McMaster University | University Secretariat

Gilmour Hall, Room 210
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UNIVERSITY PLANNING COMMITTEE
Wednesday, September 16, 2026 at 10:30 AM
Gilmour Hall Room 111

AGENDA

Page

OPEN SESSION

1. Notice of Meeting - September 3, 2026

2. Approval of Agenda

3. Minutes of the Previous Meeting – May 27, 2026 (Open Session)

4 - 9

4. Business Arising

5. 2026-2027 Meeting Dates and Membership (10:35 a.m.)

Information

a. 2026-2027 UPC Meeting Schedule

b. 2026-2027 UPC Membership

10

11 **6. 2026-2027 Budget Committee Membership** (10:35 a.m.)

Information

a. 2026-2027 Budget Committee Membership

12 **7. Chair's Comments and Update** (10:40 a.m.)

8. Report from the Office of the Registrar (10:50 a.m.)

D. Fernandez
Information

13 - 21 **a.** Report from the Office of the Registrar

9. Report from the University Secretariat (11:10 a.m.)

A. Thyret-Kidd
Information

22 - 31 **a.** Report from the University Secretariat

10. Closure of the Centre for Automotive Materials and Corrosion (CAMC) (11:35 a.m.)

H. Sheardown & C. Filipe
Approval

32 - 33 **a.** Closure of the Centre for Automotive Materials and Corrosion (CAMC)

11. Discontinuation of Michael Lee-Chin and Family Institute for Strategic Business Studies (11:45 a.m.)

K. Hassanein
Approval

34 **a.** Discontinuation of Michael Lee-Chin and Family Institute for Strategic Business Studies

12. Name Change for Thrombosis and Atherosclerosis Research Institute (11:55 a.m.)

M. Horn
Approval

35 - 36 **a.** Name Change for Thrombosis and Atherosclerosis Research Institute

13. Revised Operating and Ancillary Budgets Policy (12:00 p.m.)

I. Clarkson
Approval

37 - 38 **a.** Executive Summary - Operating and Ancillary Budget Policy
39 - 46 **b.** Operating and Ancillary Budgets Policy - Revised Clean Copy
47 - 57 **c.** Operating and Ancillary Budgets Policy - Track Changes
58 - 67 **d.** Operating and Ancillary Budgets Policy - Original

14. Other Business

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University Planning Committee
2026-2027 Meeting Schedule

Meetings of the University Planning Committee are scheduled from **10:30 a.m. to 12:30 p.m., in Council Chambers, Gilmour Hall, Room 111**.

Wednesday, September 16, 2026

Wednesday, October 21, 2026

Wednesday, November 11, 2026

Wednesday, January 6, 2027

Wednesday, February 10, 2027

Wednesday, March 3, 2027

Wednesday, April 7, 2027

Wednesday, May 12, 2027

Wednesday, June 2, 2027

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University Planning Committee
2026-2027 Membership
(July 1, 2026 – June 30, 2027)

Name	Type	Position	Term Ends
Nicholas Brathwaite	Ex Officio	Chancellor	
Mayu Nishimura	Ex Officio	Chair of the Board of Governors (or delegate)	
Pamela Elmhirst	Ex Officio	Vice-Chair of the Board of Governors (or delegate)	
Susan Tighe	Ex Officio	President & Vice-Chancellor	
Maureen MacDonald (Chair)	Ex Officio	Provost & Vice-President (Academic)	
Saher Fazilat	Ex Officio	Vice-President, Operations and Finance	
Gianni Parise	Ex Officio	Vice-President, Research	
Steve Hranilovic	Ex Officio	Vice-Provost & Dean of Graduate Studies	
Jeremiah Hurley	Elected	Faculty Dean	2026
Lindsay Bolan *	Elected	Non-Teaching Staff	2027
Hfsa Awan *	Elected	Graduate Student	2028
Gabrielle Fisher *	Elected	Undergraduate Student	2028
Kevin Veenstra *	Elected	Faculty Member - Faculty of Business	2027
Michael Noseworthy	Elected	Faculty Member - Faculty of Engineering	2028
Ruth Chen *	Elected	Faculty Member - Faculty of Health Sciences	2027
Amber Dean	Elected	Faculty Member - Faculty of Humanities	2028
Bhagwati Gupta *	Elected	Faculty Member - Faculty of Science	2029
Greg Flynn	Elected	Faculty Member - Faculty of Social Sciences	2029
Melissa Pool	Consultant	Associate Vice-President, Finance and Planning (Academic)	
Ehab Kamarah	Consultant	Associate Vice-President/Chief Facilities Officer	
Nancy Baxter	Observer	Dean & Vice-President (Health Sciences)	
Lili Litwin	Observer	Vice-President, University Advancement	
Sean Van Koughnett	Observer	Associate Vice-President, Students	
Kim Dej	Observer	Chair of Undergraduate Council	
Aaron Schat	Observer	Deputy Provost (Acting)	
TBD	Observer	McMaster University Faculty Association President or delegate	

* Budget Committee members. Note: three faculty member representatives, one of whom shall be chair, to be elected.

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Budget Committee
2026-2027 Membership
(July 1, 2026 – June 30, 2027)

Name	Type	Position
Susan Tighe	Ex Officio	President & Vice-Chancellor
Maureen MacDonald	Ex Officio	Provost & Vice-President (Academic)
Saher Fazilat	Ex Officio	Vice-President, Operations and Finance
Ruth Chen (Chair)	Member	Faculty Member Representative
Bhagwati Gupta	Member	Faculty Member Representative
Kevin Veenstra	Member	Faculty Member Representative
Lindsay Bolan	Member	Non-Teaching Staff Representative
Hfsa Awan	Member	Graduate Student Representative
Gabrielle Fisher	Member	Undergraduate Student Representative
Aaron Schat	Consultant	Deputy Provost (Acting)
Omer Ahmed	Consultant	Associate Vice-President and Chief Financial Officer
Melissa Pool	Consultant	Associate Vice-President, Finance and Planning (Academic)
Lara Pereira	Consultant	Controller, Financial Affairs
Iain Clarkson	Consultant	Budget Director, Budgeting Services
Dennis Tavares	Observer	Associate Controller, Financial Affairs

McMaster University

Brighter World

University Planning Committee

Office of the Registrar

September 2026

Executive Summary

The Office of the Registrar (RO) plays a unique role at McMaster University. As steward of student records and key processes that span the learner journey, the RO supports prospective students, current students, graduates, faculties and institutional partners through services that are fundamental to the University's academic mission. From recruitment and admissions to financial aid, enrolment, records, scheduling, examinations and convocation, the RO provides the operational foundation required to support student success and institutional goals.

The past several years have brought significant change. Learner expectations continue to evolve, government policies have upended historical plans, technology is reshaping administrative services, and universities are operating within increasingly complex financial and demographic environments. In response, the RO has undertaken an external review, engaged extensively with staff and partners, and initiated a strategic planning process to align with the new University strategic plan, to be launched in early 2027.

As part of the planning process, there are four strategic themes that have emerged: (a) Creativity, Innovation, and Bold Thinking; (b) Learner Centeredness; (c) Partnerships and Integrated Services; and (d) People Growth and Development. These themes will guide the planning process and are closely aligned with McMaster's *Bolder Together* plan and are reflected in transformational initiatives currently underway. The next three to five years will centre on goals and outputs that link to these themes.

