair: Dean of the Faculty

Ex Officio: President  
Provost  
Associate Deans of the Faculty  
Chairs of all Departments  
Director, Peace Studies Program  
Director, Gender Studies and Feminist Research  
Graduate Program

Director, MELD Programs

Chair of the Undergraduate Curriculum and Calendar Committee

Faculty: One member selected by the Associate Dean Grad Studies and Research ~~by and~~ from the Humanities members on Graduate Council for a one-year renewable term  
Two members elected by and from the Faculty at large for staggered, two-year terms

Consultants: Assistant Dean (Studies)  
(non-voting) Director, Finance and Administration  
Director, Information Technology  
Research Support Facilitator, Humanities

Observers: The non-teaching staff person who is the member of the  
(non-voting) General Faculty  
Members of the Faculty (if any) who are members of the University Planning Committee

**(ii) Undergraduate Curriculum and Calendar Committee**

Functions:

To co-ordinate all curriculum matters in the Faculty in consultation with individual Departments and the Faculty's Academic Planning Committee; to consider curriculum changes requested by Departments and other academic areas, and to attend to the resultant calendar changes; to approve requests from Chairs of Departments for the waiving of final examinations and for the limiting of course enrolments; to recommend to the General Faculty the next session's curriculum as it pertains to the Faculty of Humanities; to make recommendations to the Faculty's Academic Planning Committee on matters of curriculum policy; and to undertake periodic reviews of Departmental curricula policies in relation to the Faculty's curriculum policies and the University's academic regulations.

Composition:

Chair: To be elected by and from the Committee

Ex Officio: President  
Provost  
Dean of the Faculty  
Associate Dean  
Assistant Dean (Studies)

Faculty: Four members representing four Departments, appointed by the Nominating Committee for staggered three-year terms  
When there is no member of the committee from a Department making a proposal, a representative of that Department shall have the rights of other members, including voting, while the Department=s proposal is under consideration

Students: One undergraduate student elected by and from the student representatives on the General Faculty

Consultants: Calendar and Convocation Co-ordinator  
(non-voting)

**(iii) Undergraduate Reviewing Committee**

Functions:

To establish and review guidelines related to the adjudication of petitions for special consideration, including applications for reinstatement and requests for deferred examinations.

Composition:

Chair: To be appointed annually by the Nominating Committee, from among the members of the Committee

Ex Officio: President  
Provost  
Dean of the Faculty  
Associate Dean

Faculty: Three members, appointed by the Nominating Committee for staggered three-year terms

Consultant: Assistant Dean (Studies)  
(non-voting)

**(iv) Undergraduate Awards Committee**

Functions:

To recommend to the Undergraduate Council, with respect to students who have fulfilled the requirements, the awards of those prizes and scholarships which are restricted to students registered in the Faculty, and to submit

recommendations to the Undergraduate Council concerning the establishment of new awards and other related matters.

Composition:

Chair: To be elected by and from the Committee

Ex Officio: Associate Dean

Faculty: Three members, appointed by the Nominating Committee for staggered three-year terms

Consultant: Director, Student Financial Aid and Scholarships  
(non-voting)

**(v) Undergraduate Essay Prize Committee**

Functions:

To evaluate undergraduate submissions for the two Humanities Essay Prize competition and to adjudicate the results and submit them to the Associate Dean of the Faculty. The Chair will determine the number of faculty members needed to judge the submissions. Normally the Chair will perform a co-ordinating function and may participate in the process at his/her discretion.

Composition:

Chair: To be appointed annually by the Nominating Committee, from among the members of the Committee

Ex Officio: President  
Provost  
Dean of the Faculty

Faculty: Eight faculty members, including the Chair, appointed by the Nominating Committee for staggered three-year terms

Consultant: Associate Dean  
(non-voting)

**(vi) Graduate Curriculum and Policy Committee**

Functions:

To make recommendations to the Faculty on matters of graduate policy, on curriculum changes arising from consideration of Departmental proposals and from the curriculum policies adopted by the Faculty, and on new programs and fields of study, arising from Departmental proposals; and to deal with matters referred to it by the Graduate Admissions and Study Committee. To report to the General Faculty and Graduate Council at least annually. To review and update its operating procedures on a regular basis and to file a copy of these procedures with the Office of the Dean and with the Associate Vice-President and Dean of Graduate Studies.