Image 1: Office of the Registrar Staff (August 2026)

The Office of the Registrar

The Office of the Registrar (RO) is one of the few units that engages with learners throughout their entire relationship with the University. Beginning with a learner's first interaction as a prospective applicant and continuing through graduation, the RO provides services that support access, progression, academic administration, and student success.

Core responsibilities include recruitment, admissions, financial aid and awards, enrolment and records, scheduling and examinations, convocation, academic systems, and enrolment planning support. These activities are carried out in partnership with faculties, Student Affairs, Financial Affairs, University Technology Services, Institutional Research and Analysis, and numerous external partners.

While many of these functions are operational in nature, their impact is deeply strategic. Recruitment activities influence enrolment outcomes. Financial support contributes to student persistence and success. Enrolment and records processes support institutional planning and decision making. The RO serves not only as a service provider, but also as a strategic partner in advancing McMaster's academic mission.

Strategic Context

The RO is entering a period of significant transformation. Learners increasingly expect services that are personalized, accessible, transparent, and digitally enabled. Administrative processes are judged not only against those of other universities but against the experiences students encounter in other sectors.

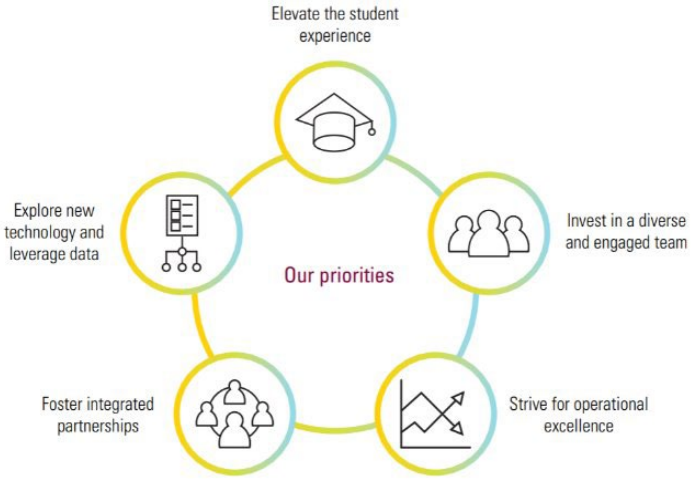


Image 2: Current RO Priorities

At the same time, higher education institutions are addressing complex financial realities, changing demographics, government policy changes, increased competition for students, and rapid technological advancement. These trends create both challenges and opportunities and reinforces the opportunity for the RO to contribute as a strategic partner providing sector-wide expertise to the institutional conversation on attending to these trends.

Bolder Together: The Office of the Registrar

The RO occupies a unique position within the University, connecting learners, faculties, academic leadership, administrative partners, and institutional planning processes, and is beautifully placed at a nexus to advance McMaster's strategic priorities.

This role is reflected in the University Registrar's shared leadership of McMaster's first Strategic Enrolment Management (SEM) Plan, in partnership with academic and administrative leaders across the institution, the SEM framework will establish a coordinated approach to recruitment, admissions, financial aid, learner success, retention, progression, graduation, and lifelong engagement.

Image 3: RO Staff at May@Mac Information Tent

For the RO, SEM serves as a foundation for the 'why' of the office. The RO sits at the intersection of many of the systems, services, policies, and partnerships that shape the learner experience, making it uniquely positioned to connect institutional goals with operational implementation, the University's strategic plan, *Bolder Together*. The University's aspirations for learner-centred education, innovation, community, impact, and sustainable growth depend upon its ability to attract, support, retain, and graduate successful learners.

The RO's strategic priorities are therefore deeply connected to both SEM and *Bolder Together*. Efforts to enhance learner-centred services, modernize systems and processes, strengthen partnerships, and invest in people all contribute to a more integrated, responsive, and sustainable institution. The following showcases the work of the team, the planning cycle for the new RO Strategic Plan and embedded within the narrative brings together its broad connections to University Planning and its overall strategic direction.

The Office of the Registrar's Value Contributions

The Office of the Registrar creates value through three interconnected areas that collectively support the learner experience and advance the University's academic mission. Unit names are highlighted in **bold.**

Service

The Service team represents the most visible point of connection between students and the Office of the Registrar.

Through **Student Services and Financial Support (SSFS)**, students receive direct assistance with admissions, enrolment, financial aid, academic records, graduation requirements, and other key administrative processes. As the primary front-facing unit within the Office, SSFS helps learners navigate important decisions and milestones throughout their academic journey.

20,251

Financial aid applications processed

While SSFS serves as the main point of contact for many students, learner service is not confined to a single team. Every area of the Office contributes to the student experience through the policies, systems, processes, and decisions that shape how learners engage with the University.

Business

The Business teams encompass the functions that directly support learner progression and institutional enrolment objectives.

This area includes **Admissions, Student Recruitment, Records, and Scheduling & Exams**. Together, these teams manage many of the core processes that underpin the University's academic operations, helping learners access educational opportunities, enrol successfully, progress through their programs, and graduate.

31,006

Visitors at Fall Preview and May@Mac

These functions are also central to advancing McMaster's objectives by connecting recruitment, admissions, progression, and student success across the learner lifecycle.

Enabling

The Enabling teams provide the infrastructure, expertise, and organizational capacity that support both service delivery and business operations.

This area includes **Communications & Engagement, Systems, and Strategic Initiatives & Administration**. These teams provide the core supports that enable the RO to respond effectively to the needs of McMaster faculty, students and partners.

7,099

Students crossed the stage at convocation ceremonies

While their work may be less visible to learners, these functions are critical to delivering high-quality services, enabling informed decision-making, and supporting institutional initiatives.

Working as One Office

Although these areas perform distinct functions, they operate as an integrated whole. Service teams provide direct support to learners, business teams manage the processes that enable progression and success, and enabling teams provide the infrastructure, data, technology, and planning capacity required to support both.

Together, they create a learner-centred organization that supports McMaster's academic mission, and contributes to the University's long-term success.

10,444

Class sections scheduled

12,349

Student record changes processed

78,364

Undergraduate applications reviewed

Building the RO Strategic Plan

Refreshing the strategic vision for the RO following an external review and the launch of a new University-wide strategic plan is a natural next step. These are the four themes that have surfaced through the external review, strategic planning process, reflections with partners and among staff in the RO, which grounds next steps in the strategic planning process.

Theme 1: Creativity, Innovation & Bold Thinking

The RO must continuously evolve to meet changing learner expectations and institutional needs. Innovation is not simply about adopting new technologies. It is about challenging existing assumptions, exploring new approaches, and creating solutions that improve outcomes for learners and the University.

Through a culture of creativity, continuous improvement, and thoughtful risk-taking, the RO will seek opportunities to modernize services, improve processes, and strengthen our ability to respond to emerging opportunities and challenges.

Two innovations to be brought forward in the next three years include: implementing a Unified Digital Credentialing platform that will allow students to easily convey their academic achievements, share and receive academic information – including micro-credentials, undergraduate, graduate and continuing education programs – with employers, other institutions and partners. And a second is through modernizing curriculum management processes and academic calendaring, which will strengthen academic governance, improve transparency, support innovation in program development, and provide more responsive tools for faculties and the broader University community.

Theme 2: Learner-Centredness

Learners are at the centre of everything we do. As expectations continue to evolve, the RO has an opportunity to redesign services, processes, and decision-making through a learner-centred lens. This means moving beyond isolated transactions and considering the full learner experience from first interest in McMaster through graduation and beyond.

Over the next three years, the RO will focus on creating more seamless, accessible, and consistent experiences by reducing unnecessary complexity, improving communication, expanding self-service capabilities, and strengthening support across the learner journey. Our goal is to ensure that administrative services actively contribute to learner success, belonging, and wellbeing.

This work will be further reinforced by a new Strategic Enrolment Management Plan, currently being co-led by the Dean of the Faculty of Engineering and the University

Registrar, which will highlight aligning recruitment, admissions, financial aid, retention, progression, and graduation within a shared view focused on learner success.

Theme 3: Partnerships & Integrated Services

Meaningful progress requires collaboration. The most significant opportunities to improve the learner experience and strengthen institutional effectiveness exist at the intersections between units, faculties, and administrative areas. This was deeply highlighted through the external review and conversations with colleagues across the RO and the University.

The RO will continue to build strong partnerships across the University, creating greater alignment across services, systems, and planning to better support learners and institutional priorities.

Through the work here, the goal would be to improve consistency and reduce duplication across processes in the RO, and with colleagues in the faculties and other administrative areas. The strategic opportunity for the RO in this capacity is to leverage and enhance data, systems, and information sharing to support the goals that will come from this theme.

Theme 4: People Growth & Development

The RO's success depends on the knowledge, creativity, and commitment of its people. As responsibilities continue to evolve and the complexity of our work increases, investment in staff development has become increasingly important.

A strong culture of learning, engagement, leadership development, and continuous growth already exists, and building on that will be key to enhance our ability to respond to change and deliver meaningful results for the University community.

Over the next three years, the RO will focus on strengthening leadership capacity, supporting employee development through growth of the RO staff mentorship program, creating a coordinated professional development framework, and fostering an environment where individuals can contribute fully to the future of the RO.

Looking Ahead

The RO is entering an important period of renewal and transformation. Guided by the insights gained through the external review, strategic planning process, Strategic Enrolment Management planning, and the University's *Bolder Together* plan, the RO is well positioned to strengthen its contribution to McMaster's future.

Over the next three to five years, the RO will focus on translating its emerging strategic themes into measurable outcomes through a strategic plan to launch in early 2027. That plan will seek to define ways to enhance the learner experience, strengthen institutional effectiveness, and support sustainable growth. This work will include modernizing critical systems - both technology and structures - and processes, advancing learner-centred services, strengthening partnerships across the University, and investing in the development and capacity of its people.

As McMaster navigates an increasingly complex post-secondary environment, the RO has an important role to play in supporting institutional priorities through leadership in enrolment management, student success, service transformation, and data-informed decision-making.

For the University Planning Committee, the work of the RO should be viewed not only through the lens of service delivery, but as a strategic investment in the systems, processes, and partnerships that support learner success and institutional sustainability. By aligning its work with *Bolder Together* and embedding Strategic Enrolment Management as a foundation for decision-making, the RO is helping to ensure that McMaster is well positioned to attract, support, retain, and graduate students in a rapidly evolving environment.

The Office of the Registrar touches every stage of the learner journey. It will continue to contribute to a more connected, learner-centred, innovative, and sustainable future for McMaster University.

September 16, 2026

University Secretariat

McMaster University | University Planning Committee

University Secretariat Mission & Mandate

Our mission is to guide and facilitate the responsible and transparent decision-making processes for the governing bodies of McMaster University. We achieve this mission through our expertise and breadth of knowledge in the following five areas of our mandate:

- provision of professional support to the Board of Governors, Senate, University Planning Committee and their respective committees, councils and advising bodies;
- facilitation of University policy development and renewal, including documentation and interpretation;
- coordination of Senate & Board elections and executive searches for senior administration appointments;
- supervision of the legal responsibilities for all tribunal hearings; and
- oversight of information governance and compliance with privacy laws.

What is governance?

Role of Secretariat in Governance

- Training of members & committee chairs
- Publish committee memberships, agendas & minutes, by-laws, policies, election information, etc.
- Ensure that items are approved in the correct order and in a timely manner – create workplans and agendas
- Provide space for discussion and decision-making
- Maintain the records of governance meetings – the history of McMaster
- Example: Auditor General Reports

Sliding Scale of Policy Work

Minimim

Policy owner manages process

Moderate

Supporting version control on drafts

Maximum

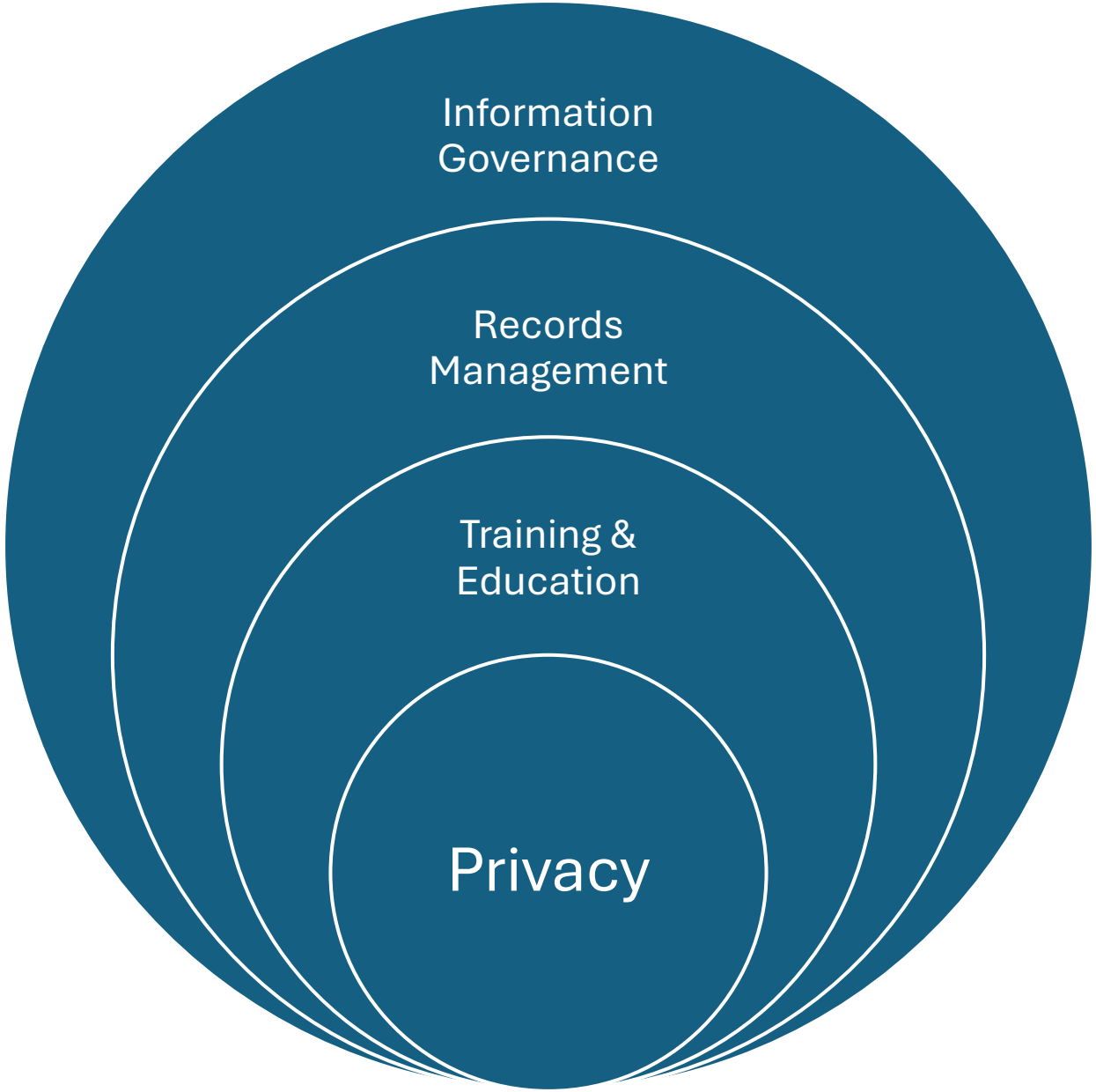
Ad Hoc Drafting Committee with approved Terms of Reference