Composition:

Chair:	Associate Dean of Graduate Studies and Research
Ex Officio:	President Provost Deans of the Faculty Associate Vice-President and Dean of Graduate Studies Associate Dean
Faculty:	The three faculty members who are also members of Graduate Council Additional faculty members to provide representation from each Department / Area offering graduate work in the Faculty, appointed by the Nominating Committee for staggered three-year terms
Students:	Two full-time graduate students, one Ph.D student and one M.A. student, elected annually by and from the Ph.D and M.A. students respectively. (No two students may be from the same Department.)
Quorum:	Two voting faculty members in addition to the Chair, and not including the President, Provost or Faculty Deans
Secretary: (non-voting)	Graduate Registrar and Secretary of the School of Graduate Studies or delegate

**(vii) Graduate Admissions and Study Committee**

Functions:

- (a) To determine the admissibility to graduate study of any applicant, on the recommendation of a Department, program, school, unit or institute.

- (b) To approve each student's course program, to determine action on the recommendation of Departments in instances of failure in a course, and to recommend to the Graduate Council students to receive graduate degrees.
- (c) To handle re-reads and formal inquiries as stated in the Student Appeal Procedures and to handle appeals and Petitions for Special Consideration as stated in the General Regulations of the Graduate Calendar.
- (d) To refer, through the Graduate Curriculum and Policy Committee, any matter to the General Faculty or to the Graduate Council before taking action if either the Associate Vice-President and Dean of Graduate Studies or the Committee considers that a matter of precedent or policy is involved.

Composition:

Chair: Associate Dean of Graduate Studies and Research

Ex Officio: President  
Provost  
Dean of the Faculty  
Associate Dean  
Chair of the Graduate Curriculum and Policy Committee

Faculty: Two faculty members (who shall be members of Graduate Council) appointed by the Associate Vice-President and Dean of Graduate Studies in consultation with the Dean of the Faculty.  
One member appointed by the Graduate Council to represent Departments outside the Faculty

Quorum: Two voting faculty members in addition to the Chair, and not including the President, Provost or Faculty Deans

Secretary: Graduate Registrar and Secretary of the School of Graduate  
(non-voting) Studies or delegate

**(viii) Tenure and Promotion Committee** *[effective with the election of the 2016-17 Committee]*

Functions:

To consider recommendations for the granting or withholding of tenure or permanence and for promotion to Associate Professor. For each candidate,

the Committee shall recommend to the Senate Committee on Appointments that tenure or permanence and/or promotion be granted, that the tenure- or teaching-track appointment be allowed to lapse, that the period of the tenure- or teaching-track appointment be extended, or that no action be taken on the case. To consider recommendations for promotion to Professor from Chairs of Departments. For each candidate, the Committee shall recommend to the Senate Committee on Appointments that promotion be granted or withheld. The Chair shall convey the Committee's recommendations to the Senate Committee on Appointments.

Composition:

Chair: Dean of the Faculty

Faculty: Six tenured members of the full-time faculty elected from those holding the rank of Professor or Associate Professor, to be elected for staggered three-year terms by the full-time members of the Faculty. Of these at least three shall be Professors and at least two shall be Associate Professors, with no more than two of the elected members from the same Department, excluding the Dean.

Quorum: Dean of the Faculty, and all other members save one



(ix) **Nominating Committee**

Functions:

To prepare nominations for the election to Faculty standing committees, the Graduate Council, the Undergraduate Council, and the Senate, of faculty members from the Faculty. To nominate representatives of the Faculty to those other Faculties in which the Faculty has representation.