Support the President & Vice-President searches
Special projects
Design and maintain the policy website

Hearings

- Seven policies with confidential hearing processes
- Respected processes
- Quasi-judicial work with a high degree of procedural fairness
- Lengthy processes – months, sometime years
- Working with lawyers, training of judicial boards
- No control over the volume of work

- Advice and training for Associate Deans
- Architecture of Secretariat website


Information Governance
Records Management
Training & Education
Privacy

Current Priorities

- External Review in 2025
  - Implemented staffing recommendations for governance team
  - Leverage technology
- More support for the Privacy area
  - Added a Humanities Intern student to assist
  - Reviewing other opportunities for support
- Hearings
  - Highest number of hearings on record
- Policy work
  - DH/SV Policy
  - focused on revising or terminating old policies
  - Support hiring of new VP Communications

The Work of the Secretariat

- The central administrative office for the University
- Support the priorities of the University
- Facilitate the work of the institution
- Information provider – or know who to ask
- Gatekeeper
- Leader

Thank You !

McMaster University | Engineering

MEMORANDUM

DATE : August 10, 2026

TO : University Planning Committee

FROM : Heather Sheardown, Dean, Faculty of Engineering

RE : Closure of the Centre for Automotive Materials and Corrosion (CAMC)

On behalf of the Centre for Automotive Materials and Corrosion's Governing Board, I request the formal closure of CAMC effective immediately.

The Centre for Automotive Materials and Corrosion (CAMC) was formally established in 2008 in partnership with GM Canada Ltd., with Dr. David Wilkinson serving as founding Director, followed by Dr. Joseph McDermid until 2021 and most recently by Dr. Joey Kish (all affiliated with the Department of Materials Science and Engineering within the Faculty of Engineering).

Over its years of operation, the Centre's Directors, core faculty members and users carried out research of real depth and impact, supported throughout by technical and administrative staff whose dedication kept the facility running day to day. That work, and the people behind it, deserve genuine recognition.

At the same time, the broader landscape — the state of the global economy, the automotive industry in Southern Ontario, and the level of research funding tied to the Centre's original mandate — no longer allows its activities to be sustained. Over the years the facility saw a significant reduction in core faculty users as several founding members retired, which reduced research income and led to a growing deficit. CAMC has been in discussions with the Faculty of Engineering about the Centre's financial sustainability for some time, examining alternative models for user-fee generation, external revenue sources, and staffing and operating costs. These discussions led to the conclusion that the Centre's operations are no longer viable and the Governing Board has voted to close CAMC.

Over the past year, which has served as a ramping-down period, contingency plans have been put in place and steps have been taken to address staffing and to relocate or sell equipment, while ensuring that key activities continue. The Faculty is grateful to the Directors, faculty

members and users who shaped the Centre's work over more than fifteen years, and to the staff whose commitment sustained its operation throughout.

HS:SN

CAMC Governing Board:

Carlos Filipe (Associate Dean Research, Non-voting)
Joey Kish (Current Dept. Chair, MSE & former CAMC Director)
Hatem Zurob (Former Dept. Chair, Dept. Materials Science and Engineering (MSE))
Joe McDermid (User, Former CAMC Director
Mukesh Jain (User)

McMaster University | DeGroote School of Business

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MEMO

DATE: August 11, 2026

TO: University Planning Committee
Senate Committee on Appointments

FROM: Khaled Hassanein, Dean, DeGroote School of Business

RE: Discontinuation of Michael Lee-Chin and Family Institute for Strategic Business Studies

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Please be advised that the DeGroote School of Business would like to formally discontinue the Michael Lee-Chin and Family Institute for Strategic Business Studies as a Research Institute under the oversight of the Vice President of Research. The centre was established in 2006. The Michael Lee-Chin Foundation provides support for various endowed chairs that reside within the School of Business. The Director is responsible for reporting annually to the foundation as required by the donor. The research chairs supported by the gift are under the authority of the Dean and the requirements as specified by the donor. The School of Business in consultation with the Office of the Vice President Research has determined that it is appropriate to discontinue the Michael Lee-Chin and Family Institute for Strategic Business Studies as a Research Institute under the oversight of the Vice President Research Institutes and Centres Governance. Accordingly, I would like to recommend the formal discontinuation of this institute.

cc: Office of the Vice-President, Research

McMaster University

Vice-President (Research)

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MEMO

TO: University Planning Committee

FROM: Dr. Martin Horn, Deputy Vice-President, Research

RE: Name Change for Thrombosis and Atherosclerosis Research Institute

DATE: August 27, 2026

On behalf of the Governing Board of the Thrombosis and Atherosclerosis Research Institute, I request a name change from Thrombosis and Atherosclerosis Research Institute (TaARI) to Heart, Blood, and Stroke Research Institute (HBSRI).

Please see the attached letter which provides additional details of the request.

Attch.

McMaster University

Vice Dean, Research
Faculty of Health Sciences

1280 Main Street W.
HSC – 2E16
Hamilton, Ontario,
Canada L8S 4K1

13 February 2026

Dr. Gianni Parise
Vice-President, Research
Gilmour Hall, Room 208

RE: Renaming of the Thrombosis and Atherosclerosis Research Institute (TaARI)

Dear Dr. Parise,

On behalf of the Governing Board for the Thrombosis and Atherosclerosis Research Institute (TaARI), the Faculty of Health Sciences (FHS) would like to recommend a formal name change of TaARI to the Heart, Blood, and Stroke Research Institute (HBSRI).

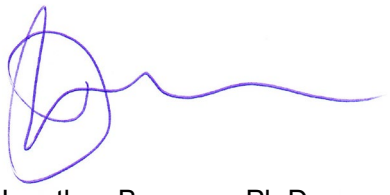
TaARI was founded in 1988 as a joint venture between the Hamilton Civic Hospitals and McMaster University. Originally called the Hamilton Civic Hospital Research Centre, its primary focus was on translating advances in research laboratories into new anticoagulant therapies to treat thrombosis. The Centre was renamed the Henderson Research Centre when the Hamilton Civic Hospitals were amalgamated into Hamilton Health Sciences. The group moved to the David Braley Research Institute in 2010 and became the Thrombosis and Atherosclerosis Research Institute (TaARI).

Researchers at TaARI seek to understand the mechanisms of thrombosis and cardiovascular disease. The space is shared with the Population Health Research Institute (PHRI), which provides important opportunities to translate discoveries into clinical outcomes that make a positive impact on patient lives.

The TaARI Governing Board, which includes the CEO of Hamilton Health Sciences as its representative, has worked with the TaARI codirectors and the TaARI membership to reassess the name of TaARI based on its evolved mandate and impact. To meet with the broadened research scope of the membership, the TaARI Governing Board would like to rename TaARI to the Heart, Blood, and Stroke Research Institute (HBSRI).

Thank you for considering this recommendation. If you require further information regarding this naming request, please do not hesitate to contact me.

Yours sincerely,



Jonathan Bramson, Ph.D.
Vice Dean, Research
Professor, Department of Medicine
John Bienenstock Chair in Molecular Medicine

Tel. 905-525-9140 ext. 22814
e-mail: bramsonj@mcmaster.ca
https://fhs.mcmaster.ca/

GOVERNANCE BODY	*University Planning Committee*
ITEM/SUBJECT	*Operating and Ancillary Budgets Policy update*
DATE	*September 9, 2026*
SUBMITTED BY	*Iain Clarkson, Budget Director* *Omer Ahmed, AVP & CFO* *Saher Fazilat, VPOF*
GOVERNANCE PATH	PVP (September 8, 2026)/ University Planning Committee (September 16, 2026)/ Planning & Resource Committee (October 8, 2026)/ Board of Governors (October 22nd, 2026)
MOTION	University Planning Committee *That the University Planning Committee approve the updated Operating and Ancillary Budget Policy*
JURISDICTION (*If applicable*)	Policy update
SUPPLEMENTAL MATERIALS	1. Operating and Ancillary Budgets Policy – Revision Clean Copy 2. Operating and Ancillary Budgets Policy - Revision Tracked

1. Executive Summary

The Operating and Ancillary Budget policy has been reviewed and updated with input from Budget Director, the Controller, the AVP & Chief Finance Officer, the AVP Academic Planning & Finance, and the Policy Advisor & Projects Officer.

2. Background

Policy has not been updated for almost 30 years. Over that time a number of changes to the budget process and mechanisms at McMaster have taken place. Although in essence the main accountabilities and responsibilities for the operating budget have not changed, making an update allows the policy to be current for elements of the budget process and timing that have changed. Significant updates include: Acknowledging the Provost as the Chief Budget Officer, highlighting the need to identify “one-time” items, Removing reference to Faculty Appointments (which are handled outside the budget policy, and under other mechanisms), and updating the links to current policies referenced in the appendices

3. Recommendations & Next Steps

Approval by University Planning Committee, then to Planning & Resource Committee for approval and recommendation to the Board of Governors.

4. Strategic Alignment

Policy update

5. Financial Implications

Beneficial to have up-to-date policy and regular review going forward to ensure references to budget policy are current.

6. Legal & Regulatory

n/a

7. Risk Category & Mitigation Strategy

n/a

Risk Category (Institutional Level)	Risk Description	Mitigation Strategy(s)
Choose an item.		
Choose an item.		
Choose an item.		

8. Questions & Answers

n/a

9. Key Terms

If needed, please include definitions of complex terms.

Supplemental: Key Terms and Concepts (used in this memo)	
Term 1	Definition and example if applicable
Term 2	Definition and example if applicable

Policy Title:

Operating and Ancillary Budgets Policy

Approved by:

Board of Governors

Date of Most Recent Approval:

TBD

Supersedes Policy Dated:

April 24, 1997

Date(s) of Original Approval:

April 24, 1997

Responsible Executive: Vice-President (Operations & Finance)

Policy-Specific Enquiries: Office of the Vice-President (Operations & Finance)

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Preamble

Objectives

1. The academic and operational plans and priorities of the University are implemented through the allocation of resources. This Policy has been prepared with the following objectives in mind:

   a) encouraging initiative, responsibility, and planning by those responsible for individual budgets; and

   b) ensuring that there are effective controls.

Authority

2. Accountability for the effective management of the budget is delegated through the Board of Governors to the President and Vice-Chancellor. The President and Vice-Chancellor delegates responsibility for specific envelopes to other Senior Officers of the University under the direction of the Provost as Chief Budgetary Officer. Through these officers, responsibility is delegated to Envelope Managers and then to Budget Unit Managers (Appendix A, or as subsequently revised and approved by the President & Vice-Chancellor).

3. The operating budget of the University is recommended by the Budget Committee, a sub-committee of the University Planning Committee, to the President and Vice-Chancellor for onward transmission to the Planning & Resources Committee of the Board of Governors, for ultimate approval by the Board of Governors.

Policy Review

4. As per the *McMaster University Policy Framework*, the executive responsible for this Policy will typically review it every five (5) years. Smaller and more frequent reviews may occur to ensure this Policy is current and compliant with legislative requirements, professional standards, and leading practices.

Structure

5. The budget envelope is the core component of the University Budget, as the allocation of resources to an envelope reflects decisions about the funding level for the academic and/or operational plans of the budget unit, or several budget units, which constitute the envelope.

6. An envelope consists of one or more budget units. Changes to budget envelopes, or new budget envelopes, would be brought forward to the Budget Committee for approval. A budget unit typically represents a specific activity or area for which an individual is responsible. These budget units will also include all ongoing operations or activities which do not necessarily receive envelope funding.

    a) Budget envelopes can be divided into Activity Units (Faculties), Support Units (all other operating units) within the Operating Fund, and Ancillary Units within the Ancillary Fund.

7. At the envelope level, net ongoing expenditures authorized by the Envelope Manager should not exceed the envelope allocation. Refer to clause 13; 17; and 19 for further details regarding deficit accountability. One-time items should be identified in the budget for an envelope. One-time items are those that would occur within a single reporting period and which are unlikely to recur in the future, although they could cross over multiple reporting periods. These would be items that are not part of the normal activities of a unit, or items that could be withdrawn or terminated as needed during times of fiscal constraint. Examples would be severance payments, consultants/contractual staffing used for a specific time-defined project if they fit the criteria for one-time, computer purchase that would be large and one-time (system replacements), large capital purchases, large renovations.

8. Senior Officers, Envelope Managers and Budget Unit Managers may establish control measures in addition to those required under this policy in respect of areas or units reporting to them.

9. The Budget Director is responsible for the preparation of fiscal year projections which are critical to the financial operation of the University. Decisions which materially affect the budget at both envelope and budget unit levels must therefore be communicated to Budgeting Services in a timely manner.

Accountabilities

Senior Officer

10. A Senior Officer must review and endorse the budget plan developed by an Envelope Manager prior to its submission to the Budget Committee. The reviews must ensure that the budget plan communicates the plan to address any projected deficits.

11. Following the budget reviews, comprehensive budget projection reports are generated by Budgeting Services for transmission to the Budget Committee and the Planning & Resources Committee of the Board of Governors.