Composition:

Chair: Dean of the Faculty

Ex Officio: President  
Provost  
Dean of the Faculty

Faculty: Three members elected annually  
Associate Deans of the Faculty

Consultant: Secretary of the Senate, or delegate  
(non-voting)

**III ELECTIONS**

**A. Faculty Members**

- (i) An election to fill vacancies on Faculty standing committees shall be held between April 15 and May 15 each year. The Nominating Committee of the Faculty shall prepare nominations for all such committees except for the Nominating Committee (see Section II, A.(ii)). These nominations, except nominations for the Nominating Committee, shall be circulated to the members of the Faculty, who may add additional names, provided that such nominations are signed by at least five faculty members of the Faculty. The election shall be conducted by the Secretary of the Senate by means of ballots mailed to the University address of each faculty member.
- (ii) The Nominating Committee of the Faculty shall nominate representatives of the Faculty to those other Faculties in which the Faculty has representation. ~~These nominations shall be circulated to the members of the Faculty, who may add additional names provided that such nominations are signed by at least five faculty members of the Faculty.~~ The election, if necessary, shall be held in conjunction with the elections of committees of the Faculty.

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- (iii) The Nominating Committee of the Faculty shall prepare nominations for the election to the Graduate Council, the Undergraduate Council, and the Senate of faculty members from the Faculty. These nominations shall be circulated to the members of the Faculty, who may add additional names, provided that such nominations are signed by at least five faculty members of the Faculty. The election shall be conducted by the Secretary of the Senate by means of ballots mailed to the University address of each faculty member.
- (iv) In the election of faculty members from the Faculty to the Senate, of the six allotted seats, at least one shall be filled by a professor and at least one by an associate or assistant professor.
- (v) If a position on a Standing Committee, except for the Tenure and Promotion Committee, becomes vacant, the Nominating Committee shall have the power to fill that vacancy for the remainder of the vacated term. In the case of the Tenure and Promotion Committee, a by-election shall be held to fill the position for the remainder of the term.
- (vi) The conduct of the election of the regular full-time, non-teaching staff member of the Faculty shall be carried out by the Office of the Dean. Any member of the non-teaching staff who is eligible to vote may be nominated as a candidate for election, provided written consent has been filed with the Office of the Dean and the nomination paper has been signed by two members of the non-teaching staff eligible to vote. The election, if necessary, shall be conducted by means of ballots mailed to the University address of each regular full-time, non-teaching staff member of the Faculty. The candidate receiving the most ballots shall be declared elected.
- (vii) Retiring committee members shall be replaced by newly elected members on September 1 of each year.
- (viii) The terms of Standing Committee members and Chairs shall be two years, unless otherwise specified.

**B. Student Members**

- (i) Chairs of Departments shall have the responsibility for organizing elections of student members and for ensuring a fair and democratic selection.
- (ii) Election of undergraduate student representatives to the General Faculty shall be held no later than March 15 for a term beginning September 1. Election of graduate student representatives to the General Faculty shall be held no later than September 30 for a term beginning October 1. Chairs of Departments shall communicate the election results in writing to the Dean of the Faculty.

- (iii) Student representatives on Undergraduate Council and on Graduate Council shall be elected by and from the student members of General Faculty.
- (iv) If a position held by a student member on any committee of the Faculty becomes vacant, the Dean of the Faculty shall convene the student members of General Faculty to elect a student member of General Faculty to fill that position for the remainder of the vacated term.

#### **IV AMENDMENT TO THE BY-LAWS**

- i) Any amendment to these By-laws shall require the approval of the Senate.
- ii) A recommendation to the Senate for any amendment to any By-law, or for any new By-law, shall be made only after the proposed change in the By-laws has been approved at a meeting of the General Faculty. Notice of motion to request such amendment shall be given at a previous meeting of the General Faculty, or in writing to all members of the General Faculty at least four weeks before the General Faculty meeting.

#### **V IMPLEMENTATION**

The date of effect for these By-laws shall be the date upon which they received approval from the Senate.

*Revised:* January 12, 1983; June 12, 1985; December 11, 1985; September 10, 1986; December 9, 1987; July 1, 1987 (editorial revision to reflect new Departmental structure, effective on that date); January 11, 1989; June 13, 1990; June 12, 1991; September 15, 1993; November 8, 1993; May 25, 1994; September 11, 1996; November 5, 1997; May 26, 1999; December 13, 2000 (editorial revision to reflect new Departmental structure, effective on that date); October 9, 2002; February 11, 2004; June 15, 2005; June 3, 2009; December 9, 2009; June 6, 2012; May 13, 2015; January 13, 2016; June 7, 2017