12. Recruiting to faculty positions must be authorized by the Provost and Vice-President (Academic) and should be governed by the *Revised Policy and Regulations on Academic Appointment, Tenure and Promotion* ("Tenure and Promotion Policy");

13. A Senior Officer may authorize the transfer of fiscal-year funds without limitation between or among envelopes in their area of responsibility, and may recommend the transfer of budgets between envelopes to the Budget Committee at any time. The Senior Officer may remove an appropriation[1] balance beyond 5% of revenues from an envelope, which may be used by the Senior Officer, or applied to the University's central budget envelopes.

Envelope Manager

14. An Envelope Manager must develop and submit to the Senior Officer a fiscal year budget, and such other plans and models as may be required. The Envelope

[1] Appropriations are the accumulated surpluses or deficits from prior years, also known as reserves.

Manager is responsible for developing this budget based on current commitments and the parameters provided each year in the Budget Guidelines.

15. The Envelope Manager may reallocate either funds or budgets within the envelope among budget units in that envelope.

16. No commitment to a continuing appointment can be made unless the appropriate procedure has been followed (Appendix B, or as subsequently revised and approved by the President & Vice-Chancellor).

17. In cases where there have been repeated deficits at the budget unit level, the Envelope Manager is responsible for reviewing the management and adequacy of the unit budget, and for ensuring that a plan is developed for avoiding a recurrence.

Budget Unit Manager

18. The Budget Unit Manager is responsible for monitoring, controlling, projecting and planning resources in the context of direction received from the Envelope Manager.

19. Deficits at the budget unit level are permissible only with the prior express approval of the Envelope Manager.

Appendix A: Budget Accountability Structure

- **Senior Officer**: The President & Vice-Chancellor, or a person reporting to this position.
- **Envelope**: A discrete segment of the University Budget, which contains the budget of one or more operating units.
- **Envelope Manager (Budget Envelope Authority)**: The employee who has the highest level of decision-making authority for the budget envelope in a Faculty, department or other operating unit engaging in an agreement or expenditure. Some examples include a dean, director or associate vice-president. The position which is accountable for the management of the resources within the envelope. Envelope Managers maintain current financial projections for the envelope, which are reviewed with the Senior Officer.
- **Budget Unit Manager**: The position which is accountable for the management of the budget of a Unit.

Appendix B: Related Policies and Procedures

- Policy and Regulations on Academic Appointment, Tenure and Promotion
- Guidelines for the Administration of PEA/MPDA Entitlements and Expenses

Policy Title:

Operating and Ancillary Budgets Policy

Approved by:

Board of Governors

Date of Most Recent Approval:

~~**April 24, 1997**~~ **TBD**

Supersedes Policy Dated:

~~December 12~~April 24, 199~~71~~

Date(s) of Original Approval:

~~December 12~~April 24, 199~~71~~

Responsible Executive: Vice-President (~~Administration~~Operations & Finance)

Policy-Specific Enquiries: Office of the Vice-President (~~Administration~~Operations & Finance)

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~~Policy~~

Preamble

Objectives

1. The academic and operational plans and priorities of the University are implemented through the allocation of resources. This ~~revised~~ ~~p~~Policy has been prepared with the following objectives in mind:

   a) encouraging initiative, responsibility, and planning by those responsible for individual budgets; and

   b) ensuring that there are effective controls.

Authority

2. Accountability for the effective management of the budget is delegated through the Board of Governors to the President and Vice-Chancellor. The President and Vice-Chancellor delegates responsibility for specific envelopes to other Senior Officers of the University under the direction of the Provost as Chief Budgetary Officer. Through these officers, responsibility is delegated to Envelope Managers and then to Budget Unit Managers (Appendix A, or as subsequently revised and approved by the President & Vice-Chancellor).

3. The operating budget of the University is recommended by the Budget Committee, a sub-committee of the University Planning Committee, to the President and Vice-Chancellor for onward transmission to the ~~Finance~~ Planning & Resources Committee of the Board of Governors, for ultimate approval by the Board of Governors.

Policy Review

4. As per the *McMaster University Policy Framework*, the executive responsible for this Policy will typically review it every five (5) years. Smaller and more frequent reviews may occur to ensure this Policy is current and compliant with legislative requirements, professional standards, and leading practices.

Structure

3.5. The budget envelope is the core component of the University Budget, as the allocation of resources to an envelope reflects decisions about the funding level for the academic and/or operational plans of the several budget unit, or several budget units,s which constitute the envelope.

6. An envelope consists of one or more budget units. Changes to budget envelopes, or new budget envelopes, would be brought forward to the Budget Committee for approval. A budget unit typically represents a specific activity or area for which an individual is responsible. These budget units will also include all ongoing operations or activities which do not necessarily receive envelope funding.

a) Budget envelopes can be divided into Activity Units (Faculties), and Support Units (all other operating units) within the Operating Fund, and Ancillary Units within the Ancillary Fund.;

4. The structure of a budget allocated to a unit will normally typically identify: regular salary and fringe benefit funding (Roll I appointments); casual salary/wages funding (Roll III appointments); funding for all other expenditures; total funding available to the unit; income and cost-recovery budgets; and net expenditures.

5.7. At the envelope level, net ongoing expenditures authorized by the Envelope Manager should equal not exceed the envelope allocation. Refer to clause 1413; 2017; and 24 19 for further details regarding deficit accountability. During the development of the envelope fiscal budget, Envelope Managers will recommend a "salary savings target". This is an allowance for the net savings in salaries resulting from turnover, vacancies, reclassifications, leaves, and salary changes during the fiscal year.One-time items should be identified in the budget for an envelope. One-time items are those that would occur within a single reporting period and which are unlikely to recur in the future, although they could cross over multiple reporting periods. These would be items that are not part of the normal activities of a unit, or items that could be withdrawn or terminated as needed during times of fiscal constraint. Examples would

be severance payments, consultants/contractual staffing used for a specific time-defined project if they fit the criteria for one-time, computer purchase that would be large and one-time (system replacements), large capital purchases, large renovations.

6.8. Senior Officers, Envelope Managers and Budget Unit Managers may establish control measures in addition to those required under this policy in respect of areas or units reporting to them.

7.9. The Director of BudgetingBudget Director is responsible for the preparation of fiscal year projections which are critical to the financial operation of the University. Decisions which materially affect the budget at both envelope and budget unit levels must therefore be communicated to the Budgeting Services Office in a timely manner.

8. The University has provision for making internal loans in those situations where a single expenditure in one year can provide savings in future years, and the use of this provision is encouraged for non-salary expenditures.

9. Ancillary Operations will be administered within this Policy.

Accountabilities

Senior Officer

10. A Senior Officer must review and endorse the budget plan developed by an Envelope Manager prior to its submission to the Budget Committee. The reviews must ensure that the budget plan communicates the plan to address any projected deficits.

11. Senior Officers must review the budgets and submit revenue and expenditure projections offor all envelopes for which they are responsibleunder their responsibility to the Budget Committee at least twice in each year, normally at three and eight months on the schedule established by the Committee. The reviews must communicate plans to address projected deficits or one-time expenditures.This also fulfils the requirements of the Ledger Reporting Policy.

~~12.~~11. Following the ~~bi-annual~~budget reviews ~~at three five and eight months~~, comprehensive budget projection reports are generated by ~~the Budget Office~~ Budgeting Services for transmission to the Budget Committee and the ~~Finance~~ Planning & Resources Committee of the Board of Governors. ~~Senior Officers should communicate plans to address projected envelope deficits or unprecedented expenditure at any Finance Plannning & Resources Committee meeting.~~

~~13.~~12. Recruiting to faculty positions ~~that is~~ must be authorized by the ~~Senior Officer~~ Provost and Vice-President (Academic) ~~must be~~and should be governed by the *Revised Policy and Regulations ~~with Respect to~~on Academic Appointment, Tenure and Promotion* ~~(1992)~~("Tenure and Promotion Policy"); ~~and must also adhere to the Principles Respecting Faculty Appointments (Appendix B, or as subsequently revised and approved by the President & Vice-Chancellor).~~

~~14.~~13. A Senior Officer may authorize the transfer of fiscal-year funds without limitation between or among envelopes in ~~her/his~~their area of responsibility~~,~~; and may recommend the transfer of budgets between envelopes to the Budget Committee at any time. The Senior Officer may remove an ~~accumulated surplus~~appropriation[1] balance beyond 5% of revenues from an envelope, which may be used by the Senior Officer, or applied to the University's central budget envelopes.

Envelope Manager

~~15.~~14. An Envelope Manager must develop and submit to the Senior Officer a fiscal year budget, and such other plans and models as may be required. The Envelope Manager is responsible for developing this budget based on current commitments and the parameters provided each year in the Budget ~~Development~~ Guidelines.

~~16.~~15. The Envelope Manager may reallocate either funds or budgets within the envelope among budget units in that envelope.

[1] Appropriations are the accumulated surpluses or deficits from prior years, also known as reserves.

~~17. The Envelope Manager is responsible for maintaining an up-to-date fiscal projection for the envelope. This will be used when a faculty or staff position is added or altered, and for reporting to the Senior Officer, normally at three and eight months.~~

~~18.~~16. ~~An Envelope Manager may not recommend or make any continuing appointment, either academic or non-academic, if a deficit in the envelope is projected at the end of the fiscal year. However, in certain circumstances if a deficit is projected, a commitment may be made to a contractually-limited appointment.~~ No commitment to a~~n~~ continuing appointment ~~either contractually-limited or continuing~~ can be made unless the appropriate procedure has been followed (Appendix ~~C~~B, or as subsequently revised and approved by the President & Vice-Chancellor).

~~19.~~17. In cases where there have been repeated deficits at the budget unit level, the Envelope Manager is responsible for reviewing the management and adequacy of the unit budget, and for ensuring that a plan is developed for avoiding a recurrence.

Budget Unit Manager

~~20.~~18. The Budget Unit Manager is responsible for monitoring, controlling, projecting and planning resources in the context of direction received from the Envelope Manager.

~~21. The control procedures for Faculty Professional Development Allowances are the responsibility of the Budget Unit Manager and are attached as Appendix D.~~

~~22.~~19. Deficits at the budget unit level are permissible only with the prior express approval of the Envelope Manager.

Appendix A: Budget Accountability Structure

- **Senior Officer**: The President & Vice-Chancellor, or a person reporting to this position.
- **Envelope**: A discrete segment of the University Budget, which contains the budget of one or more operating units.
- **Envelope Manager (Budget Envelope Authority)**: The employee who has the highest level of decision-making authority for the budget envelope in a Faculty, department or other operating unit engaging in an agreement or expenditure. Some examples include a dean, director or associate vice-president. The position which is accountable for the management of the resources within the envelope. Envelope Managers maintain current financial projections for the envelope, which are reviewed with the Senior Officer.
- **Budget Unit Manager**: The position which is accountable for the management of the budget of a Unit.

~~Appendix B: Principles Respecting Faculty Appointments~~

1. ~~These principles have been derived from Directions II: Report on a Summer Strategic Planning Session, and have been further articulated by the President, Provost and Faculty Deans in an agreement dated October 15, 1996. This agreement became effective October 1, 1996 and will govern appointments in the 1996/97 (i.e., appointments beginning July 1, 1997), 1997/98 and 1998/99 academic years. The agreement will be revisited at the beginning of its third year to assess whether any changes to the protocol are warranted.~~

~~Contractually Limited Appointments~~

2. ~~As long as a Faculty Dean has sufficient funds within the faculty envelope, the Faculty Dean can authorize recruitment to a contractually limited position. The Provost shall be informed by the Dean and shall continue to monitor the appointment process.~~

~~Tenure Track Appointments~~

3. ~~Tenure-track appointments require approval from the Provost and the President. The agreement identifies two streams of faculty appointments. The two streams differ in terms of the source of funds that support the appointment and the process used for selecting the department/area in which the appointment is made.~~

~~Stream 1 Appointments~~

~~a) Stream 1 appointments are supported by funds in the Faculty Envelope.~~

~~b) The selection of the Department or area to receive Stream 1 appointments is driven largely by the Faculty Dean, although final approval for these tenure-track positions lies with the Provost, who reserves the right to approve, amend or reject the request of the Faculty Dean, on fiscal and/or academic grounds.~~

Stream 2 Appointments

a) Stream 2 appointments are supported by funds accumulated centrally (e.g. the 1% reallocation fund) and allocated to Faculties during the annual reallocation exercise.

b) Although Stream 2 positions support cross-Faculty, multidisciplinary priority areas, these appointments will be made in specific Departments, or two Departments if a joint appointment is considered most appropriate. Final approval for all Stream 2 tenure-track appointments lies with the Provost.

4. Once approval of a tenure-track appointment is granted, the department has two years to fill the position before requiring a review of the availability of the position by the Dean, Provost and President. In most cases, the department will likely be given an additional year to recruit a candidate.

Appendix ~~C~~B: Related Policies and Procedures

- ~~Authorization for Commitment to A Regular Faculty or Staff Position Governed by the University Operating Budget Policy~~Policy and Regulations ~~with Respect to~~on Academic Appointment, Tenure and Promotion
-
- Guidelines for the Administration of PEA/MPDA Entitlements and Expenses~~Control Procedures for Professional Development Allowances~~
-

Policy Title:

Operating and Ancillary Budgets Policy

Approved by:

Board of Governors

Date of Most Recent Approval:

April 24, 1997

Supersedes Policy Dated:

December 12, 1991

Date(s) of Original Approval:

December 12, 1991

Responsible Executive: Vice-President (Administration)

Policy-Specific Enquiries: Office of the Vice-President (Administration)

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Policy

Objectives

1. The academic and operational plans and priorities of the University are implemented through the allocation of resources. This revised policy has been prepared with the following objectives in mind:

   a) encouraging initiative, responsibility, and planning by those responsible for individual budgets; and

   b) ensuring that there are effective controls.

Authority

2. Accountability for the effective management of the budget is delegated through the Board of Governors to the President and Vice-Chancellor. The President and Vice-Chancellor delegates responsibility for specific envelopes to other Senior Officers of the University. Through these officers, responsibility is delegated to Envelope Managers and then to Budget Unit Managers (Appendix A, or as subsequently revised and approved by the President & Vice-Chancellor).

3. The operating budget of the University is recommended by the Budget Committee, a sub-committee of the University Planning Committee, to the President and Vice-Chancellor for onward transmission to the Finance Committee of the Board of Governors, for ultimate approval by the Board of Governors.

Structure

4. The budget envelope is the core component of the University Budget, as the allocation of resources to an envelope reflects decisions about the funding level for the academic and/or operational plans of the several budget units which constitute the envelope.

5. An envelope consists of one or more budget units. A budget unit typically represents a specific activity or area for which an individual is responsible. These budget units will also include all ongoing operations or activities which do not necessarily receive envelope funding.

6. The structure of a budget allocated to a unit will normally identify: regular salary and fringe benefit funding (Roll I appointments); casual salary/wages funding (Roll III appointments); funding for all other expenditures; total funding available to the unit; income and cost-recovery budgets; and net expenditures.

7. At the envelope level, net expenditures authorized by the Envelope Manager should equal the envelope allocation. Refer to clause 14; 20; and 24 for further details regarding deficit accountability. During the development of the envelope fiscal budget, Envelope Managers will recommend a "salary savings target". This is an allowance for the net savings in salaries resulting from turnover, vacancies, reclassifications, leaves, and salary changes during the fiscal year.

8. Senior Officers, Envelope Managers and Budget Unit Managers may establish control measures in addition to those required under this policy in respect of areas or units reporting to them.

9. The Director of Budgeting is responsible for the preparation of fiscal year projections which are critical to the financial operation of the University. Decisions which materially affect the budget at both envelope and budget unit levels must therefore be communicated to the Budget Office in a timely manner.

10. The University has provision for making internal loans in those situations where a single expenditure in one year can provide savings in future years, and the use of this provision is encouraged for non-salary expenditures.

11. Ancillary Operations will be administered within this Policy.

Accountabilities

Senior Officer

12. A Senior Officer must review and endorse the budget plan developed by an Envelope Manager prior to its submission to the Budget Committee.

13. Senior Officers must review the budgets and expenditure projections of all envelopes for which they are responsible at least twice in each year, normally at three and eight months. This also fulfils the requirements of the Ledger Reporting Policy.

14. Following the reviews at three and eight months, comprehensive budget projection reports are generated by the Budget Office for transmission to the Budget Committee and the Finance Committee of the Board of Governors. Senior Officers should communicate plans to address projected envelope deficits or unprecedented expenditure at any Finance Committee meeting.

15. Recruiting to faculty positions that is authorized by the Senior Officer must be governed by the *Revised Policy and Regulations with Respect to Academic Appointment, Tenure and Promotion* (1992); and must also adhere to the Principles Respecting Faculty Appointments (Appendix B, or as subsequently revised and approved by the President & Vice-Chancellor).

16. A Senior Officer may authorize the transfer of fiscal-year funds without limitation between or among envelopes in her/his area of responsibility; and may recommend the transfer of budgets between envelopes to the Budget Committee at any time. The Senior Officer may remove an accumulated surplus beyond 5% from an envelope, which may be used by the Senior Officer, or applied to the University's central budget.

Envelope Manager

17. An Envelope Manager must develop and submit to the Senior Officer a fiscal year budget, and such other plans and models as may be required. The Envelope Manager is responsible for developing this budget based on current commitments and the parameters provided each year in the Budget Development Guidelines.

18. The Envelope Manager may reallocate either funds or budgets within the envelope among budget units in that envelope.

19. The Envelope Manager is responsible for maintaining an up-to-date fiscal projection for the envelope. This will be used when a faculty or staff position is added or altered, and for reporting to the Senior Officer, normally at three and eight months.

20. An Envelope Manager may not recommend or make any continuing appointment, either academic or non-academic, if a deficit in the envelope is projected at the end of the fiscal year. However, in certain circumstances if a deficit is projected, a commitment may be made to a contractually-limited appointment. No commitment to an appointment either contractually-limited or continuing can be made unless the appropriate procedure has been followed (Appendix C, or as subsequently revised and approved by the President & Vice-Chancellor).

21. In cases where there have been repeated deficits at the budget unit level, the Envelope Manager is responsible for reviewing the management and adequacy of the unit budget, and for ensuring that a plan is developed for avoiding a recurrence.

Budget Unit Manager

22. The Budget Unit Manager is responsible for monitoring, controlling, projecting and planning resources in the context of direction received from the Envelope Manager.

23. The control procedures for Faculty Professional Development Allowances are the responsibility of the Budget Unit Manager and are attached as Appendix D.

24. Deficits at the budget unit level are permissible only with the prior express approval of the Envelope Manager.

Appendix A: Budget Accountability Structure

- **Senior Officer**: The President & Vice-Chancellor, or a person reporting to this position.
- **Envelope**: A discrete segment of the University Budget, which contains the budget of one or more operating units.
- **Envelope Manager**: The position which is accountable for the management of the resources within the envelope. Envelope Managers maintain current financial projections for the envelope, which are reviewed with the Senior Officer.
- **Budget Unit Manager**: The position which is accountable for the management of the budget of a Unit.

Appendix B: Principles Respecting Faculty Appointments

1. These principles have been derived from Directions II: Report on a Summer Strategic Planning Session, and have been further articulated by the President, Provost and Faculty Deans in an agreement dated October 15, 1996. This agreement became effective October 1, 1996 and will govern appointments in the 1996/97 (i.e., appointments beginning July 1, 1997), 1997/98 and 1998/99 academic years. The agreement will be revisited at the beginning of its third year to assess whether any changes to the protocol are warranted.

Contractually Limited Appointments

2. As long as a Faculty Dean has sufficient funds within the faculty envelope, the Faculty Dean can authorize recruitment to a contractually limited position. The Provost shall be informed by the Dean and shall continue to monitor the appointment process.

Tenure Track Appointments

3. Tenure-track appointments require approval from the Provost and the President. The agreement identifies two streams of faculty appointments. The two streams differ in terms of the source of funds that support the appointment and the process used for selecting the department/area in which the appointment is made.

Stream 1 Appointments

a) Stream 1 appointments are supported by funds in the Faculty Envelope.

b) The selection of the Department or area to receive Stream 1 appointments is driven largely by the Faculty Dean, although final approval for these tenure-track positions lies with the Provost, who reserves the right to approve, amend or reject the request of the Faculty Dean, on fiscal and/or academic grounds.

Stream 2 Appointments

a) Stream 2 appointments are supported by funds accumulated centrally (e.g. the 1% reallocation fund) and allocated to Faculties during the annual reallocation exercise.

b) Although Stream 2 positions support cross-Faculty, multidisciplinary priority areas, these appointments will be made in specific Departments, or two Departments if a joint appointment is considered most appropriate. Final approval for all Stream 2 tenure-track appointments lies with the Provost.

4. Once approval of a tenure-track appointment is granted, the department has two years to fill the position before requiring a review of the availability of the position by the Dean, Provost and President. In most cases, the department will likely be given an additional year to recruit a candidate.

Appendix C: Related Policies and Procedures

- Authorization for Commitment to A Regular Faculty or Staff Position Governed by the University Operating Budget Policy
- Control Procedures for Professional Development Allowances